111th Congress, 1st Session – – – – – – – – – – – – – – House Document 111–76

FINANCIAL DISCLOSURE REPORT OF MEMBERS OF THE BOARD OF THE OFFICE OF CONGRESSIONAL ETHICS

COMMUNICATION

FROM

THE CLERK OF THE HOUSE OF REPRESENTATIVES

TRANSMITTING

ANNUAL COMPILATION OF FINANCIAL DISCLOSURE STATEMENTS OF THE MEMBERS OF THE BOARD OF THE OFFICE OF CONGRESSIONAL ETHICS, PURSUANT TO RULE XXVI, CLAUSE 3, OF THE HOUSE RULES

NOVEMBER 17, 2009.—Referred to the Committee on Standards of Official Conduct and ordered to be printed

U.S. GOVERNMENT PRINTING OFFICE

53–590 WASHINGTON : 2009

LETTER OF SUBMITTAL

OFFICE OF THE CLERK,
HOUSE OF REPRESENTATIVES,
Washington, DC, November 2, 2009.

Hon. NANCY PELOSI,
The Speaker, The Capitol,
House of Representatives, Washington, DC.

DEAR MADAM SPEAKER: I hereby submit the annual compilation of financial disclosure statements filed with the Clerk of the House of Representatives by members of the board of the Office of Congressional Ethics pursuant to Clause 3 of House Rule XXVI.

With best wishes, I am

Sincerely,

LORRAINE C. MILLER,
Clerk, House of Representatives.

Enclosures.

Office of the Clerk Initial OCE Financial Disclosure Form

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Date Received by Office of the Clerk

Page Number 1

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U.S. HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE REPORT
Office of Congressional Ethics
United States House of Representatives

Name (*Print last, first, middle initial*)	Member
Burke, Yvonne B.	
Reporting Status	**If New Member/Alternate, Date of Appointment to Position (*mm/dd/yy*)**
New Member/Alternate ☐ Annual x☐	

Step 1: Read the instructions for Parts I through V on the following pages.

Step 2: For each statement below, check Yes or No to describe your situation.

I. I have reportable assets or sources of income for myself, my spouse, or my dependent children.	**Yes** ☒	**No** ☐
II. I have reportable liabilities (debts) for myself, my spouse, or my dependent children.	**Yes** ☐	**No** ☒
III. I have reportable outside positions for myself.	**Yes** ☒	**No** ☐
IV. I have reportable agreements or arrangements for myself.	**Yes** ☒	**No** ☐

Step 3: If you selected "Yes" for any statement, you must describe the reportable interests (but not values) that you have in the corresponding Part (I, II, III, or IV) of the form.

Step 4: Sign and date the form.

Step 5: Submit the completed form to the Office of the Clerk, U.S. House of Representatives, The Capitol, Room H-154, Washington, DC 20515-6601.

I certify that the statements I have made on this form and any attached statements are true, complete, and correct to the best of my knowledge.

Signature of Member/Alternate Member	Date (*mm/dd/yy*)
	04/21/09

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*)	Page Number
Burke, Yvonne	2

Part I: Assets and Sources of Income

Report for Yourself, Spouse, and Dependent Child:	Do Not Report:
• Assets held for investment with a value greater than $1,000 at the end of the reporting period OR assets held for investment which produced more than $200 in income during the reporting period, including but not limited to: - Assets such as stocks, bonds, annuities, trust holdings, partnership interests, life insurance, investment real estate, or a privately-held trade or business - Sector mutual funds: those funds invested in a particular industry, business, or location such as ABC Electronics Fund or XYZ Canada Fund (report the full name of the fund, not just the general family fund name) - Holdings of retirement plans, such as 401(k)s or IRAs (list each holding except diversified mutual funds) - Holdings of investment life insurance - Holdings of variable annuities - Defined benefit pension plans provided by a former employer (include the name of the employer)	• Federal Government retirement benefits • Thrift Savings Plan • Certificates of deposit, savings or checking accounts • Term life insurance • Money market mutual funds and money market accounts • Your personal residence, unless you rent all or part of it out • Diversified mutual funds, such as ABC Equity Value Fund or XYZ Large Capital Fund • U.S. Government Treasury bonds, bills, notes, and savings bonds • Money owed to you, your spouse, or dependent child by a spouse, parent, sibling, or child
Also Report:	**Do Not Report:**
• For yourself: (1) all sources of salary, fees, commissions, and other earned income greater than $200, (2) honoraria greater than $200, and (3) other non-investment income such as scholarships, prizes, and gambling income greater than $200 • For your spouse: (1) all sources of salary, fees, commissions, and other earned income greater than $1,000, and (2) honoraria greater than $200	• Dependent child's earned income • Veterans' benefits • Federal Government salary • Social Security benefits

Important Definitions

Diversified Mutual Fund – A mutual fund that does not have a stated policy of concentrating its investments in one industry, business, or single country other than the United States.
Sector Mutual Fund – A mutual fund that concentrates its investments in an industry, business, single country other than the United States, or bonds of a single state within the United States.
Dependent Child – A son, daughter, stepson or stepdaughter who is either unmarried and under age 21 and living in the filer's house, or considered dependent under the U.S. tax code.

Reportable Information – Go to the last page to see examples of how to report assets and sources of income.

Specific stock, bond, sector mutual fund, type/location of real estate, etc. *(Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.)* **Name of Employer or Business; Source of Fees, Commissions, or Honoraria** *(Include brief description.)* **You may choose** to distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held. Do not include actual names.	**No longer held**
1 ARC Alternate Resolution Center Los Angeles California	☐
2	☐
3	☐
4	☐
5	☐

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*)	Page Number 3

Part I: Assets and Sources of Income

Continuation Page

Specific stock, bond, sector mutual fund, type/location of real estate, etc. (*Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.*) **Name of Employer or Business; Source of Fees, Commissions, or Honoraria** (*Include brief description.*) **You may choose** to distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held. Do not include actual names.	**No longer held**
1 Exposition Metro Line Construction Authority Board	z
2 County of Los Angeles Board of Supervisors	x
3 Metropolitan Transportation Authority Board	x
4 Local Agency Formation Comm. L.A. County	X
5 Sanitation District L.A. County	x
6 Southern California Assn of Govts	x
7 (S) Devine Racing Mgt. LLC	X
8 (S) California Coastal Commission	☐
9 (S) South Coast Air Quality Management District	☐
10 Residence located Los Angeles, CA held by family trust (non-commercial)	☐
11 Residence located Los Angeles CA. (non-commercial)	☐
12 Exxon Mobil Corp.	☐
13 Wells Fargo & Co.	☐
14 Blackrock Total Return	☐
15 Genpact Limited	☐
16	☐
17	☐
18	☐
19	☐
20	☐

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*)	Page Number 4

Part II: Liabilities

Report for Yourself, Spouse, and Dependent Child:	Do Not Report:
• A liability over $10,000 owed at any time during the reporting period, other than a loan from a financial institution or business entity granted on terms made available to the general public • A loan over $10,000 from an individual, such as a friend or a business associate	• Any liability, such as a mortgage, a student loan, or a credit card account, from a financial institution or business entity granted on terms made available to the general public • Loans secured by automobiles, household furniture, or appliances, unless the loan exceeds the purchase price of the item it secures • Liabilities that you owe to your spouse or to the parent, sibling, or child of you, your spouse, or your dependent child

Reportable Information – Go to the last page to see examples of how to report liabilities.

Name of creditor *(include city and state where creditor is located)*	**Type of liability** *(personal loan, margin account, etc.)*
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Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*)	Page Number 5

Part III: Outside Positions

Report for Yourself:	Do Not Report:
• All positions outside the U.S. Government held at any time during the reporting period, whether or not you were compensated and whether or not you currently hold that position. Positions include an officer, director, employee, trustee, general partner, proprietor, representative, executor, or consultant of any of the following: – Corporation, partnership, trust, or other business entity – Non-profit or volunteer organization – Educational institution	• Any position with a – Religious entity – Social entity – Fraternal entity – Political entity • Any position held by your spouse or dependent child • Any position that you hold as part of your official duties

Reportable Information – Go to the last page to see examples of how to report outside positions.

Organization *(include city and state where organization is located)*	Type of organization	Position	No longer held
1 Second District Education & Policy Foundation (Burke Education & Policy Foundation	Non-profit	Director	☐
2 LA 84 Foundation	Non-profit foundation	Board Member	☐
3 AKA Sorority	Non-profit	member	☐
4 California State Bar	State Assoc	member	☐
5 Los Angeles County Bar	Bar Assoc.	Member	☐
6 Southern California Mediation Assoc	Prof. organization	member	☐
7 EXPOSITION METRO LINE CONSTRUCTION AUTHORITY Bd.	LOS ANGELES TRANSPORTATION Bd.	Member	☑
8 METROPOLITAN TRANSPORTATION Authority Board	TRANSPORTATION Bd	MEMBER	☑
9 LOCAL AGENCY FORMATION COMMISSION LA COUNTY	STATE COMMISSION	MEMBER	☑
10			☐

Page 6

Part IV: Agreements or Arrangements

Report Your Agreements or Arrangements for:	Do Not Report:
• Continuing participation in an employee pension or benefit plan maintained by a former employer • A leave of absence • Future employment, including date you accepted employment offer • Continuation of payment by a former employer (including severance payments)	• Any agreement or arrangement related to your employment by the Federal Government • Spouse's and dependent child's agreements or arrangements

Reportable Information – Go to the last page to see examples of how to report agreements and arrangements.

Entity with which you have an agreement or arrangement *(include city and state where entity is located)*	**Terms of Agreement or Arrangement**
1 LACERA Retirement from LA County California	Monthly retirement from Dec. 2008
2 Jones Day retirement Cleveland OH	Monthly retirement
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HOUSE OF REPRESENTATIVES

Date Received by Office of the Clerk	Page Number

FINANCIAL DISCLOSURE REPORT
Office of Congressional Ethics
United States House of Representatives

Name (*Print last, first, middle initial*)	Member or Alternate Member?
Eagen III, James M.	Member
Reporting Status	**If New Member/Alternate, Date of Appointment to Position (*mm/dd/yy*)**
New Member/Alternate ☐ Annual ☒	

Step 1: Read the instructions for Parts I through V on the following pages.

Step 2: For each statement below, check Yes or No to describe your situation.

I. I have reportable assets or sources of income for myself, my spouse, or my dependent children.	Yes ☒	No ☐
II. I have reportable liabilities (debts) for myself, my spouse, or my dependent children.	Yes ☐	No ☒
III. I have reportable outside positions for myself.	Yes ☒	No ☐
IV. I have reportable agreements or arrangements for myself.	Yes ☐	No ☒

Step 3: If you selected "Yes" for any statement, you must describe the reportable interests (but not values) that you have in the corresponding Part (I, II, III, or IV) of the form.

Step 4: Sign and date the form.

Step 5: Submit the completed form to the Office of the Clerk, U.S. House of Representatives, The Capitol, Room H-154, Washington, DC 20515-6601.

I certify that the statements I have made on this form and any attached statements are true, complete, and correct to the best of my knowledge.

Signature of Member/Alternate Member	Date (*mm/dd/yy*)
	05/11/09

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(August 2008)

Name (Print last, first, middle initial)	Page Number
Eagan III, James M.	2

Part I: Assets and Sources of Income

Report for Yourself, Spouse, and Dependent Child:	Do Not Report:
• Assets held for investment with a value greater than $1,000 at the end of the reporting period OR assets held for investment which produced more than $200 in income during the reporting period, including but not limited to: – Assets such as stocks, bonds, annuities, trust holdings, partnership interests, life insurance, investment real estate, or a privately-held trade or business – Sector mutual funds: those funds invested in a particular industry, business, or location such as ABC Electronics Fund or XYZ Canada Fund (report the full name of the fund, not just the general family fund name) – Holdings of retirement plans, such as 401(k)s or IRAs (list each holding except diversified mutual funds) – Holdings of investment life insurance – Holdings of variable annuities – Defined benefit pension plans provided by a former employer (include the name of the employer)	• Federal Government retirement benefits • Thrift Savings Plan • Certificates of deposit, savings or checking accounts • Term life insurance • Money market mutual funds and money market accounts • Your personal residence, unless you rent all or part of it out • Diversified mutual funds, such as ABC Equity Value Fund or XYZ Large Capital Fund • U.S. Government Treasury bonds, bills, notes, and savings bonds • Money owed to you, your spouse, or dependent child by a spouse, parent, sibling, or child

Also Report:	Do Not Report:
• For yourself: (1) all sources of salary, fees, commissions, and other earned income greater than $200, (2) honoraria greater than $200, and (3) other non-investment income such as scholarships, prizes, and gambling income greater than $200 • For your spouse: (1) all sources of salary, fees, commissions, and other earned income greater than $1,000, and (2) honoraria greater than $200	• Dependent child's earned income • Veterans' benefits • Federal Government salary • Social Security benefits

Important Definitions

Diversified Mutual Fund – A mutual fund that does not have a stated policy of concentrating its investments in one industry, business, or single country other than the United States.
Sector Mutual Fund – A mutual fund that concentrates its investments in an industry, business, single country other than the United States, or bonds of a single state within the United States.
Dependent Child – A son, daughter, stepson or stepdaughter who is either unmarried and under age 21 and living in the filer's house, or considered dependent under the U.S. tax code.

Reportable Information – Go to the last page to see examples of how to report assets and sources of income.

Specific stock, bond, sector mutual fund, type/location of real estate, etc. *(Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.)* Name of Employer or Business; Source of Fees, Commissions, or Honoraria *(Include brief description.)* You may choose to distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held. Do not include actual names.	No longer held
1 Durango Mountain Resort, salary	☐
2 (S) Durango Public Schools, salary	☐
3 Royce Pennsylvania Mutual Fund Consultant Class	☐
4 (S) Royce Pennsylvania Mutual Fund Consultant Class	☐
5 Nuveen Virginia Dividend Advantage Municipal Fund 2	☒

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Part I: Assets and Sources of Income
Continuation Page

Specific stock, bond, sector mutual fund, type/location of real estate, etc. (*Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.*) Name of Employer or Business; Source of Fees, Commissions, or Honoraria (*Include brief description.*) You may choose to distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held. Do not include actual names.	No longer held
1 (S) Nuveen Virginia Dividend Advantage Municipal Fund 2	☒
2 Royce Pennsylvania Mutual Fund Consultant Class (IRA)	☐
3	☐
4	☐
5	☐
6	☐
7	☐
8	☐
9	☐
10	☐
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Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name *(Print last, first, middle initial)*	Page Number
Langen III, James M	4

Part II: Liabilities

Report for Yourself, Spouse, and Dependent Child:	Do Not Report:
• A liability over $10,000 owed at any time during the reporting period, other than a loan from a financial institution or business entity granted on terms made available to the general public • A loan over $10,000 from an individual, such as a friend or a business associate	• Any liability, such as a mortgage, a student loan, or a credit card account, from a financial institution or business entity granted on terms made available to the general public • Loans secured by automobiles, household furniture, or appliances, unless the loan exceeds the purchase price of the item it secures • Liabilities that you owe to your spouse or to the parent, sibling, or child of you, your spouse, or your dependent child

Reportable Information – Go to the last page to see examples of how to report liabilities.

