

ALPINE SECURITIES

Stock Brokerage & Investment Company

440 East 400 South • Salt Lake City, UT 84111
 p (801) 355-5588 • f (801) 355-5742 • toll free (800) 274-5588 • alpine-securities.com
 Member FINRA & SIPC

Consolidated Form 1099 - Period (2012)



J. DAVID NELSON
 10885 SOUTH STATE STRET
 SANDY UT 84070

280

Account Name: J. DAVID NELSON

Account Number: 58145926

Account Executive: TYLER FLOOR

Form 1099-Int: Interest Income

No Interest Income for this Period

Form 1099-Div: Dividends & Distributions

	Totals
Total Ordinary Dividends	0.44
Qualified Dividends	0.00
Total Capital Gain Distributions	0.00
Unrecaptured Section 1250 Gain	0.00
Section 1202 Gains	0.00
Collectible 28% gain	0.00
Nondividend Distributions	0.00
Federal Income Tax Withheld	0.00
Investment Expense	0.00
Foreign Tax Paid	0.00
Foreign Country or US Possession	0.00
Cash Liquidation Distributions	0.00
Non-Cash Liquidation Distributions	0.00
Exempt-Interest Dividends	0.00
State Tax Withheld	0.00

Form 1099-OID: Original Issue Discount

No Original Issue Discount for this Period

Form 1099-MISC: Miscellaneous Income

No Miscellaneous Income for this Period



Account Name: J. DAVID NELSON

Account Executive: TYLER FLOOF

Form 1099-B: Proceeds from Broker Transactions

Total Gross Proceeds Less Commissions - Each transaction furnished to the IRS: 256971.26

Total Federal Income Tax Withheld: 0.00

Total Cost or Other Basis: 359580.72

Total Wash Sale Disallowed: 0.00

Sale or Exchange Date	Action	Acquired Date	Symbol	Description	Quantity	Wash Sale	Covered	Gain/Loss	Cost Basis	Amount
1/4/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	10000.000		Covered	Short-term	2400.00	2404.95
1/4/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	12824.000		Covered	Short-term	3077.76	3089.75
1/5/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	3654.000		Covered	Short-term	876.95	866.08
1/5/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	11346.000		Covered	Short-term	2723.04	2511.24
1/6/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	10563.000		Covered	Short-term	2535.12	2541.47
1/9/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	20000.000		Covered	Short-term	4800.00	4441.91
1/10/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	5398.000		Covered	Short-term	1295.52	1184.27
1/11/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	21621.000		Covered	Short-term	5189.04	4593.83
1/19/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	20000.000		Covered	Short-term	4800.00	4247.91
1/23/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	5000.000		Covered	Short-term	1200.00	1046.97
1/24/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	3000.000		Covered	Short-term	720.00	620.18
1/25/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	20000.000		Covered	Short-term	4800.00	4073.31
1/25/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	20000.000		Covered	Short-term	4800.00	4073.31
1/25/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	20000.000		Covered	Short-term	4800.00	4053.91
1/25/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	2000.000		Covered	Short-term	480.00	399.99
1/26/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	10000.000		Covered	Short-term	2400.00	2016.95
1/30/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	204.000		Covered	Short-term	48.96	21.55
1/30/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	50000.000		Covered	Short-term	12000.00	9679.80
1/31/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	50000.000		Covered	Short-term	12000.00	9679.80
2/8/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	20000.000		Covered	Short-term	4800.00	3859.92
2/14/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	20000.000		Covered	Short-term	4800.00	3859.92
2/28/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	20800.000		Covered	Short-term	4992.00	3813.36
2/29/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	20000.000		Covered	Short-term	4800.00	3083.93
3/1/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	50000.000		Covered	Short-term	12000.00	7283.95
3/8/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	25000.000		Covered	Short-term	6000.00	3981.17
3/13/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	50000.000		Covered	Short-term	12000.00	7739.84
3/19/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	3000.000		Covered	Short-term	720.00	561.98
3/26/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	20000.000		Covered	Short-term	4800.00	3066.47
4/3/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	50000.000		Covered	Short-term	12000.00	7924.11
4/3/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	40000.000		Covered	Short-term	9600.00	5799.86
4/11/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	28500.000		Covered	Short-term	6840.00	4579.54
4/13/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	80000.000		Covered	Short-term	19200.00	11660.32
4/13/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	5000.000		Covered	Short-term	1200.00	707.97
4/13/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	47000.000		Covered	Short-term	11280.00	6818.34
4/17/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	16900.000		Covered	Short-term	4056.00	2766.74

Account Name: J. DAVID NELSON

Account Executive: TYLER FLOOR

Form 1099-B: Proceeds from Broker Transactions (Continued)