Name of creditor *(include city and state where creditor is located)*	Type of liability *(personal loan, margin account, etc.)*
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Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (Print last, first, middle initial)	Page Number
Eagen III, James M.	3

Part III: Outside Positions

Report for Yourself:	Do Not Report:
• All positions outside the U.S. Government held at any time during the reporting period, whether or not you were compensated and whether or not you currently hold that position. Positions include an officer, director, employee, trustee, general partner, proprietor, representative, executor, or consultant of any of the following: – Corporation, partnership, trust, or other business entity – Non-profit or volunteer organization – Educational institution	• Any position with a – Religious entity – Social entity – Fraternal entity – Political entity • Any position held by your spouse or dependent child • Any position that you hold as part of your official duties

Reportable Information – Go to the last page to see examples of how to report outside positions.

Organization (include city and state where organization is located)	Type of organization	Position	No longer held
1 Durango Mountain Resort, Durango, CO	Ski Resort	Vice President	☐
2 Durango Mountain Master Association	Homeowner Association	President	☐
3 Adaptive Sports Association	Non-profit	Board member	☐
4			☐
5			☐
6			☐
7			☐
8			☐
9			☐
10			☐

Eagen II, James M.

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Part IV: Agreements or Arrangements

Report Your Agreements or Arrangements for:	Do Not Report:
• Continuing participation in an employee pension or benefit plan maintained by a former employer • A leave of absence • Future employment, including date you accepted employment offer • Continuation of payment by a former employer (including severance payments)	• Any agreement or arrangement related to your employment by the Federal Government • Spouse's and dependent child's agreements or arrangements

Reportable Information – Go to the last page to see examples of how to report agreements and arrangements.

Entity with which you have an agreement or arrangement *(include city and state where entity is located)*	Terms of Agreement or Arrangement
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Date Received by Office of the Clerk	Page Number
	1

FINANCIAL DISCLOSURE REPORT
Office of Congressional Ethics
United States House of Representatives

Name (*Print last, first, middle initial*)	Member or Alternate Member?
English, Karan L	
Reporting Status New Member/Alternate ☐ Annual ☒	**If New Member/Alternate, Date of Appointment to Position** (*mm/dd/yy*)

Step 1: Read the instructions for Parts I through V on the following pages.

Step 2: For each statement below, check Yes or No to describe your situation.

I. I have reportable assets or sources of income for myself, my spouse, or my dependent children.	Yes ☒	No ☐
II. I have reportable liabilities (debts) for myself, my spouse, or my dependent children.	Yes ☐	No ☒
III. I have reportable outside positions for myself.	Yes ☒	No ☐
IV. I have reportable agreements or arrangements for myself.	Yes ☒	No ☐

Step 3: If you selected "Yes" for any statement, you must describe the reportable interests (but not values) that you have in the corresponding Part (I, II, III, or IV) of the form.

Step 4: Sign and date the form

Step 5: Submit the completed form to the Office of the Clerk, U.S. House of Representatives, The Capitol, Room H-154, Washington, DC 20515-6601.

I certify that the statements I have made on this form and any attached statements are true, complete, and correct to the best of my knowledge.

Signature of Member/Alternate Member	Date (*mm/dd/yy*)
	05/10/09

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Date Received by Office of the Clerk	Page Number
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FINANCIAL DISCLOSURE REPORT
Office of Congressional Ethics
United States House of Representatives

Name (*Print last, first, middle initial*)	Member or Alternate Member?
English, Karan L	
Reporting Status New Member/Alternate ☐ Annual ☒	If New Member/Alternate, Date of Appointment to Position (*mm/dd/yy*)

Step 1: Read the instructions for Parts I through V on the following pages.

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I certify that the statements I have made on this form and any attached statements are true, complete, and correct to the best of my knowledge.

Signature of Member/Alternate Member	Date (*mm/dd/yy*)
	05/10/09

Office of the Clerk Initial OCE Financial Disclosure Form
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Name (*Print last, first, middle initial*)	Page Number
English; Karan L	2

Part I: Assets and Sources of Income

Report for Yourself, Spouse, and Dependent Child:	Do Not Report:
• Assets held for investment with a value greater than $1,000 at the end of the reporting period OR assets held for investment which produced more than $200 in income during the reporting period, including but not limited to: - Assets such as stocks, bonds, annuities, trust holdings, partnership interests, life insurance, investment real estate, or a privately-held trade or business - Sector mutual funds: those funds invested in a particular industry, business, or location such as ABC Electronics Fund or XYZ Canada Fund (report the full name of the fund, not just the general family fund name) - Holdings of retirement plans, such as 401(k)s or IRAs (list each holding except diversified mutual funds) - Holdings of investment life insurance - Holdings of variable annuities - Defined benefit pension plans provided by a former employer (include the name of the employer)	• Federal Government retirement benefits • Thrift Savings Plan • Certificates of deposit, savings or checking accounts • Term life insurance • Money market mutual funds and money market accounts • Your personal residence, unless you rent all or part of it out • Diversified mutual funds, such as ABC Equity Value Fund or XYZ Large Capital Fund • U.S. Government Treasury bonds, bills, notes, and savings bonds • Money owed to you, your spouse, or dependent child by a spouse, parent, sibling, or child

Also Report:	Do Not Report:
• For yourself: (1) all sources of salary, fees, commissions, and other earned income greater than $200, (2) honoraria greater than $200, and (3) other non-investment income such as scholarships, prizes, and gambling income greater than $200 • For your spouse: (1) all sources of salary, fees, commissions, and other earned income greater than $1,000, and (2) honoraria greater than $200	• Dependent child's earned income • Veterans' benefits • Federal Government salary • Social Security benefits

Important Definitions

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Sector Mutual Fund – A mutual fund that concentrates its investments in an industry, business, single country other than the United States, or bonds of a single state within the United States.
Dependent Child – A son, daughter, stepson or stepdaughter who is either unmarried and under age 21 and living in the filer's house, or considered dependent under the U.S. tax code.

Reportable Information – Go to the last page to see examples of how to report assets and sources of income.

Specific stock, bond, sector mutual fund, type/location of real estate, etc. *(Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.)* **Name of Employer or Business; Source of Fees, Commissions, or Honoraria** *(Include brief description.)* You may choose to distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held. Do not include actual names.	No longer held
1 Northern Arizona University – Employer	☐
2 State of Arizona Elected Officials Retirement Fund - Pension EORP (DEFINED BENEFIT)	☐
3 Fidelity Investments - AZ University Retirement Plan (ASRS DEFINED BENEFIT)	☐
4 Principal Life Ins Co – 403 B Retirement Plan (NON-SECTOR MUTUAL FUNDS)	☐
5 John Hancock Venture Annuity – Annuity (NON SECTOR MUTUAL FD)	☐

Office of the Clerk Initial OCE Financial Disclosure Form
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Name *(Print last, first, middle initial)*	Page Number
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Part I: Assets and Sources of Income
Continuation Page

Specific stock, bond, sector mutual fund, type/location of real estate, etc. *(Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.)* **Name of Employer or Business; Source of Fees, Commissions, or Honoraria** *(Include brief description.)* You may choose to distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held. Do not include actual names.	**No longer held**
1 Charles Schwab + Co Inc - IRA (NON-SECTOR MUTUAL FUNDS)	☐
2 Hall Family Farm - Cupar, Saskatchewan, Canada	☐
3	☐
4	☐
5	☐
6	☐
7	☐
8	☐
9	☐
10	☐
11	☐
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Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*)	Page Number
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Part II: Liabilities

Report for Yourself, Spouse, and Dependent Child:	Do Not Report:
• A liability over $10,000 owed at any time during the reporting period, other than a loan from a financial institution or business entity granted on terms made available to the general public • A loan over $10,000 from an individual, such as a friend or a business associate	• Any liability, such as a mortgage, a student loan, or a credit card account, from a financial institution or business entity granted on terms made available to the general public • Loans secured by automobiles, household furniture, or appliances, unless the loan exceeds the purchase price of the item it secures • Liabilities that you owe to your spouse or to the parent, sibling, or child of you, your spouse, or your dependent child

Reportable Information – Go to the last page to see examples of how to report liabilities.

Name of creditor *(include city and state where creditor is located)*	Type of liability *(personal loan, margin account, etc.)*
1 None	
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Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*)	Page Number
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Part III: Outside Positions

Report for Yourself:	Do Not Report:
• All positions outside the U.S. Government held at any time during the reporting period, whether or not you were compensated and whether or not you currently hold that position. Positions include an officer, director, employee, trustee, general partner, proprietor, representative, executor, or consultant of any of the following: - Corporation, partnership, trust, or other business entity - Non-profit or volunteer organization - Educational institution	• Any position with a - Religious entity - Social entity - Fraternal entity - Political entity • Any position held by your spouse or dependent child • Any position that you hold as part of your official duties

Reportable Information – Go to the last page to see examples of how to report outside positions.

Organization (*include city and state where organization is located*)	Type of organization	Position	No longer held
1 Northern Arizona University - Flagstaff, AZ	Educational Institution	Program Director	☐
2 Arizona Community Foundation – Environmental Sustainability Fund - Phoenix, AZ	Non-Profit Organization	Fund Representative	☐
3 Northern Arizona University - Ecological Monitoring + Assessment Foundation Flagstaff, AZ	Non-Profit Environmental Educational Organization	Member Board of Directors, Vice-President	☐
4 Arizona State Parks Foundation - Phoenix, AZ	Non-Profit, Environmental Organization	Member Board of Directors Vice-President	☐
5 National Democratic Institute for International Affairs - Washington D.C.	Non-Profit Democracy Organization	Volunteer	☐
6 Hall Family Farm - Cupar, Saskatchewan, Canada	Family Farm	Co-Owner	☐
7			☐
8			☐
9			☐
10			☐

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Part IV: Agreements or Arrangements

Report Your Agreements or Arrangements for:	Do Not Report:
• Continuing participation in an employee pension or benefit plan maintained by a former employer • A leave of absence • Future employment, including date you accepted employment offer • Continuation of payment by a former employer (including severance payments)	• Any agreement or arrangement related to your employment by the Federal Government • Spouse's and dependent child's agreements or arrangements

Reportable Information – Go to the last page to see examples of how to report agreements and arrangements.

Entity with which you have an agreement or arrangement *(include city and state where entity is located)*	Terms of Agreement or Arrangement
1 State of Arizona Elected Officials Retirement Fund- Phoenix, AZ	Receive a pension for years served as an elected official
2 Northern Arizona University Flagstaff, AZ	Will receive pension benefits upon retirement
3	
4	
5	
6	
7	
8	
9	
10	

HAND DELIVERED

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

LEGAL RESOURCE CENTER

2009 MAY 15 PM 3:45

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

Date Received by Office of the Clerk	Page Number 1 TOTAL 12 PAGES

FINANCIAL DISCLOSURE REPORT
Office of Congressional Ethics
United States House of Representatives

Name (*Print last, first, middle initial*)	Member or Alternate Member?
FRENZEL, WILLIAM E.	ALTERNATE MEMBER
Reporting Status New Member/Alternate ☐ Annual ☒	**If New Member/Alternate, Date of Appointment to Position** (*mm/dd/yy*)

Step 1: Read the instructions for Parts I through V on the following pages.

Step 2: For each statement below, check Yes or No to describe your situation.

I. I have reportable assets or sources of income for myself, my spouse, or my dependent children.	Yes ☒	No ☐
II. I have reportable liabilities (debts) for myself, my spouse, or my dependent children.	Yes ☐	No ☒
III. I have reportable outside positions for myself.	Yes ☒	No ☐
IV. I have reportable agreements or arrangements for myself.	Yes ☒	No ☐

Step 3: If you selected "Yes" for any statement, you must describe the reportable interests (but not values) that you have in the corresponding Part (I, II, III, or IV) of the form.

Step 4. Sign and date the form.

Step 5: Submit the completed form to the Office of the Clerk, U.S. House of Representatives, The Capitol, Room H-154, Washington, DC 20515-6601.

I certify that the statements I have made on this form and any attached statements are true, complete, and correct to the best of my knowledge.

Signature of Member/Alternate Member	Date (*mm/dd/yy*)
	5-6-2009

WEF

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*)	Page Number
FRENZEL, WILLIAM E.	2

Part I: Assets and Sources of Income

Report for Yourself, Spouse, and Dependent Child:	Do Not Report:
• Assets held for investment with a value greater than $1,000 at the end of the reporting period OR assets held for investment which produced more than $200 in income during the reporting period, including but not limited to: - Assets such as stocks, bonds, annuities, trust holdings, partnership interests, life insurance, investment real estate, or a privately-held trade or business - Sector mutual funds: those funds invested in a particular industry, business, or location such as ABC Electronics Fund or XYZ Canada Fund (report the full name of the fund, not just the general family fund name) - Holdings of retirement plans, such as 401(k)s or IRAs (list each holding except diversified mutual funds) - Holdings of investment life insurance - Holdings of variable annuities - Defined benefit pension plans provided by a former employer (include the name of the employer)	• Federal Government retirement benefits • Thrift Savings Plan • Certificates of deposit, savings or checking accounts ✓ • Term life insurance • Money market mutual funds and money market accounts • Your personal residence, unless you rent all or part of it out ✓ • Diversified mutual funds, such as ABC Equity Value Fund or XYZ Large Capital Fund ✓ • U.S. Government Treasury bonds, bills, notes, and savings bonds • Money owed to you, your spouse, or dependent child by a spouse, parent, sibling, or child
Also Report:	**Do Not Report:**
• For yourself: (1) all sources of salary, fees, commissions, and other earned income greater than $200, (2) honoraria greater than $200, and (3) other non-investment income such as scholarships, prizes, and gambling income greater than $200 • For your spouse: (1) all sources of salary, fees, commissions, and other earned income greater than $1,000, and (2) honoraria greater than $200	• Dependent child's earned income • Veterans' benefits • Federal Government salary ✓ • Social Security benefits ✓

Important Definitions

Diversified Mutual Fund – A mutual fund that does not have a stated policy of concentrating its investments in one industry, business, or single country other than the United States.

Sector Mutual Fund – A mutual fund that concentrates its investments in an industry, business, single country other than the United States, or bonds of a single state within the United States.

Dependent Child – A son, daughter, stepson or stepdaughter who is either unmarried and under age 21 and living in the filer's house, or considered dependent under the U.S. tax code.

Reportable Information – Go to the last page to see examples of how to report assets and sources of income.

Specific stock, bond, sector mutual fund, type/location of real estate, etc. *(Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.)* **Name of Employer or Business; Source of Fees, Commissions, or Honoraria** *(Include brief description.)* **You may choose** to distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held. Do not include actual names.	**No longer held**
1 APACHE CORP (APA) ASSET + DIVIDEND INCOME	☐
2 CISCO SYSTEMS (CSCO) ASSET	☐
3 CITIGROUP (C) ASSET + DIV. INCOME	☐
4 COMCAST (CMCSK) ASSET + DIV INCOME	☐
5 EXXON-MOBILE (XOM) ASSET + DIV INCOME	☐

WEF

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*) | Page Number 3

Part I: Assets and Sources of Income

Continuation Page

Specific stock, bond, sector mutual fund, type/location of real estate, etc. (*Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.*) Name of Employer or Business; Source of Fees, Commissions, or Honoraria (*Include brief description.*) You may choose to distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held. Do not include actual names.		No longer held
1 INTEL CORP (INTC)	ASSET + DIV. INCOME	☐
2 LOWES, COS INC (LOW)	ASSET + DIV. INCOME	☐
3 MICROSOFT CORP (MSFT)	ASSET + DIV. INCOME	☐
4 PFIZER, INC (PFE)	ASSET + DIV. INCOME	☐
5 PROCTER AND GAMBLE (PG)	ASSET + DIV. INCOME	☐
6 SCHLUMBERGER, LTD (SLB)	ASSET + DIV. INCOME	☐
7 WACHOVIA CORP (WB)	ASSET + DIV. INCOME	☐
8 WALLMART STORES, INC (WMT)	ASSET + DIV. INCOME	☐
9 3M CO (MMM)	ASSET + DIV. INCOME	☐
10 COLUMBIA TAX EXEMPT RESERVES, TRUST CLASS	ASSET + DIV. INCOME	☐
(S) 11 COLUMBIA TAX EXEMPT RESERVES, TRUST CLASS	ASSET + DIV. INCOME	☐
(S) 12 APPLIED MATERIALS, INC (AMAT)	ASSET + DIV. INCOME	☐
(S) 13 AMERICAN INT'L GROUP, INC (AIG)	ASSETS + DIV. INCOME	☐
(S) 14 GENERAL ELECTRIC CO. (GE)	ASSET + DIV. INCOME	☐
(S) 15 JOHNSON CONTROLS, INC (JCI)	ASSET + DIV. INCOME	☐
(S) 16 METLIFE (MET)	ASSET + DIV. INCOME	☐
(S) 17 PEPSICO, INC (PEP)	ASSET + DIV. INCOME	☐
(S) 18 UNITED HEALTH GROUP, INC (UNH)	ASSET	☐
(S) 19 ACE, LTD (ACE)	ASSET + DIV. INCOME	☐
(S) 20 DIAGEO, PLC (DEO)	ASSET + DIV. INCOME	☐
(S) 21 POWERSHARES WATER RESOURCES PORT (PHO)	ASSET + DIV. INCOME	
(S) 22 COLUMBIA VA. INTERMED. MUNI BOND FUND, CLASS Z	ASSET + DIV. INCOME	

WBD

EXTENSION SHEET #1

FRENERL, WILLIAM E. PART I - ASSETS + INCOME

401(k)

1. CENTERPOINT ENERGY, INC. (CNP) ASSET + DIV. INCOME
2. COCA COLA CO. (KO) ASSET + DIV. INCOME
3. MICROSOFT INC (MSFT) ASSET + DIV. INCOME
4. CITADEL BROADCAST (CDL) ASSET + DIV. INCOME
5. COCA COLA (KO) ASSET + DIV INCOME
6. MICROSOFT CORP (MSFT) ASSET + DIV. INCOME
7. SCHLUMBERGER (SLB) ASSET + DIV. INCOME
8. TEVA PHARMACEUTICALS (TEVA) ASSET + DIV. INCOME
9. WALT DISNEY (DIS) ASSET + DIV. INCOME
10. WELLS FARGO (WFC) ASSET + DIV. INCOME

IRA

11. BEST BUY CO. (BBY) ASSET + DIV INCOME
12. CORNING, INC (GLW) ASSET + DIV. INCOME
13. DUKE ENERGY CO (DUK) ASSET + DIV. INCOME
14. EMC CORP (EMC) ASSET
15. HSBC HOLDINGS, PLC (HBC) ASSET + DIV. INCOME
16. INTEL CORP (INTC) ASSET + DIV. INCOME
17. JOHNSON + JOHNSON (JNJ) ASSET + DIV. INCOME
18. ORACLE CORP (ORCL) ASSET + DIV. INCOME
19. ST. JUDE MEDICAL, INC (STJ) ASSET + DIV. INCOME
20. TRAVELERS COS., INC (TRV) ASSET + DIV. INCOME
21. VODAFONE GRP, PLC (VOD) ASSET + DIV. INCOME
22. WALGREEN CO. (WAG) ASSET + DIV. INCOME
23. XCEL ENERGY, INC (XEL) ASSET + DIV. INCOME

INSURANCE

(S) 24. PHOENIX HOME MUTUAL INS. POLICY ASSET
(S) 25. MET LIFE INS. POLICY ASSET + DIV. INCOME
(S) 26. MET LIFE INS. POLICY ASSET + DIV. INCOME
(S) 27. MET LIFE INS. POLICY ASSET + DIV. INCOME
(S) 28. LINCOLN LIFE INS. POLICY ASSET
(S) 29. MINNESOTA LIFE INS. POLICY ASSET + DIV. INCOME
30. LINCOLN LIFE INS. POLICY ASSET

WEB

EXTENSION SHEET #2 Page 8

FRENEL, WILLIAM E PART I ASSETS + INCOME

TRUST FUND - WEF IS MANAGING TRUSTEE + INCOME BENEFICIARY

1.	ATLANTA, GA APT. REN. MUNI BOND	ASSET + INT. INCOME
2.	BROWNSVILLE, TX IND. SCH. DIST MUNI BOND	ASSET + INT. INCOME
3.	NY STATE ENVIR. MUNI BOND	ASSET + INT. INCOME
4.	TX STATE REF WATER MUNI BOND	ASSET + INT. INCOME
5.	BROWNSBURG, IN MUNI BOND	ASSET + INT. INCOME
6.	CLARK CNTY NV SCH. DIST MUNI BOND	ASSET + INT. INCOME
7.	ALA. STATE UNIV REV BOND	ASSET + INT. INCOME
8.	IL STATE MUNI BOND	ASSET + INT. INCOME
9.	GRAPEVINE, TX MUNI BON	ASSET + INT. INCOME
10.	EL PASO, TX IND. SCH. DIST MUNI BOND	ASSET + INT. INCOME
11.	WYOMING, MI PUB SCH MUNI BOND	ASSET + INT INCOME
12.	ALPINE, UT SCH DIST MUNI BOND	ASSET + INT INCOME
13.	COOK CNTY, IL COUNTY SCH MUNI BOND	ASSET + INT. INCOME
14.	DIST COLUMBIA MUNI BOND	ASSET + INT. INCOME
15.	CHICAGO, IL WTR REV MUNI BOND	ASSET + INT. INCOME
16.	WILL CNTY, IL WTR REV MUNI BOND	ASSET + INT. INCOME
17.	KATY, TX IND. SCH. DIST MUNI BOND	ASSET + INT. INCOME
18.	GREENVILLE, TX MUNI BOND	ASSET + INT. INCOME
19.	SIT TAX FREE INCOME FUND (SNTIX)	ASSET + INT. INCOME
20.	AMERICAN TOWER CORP (AMT)	ASSET + DIV INCOME
21.	APACHE CORP (APA)	ASSET + DIV. INCOME
22.	APPLE, INC (AAPL)	ASSET
23.	BRISTOL-MYERS. SQUIBB (BMY)	ASSET + DIV. INCOME
24.	CATERPILLAR, INC (CAT)	ASSET + DIV INCOME
25.	CISCO SYSTEMS, INC (CSCO)	ASSET
26.	CITIGROUP, INC (C)	ASSET + DIV INCOME

WEF

FRENTEL, WILLIAM E.

EXTENSION SHEET #3
PART I ASSETS + INCOME

1. COMCAST CORP (CMCSK) — ASSET + DIV. INCOME
2. ECOLAB, INC (ECL) — ASSET + DIV. INCOME
3. EXXON MOBILE (XOM) — ASSET + DIV. INCOME
4. FREEPORT-MCMORAN (FCX) — ASSET + DIV. INCOME
5. GENERAL ELECTRIC CO. (GE) — ASSET + DIV. INCOME
6. GOLDMAN-SACHS GRP., INC (GS) — ASSET + DIV INCOME
7. HEWLETT PACKARD CO (HPQ) — ASSET + DIV. INCOME
8. ILLINOIS TOOL WORKS (ITW) — ASSET + DIV. INCOME
9. INTEL CORP (INTC) — ASSET + DIV. INCOME
10. LOWES COS, INC (LOW) — ASSET + DIV INCOME
11. MEDTRONIC INC (MDT) — ASSET + DIV INCOME
12. MICROSOFT CORP (MSFT) — ASSET + DIV INCOME
13. OCCIDENTAL PETE CORP (OXY) — ASSET + DIV. INCOME
14. OMNICOM GROUP, INC (OMC) — ASSET + DIV. INCOME
15. PFIZER, INC (PFE) — ASSET + DIV. INCOME
16. RAYTHEON CO. (RTN) — ASSET + DIV. INCOME
17. STATE STREET CORP (STT) — ASSET + DIV. INCOME
18. TARGET CORP (TGT) — ASSET + DIV. INCOME
19. UNITED PARCEL SERVICE (UPS) — ASSET + DIV INCOME
20. WELLS FARGO + CO. (WFC) — ASSET + DIV. INCOME
21. ZIMMER HOLDINGS, INC (ZMH) — ASSET + DIV. INCOME
22. 3M CO. (MMM) — ASSET + DIV. INCOME
23. ACE, LTD (ACE) — ASSET + DIV. INCOME
24. ALCON, INC. (ACL) — ASSET + DIV. INCOME
25. BP, PLC ADR (BP) — ASSET + DIV INCOME
26. SCHLUMBERGER, LTD (SLB) — ASSET + DIV INCOME

WED

EXTENSION SHEET # 4

PART I - ASSETS + INCOME

FRENZEL, WILLIAM E.

TRUST FUND (CONT.) WEF IS MANAGING TRUSTEE + INCOME BENEFICIARY

1. TEVA PHARM. INDS. LTD. (TEVA) — ASSET + DIV. INCOME
2. COAST DIVERSIFIED FUND II HEDGE FUND — ASSET + DIV INCOME

TRUST OWNED FOLLOWING DURING REPORTING PERIOD, BUT SOLD PRIOR TO 12/31/08

			NO LONGER HELD
3. HALIBURTON CO.	(HAL)	DIV, INCOME + CAPITAL GAIN	X
4. WYETH	(WYE)	DIV. INCOME	X
5. LEGG MASON, INC		DIV. INCOME	X
6. SYSCO CORP	(SYC)	DIV. INCOME + CAPITAL GAIN	X
7. BEST BUY CO.	(BBY)	DIV INCOME + CAPITAL GAIN	X
8 MASS. TRANSIT AUTHORITY, MA MUNI BOND		INT. INCOM + CAPITAL GAIN	X
9. BELDING, MI AREA MUNI BOND		INT. INCOME + CAPITAL GAIN	X
10. CHIPPEWA VALLEY, MI MUNI BOND		INT. INCOME + CAPITAL GAIN	X
11. BRANDON SCH. DIST, MI MUNI BOND		INT. INCOME + CAPITAL GAIN	X
12. CHICAGO, IL, PRK DIST MUNI BOND		INT. INCOME + CAPITAL GAIN	X
13. BUTLER CITY, OH MUNI BOND		INT. INCOME + CAPITAL GAIN	X
14. MINNEAPOLIS, MN REV MUNI BOND		INT. INCOME + CAPITAL GAIN	X
15 CORNING, INC	(GLW)	DIV. INCOME	X
16 NABORS INDS, LTD	(NBR)	DIV. INCOME	X
17. COASTAL BEND, TX MUNI BOND		DIV. INCOME + CAPITAL GAIN	X
18 UNITED HEALTH CARE GROUP	(UNH)	DIV. INCOME	X

WEF

EXTENSION SHEET A-5
PART I - ASSETS & INCOME

FRENZEL, WILLIAM E.

TRUST - WEF IB INCOME BENEFICIARY

1.	LOWES. ~~GRE~~ COS. INC.	(LOW)	ASSET + DIV. INCOME
2.	EXXON-MOBIL CORP	(XOM)	ASSET + DIV. INCOME
3.	TRAVELLERS COS	(TRV)	ASSET + DIV INCOME
4.	WELLS FARGO & CO.	(WFB)	ASSET + DIV INCOME
5.	MERCK + CO.		ASSET + DIV INCOME
6.	PFIZER, INC.	(PFE)	ASSET + DIV INCOME
7.	INTEL CORP	(INTC)	ASSET + DIV INCOME
8.	MICROSOFT CORP	(MSFT)	ASSET + DIV INCOME
9.	DUKE ENERGY CORP	(DUK)	ASSET + DIV INCOME
10.	JOHNSON + JOHNSON	(JNJ)	ASSET + DIV INCOME
11.	1ST AMERICAN R.E. SECS FUND		ASSET + DIV INCOME

TRUST OWNED FOLLOWING DURING REPORT PERIOD BUT SOLD PRIOR TO 12-31-09

			NO LONGER HELD
12.	SPECTRA ENERGY CORP.	ASSET + DIV. INCOME + CAPITAL GAIN	X
13	HOME DEPOT INC	ASSET + DIV INCOME	X

ASSETS OWNED IN IRA + 401(K) DURING REPORT PERIOD, BUT SOLD PRIOR TO 12-31-09

	14.	INT'L COAL GROUP	ASSET + DIV. INCOME	X
	15.	STARBUCKS	ASSET + DIV. INCOME	X
	16.	NOKIA CORP	(NOK) ASSET + DIV. INCOME + CAPITAL GAIN	X
	17.	APACHE CORP	(APA) ASSET + DIV. INCOME + CAPITAL GAIN	X
	18.	CHARTER COM. INC CLA	ASSET + DIV. INCOME + CAPITAL GAIN	X
(S)	20.	SIT DEV MARKETS GROWTH FUND	ASSET + DIV. INCOME	
(S)	21.	SIT TAX FREE INCOME FUND	ASSET + DIV. INCOME	
	22.	SIT INV. ASSOCIATES, INC S-CORP, MINNEAPOLIS, MN	ASSET + DIV INCOME + FEE INCOME	
	23.	NORTHSTAR EDUCATION FINANCE INC ST. PAUL, MN	FEE INCOME	
	24.	BROOKINGS INSTITUTION, WASHINGTON, DC	~~FEE~~ HONORARIA INCOME	
	25	CORPORATION FOR PUBLIC BROADCASTING WASHINGTON, DC	HONORARIA INCOME	
	26.	GEO. MASON UNIVERSITY ARLINGTON, VA	HONORARIA INCOME	

WEF

EXTENSION SHEET # 6 Page 12

PART I. ASSETS + INCOME

FREAZEL, WILLIAM E.