Sale or Exchange Date	Action	Acquired Date	Symbol	Description	Quantity	Wash Sale	Covered	Gain/Loss	Cost Basis	Amount
4/18/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	25000.000		Covered	Short-term	6000.00	3859.91
4/20/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	8000.000		Covered	Short-term	1920.00	1299.16
4/23/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	26000.000		Covered	Short-term	6240.00	4273.13
4/25/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	20470.000		Covered	Short-term	4912.80	2958.32
5/4/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	50000.000		Covered	Short-term	12000.00	7444.07
5/4/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	33360.000		Covered	Short-term	8006.40	4830.59
5/10/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	20000.000		Covered	Short-term	4800.00	2912.79
5/10/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	25360.000		Covered	Short-term	6086.40	3667.38
5/18/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	5166.000		Covered	Short-term	1239.84	731.14
5/22/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	35000.000		Covered	Short-term	8400.00	5073.91
5/31/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	95000.000		Covered	Short-term	22800.00	14125.29
6/18/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	64000.000		Covered	Short-term	15360.00	12514.38
6/18/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	38000.000		Covered	Short-term	9120.00	7359.86
6/21/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	35000.000		Covered	Short-term	8400.00	6087.52
6/21/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	60000.000		Covered	Short-term	14400.00	10451.00
6/21/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	67834.000		Covered	Short-term	16280.16	11103.89
6/26/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	88113.000		Covered	Short-term	21147.12	18681.20
6/27/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	4800.000		Covered	Short-term	1152.00	998.43
6/28/2012	SOLD	10/25/2011	IAUS	INT AUTO SYSTEMS	5340.000		Covered	Short-term	1281.60	1113.02
7/10/2012	SOLD	Various	IAUS	INT AUTO SYSTEMS	1747.000		Uncovered		0.00	331.67

Purchases from Broker Transactions

No Purchases from Broker Transactions for this Period

ALPINE SECURITIES ANTI-MONEY LAUNDERING REQUIREMENTS:

• The USA Patriot Act

The *USA Patriot Act*, signed by President Bush in 2002, is designed to detect, deter, and punish terrorists in the United States and abroad. The Act imposes new anti-money laundering requirements on brokerage firms and financial institutions. By April 24, 2002, all brokerage firms were required to have new, comprehensive anti-money laundering programs.

To help you understand these efforts, we want to provide you with some information about money laundering and our steps to implement the *USA Patriot Act*.

• What is money laundering?

Money laundering is the process of disguising illegally obtained money so that the funds appear to come from legitimate sources or activities. Money laundering occurs in connection with a wide variety of crimes, including illegal arms sales, drug trafficking robbery, fraud, racketeering, and terrorism.

• How big is the problem and why is it important?

The use of the U.S. financial system by criminals to facilitate terrorism or other crimes could well taint our financial markets. According to the U.S. State Department, on recent estimate puts the amount of worldwide money laundering activity at \$1 trillion a year.

• What are we required to do to eliminate money laundering?

Under new rules required by the *USA Patriot Act*, our anti-money laundering program must designate a special compliance officer, set up employee training, conduct independent audits, and establish policies and procedures to detect and report suspicious transactions and ensure compliance with the new laws. As part of our required program, we may ask you to provide various identification documents or other information that we will verify before opening your account. Until you provide the information or documents we need, we may not be able to open an account or effect any transactions for you.

We thank you for your patience and hope that you will support us in our efforts to deny terrorist groups access to America's financial system.

ALPINE SECURITIES CORPORATION BUSINESS CONTINUITY PLAN DISCLOSURE SUMMARY

Alpine Securities Corporation (Alpine) has developed a detailed plan addressing the possibility of a future Significant Business Disruption (SBD) in order to protect and provide access to customer assets. Please note that a detailed description of this plan is available on Alpine's website at <http://www.alpine-securities.com/Legal/BusinessContinuityPlan.aspx> or by calling 801-355-5588.

Dreyfus Funds

Free credit balances invested in a money market fund managed by The Dreyfus Corporation ("Dreyfus") are not under Alpine's control. Dreyfus money market funds are not FDIC or SIPC insured. Information regarding the Dreyfus money market funds, dividend rates, and a prospectus may be obtained from the Dreyfus website at www.dreyfus.com. Alpine may receive a fee for services it performs with respect to the Dreyfus money market funds.

ALPINE SECURITIES CORPORATION PRIVACY POLICY

Alpine Securities Corporation (Alpine), understands that privacy is an important issue for our customers, Alpine places a high priority on the protection of personal information that you provide to us. Alpine is committed to protecting your privacy and the confidentiality of your personal financial information. Please be aware that this policy applies to former customers as well as current customers and to customers of correspondent broker dealers for which we clear transactions.

Sharing information

Alpine does not disclose personal information to nonaffiliated third parties, unless one of the following applies:

- Alpine discloses information to service providers that assist us in processing your transactions or servicing your account. An example would be the company that prints and mails your account statements.
- Alpine discloses personal information if required by law. An example would be providing information to industry regulators, to law enforcement agencies, for fraud prevention, or to resolve customer disputes.
- Alpine shares information with our affiliates in order to serve you more efficiently and make it more convenient for you to do business with us. We are permitted by law to share information with our affiliates about your account history. Our affiliates have similar privacy policies.