1. TWIN CITY INVESTMENT TRUST, INC. MINNEAPOLIS, MN - INVESTMENT CLUB	ASSET
2. SIT PACIFIC BASIN FUND LLC MINNEAPOLIS, MN PARTNERSHIP	
3. SIT VENTURE PARTNERSHIP VI MINNEAPOLIS, MN	ASSET
	ASSET + CAPITAL GAIN
4. MINN. STATE RETIREMENT SYSTEM ST. PAUL, MN	PENSION INCOME

GRANDCHILDREN'S TRUST - WEF IS MANAGING TRUSTEE

5. COLUMBIA CASH RESERVES TRUST		ASSET + DIV. INCOME
6. APPLIED MATERIALS	(AMAT)	ASSET
7. CISCO SYSTEMS	(CSCO)	ASSET
8. EXXON MOBIL CORP	(XOM)	ASSET + DIV. INCOME
9. INTEL CORP	(INTC)	ASSET
10. GENERAL ELECTRIC CO	(GE)	ASSET + DIV. INCOME
11. JOHNSON + JOHNSON	(JNJ)	ASSET + DIV INCOME
12. JOHNSON CONTROLS	(JCI)	ASSET + DIV INCOME
13. LOWES COS, INC	(LOW)	ASSET + DIV INCOME
14. MICROSOFT CORP	(MSFT)	ASSET + DIV INCOME
15. ORACLE CORP	(ORCL)	ASSET
16. PFIZER, INC	(PFE)	ASSET + DIV INCOME
17. PROCTER + GAMBLE	(PG)	ASSET + DIV INCOME
18. SCHLUMBERGER	(SLB)	ASSET + DIV. INCOME
19. STAPLES	(SPLS)	ASSET
20. UNITED HEALTH GRP	(UNH)	ASSET
21. WAL-MART STORES	(WMT)	ASSET
22. ZIMMER HOLDINGS	(ZMH)	ASSET
23. 3M CO.	(MMM)	ASSET + DIV INCOME
24. AMER. INT'L GRP	(AIG)	ASSET
25. ACE, LTD	(ACE)	ASSET + DIV INCOME

WEF

ACCOUNT REVIEW (DETAIL)

658 - SIT PAC BASIN FUND LLC

December 31, 2008

Grouped by: Country Of Origin

Quantity	Security ID	Security Description	Unit	Unit	Total Market Value	Accrued Income	% Gain	%PF
Australia								
4,500.0000	6065586	AUST&N ZEALAND BANK ORD AUD1.00						
1,700.0000	BHP	BHP BILLITON ADR DEPOSITORY RECEIPT						
6,693.0000	6144690	BHP BILLITON LTD COMMON						
1,540.0000	B28YTC2	MACQUARIE GROUP LTD						
1,870.0000	6220103	RIO TINTO LIMITED A2						
500.0000	RTP	RIO TINTO PLC ADR DEPOSITORY RECEIPT						
1,400.0000	6076146	WESTPAC ORD AUD1.00						
Total Australia								
China								
30,000.0000	B1JKTQ6	CHINA COMM CONSTR						
1,866.0000	LFC	CHINA LIFE INS CO LTD ADR DEPOSITORY RECEIPT						
1,100.0000	CHL	CHINA MOBILE LIMITED - ADR DEPOSITORY RECEIPT						
138,000.0000	6560995	CHINA OILFIELD SERVICS LTD COMMON						
60,500.0000	B2PFVH7	CHINA RAILWAY CONS						
9,500.0000	B09N7M0	CHINA SHENHUA ENERGY CO-H						
150,000.0000	6571477	CHINA WATER AFFAIR						
7,500.0000	CEDU	CHINAEDU CORP-ADR DEPOSITORY RECEIPT						
700.0000	CEO	CNOOC LTD ADR DEPOSITORY RECEIPT						
10,000.0000	6136233	HENGAN INTL						
1,500.0000	HMIN	HOME INNS & HOTELS MGMT INC ADR DEPOSITORY RECEIPT						
120,000.0000	B00HLY1	HUABAO INTL HLDG						
2,100.0000	EDU	NEW ORIENTAL ED & TECH GR ADR DEPOSITORY RECEIPT						
52,500.0000	B0HZZ57	PARKSON RETAIL GROUP LTD						
500.0000	PTR	PETROCHINA CO LTD ADR DEPOSITORY RECEIPT						
59,492.0000	B03XK94	PORTS DESIGN HLDGS COMMON						
4,100.0000	STP	SUNTECH PWR HLDGS CO LTD - ADR DEPOSITORY RECEIPT						
121,000.0000	6321954	TRAVELSKY TECHNOLO						
42,000.0000	6905808	TSINGTAO BREWING CO LTD HKD						
102,000.0000	6333937	XINAO GAS COMMON COMMON						
Total China								
Hong Kong								
7,000.0000	6190273	CHEUNG KONG HLDGS COMMON						
6,000.0000	6097017	CLP HOLDINGS COMMON						
9,000.0000	6420538	HENDERSON LAND DEV HKD2.00						
5,500.0000	6267359	HONG KONG EXCHANGE						
1,000.0000	HBC	HSBC HLDGS ADR DEPOSITORY RECEIPT						
15,000.0000	6449629	HYSAN DEVELOPMENT CO COMMON						
34,400.0000	6286257	LI & FUNG COMMON						
3,000.0000	6859927	SUN HUNG KAI PROP HK0.50 ORD						
Total Hong Kong								
India								
4,000.0000	IBN	ICICI BK LTD ADR DEPOSITORY RECEIPT						
4,266.0000	IFN	INDIA FUND INC COMMON						
Total India								
Indonesia								
25,000.0000	6291712	ASTRA INTERNATIONAL ORDINARY SHARES						

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Extension Sheet

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ACCOUNT REVIEW (DETAIL)

658 - SIT PAC BASIN FUND LLC

December 31, 2008

Grouped by: Country Of Origin

Quantity	Security ID	Security Description	Unit Cost	Original Cost	Unit Market	Total Market Value	Accrued Income	% Gain	%PF
2,200.0000	TLK	P T TELEKOMUNIKASI INDON ADR DEPOSITORY RECEIPT							
Total Indonesia									
Japan									
1,800.0000	AFL	AFLAC INC COMMON							
5,600.0000	6054409	ASAHI BREWERIES #2502 Y50							
750.0000	CAJ	CANON INC ADR DEPOSITORY RECEIPT							
1,500.0000	6172323	CANON Y50							
30.0000	6416281	DENTSU INC COMMON							
25.0000	6298542	EAST JAPAN RAILWAY ORD JPY50000							
1,200.0000	6356934	FANUC JPY50 COMMON							
4,000.0000	6435145	HONDA MOTOR CO Y50							
20,500.0000	EWJ	ISHARES INC MSCI JAPAN COMMON							
1,000.0000	B23PWV0	ITO EN LTD-PFD							
3,400.0000	6455789	ITO EN, LTD COMMON							
2,000.0000	6483809	KAO CORP Y50							
18.0000	6248990	KDDI CORP							
6,000.0000	6493745	KIRIN HOLDINGS CO, LTD							
4,200.0000	6496584	KOMATSU							
4,000.0000	6596729	MITSUBISHI ESTATE							
7,000.0000	6597584	MITSUI OSK LINES LTD							
200.0000	6639550	NINTENDO CO LTD							
12,000.0000	6641403	NIPPON MITSUBISHI OIL CO ORD JPY50							
1,000.0000	6641801	NITTO DENKO CORPORATION ORD JPY50							
4,000.0000	6643108	NOMURA HOLDINGS INC Y50							
91.0000	6129277	NTT DOCOMO INC ORD JPY							
7,000.0000	6572707	PANASONIC CORP							
1,800.0000	B0FS5D6	SEVEN & I HOLDINGS							
5,000.0000	6800602	SHARP CORP JPY50							
20,000.0000	6804400	SHIMIZU CORP							
1,100.0000	6763965	SMC 6273 COMMON							
1,800.0000	SNE	SONY CORP ADR DEPOSITORY RECEIPT							
19.0000	6563024	SUMITOMO MITSUI FINL GR COMMON							
6,000.0000	6870401	TAKASHIMAYA CO Y50							
2,400.0000	6870445	TAKEDA CHEMICAL IND Y50							
2,200.0000	6513126	TOKIO MARINE HOLDINGS INC							
1,125.0000	TM	TOYOTA MOTOR CORP ADR DEPOSITORY RECEIPT							
1,200.0000	6985026	YAMADA DENKI ORDINARY SHARES							
Total Japan									
Korea, Republic Of									
300.0000	6093231	CHEIL COMMUNICATIONS INC COMMON							
4,487.0000	IBOKY	INDUSTRIAL BK KOREA GDR 144A DEPOSITORY RECEIPT							
1,200.0000	PKX	POSCO ADR DEPOSITORY RECEIPT							
465.0000	4942818	SAMSUNG ELEC GDR REG S							
1,600.0000	SKM	SK TELECOM LTD ADR DEPOSITORY RECEIPT							
Total Korea, Republic Of									
Philippines									
285,500.0000	B0684C7	MANILA WATER COMPANY COMMON							

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Extension Sheet

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ACCOUNT REVIEW (DETAIL)

658 - SIT PAC BASIN FUND LLC

December 31, 2008

Grouped by: Country Of Origin

Quantity	Security ID	Security Description
204,000.0000	6818843	SM PRIME HLDGS
53,800.0000	6914547	UNION BANK(PHIL)
Total Philippines		
Singapore		
5,000.0000	6175203	DBS HOLDINGS COMMON
3,000.0000	FLEX	FLEXTRONICS INTL LTD ORD
31,600.0000	6168418	KS ENERGY SERVICES
24,500.0000	B012899	SINGAPORE PRESS HOLDINGS COMMON
24,360.0000	B1CNDB5	STARHUB LIMITED COMMON
Total Singapore		
Taiwan, Province Of China		
30,078.0000	6425663	CATHAY FINANCIAL HLDG CO COMMON
8,142.0000	5758218	HON HAI PRECISION - GDR
6,624.0000	6438564	HON HAI PRECISION COMMON
9,126.0000	6510536	HTC CORPORATION
6,691.0000	TSM	TAIWAN SEMICONDUCTOR ADR DEPOSITORY RECEIPT
Total Taiwan, Province Of China		
Thailand		
19,400.0000	6412591	ADVANCE INFO SVCS FOREIG THBH10
Total Thailand		
United States		
4,400.0000	NWSA	NEWS CORP LTD CL A CL A
651,030.7200	CASH	CASH
Total United States		

Total Investment
Accrued Incom
Total Accoun

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Extension Sheet

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Extension Sheet

Page 16

THE PRODUCTIVITY FUND III
Portfolio Summary
12/31/2008

ACTIVE INVESTMENTS Portfolio Company	Date of Investment	Cost Basis	12/31/2008 Market Value	Description of Holdings
C^viGenics				
Cobalt Group				
Community Education Centers				
Entraprise				
Finjan Software				
Global Employment Holdings				
M Cubed Technologies				
Metalico, Inc.				
Performance Materials Corporation				
Product Safety Resources				
Total Active Investments				
LIQUIDATED INVESTMENTS				
Applica Corporation				
Ariba, Inc.				
Arnold Palmer Golf Management				
Boom Corporation				
Centerline Towing				
Centity Business Services				
CiviGenics, Inc.				
Coastek				
Cobalt				
Correctional Systems				
Dynamic Healthcare Technologies				
Eco Building Systems				
Educational Video Conferencing (formerly ICTS)				
Excite@Home (Worldprints.com)				
Exodus Communications				
Global Commerce Systems, Inc				
Greatfood.com				
Indx Software				
Integra Technologies, Inc.				
IP Logic				
Ipsilon Networks, Inc.				
Lightweve Microsystems, Inc				
Magnify Corporation				
Mega Agency				
NetBos (formerly Cobra)				
NETdelivery Corporation				
NetEdge Systems, Inc				
Network Commerce (Techwave)				
Nexprise				
Realtech				
Serrot Corporation				
Supersite, Inc				
Talx, Inc				
TruePoint, Inc. (formerly ICO)				
Utilities, Inc. (Riverside)				
VentureCom				
Vista Software Solutions				
Vista Technology Group				
VPNet Technologies, Inc.				
ZoneWorx				
Community Education Centers				
Global Employment Solutions				
Metalico				
CiviGenics, Inc.				
Community Corrections Corp				
Community Correctional Corp				
Dynamic Healthcare Technologies				
Metalico				
Talx, Inc.				
Correctional Systems				
Global Employment Solutions				
Magnify Corporation				
M Cubed				
NetBos (formerly Cobra)				
NETdelivery Corporation				
Nexprise				
Serrot Corporation				
Supersite, Inc.				
Network Commerce (Techwave)				
Ariba, Inc.				
VPNet Technologies, Inc.				
ZoneWorx				
Total Liquidated Investments				
TOTAL				

* Securities received in lieu of cash

SIT PARTNERSHIP VI
IS A PARTNER IN
PRODUCTIVITY FUND III

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*)	Page Number
FRENZEL, WILLIAM E.	4

Part II: Liabilities

Report for Yourself, Spouse, and Dependent Child:	Do Not Report:
• A liability over $10,000 owed at any time during the reporting period, other than a loan from a financial institution or business entity granted on terms made available to the general public • A loan over $10,000 from an individual, such as a friend or a business associate	• Any liability, such as a mortgage, a student loan, or a credit card account, from a financial institution or business entity granted on terms made available to the general public • Loans secured by automobiles, household furniture, or appliances, unless the loan exceeds the purchase price of the item it secures • Liabilities that you owe to your spouse or to the parent, sibling, or child of you, your spouse, or your dependent child

Reportable Information – Go to the last page to see examples of how to report liabilities.

Name of creditor *(include city and state where creditor is located)*	Type of liability *(personal loan, margin account, etc.)*
1 NONE	NONE.
2	
3	
4	
5	
6	
7	
8	
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Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*): FRENZEL, WILLIAM E.

Page Number: 5

Part III: Outside Positions

Report for Yourself:	Do Not Report:
• All positions outside the U.S. Government held at any time during the reporting period, whether or not you were compensated and whether or not you currently hold that position. Positions include an officer, director, employee, trustee, general partner, proprietor, representative, executor, or consultant of any of the following: - Corporation, partnership, trust, or other business entity Non-profit or volunteer organization - Educational institution	• Any position with a - Religious entity - Social entity - Fraternal entity - Political entity • Any position held by your spouse or dependent child • Any position that you hold as part of your official duties

Reportable Information – Go to the last page to see examples of how to report outside positions.

Organization (*include city and state where organization is located*)	Type of organization	Position	No longer held
1 SIT INVESTMENT ASSOCIATES, INC. MINNEAPOLIS, MN	INVESTMENT CO. S CORP	DIRECTOR + CONSULTANT	☐
2 SIT MUTUAL FUNDS MINNEAPOLIS, MN	MUTUAL FUND CO.	DIRECTOR	☐
3 SIT FIXED INCOME INVESTMENT ASSOCIATES, INC. MINNEAPOLIS, MN	FIXED INCOME INVESTMENT CO.	DIRECTOR	☐
4 EURASIA FOUNDATION WASHINGTON, DC	NGO; OPERATES IN FORMER SOVIET UNION	VICE-CHAIR + DIRECTOR	☐
5 HUBERT HUMPHREY INSTITUTE UNIV. OF MN. MINNEAPOLIS, MN	EDUC. INST.	ADV. BOARD MEMBER	☐
6 COM. FOR A RESPONSIBLE FEDERAL BUDGET WASHINGTON, DC	NGO; BUDGET POLICY	VICE CHAIR + DIRECTOR	☐
7 INT'L TAX + INVESTMENT CENTER WASHINGTON, DC	NGO; ADVISES GOVTS ON TAX AND INVESTMENT POLICY	CHAIRMAN OF EXEC. COM. + DIRECTOR	☐
8 PROJECT VOTE SMART PHILIPSBURG, MT	NGO; VOTER INFORMATION	FOUNDING BOARD MEMBER	☐
9 RIPON SOCIETY WASHINGTON, DC	NGO; POLITICAL THINK TANK	CHAIR EMERITUS + DIRECTOR	☐
10 COM. FOR STATEGIC TAX REFORM WASHINGTON, DC	NGO; US TAX POLICY	CO-CHAIR	☐

WEF

EXTENSION SHEET #7

FRENZEL, WILLIAM E. PART III OUTSIDE POSITIONS

1. BRETTON WOODS COMMITTEE WASHINGTON, DC	NGO: POLICY ON INT'L FIN. INSTS.	CO-CHAIR
2. TAX POLICY CENTER: URBAN COALITION; WASH. DC	NGO: THINK TANK ON TAX POLICY	AFFILIATED STAFF
3. JAPAN CTR FOR INTNAT'L EXCHANGE: TOKYO, JAPAN	JAPAN NGO ON INT'L EXCHANGES	ADV. COM. ON CONG. STAFF EXCHANGE
4. U.S. GLOBAL LEADERSHIP CAMPAIGN WASHINGTON, DC	NGO: FOREIGN AID POLICY	ADV. COUNCIL
5. MINN MILITARY APPRECIATION POND, MINNEAPOLIS, MN	NGO: GRANTS FOR MIL. SERVICE	COUNCIL OF OVERSEERS
6. CIVIC CAUCUS BLOOMINGTON, MN	NGO; STATE + REGIONAL POLICY	CORE GROUP
7. AMERICANS FOR GENERATIONAL EQUALITY, WASH. DC	NGO; FEDERAL FISCAL POLICY	BOARD MEMBER
8. INSTITUTE FOR LAW + POLITICS UNIV. OF MN LAW SCHOOL MINNEAPOLIS, MN	EDUCATIONAL INSTITUTE	ADV. BRD. MEMBER
9. PRESIDENT'S ADVISORY COMMITTEE ON TRADE POLICY & NEGOTIATIONS (ACTPN) WASH. DC	STATUTORY COMMISSION	CHAIR + MEMBER
10. ECONOMIC CLUB OF MINN. MINNEAPOLIS	NGO; TRADE + ECON. POLICY	BOARD MEMBER
11. AM. POL. SCI ASSN FELLOWSHIP PROGRAM WASH. DC	NGO; CONG. FELLOWS PROGRAM	ADV COM. MEMBER
12. BROOKINGS INSTITUTION WASH. DC	NGO; THINK TANK ON GENERAL POLICY	GUEST SCHOLAR
13. W. FRENZEL 1967 TRUST; US BANK; ST. PAUL, MN	FAMILY TRUST	MANAGING TRUSTEE
14. W+R FRENZEL GRAND CHILDREN TRUST	FAMILY TRUST	TRUSTEE

WEF

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

FRENZEL, WILLIAM E. **Part IV: Agreements or Arrangements**

Report Your Agreements or Arrangements for:	Do Not Report:
• Continuing participation in an employee pension or benefit plan maintained by a former employer • A leave of absence • Future employment, including date you accepted employment offer • Continuation of payment by a former employer (including severance payments)	• Any agreement or arrangement related to your employment by the Federal Government • Spouse's and dependent child's agreements or arrangements

Reportable Information – Go to the last page to see examples of how to report agreements and arrangements.

Entity with which you have an agreement or arrangement *(include city and state where entity is located)*	Terms of Agreement or Arrangement
1 SIT INVESTMENT ASSOCS, INC. MINNEAPOLIS, MN	EXPECT TO CONTINUE TO RECEIVE BOARD AND CONSULTING FEES THROUGH 2009
2 SIT MUTUAL FUNDS MINNEAPOLIS, MN	EXPECT TO ~~BE~~ RECEIVE BOARD FEES THROUGH 2009 (BOARD FEES PAID THROUGH SIT INVESTMENT ASSOCS INC)
3 SIT INVESTMENT FIXED INCOME ASSOCS, INC. MINNEAPOLIS, MN	EXPECT TO RECEIVE BOARD FEES THROUGH 2009 (BOARD FEES PAID THROUGH SIT INVESTMENT ASSOCS INC.)
4 NORTHSTAR EDUCATION FINANCE, INC. ST. PAUL, MN	EXPECT TO RECEIVE BOARD FEES THROUGH 2009
5 MINNESOTA STATE RETIREMENT SYSTEM ST. PAUL, MN	EXPECT TO RECEIVE STATE PENSION PAYMENTS UNTIL DEATH
6	
7	
8	
9	
10	

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Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

HAND DELIVERED

Date Received by Office of the Clerk	Page Number

LEGISLATIVE RESOURCE CENTER
2009 MAY 15 PM 3:29
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE REPORT
Office of Congressional Ethics
United States House of Representatives

Name (*Print last, first, middle initial*)	Member or Alternate Member?
GOSS, PORTER J.	MEMBER
Reporting Status New Member/Alternate ☐ Annual ☒	**If New Member/Alternate, Date of Appointment to Position** (*mm/dd/yy*)

Step 1: Read the instructions for Parts I through V on the following pages.

Step 2: For each statement below, check Yes or No to describe your situation.

I. I have reportable assets or sources of income for myself, my spouse, or my dependent children.	**Yes** ☒	**No** ☐
II. I have reportable liabilities (debts) for myself, my spouse, or my dependent children.	**Yes** ☐	**No** ☒
III. I have reportable outside positions for myself.	**Yes** ☒	**No** ☐
IV. I have reportable agreements or arrangements for myself.	**Yes** ☐	**No** ☒

Step 3: If you selected "Yes" for any statement, you must describe the reportable interests (but not values) that you have in the corresponding Part (I, II, III, or IV) of the form.

Step 4: Sign and date the form.

Step 5: Submit the completed form to the Office of the Clerk, U.S. House of Representatives, The Capitol, Room H-154, Washington, DC 20515-6601.

I certify that the statements I have made on this form and any attached statements are true, complete, and correct to the best of my knowledge.

Signature of Member/Alternate Member	Date (*mm/dd/yy*)
	4/30/09

(August 2008)

Name (*Print last, first, middle initial*)	Page Number
GOSS, PORTER J.	2

Part I: Assets and Sources of Income

Report for Yourself, Spouse, and Dependent Child:	Do Not Report:
• Assets held for investment with a value greater than $1,000 at the end of the reporting period OR assets held for investment which produced more than $200 in income during the reporting period, including but not limited to: - Assets such as stocks, bonds, annuities, trust holdings, partnership interests, life insurance, investment real estate, or a privately-held trade or business - Sector mutual funds: those funds invested in a particular industry, business, or location such as ABC Electronics Fund or XYZ Canada Fund (report the full name of the fund, not just the general family fund name) - Holdings of retirement plans, such as 401(k)s or IRAs (list each holding except diversified mutual funds) - Holdings of investment life insurance - Holdings of variable annuities - Defined benefit pension plans provided by a former employer (include the name of the employer)	• Federal Government retirement benefits • Thrift Savings Plan • Certificates of deposit, savings or checking accounts • Term life insurance • Money market mutual funds and money market accounts • Your personal residence, unless you rent all or part of it out • Diversified mutual funds, such as ABC Equity Value Fund or XYZ Large Capital Fund • U.S. Government Treasury bonds, bills, notes, and savings bonds • Money owed to you, your spouse, or dependent child by a spouse, parent, sibling, or child
Also Report:	**Do Not Report:**
• For yourself: (1) all sources of salary, fees, commissions, and other earned income greater than $200, (2) honoraria greater than $200, and (3) other non-investment income such as scholarships, prizes, and gambling income greater than $200 • For your spouse: (1) all sources of salary, fees, commissions, and other earned income greater than $1,000, and (2) honoraria greater than $200	• Dependent child's earned income • Veterans' benefits • Federal Government salary • Social Security benefits

Important Definitions

Diversified Mutual Fund – A mutual fund that does not have a stated policy of concentrating its investments in one industry, business, or single country other than the United States.
Sector Mutual Fund – A mutual fund that concentrates its investments in an industry, business, single country other than the United States, or bonds of a single state within the United States.
Dependent Child – A son, daughter, stepson or stepdaughter who is either unmarried and under age 21 and living in the filer's house, or considered dependent under the U.S. tax code.

Reportable Information – Go to the last page to see examples of how to report assets and sources of income.

Specific stock, bond, sector mutual fund, type/location of real estate, etc. *(Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.)* **Name of Employer or Business; Source of Fees, Commissions, or Honoraria** *(Include brief description.)* **You may choose to distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held.** Do not include actual names.	**No longer held**
1 LEADING AUTHORITIES SPEAKERS BUREAU - WASHINGTON, D.C. SPEAKING FEES	☐
2 PJG ENTERPRISES LLC - PRIVATE CONSULTING SANIBEL, FL. K&L/GATES-CLIENT INCOME	☐
3 (S) RENTAL PROPERTY - FISHERS ISLAND, N.Y. - RENTAL INCOME SUMMER COTTAGE	☐
4 (J) REAL ESTATE INVESTMENT - UNDEVELOPED PROPERTY FISHERS ISLAND, N.Y.	☐
5 (J) RETREAT FARM PRODUCE CO, LLC - FARM PRODUCE - RAPIDAN, VA. + RETREAT FARM VILLAGE DEPOT -	☐

(August 2008)

Name (*Print last, first, middle initial*)	Page Number
GOSS, PORTER J.	3

Part I: Assets and Sources of Income

Continuation Page

Specific stock, bond, sector mutual fund, type/location of real estate, etc. (*Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.*) **Name of Employer or Business; Source of Fees, Commissions, or Honoraria** (*Include brief description.*) You may choose to distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held. Do not include actual names.	**No longer held**
1 OFFICE OF CONGRESSIONAL ETHICS - WASHINGTON, DC WAR PER DIEM COMPENSATION	☐
2 PNC AND MELLON COMBINED ASSETS - GOSS FAMILY ASSET HOLDINGS AS OF 12/31/08 (ATTACHED LIST)	☐
3 AIG LIFE INSURANCE - ON LIFE OF PORTER + MARY	☐
4	☐
5	☐
6	☐
7	☐
8	☐
9	☐
10	☐
11	☐
12	☐
13	☐
14	☐
15	☐
16	☐
17	☐
18	☐
19	☐
20	☐

	A	B
1		**GOSS FAMILY ASSET HOLDINGS**
2	TICKER	NAME
3	0	
4	0	
5	0	
6	0	BAINBRIDGE ISL WASH
7	0	BLACKROCK FUNDS
8	0	BLACKROCK LIQUIDITY FUNDS
9	0	CHASE MAHATTAN CORP NEW SUB NT 06.375% DUE 02/15/2008
10	0	CLARK CNTY WASH SCH DIST NO 117
11	0	COLORADO ST BOARD GOVERNORS
12	0	CORPUS CHRISTI TEX
13	0	DADE CNTY FLA SCH DIST RMKT 8/1/03MBIA 05.000% DUE 08/01/2007
14	0	DELAWARE ST SER A
15	0	FEDERATED FL
16	0	FIDELITY MONEY MARKET
17	0	FISHER ISLAND DEVEOPMENT CORP
18	0	FISHERS IS UTIL INC
19	0	FLORIDA ST BRD ED PUB ED REF CAP OUTLAY SER A 05.000% DUE 06/01/2008
20	0	FLORIDA ST BRD ED PUB ED REF CAP OUTLAY SER A GENERAL OBLIGATION UNLTD 5.00% 01/01/18 CALLABLE 01/01/08
21	0	FRANKLIN IN CMNTY MULTI-SCH BLDG
22	0	JESSAMINE CNTY KY SCH DST CRP
23	0	LEWISVILLE TEX
24	0	MA BAT TRANS AUTH MA SALES TAX
25	0	MA ST PORT AUTH REV
26	0	MADISON MACOUPIN ELEC CNTYS ILL
27	0	MAINE ST
28	0	MONTGOMERY CNTY NC CTFS PARTN
29	0	NATIONSBANK CORP SUB NT 06.375% DUE 02/15/2008
30	0	NORTH RICHLAND HILLS TEX
31	0	OHIO ST
32	0	OMAHA CONVENTION HOTEL CORP NE
33	0	OVERRIDING ROYALTY IN STATE
34	0	PENNSYLVANIA ST HGH ED FACS REV

	C	D
1	12/31/2009	NO LONGER HELD
2	NAME 2	
3		
4		
5		
6	MUNICIPAL BOND	
7	PA MUNICIPAL MONEY MARKET	
8	MONEY MARKET	
9	BOND	x
10	BOND	
11	REF SER B	
12	BOND	
13	BOND	x
14	GO P/R 03/01/09 @ 100	
15	BOND FUND	
16	INSTITUTIONAL CLASS	
17	MGMT COMPANY FOR LAND HOLDING - LAND HOLDING INCLUDES SMALL ISLAND IN NY	
18	CDT-COM (utility company)	
19	BOND	x
20	BOND	x
21	CORP 1ST MTG FSA	
22	REV FSA SCH BLDG	
23	REF & IMPT	
24	REV SR SER B	
25	PFC SER B FSA	
26	CMNTY DIT NO 536 AMBAC	
27	BOND	
28	BOND	
29		x
30	REF & IMPT	
31	HWY CAP IMPTS BUCKEYE SAVERS L	
32	BOND	
33	LEASE 192 LAFOURCHE JEFFERSON (oil Royalty)	
34	TEMPLE UNIV FIRST SER BE MBIA	

	A	B
35	0	PINAL CNTY AZ SCH DIST NO 1
36	0	RHODE ISLAND ST HEALTH & EDL
37	0	SAN JACINTO TEX CMNTY COLL
38	0	USA TREASURY NOTES DTD 03/31/2006 DUE 03/31/2008 04.625% DUE 03/31/2008
39	0	WACHOVIA CORP NEW SUB NT 06.250% DUE 08/04/5008
40	0	WYOMING MICH PUB SCHS
41	MMM	3M COMPANY
42	ABT	ABBOTT LABORATORIES
43	ACN	ACCENTURE LTD
44	ACIW	ACI Worldwide Inc
45	ATVI	ACTIVISION BLIZZARD INC
46		ACTIVISION INC NEW COM
47	ATU	Actuant Corp Class A (new)
48	ADBE	ADOBE SYSTEMS INC
49	AET	AETNA INC
50	AG	AGCO CORP
51	AGL	AGL RES INC
52	APD	AIR PRODUCTS & CHEMICALS INC
53	ARG	AIRGAS INC
54	AKAM	AKAMAI TECHNOLOGIES INC
55	ALB	ALBEMARLE CORP
56	ATI	Allegheny Technologies
57	ADS	ALLIANCE DATA SYS CORP
58	ATK	ALLIANT TECHSYSTEMS INC
59	AW	ALLIED WASTE INDS INC
60	ALL	ALLSTATE CORP
61	ALTR	ALTERA CORP
62	MO	ALTRIA GROUP INC
63	AMZN	AMAZON COM INC
64	ABK	AMBAC Financial Group
65	AMX	AMERICA MOVIL S A B DE C V
66	AEP	AMERICAN ELECTRIC POWER INC
67	AXP	American Express
68	AIG	AMERICAN INTERNATIONAL GROUP
69	AMMD	AMERICAN MEDICAL SYS HLDGS
70	AMT	AMERICAN TOWER CORP CL A
71	AMP	AMERIPRISE FINANCIAL INC W/I
72	AMN	AMERON INTERNATIONAL CORP

	C	D
35	FLORENCE SER A FGIC	
36	PUB SCHS FING PROG SER A	
37	BOND	
38		X
39		X
40	SCH BLDG & SITE	
41		
42		
43		
44		X
45		
46		X
47		X
48		
49		
50		
51		X
52		
53		X
54		
55		
56		
57		
58		
59	COM NEW PAR $0.01	X
60		
61		
62		
63		
64		X
65		X
66		
67		X
68		
69		
70		
71		X
72		

	A	B
73	AME	AMETEK INC NEW
74	AMGN	AMGEN INC
75	APH	AMPHENOL CORP NEW
76	AMLN	AMYLIN PHARMACEUTICALS INC
77	NLY	ANNALY CAPITAL MGMT INC
78	ANSS	ANSYS INC
79	AOC	AON CORP
80	APA	APACHE CORP
81	AIV	APARTMENT INVT & MGMT CO
82	APOL	Apollo Group INC CLA
83	AAPL	APPLE INC
84	ACGL	ARCH CAPITAL GROUP
85	ADM	ARCHER DANIELS MIDLAND CO
86		Arrow International Inc
87	AIZ	ASSURANT INC
88	AF	ASTORIA FINL CORP
89	T	AT & T INC
90	ADSK	AUTODESK INC
91	ADP	AUTOMATIC DATA PROCESSING INC
92	AZO	AUTOZONE INC
93	AVID	Avid Technology
94	AVT	AVNET INC
95	AVP	AVON PRODUCTS INC
96	BHI	BAKER HUGHES INC
97	BYI	BALLY TECHNOLOGIES INC
98		BANK NEW YORK MELLON CORP COM
99	BAC	BANK OF AMERICA CORP
100	ONEGP	BANK ONE CORP
101	BCR	BARD C R INC
102	BAX	BAXTER INTERNATIONAL INC
103	BGPTE	BEARINGPOINT INC
104	BDX	BECTON DICKINSON & CO
105	BDC	BELDEN INC
106	BIO	BIO RAD LABORATORIES INC
107	BIIB	BIOGEN IDEC INC
108		BIOMARIN PHARMACEUTICAL INC
109	PNBIX	BLACKROCK FUNDS
110	PNMIX	BLACKROCK FUNDS
111	HRB	BLOCK H & R INC

	C	D
73		
74		
75	CL A	
76		
77		
78		
79		
80		
81	CL A REIT	
82		x
83		
84		
85		
86		x
87		x
88		x
89		
90		
91		
92		
93		x
94		x
95		
96		x
97		
98		
99		
100		x
101		
102		
103		x
104		
105		x
106	CLASS A	
107		x
108		
109	INTERMEDIATE BOND PORTFOLIO II	
110	MANAGED INCOME PORTFOLIO	
111		

	A	B
112	MEMKX	BNY MELLON EMERGING MARKETS FD CL M
113	MPIEX	BNY MELLON INTERNATIONAL FD CL M
114	MPMCX	BNY MELLON MID CAP STK FD CL M
115	MLMXX	BNY MELLON MONEY MARKET FUND CL M
116	MPNIX	BNY MELLON NTL INTER MUN BD FD CL M
117	MPSSX	BNY MELLON SMALL CAP STK FD CL M
118	BA	BOEING CO
119	BWA	BORG WARNER INC.
120	BPFH	BOSTON PRIVATE FINL HLDGS INC
121	BP	BP PLC
122		BRANDYWINE RLTY TR SH BEN INT NEW REIT
123	BMY	BRISTOL MYERS SQUIBB CO
124	BRCM	BROADCOM CORP
125	BUCY	BUCYRUS INTL INC
126	BBW	BUILD-A-BEAR WORKSHOP, INC
127	BKC	BURGER KING HOLDINGS INC
128	BNI	BURLINGTON NORTHN SANTA FE CORP
129	CVC	CABLEVISION NY GROUP
130	CVGRX	CALAMOS GROWTH FUND
131	CPT	CAMDEN PROPERTY REIT
132	CAM	CAMERON INTL CORP
133	CPB	CAMPBELL SOUP CO
134	CAH	CARDINAL HEALTH INC
135	CCL	CARNIVAL CORP
136	CRS	CARPENTER TECHNOLOGY CORP
137	CSH	CASH AMERICA INTERNATIONAL INC
138	CRI	CATER'S INC
139		CB RICHARD ELLIS GROUP
140	CE	CELANESE CORP-SERIES A
141	CELG	CELGENE CORP
142	CNC	CENTENE CORP
143	CF	CF INDUSTRIES HOLDINGS INC
144	CRL	CHARLES RIV LABORATORIES INTL
145	CHTR	CHARTER COMMUNICATIONS INC DEL
146	CAKE	CHEESECAKE FACTORY INC
147	CEMJQ	CHEMTURA CORPORATION
148	CHK	CHESAPEAKE ENERGY CORP
149	CVX	CHEVRON CORPORATION
150	CBI	CHICAGO BRIDGE & IRON-NY SHR

	C	D
112		
113		
114		
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116		
117		
118		
119		
120		x
121	SPONSORED ADR	
122		x
123		
124		
125		
126		x
127		x
128		
129	CLASS A	x
130	CL - A FD # 606	
131		x
132		x
133		
134		
135		
136		x
137		
138		x
139		
140		x
141		x
142		
143		
144	INC.	
145	CL A	x
146		x
147		x
148		x
149		
150		x

	A	B
151	CMG	CHIPOTLE MEXICAN GRIL CL A
152	CB	CHUBB CORP
153	CBB	CINCINNATI BELL INC
154	CSCO	CISCO SYS INC
155	CTI	CTI GROUP INC
156	CTDB	CITADEL BROADCASTING CORP
157	C	CITIGROUP INC
158	CLHB	CLEAN HARBORS INC
159	CLHB	CLEAN HARBORS INC
160	CLX	CLOROX CO
161	CME	CME GROUP INC
162	CMS	CMS ENERGY CORP
163		CNET NETWORKS
164	COH	COACH INC
165	KO	COCA COLA CO
166	CCE	COCA COLA ENTERPRISES INC
167	CTSH	Cognizant Technology Solutions Corp
168	COHR	COHERENT INC
169	CMA	COMERICA INC
170	CMFB	COMMERCE BANCORP INC NJ
171	CBSH	COMMERCE BANCSHARES INC
172	CMC	COMMERCIAL METALS CO
173	CTV	COMMSCOPE INC
174	RIO	COMPANHIA VALE DO RIO DOCE
175	CAG	CONAGRA FOODS INC
176	COP	CONOCOPHILLIPS
177	CEG	CONSTELLATION ENERGY GROUP INC
178	COO	COOPER COS INC NEW
179	CBE	COOPER INDUSTRIES LTD
180	CPRT	COPART INC
181	CLB	CORE LABORATORIES N V
182	COST	COSTCO WHOLESALE CORP
183	CVH	COVENTRY HEALTH CARE INC
184	COWN	COWEN GROUP INC
185	CROX	CROCS INC
186	CCI	CROWN CASTLE INTL CORP
187	CMI	CUMMINS INC
188	CUTR	CUTERA INC
189	CVS	CVS CAREMARK CORP

	C	D
151		x
152		
153		x
154		
155		x
156		x
157		
158		x
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162		
163		x
164		
165		
166		
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168		
169		x
170		x
171		
172		x
173		
174		
175		
176		
177		x
178		x
179	CLASS A	
180		x
181		
182		x
183		
184		x
185		x
186		
187		x
188		
189		

	A	B
190	CYT	CYTEC INDS INC
191	DHR	DANAHER CORP
192	DRI	DARDEN RESTAURANTS INC
193	DCT	DCT INDUSTRIAL TRUST INC
194	DELL	DELL INC
195	DNR	DENBURY RES INC COM NEW
196	XRAY	DENTSPLY INTERNATIONAL INC
197	DDR	DEVELOPERS DIVERSIFIED RLTY REIT
198	DLR	DIGITAL RLTY TR INC
199	DTV	DirectTV Group Inc
200	DFS	DISCOVER FINANCIAL W I
201	DCYHF	DISCOVERY HOLDINGS CO A
202	DISH	DISH NETWORK CORP
203	DIS	DISNEY WALT CO
204	DODFX	DODGE & COX INTERNATIONAL
205	DLB	DOLBY LABORATORIES INC
206		DOMTAR CORP
207	RRD	DONNELLY R R & SONS CO
208	DOW	DOW CHEMICAL CO
209	DPL	DPL INC
210	DRQ	DRILL-QUIP INC
211	DRYS	DRYSHIPS INC
212	DNB	DUN & BRADSTREET CORP NEW
213	DD	DUPONT E I DE NEMOURS & CO
214		E*TRADE FINANCIAL CORPORATION
215	ETN	EATON CORP
216	EBAY	EBAY INC
217	ECLP	ECLIPSYS CORP
218	ECL	ECOLAB INC
219	EIX	EDISON INTL
220	EW	EDWARDS LIFESCIENCES CORP
221	ERTS	ELECTRONIC ART
222	EQ	EMBARQ CORP W I
223	EMC	EMC Corp Mass
224	EMR	EMERSON ELECTRIC CO
225	ENR	ENERGIZER HLDGS INC
226	ESV	ENSCO INTERNATIONAL INC
227	ETR	ENTERGY CORP
228	EVC	ENTRAVISION COMMUNICATIONS

	C	D
190		x
191		
192		
193		x
194		
195		x
196		x
197		x
198		x
199		x
200		x
201		x
202	CL A	
203		
204	STOCK FUND	
205	CLASS A	
206		x
207		
208		
209		
210		
211		x
212		
213		
214		x
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217		
218		
219		
220		
221		
222		
223		x
224		
225		
226		
227	NEW	
228		x

	A	B
229	EOG	EOG RES INC
230	EQIX	EQUINIX INX
231	EQT	EQUITABLE RESOURCES INC
232	ESS	ESSEX PPTY TR INC
233	EL	ESTEE LAUDER COMPANIES CLASS A SEC ID:518439104
234	RE	EVEREST RE GROUP LTD
235	XCO	EXCO RESOURCES INC
236	EXC	EXELON CORP
237	ESRX	EXPRESS SCRIPTS INC
238	XOM	EXXON MOBIL CORP
239	FFIV	F5 NETWORKS INC
240	FDS	FACTSET RESH SYS INC
241	FRP	Fairpoint Communications
242	FAST	FASTENAL CO
243	FCSX	FCSTONE GROUP INC
244		FEDERAL HOME LOAN MTG CORP
245	FDX	FEDEX CORP SEC ID:31428X106
246	FITB	FIFTH THIRD BANCORP
247	FINL	FINISH LINE INC CL A
248	FHN	FIRST HORIZON NATIONAL CORP SEC ID:320517105
249	FSLR	FIRST SOLAR INC
250	FE	FIRSTENERGY CORP
251	FLIR	FLIR SYSTEM INC
252	FLR	FLUOR CORP
253		FOCUS MEDIA HOLDING ADR
254	FMX	FOMENTO ECONOMICO MEXICANO SAB DE CV SPONSORED ADR
255	FST	FOREST OIL CORP
256	FO	FORTUNE BRANDS INC
257	FOSL	FOSSIL INC
258	FPL	FPL GROUP INC
259	BEN	FRANKLIN RESOURCES INC
260	FCN	FTI CONSULTING INC
261	GME	GAMESTOP CORP CL A
262	GPS	GAP INC
263	GPRO	GEN PROBE INC
264	DNA	GENENTECH INC
265	BGC	GENERAL CABLE CORP DEL NEW
266	GD	GENERAL DYNAMICS CORP
267	GE	GENERAL ELECTRIC CO

	C	D
229		
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231		
232	REIT	
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235		x
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237		x
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243		x
244		x
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247		x
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252		
253		x
254		x
255		x
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257		x
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265		x
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267		

	A	B
268	GIS	GENERAL MILLS INC
269	GCO	GENESCO INC
270	GNW	GENWORTH FINL INC
271	GILD	GILEAD SCIENCES INC
272	GCA	GLOBAL CASH ACCESS INC
273	GS	GOLDMAN SACHS GROUP INC
274	GOOG	Google Inc-CL A
275	GWW	GRAINGER W W INC
276		GRANT PRIDECO INC W/I MERGED 4/21/08 @ $23.20
277		GREENFIELD ONLINE
278	GES	GUESS INC
279	HAL	HALLIBURTON CO
280	HAINX	HARBOR FUND
281	HIG	HARTFORD FINL SVCS GROUP INC
282	HCP	HCP INC REIT
283	HNT	HEALTH NET INC
284	HWAY	HEALTHWAYS INC
285	HNZ	HEINZ H J CO
286	HLF	HERBALIFE LTD
287	HES	HESS CORP
288	HPQ	Hewlett Packard Co
289	HXL	HEXCEL CORP
290	HIW	HIGHWOODS PPTYS INC REIT
291	HLT	Hilton Hotels Corp
292	HOLX	HOLOGIC INC
293	HD	HOME DEPOT INC
294	HON	HONEYWELL INTL INC
295	HSP	HOSPIRA INC
296	HBC	HSBC HLDGS PLC
297	HCBK	HUDSON CITY BANCORP INC
298	HUM	HUMANA INC
299	JBHT	HUNT JB TRANSPORT SERVICES INC
300	HBAN	HUNTINGTON BANCSHARES INC
301		HUNTSMAN CORP
302		IAC/INTERACTIVECORP
303	ICLR	ICON PUB LTD CO
304	RX	IMS HEALTH INC
305	IR	INGERSOLL RAND CO LTD CL A
306	IDTI	INTEGRATED DEVICE TECHNOLOGY INC

	C	D
268		
269		
270	COMCELA	x
271		
272		x
273		
274		
275		
276		x
277		x
278		
279		
280	INTERNATIONAL FUND	
281		x
282		
283		
284		x
285		
286		
287		
288		x
289		x
290		x
291		x
292		x
293		
294		
295		
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297		
298		
299		x
300		
301		
302		x
303	SPONSORED ADR	
304		
305	SEDOL 2831167	x
306		

	A	B
307	ISSI	INTEGRATED SILICON SOLUTION INC
308	INTC	INTEL CORP
309		INTERCONTINENTAL EXCHANGE INC
310	IBM	INTERNATIONAL BUSINESS MACHINES CORP
311	IP	INTERNATIONAL PAPER CO
312	IPI	INTREPID POTASH INC
313	INTU	INTUIT SOFTWARE
314	ISRG	INTUITIVE SURGICAL INC
315	IMA	INVERNESS MEDICAL INNOVA -WI
316	IVZ	INVESCO LTD
317	ITG	INVESTMENT TECHNOLOGY GROUP INC
318	IRM	IRON MTN INC PA
319	EWJ	ISHARES INC MSCI JAPAN INDEX FD
320	ESI	ITT EDUCATIONAL SERVICES INC
321	JCG	J CREW GROUP INC
322	JEC	JACOBS ENGINEERING GROUP INC
323	JRCC	JAMES RIVER COAL CO
324	JNJ	JOHNSON & JOHNSON
325	JCI	JOHNSON CONTROLS INC
326	JOYG	JOY GLOBAL INC
327	JPM	JPMORGAN CHASE & CO
328	JNPR	JUNIPER NETWORKS INC
329	KBH	KB HOME
330	KBR	KBR INC
331		KENNAMENTAL INC
332	KEY	KEYCORP NEW
333	KMB	KIMBERLY-CLARK CORP
334	KCI	KINETIC CONCEPTS INC
335	KSS	KOHLS CORP
336	KFT	KRAFT FOODS INC - A
337		KYPHON INC
338	LH	LABORATORY CORP AMER HLDGS
339	LAMR	LAMAR ADVERTISING CO CL A
340	LSTR	LANDSTAR SYS INC
341	LAZ	LAZARD LTD CL A
342	LM	LEGG MASON INC
343	LEH	LEHMAN BROTHERS HLDGS INC
344	LEN	LENNAR CORP CLASS A
345	LII	LENNOX INTERNATIONAL INC

	C	D
307		
308		
309		x
310		
311		x
312		
313		x
314		
315		x
316	ISIN BMG491BT1088 SEDOL B28XP76	
317		
318		
319	ETF	
320		x
321		x
322		
323		x
324		
325		
326		x
327		
328		
329		x
330		
331		x
332		x
333		
334	COM NEW	
335		x
336		
337		x
338		
339		x
340		
341	SEDOL B081VQ7	
342		x
343		x
344		x
345		

	A	B
346	LXK	LEXMARK INTERNATIONAL INC CL A
347	LRY	LIBERTY PPTY TR
348	LTD	LIMITED BRANDS INC
349	LNCR	LINCARE HOLDINGS INC
350	LNC	LINCOLN NATIONAL CORP
351	LLTC	LINEAR TECHNOLOGY CORP
352	LO	LORILLARD INC
353	LOW	LOWES COMPANIES INC
354	LSI	LSI CORPORATION
355	LZ	LUBRIZOL CORP
356	MTB	M&T BK CORP
357	CLI	MACK CALI REALTY CORP
358	MTW	MANITOWOC COMPANY INC
359		MANPOWER INC
360	MRO	MARATHON OIL CORP
361	MAR	Marriott Intl New CL A
362	MMC	MARSH & MCLENNAN COMPANIES INC
363	MRVL	MARVELL TECHNOLOGY GROUP LTD
364	MA	MASTERCARD INC CL A
365		MATRIA HEALTHCARE INC
366	MAT	MATTEL INC
367	MCD	MCDONALD'S CORPORATION
368	MHP	MCGRAW HILL COMPANIES INC
369	MEI	MCAFEE INC
370	MMR	MCMORAN EXPLORATION CO
371	MDC	MDC HOLDINGS INC
372	MHS	MEDCO HEALTH SOLUTIONS INC
373	MDT	MEDTRONIC INC
374	WFR	MEMC ELECTR MATLS INC
375	MNT	MENTOR CORP MINNESOTA
376	MRK	Merck & Co
377	MER OK	MERRILL LYNCH & CO INC
378	MET	METLIFE INC
379	PCS	METROPCS COMMUNICATIONS INC
380	MCRS	MICROS SYSTEMS INC
381	MSCC	MICROSEMI CORP
382	MSFT	MICROSOFT CORP
383	MICC	MILLICOM INTL CELLULAR S A
384	TAP	MOLSON COORS BREWING CO CL B SEC ID:60871R209

	C	D
346		x
347		x
348		
349		
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351		
352		
353		
354		x
355		x
356		
357		x
358		x
359		x
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363		x
364		x
365		x
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368		x
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371		x
372		
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375		
376		
377	NOTE	x
378		
379		x
380		x
381		x
382		
383	SEDOL [illegible]	x
384		

	A	B
385	MWW	MONSTER WORLDWIDE INC
386	MS	MORGAN STANLEY
387	MOS	MOSAIC CO
388	MOT	MOTOROLA INC
389	MYGN	MYRIAD GENETICS INC
390	NDAQ	NASDAQ OMX GROUP INC
391	NOV	NATIONAL OILWELL VARCO INC
392	NSM	National Semiconductor Crop
393		NAVTEQ CORP
394	NCR	NCR CORP
395	NTAP	NETAPP INC
396	NZ	NETEZZA CORP
397	NFLX	NETFLIX INC
398	NWL	NEWELL RUBBERMAID INC
399	NFX	NEWFIELD EXPLORATION CO
400	NWS	NEWS CORP INC
401	NKE	NIKE INC
402	NE	NOBLE CORPORATION
403	NOK	NOKIA CORP SPON ADR
404	JWN	NORDSTROM INC
405	NSC	NORFOLK SOUTHERN CORP
406	NTRS	NORTHERN TRUST CORP
407	NVS	NOVARTIS AG
408	NOVL	NOVELL INC
409	NUAN	NUANCE COMMUNICATIONS INC
410	NUE	NUCOR CORP
411	NVDA	NVIDIA CORP
412	NVR	NVR INC
413	OXY	OCCIDENTAL PETROLEUM CORP
414	OII	OCEANEERING INTERNATIONAL INC
415	OIS	OIL STATES INTERNATIONAL INC
416	OMC	OMNICOM GROUP INC
417	OMTR	OMNITURE INC
418	ORCL	ORACLE CORP
419	OI	OWENS ILL INC
420	OYOG	OYO GEOSPACE
421	PKG	PACKGING CORP PKG
422	PLL	PALL CORP
423	PNRA	PANERA BREAD COMPANY CLA

	C	D
385		x
386		
387		
388		
389		
390		x
391		
392		x
393		x
394		x
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397		
398		
399		
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401	CLASS B	
402	ISIN KYG654221004 SEDOL B0F6ZR4	
403		
404		x
405		x
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410		x
411		x
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413		x
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415		x
416		
417		x
418		
419	NEW	x
420		
421		x
422		x
423		

	A	B
424		PARAMETRIC TECHNOLOGY CORP
425	PH	PARKER HANNIFIN CORP
426	PRE	PARTNERRE LTD
427	PDLI	PDL BIOPHARMA INC
428	PENN	PENN NATL GAMING INC
429	JCP	PENNEY J C CO INC
430		PENNSYLVANIA REAL ESTATE INVESTMENT TRUST SH BEN INT
431	PBCT	PEOPLE'S UNITED FINANCIAL IN
432	PEP	PEPSICO INC
433	PKI	PERKINELMER INC
434	PFE	PFIZER INC
435	PCG	PG&E CORP
436	PHLY	PHILADELPHIA CONS HLDG CORP
437	PM	PHILIP MORRIS INTERNAT-W/I
438	PBI	PITNEY BOWES INC
439	PMCS	PMC SIERRA INC
440	PMI	PMI GROUP INC
441	PNC	PNC FINANCIAL SERVICES GROUP
442	PPG	PPG INDUSTRIES INC
443	PPL	PPL CORPORATION
444	PX	PRAXAIR INC
445	PCP	PRECISION CASTPARTS CORP
446	TROW	PRICE T ROWE GROUP INC
447	PCLN	PRICELINE.COM INC
448	PFG	PRINCIPAL FINANCIAL GROUP
449	PG	PROCTER & GAMBLE CO
450	PGN	PROGRESS ENERGY INC
451	PGR	PROGRESSIVE CORP OHIO
452	PRU	Prudential Financial
453	QCOM	QUALCOMM INC
454	QSII	QUALITY SYSTEMS INC
455	DGX	QUEST DIAGNOSTICS INC
456	KWK	QUICKSILVER RES INC
457	Q	QWEST COMMUNICATIONS
458	RADS	RADIANT SYS INC
459	RRC	RANGE RES CORP
460	RTN	RAYTHEON CO

	C	D
424		x
425		
426		
427		x
428		
429		x
430		x
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	A	B
461	RRGB	RED ROBIN GOURMET BURGERS
462	RNR	RENAISSANCE HOLDINGS LTD
463	RSG	REPUBLIC SVCS INC
464	RIMM	RESEARCH IN MOTION LTD
465		RESPIRONICS INC
466	RAI	REYNOLDS AMERICAN INC
467	RBA	RITCHIE BROS AUCTIONEERS INC
468	COL	ROCKWELL COLLINS INC
469	ROC	ROCKWOOD HOLDINGS INC
470		ROHM & HAAS CO
471	ROL	ROLLINS INC
472	ROST	ROSS STORES INC
473	R	RYDER SYSTEM INC
474	SWY	SAFEWAY INC
475	SNDK	SANDISK CORP
476	SNY	Sanofi Synthelabo Spon ADR
477	SCG	SCANA CORP W/I
478	SGP	SCHERING PLOUGH CORP
479	SLB	SCHLUMBERGER LTD
480	SCHW	SCHWAB CHARLES CORP NEW
481	STX	SEAGATE TECHNOLOGY
482		SEI INVESTMENT CORP
483	SRE	SEMPRA ENERGY
484	SLM	SLM CORP
485	SII	SMITH INTERNATIONAL INC
486	SFD	SMITHFIELD FOODS INC
487		SONY CORP AMERICAN SHARE NEW SPONSORED ADR
488	S	SPRINT NEXTEL CORP
489	SPW	SPX CORP
490	STJ	ST JUDE MEDICAL INC
491	STT	State Street Corp
492	STLD	STEEL DYNAMICS INC
493	STRA	STRAYER ED INC
494	SYK	STRYKER CORP
495	SU	SUNCOR INC
496	SPWR	SUNPOWER CO.
497	SVU	Supervalu Inc
498	SRDX	SURMODICS INC
499	SIVB	SVB FINANCIAL GROUP

	C	D
461		
462	ISIN BMG7496G1033 SEDOL 2728429	
463		x
464		
465		x
466		
467		
468		x
469		x
470		x
471		
472		
473		
474	NEW	
475		x
476		x
477		x
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479		
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481		x
482		x
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486		x
487		x
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489		x
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491		x
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499		

	A	B
500	SNX	SYNNEX CORP
501	TJX	TJX COMPANIES INC
502	TGT	Target Corp
503	TK	TEEKAY CORPORATION
504		TELEFONOS DE MEXICO SA-ADR
505	TTEC	TELETECH HLDGS INC
506	TIN	TEMPLE-INLAND INC
507	TEN	TENNECO INC
508	TDC	TERADATA CORP
509	TEX	TEREX CORP NEW
510		TERNIUM SA POPNSORED ADR
511	TRA	TERRA INDUSTRIES INC
512	TSO	TESORO CORP
513	TSRA	TESSERA TECHNOLOGIES INC
514	TEVA	TEVA PHARMACEUTICAL INDS LTD
515	TXI	TEXAS INDUSTRIES INC
516	TXN	Texas Instruments
517	TXT	TEXTRON INC
518	GEO	THE GEO GROUP INC
519	TRV	THE TRAVELERS COS INC
520		THE9 LTD ADR
521	TMO	THERMO FISHER SCIENTIFIC INC
522	THOR	THORATEC CORP
523	THQI	THQ INC
524	TIBX	TIBCO SOFTWARE INC
525	TIF	TIFFANY & CO NEW
526	TWX	TIME WARNER INC
527	TWI	TITAN INTL INC ILL
528	TJX	TJX COMPANIES INC NEW
529	TOL	TOLL BROTHERS INC
530	TMK	TORCHMARK CORP
531	RIG	TRANSOCEAN INC
532	RIG	TRANSOCEAN ORDINARY SHARES
533	TRMB	TRIMBLE NAVIGATION LTD
534	TYC	TYCO INTERNATIONAL LTD-W I
535		ULTRA PETE CORP
536	UNH	United Health Inc
537	UNFI	UNITED NAT FOODS INC
538	X	UNITED STS STL CORP NEW

	C	D
500		x
501		
502		x
503		x
504		x
505		x
506		x
507		x
508		x
509		
510		x
511		x
512		x
513		x
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	A	B
539	UTX	UNITED TECHNOLOGIES CORP
540	UEIC	UNIVERSAL ELECTRONICS
541	UNM	UNUM GROUP
542	URBN	URBAN OUTFITTERS INC
543	USB	US BANCORP
544	PAY	VERIFONE HOLDINGS INC
545	VZ	Verizon Communications
546	VRTX	VERTEX PHARMACEUTICALS INC
547	VIAB	VIACOM INC CLASS B WI
548	V	VISA INC
549	VTAL	VITAL IMAGES INC
550		VODAFONE GROUP PLC SPONSORED ADR NEW
551	VTCM	VOLCOM INC
552	VNO	VORNADO REALTY TRUST
553	WB	WACHOVIA CORP
554	WMT	WAL MART STORES INC
555	WM	WASHINGTON MUTUAL INC
556	WCN	WASTE CONNECTIONS INC
557	WMI	WASTE MANAGEMENT INC
558	WAT	WATERS CORP
559	WFT	WEATHERFORD INTERNATIONAL LTD
560	WBS	WEBSTER FINANCIAL CORP
561	WLP	WELLPOINT INC
562	WFC	WELLS FARGO & CO NEW
563	WDC	WESTERN DIGITAL CORP
564	WU	WESTERN UNION CO - W/I
565	WY	WEYERHAEUSER CO
566	WHQ	WHITE ENERGY SERVICES, INC
567	WLL	WHITING PETROLEUM CORP
568	WMB	WILLIAMS COMPANIES INC
569	WSH	WILLIS GROUP HOLDINGS LTD
570	WEC	WISCONSIN ENERGY CORP
571	WMS	WMS INDUSTRIES INC
572	WRB	WR BERKLEY CORP
573	WYE	WYETH
574	WYNN	WYNN RESORTS LTD
575	XRX	XEROX CORP
576	XL	XL CAPITAL LTD CLASS A
577	XTO	XTO ENERGY INC

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547		
548	CLASS A SHARES	
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550		x
551		x
552		x
553		x
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559	SEDOL 2962421	
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	A	B
578	YHOO	YAHOO INC
579	YUM	YUM! BRANDS INC
580	ZMH	ZIMMER HOLDINGS INC
581	ZION	ZIONS BANCORP
582	ZOLT	ZOLTEK COS INC

	C	D
578		x
579		x
580		
581		x
582		x

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*)	Page Number
GOSS, PORTER J.	4

Part II: Liabilities

Report for Yourself, Spouse, and Dependent Child:	Do Not Report:
• A liability over $10,000 owed at any time during the reporting period, other than a loan from a financial institution or business entity granted on terms made available to the general public • A loan over $10,000 from an individual, such as a friend or a business associate	• Any liability, such as a mortgage, a student loan, or a credit card account, from a financial institution or business entity granted on terms made available to the general public • Loans secured by automobiles, household furniture, or appliances, unless the loan exceeds the purchase price of the item it secures • Liabilities that you owe to your spouse or to the parent, sibling, or child of you, your spouse, or your dependent child

eportable Information – Go to the last page to see examples of how to report liabilities.

Name of creditor *(include city and state where creditor is located)*	**Type of liability** *(personal loan, margin account, etc.)*
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[August 2005]

Name (Print last, first, middle initial)	Page Number
GOSS, PORTER J	3

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Part III: Outside Positions

Report for Yourself:	Do Not Report:
• All positions outside the U.S. Government held at any time during the reporting period, whether or not you were compensated and whether or not you currently hold that position. Positions include an officer, director, employee, trustee, general partner, proprietor, representative, executor, or consultant of any of the following: - Corporation, partnership, trust, or other business entity - Non-profit or volunteer organization - Educational institution	• Any position with a - Religious entity - Social entity - Fraternal entity - Political entity • Any position held by your spouse or dependent child • Any position that you hold as part of your official duties

Reportable Information – Go to the last page to see examples of how to report outside positions.

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Organization (Include city and state where organization is located)	Type of organization	Position	No longer held
1 Belfort Center – Harvard University Cambridge, MA	Higher Education	Guest Speaker and Advisor (unpaid)	☒
2 Montpelier – Orange County, VA	Education	Volunteer Advisor (unpaid)	☐
3 Retreat Farm Produce Co. and Retreat Farm Village Depot	LLC	Member	☐
4 PJG Enterprises – Sanibel, Florida	LLC	Officer	☐
5 Fishers Island, NY QPRT	Family Residential Trust	Trustee (unpaid)	☐
6 Tourist Development Council of SWFL	Board	Spokesman (unpaid)	☒
7 Winning Solutions – University of West Georgia Carrollton, GA	Educational Seminar	Taped Speaker (unpaid)	☒
8 Everglades Conference Sanibel, Florida	Environmental Educational Workshop	Speaker (unpaid)	☒
9 Epicenter 08 Conference Jerusalem, Israel	Educational Conference	Taped Speaker (unpaid)	☒
10 American-Australian Dialogue Washington, DC	Issues Dialogue	Participant	☐

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*)	Page Number
GOSS, PORTER J.	5A

Part III: Outside Positions

Report for Yourself:	Do Not Report:
• All positions outside the U.S. Government held at any time during the reporting period, whether or not you were compensated and whether or not you currently hold that position. Positions include an officer, director, employee, trustee, general partner, proprietor, representative, executor, or consultant of any of the following: - Corporation, partnership, trust, or other business entity - Non-profit or volunteer organization - Educational institution	• Any position with a - Religious entity - Social entity - Fraternal entity - Political entity • Any position held by your spouse or dependent child • Any position that you hold as part of your official duties

:eportable Information – Go to the last page to see examples of how to report outside positions.

Organization *(include city and state where organization is located)*	Type of organization	Position	No longer held
1 PERSONAL REVOCABLE TRUST NAPLES, FL	FINANCIAL TRUST	CO-TRUSTEE	☐
2			☐
3			☐
4			☐
5			☐
6			☐
7			☐
8			☐
9			☐
10			☐

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Part IV: Agreements or Arrangements

PAGE 6

Report Your Agreements or Arrangements for:	Do Not Report:
• Continuing participation in an employee pension or benefit plan maintained by a former employer • A leave of absence • Future employment, including date you accepted employment offer • Continuation of payment by a former employer (including severance payments)	• Any agreement or arrangement related to your employment by the Federal Government • Spouse's and dependent child's agreements or arrangements

Reportable Information – Go to the last page to see examples of how to report agreements and arrangements.

Entity with which you have an agreement or arrangement *(include city and state where entity is located)*	Terms of Agreement or Arrangement
1 LEADING AUTHORITIES SPEAKERS BUREAU WASHINGTON, DC	PARTICIPATE IN SPEAKING APPEARANCES ARRANGED BY LEADING AUTHORITIES - LETTER OF AGREEMENT 10/17/07 - COMPENSATION WILL BE FEE PER EVENT
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05/13/2009 15:50 7038932546 HAYTWARD **HAND DELIVERED** PAGE 01

Office of the Clerk Initial OCE Financial Disclosure Form

Date Received by Office of the Clerk

RECEIVED RESOURCE Page Number 1

2009 MAY 15 PM 3:32

OFFICE OF THE CLERK U.S. HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE REPORT

Office of Congressional Ethics
United States House of Representatives

Name (*Print last, first, middle initial*)	Member or Alternate Member?
Allison R. Hayward	Member

Reporting Status	If New Member/Alternate, Date of Appointment to Position (*mm/dd/yy*)
New Member/Alternate ☐ Annual X	

Step 1: Read the instructions for Parts I through V on the following pages.

Step 2: For each statement below, check Yes or No to describe your situation.

I. I have reportable assets or sources of income for myself, my spouse, or my dependent children.	Yes ☒	No ☐
II. I have reportable liabilities (debts) for myself, my spouse, or my dependent children.	Yes ☐	No ☒
III. I have reportable outside positions for myself.	Yes ☒	No ☐
IV. I have reportable agreements or arrangements for myself.	Yes ☐	No ☒

Step 3: If you selected "Yes" for any statement, you must describe the reportable interests (but not values) that you have in the corresponding Part (I, II, III, or IV) of the form.

Step 4: Sign and date the form.

Step 5: Submit the completed form to the Office of the Clerk, U.S. House of Representatives, The Capitol, Room H-154, Washington, DC 20515-6601.

I certify that the statements I have made on this form and any attached statements are true, complete, and correct to the best of my knowledge.

Signature of Member/Alternate Member	Date (*mm/dd/yy*)
	5/13/09

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*)	Page Number 2

Part I: Assets and Sources of Income

Report for Yourself, Spouse, and Dependent Child:	Do Not Report:
• Assets held for investment with a value greater than $1,000 at the end of the reporting period OR assets held for investment which produced more than $200 in income during the reporting period, including but not limited to: - Assets such as stocks, bonds, annuities, trust holdings, partnership interests, life insurance, investment real estate, or a privately-held trade or business - Sector mutual funds: those funds invested in a particular industry, business, or location such as ABC Electronics Fund or XYZ Canada Fund (report the full name of the fund, not just the general family fund name) - Holdings of retirement plans, such as 401(k)s or IRAs (list each holding except diversified mutual funds) - Holdings of investment life insurance - Holdings of variable annuities - Defined benefit pension plans provided by a former employer (include the name of the employer)	• Federal Government retirement benefits • Thrift Savings Plan • Certificates of deposit, savings or checking accounts • Term life insurance • Money market mutual funds and money market accounts • Your personal residence, unless you rent all or part of it out • Diversified mutual funds, such as ABC Equity Value Fund or XYZ Large Capital Fund • U.S. Government Treasury bonds, bills, notes, and savings bonds • Money owed to you, your spouse, or dependent child by a spouse, parent, sibling, or child

Also Report:	Do Not Report:
• For yourself: (1) all sources of salary, fees, commissions, and other earned income greater than $200, (2) honoraria greater than $200, and (3) other non-investment income such as scholarships, prizes, and gambling income greater than $200 • For your spouse: (1) all sources of salary, fees, commissions, and other earned income greater than $1,000, and (2) honoraria greater than $200	• Dependent child's earned income • Veterans' benefits • Federal Government salary • Social Security benefits

Important Definitions

Diversified Mutual Fund – A mutual fund that does not have a stated policy of concentrating its investments in one industry, business, or single country other than the United States.
Sector Mutual Fund – A mutual fund that concentrates its investments in an industry, business, single country other than the United States, or bonds of a single state within the United States.
Dependent Child – A son, daughter, stepson or stepdaughter who is either unmarried and under age 21 and living in the filer's house, or considered dependent under the U.S. tax code.

Reportable Information – Go to the last page to see examples of how to report assets and sources of income.

Specific stock, bond, sector mutual fund, type/location of real estate, etc. *(Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.)* **Name of Employer or Business; Source of Fees, Commissions, or Honoraria** *(Include brief description.)* **You may choose** to distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held. Do not include actual names.	**No longer held**
1 George Mason University - employer	☐
2 American Enterprise Institute - employer	☐
3 Ashbrook Center - honoraria	☐
4 Pacific Research Institute – independent contractor	☐
5 Hillsdale College - honoraria	☐

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*) *Hayward, Allison R.*	Page Number 3

Part I: Assets and Sources of Income

Continuation Page

Specific stock, bond, sector mutual fund, type/location of real estate, etc. (*Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.*) **Name of Employer or Business; Source of Fees, Commissions, or Honoraria** (*Include brief description.*) **You may choose** to distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held. Do not include actual names.	**No longer held**
1 Alliance Bernstein Natl FD	☐
2 Eaton Vance National TR	☐
3 J.P. Morgan Chase	☐
4 MACQUARIE INFRASTRUCTURES	☒
5 McDonalds	☐
6 Mercury Group Corp	☒
7 Ship FINANCE	☐
8 Sprint Nextel	☐
9 Teleflex	☐
10 Wal-Mart	☐
11 Windstream Corp.	☐
12 Chevron	☐
13 Coca-Cola	☐
14 Duke Energy	☐
15 Exxon Mobile	☐
16 General Electric	☐
17 Johnson & Johnson	☐
18 Pfizer Inc.	☐
19 The Southern Company	☐
20 United Technologies	☐

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*) *Hayward, Allison R.*	Page Number 4

Part I: Assets and Sources of Income

Continuation Page

Specific stock, bond, sector mutual fund, type/location of real estate, etc. (*Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.*) **Name of Employer or Business; Source of Fees, Commissions, or Honoraria** (*Include brief description.*) **You may choose** to distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held. Do not include actual names.	**No longer held**
[1] Affymetrix Inc.	☐
[2] Boeing	☐
[3] Briggs & Stratton	☐
[4] Deluxe Corp.	☐
[5] Echostar Corp.	☐
[6] Emerson Electric	☐
[7] Griffon Corp.	☐
[8] Loews Corp.	☐
[9] Medtronic	☐
[10] Proctor & Gamble	☐
[11] Weyerhauser	☐
[12] Microsoft	☐
[13] Charles Schwab	☐
[14] Cohen & Steers Realty Shares	☒
[15] Fidelity Real Estate Investments	☒
[16] Fund for American Studies – independent contractor	☐
[17] Searle Freedom trust – director's fee	☐
[18] National Review - fee	☐
[19] Newscorp/Weekly Standard - fee	☐
[20] Random House – advance and residuals	☐

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*) *Hayward, Allison R.*	Page Number 5

Part I: Assets and Sources of Income

Continuation Page

Specific stock, bond, sector mutual fund, type/location of real estate, etc. (*Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.*) **Name of Employer or Business; Source of Fees, Commissions, or Honoraria** (*Include brief description.*) **You may choose** to distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held. Do not include actual names.	**No longer held**
1 Belmont Abbey College - honoraria	☐
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Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*)	Page Number 6

Part I: Assets and Sources of Income

Continuation Page

Specific stock, bond, sector mutual fund, type/location of real estate, etc. (*Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.*) **Name of Employer or Business; Source of Fees, Commissions, or Honoraria** (*Include brief description.*) **You may choose** to distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held. Do not include actual names.	**No longer held**
1 Claremont Institute - honoraria	☐
2 Amherst College - honoraria	☐
3 American International Group	☒
4 Ford Motor Company	☒
5 LSI Industries	☐
6 Nike Inc.	☐
7 Pepsico	☐
8 Cardinal Health	☐
9 Colgate Palmolive	☐
10 Glimcher Realty Trust REIT	☐
11 Auto Data Processing	☐
12 Bank of America	☐
13 Broadridge Financial Solution	☐
14 Citigroup	☐
15 Clorox Corp.	☐
16 Embarq Corp.	☐
17 Equity Residential	☐
18 Home Depot	☐
19 Idearc Inc.	☐
20 Kinder Morgan Energy LP	☐

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*)	Page Number 7

Part II: Liabilities

Report for Yourself, Spouse, and Dependent Child:	Do Not Report:
• A liability over $10,000 owed at any time during the reporting period, other than a loan from a financial institution or business entity granted on terms made available to the general public • A loan over $10,000 from an individual, such as a friend or a business associate	• Any liability, such as a mortgage, a student loan, or a credit card account, from a financial institution or business entity granted on terms made available to the general public • Loans secured by automobiles, household furniture, or appliances, unless the loan exceeds the purchase price of the item it secures • Liabilities that you owe to your spouse or to the parent, sibling, or child of you, your spouse, or your dependent child

Reportable Information – Go to the last page to see examples of how to report liabilities.

Name of creditor *(include city and state where creditor is located)*	**Type of liability** *(personal loan, margin account, etc.)*
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Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*)	Page Number 8

Part III: Outside Positions

Report for Yourself:	Do Not Report:
• All positions outside the U.S. Government held at any time during the reporting period, whether or not you were compensated and whether or not you currently hold that position. Positions include an officer, director, employee, trustee, general partner, proprietor, representative, executor, or consultant of any of the following: – Corporation, partnership, trust, or other business entity – Non-profit or volunteer organization – Educational institution	• Any position with a – Religious entity – Social entity – Fraternal entity – Political entity • Any position held by your spouse or dependent child • Any position that you hold as part of your official duties

Reportable Information – Go to the last page to see examples of how to report outside positions.

Organization *(include city and state where organization is located)*	**Type of organization**	**Position**	**No longer held**
1 George Mason University School of Law	Educational Institution	Assistant Professor	☐
2 Free Speech and Election Law Practice Group	Non-Profit Volunteer	Chairman	☐
3 Center for Competitive Politics	Non-Profit Volunteer	Board Member	☐
4 Center for Competitive Politics	Non-Profit Volunteer	Academic Advisor	☒
5			☐
6			☐
7			☐
8			☐
9			☐
10			☐

Part IV: Agreements or Arrangements

Report Your Agreements or Arrangements for:	Do Not Report:
• Continuing participation in an employee pension or benefit plan maintained by a former employer • A leave of absence • Future employment, including date you accepted employment offer • Continuation of payment by a former employer (including severance payments)	• Any agreement or arrangement related to your employment by the Federal Government • Spouse's and dependent child's agreements or arrangements

Reportable Information – Go to the last page to see examples of how to report agreements and arrangements.

Entity with which you have an agreement or arrangement *(include city and state where entity is located)*	**Terms of Agreement or Arrangement**
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Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

HAND DELIVERED

Date Received by Office of the Clerk	Page Number

LEGISLATIVE RESOURCE CENTER
2009 MAY 15 PM 3:30
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE REPORT

Office of Congressional Ethics
United States House of Representatives

Name (*Print last, first, middle initial*)	Member or Alternate Member?
MIKVA, ABNER J.	ALTERNATE
Reporting Status New Member/