How Information Is Obtained

Information collected by us may come from the following sources:

- Account Applications – Information received from you such as your name, address, telephone number, social security number, occupation, income, etc. Alpine strives to provide the best service to you, so it is important to keep this information complete and accurate. Please contact your account representative if you need to update or correct this personal information.
- Transactions – Information relating to trading, account balances, positions, etc.
- Other sources – Information which may be received from other sources with your consent.

How You Are Protected

Alpine uses physical, electronic and procedural system safeguards to store and secure information about you in compliance with federal standards. Our system protects your information from unauthorized access and use. Access is permitted only to those individuals within our organization who need the information to perform their job responsibilities.

Alpine provides you with a copy of this policy when you open an account, and we send you notifications annually thereafter. If we change this policy or find it necessary to disclose your personal information in a way that is inconsistent with this policy, we will notify you in advance and give you the opportunity to "opt out" of such disclosure.

Alpine thanks you for your continued support and for your business. Again, we reiterate our pledge to protect your privacy as outlined above.

SIPC Protection (FINRA Rule 2266)

Information regarding the Securities Investor Protection Corporation (SIPC), including a SIPC brochure, may be obtained by contacting SIPC via its website at www.sipc.org or by telephone at (202) 371-8300.

FINRA BrokerCheck (FINRA Rule 2267)

Information regarding the FINRA BrokerCheck Program (formerly known as the FINRA Public Disclosure Program), including an investor brochure describing the FINRA BrokerCheck Program, may be obtained by contacting FINRA via its website at www.finra.org or by telephone at FINRA BrokerCheck Hotline Number at (800) 289-9999.

Order Tracking and Routing under SEC Rule 606

We are required under U.S. Securities and Exchange Commission regulations to publish data concerning quarterly quality of execution and order routing statistical information. This information is available at www.alpine-securities.com. SEC Rule 606 (formerly SEC 11Ac1-6) requires broker-dealers that route customer orders in equity and option securities to make publicly available quarterly reports that, among other things, identify the venues to which customer orders are routed for execution. Alpine will notify you annually in writing of your option to request information regarding the routing of your orders. Upon written request, Alpine will provide to you: a) the venue where your orders for listed securities or NASDAQ stocks were routed for execution; b) whether or not you directed Alpine to use that venue, and c) the time of the related transaction's execution(s) for orders placed during the six months prior to your request.

SEC Rule 605, Monthly Reporting

Alpine is qualified for exemption from the public posting requirement for market centers with a de minimus level of order, and is therefore not required to post the monthly SEC Rule 605 report.

Annual Notice of Contact Information Regarding Complaints

If you have any concerns or complaints regarding your account, you may contact Alpine's Compliance Department directly at (801)355-5588. Any correspondence should be directed to Alpine Securities Corporation, Attn: Compliance Department, 440 East 400 South, Salt Lake City, UT 84111.

Payment for Order Flow

We are required to inform you on an annual basis of our policy regarding the receipt of "payment for order flow" from various third parties in connection with the routing of customer orders for execution. Please be advised that Alpine does not receive remuneration, compensation, or other consideration for directing customer orders to particular broker-dealers or market centers for execution.

Trading Ahead of Customer Orders (FINRA Rule 5320)

Rule 5320 generally provides that a broker-dealer handling a client order in an equity security is prohibited from trading that security for its own account at a price that would satisfy a client order, unless the firm immediately executes the client's order up to the size of its own order at the same price or better. While the rule applies broadly to all types of clients and order sizes, the rule allows for exceptions that permit broker-dealers to trade for their account provided certain conditions are met. Alpine may trade on a security on the same side of the market for our own account at a price that would satisfy a customer order, provided that we disclose this information in writing to you on an annual basis.

Large orders (orders of 10,000 or more with a total value of \$100,000 or more) and orders by institutional accounts are exempt from Rule 5320 requirements.

Alpine will generally process such orders in accordance with customer instructions. While processing these orders, Alpine may trade for our own account at prices that would satisfy the customer order.

Institutional accounts and persons placing orders for 10,000 shares or more may notify us that you do not consent by contacting Alpine Securities in writing, Attn: Compliance Department, 440 East 400 South, Salt Lake City, UT 84111. Your election may occur on a blanket basis only, not on an order-by-order basis. If you do not "opt-in", Alpine may reasonably conclude that you have consented to the exception.

Rule 5320 does not change our handling obligations with respect to non-institutional accounts.

Not Held Orders

When you place an order with us and leave the price and time of execution to our discretion (a "not held order"), we may trade in the security for our own account prior to completion of your order and at the same or better price than you receive.

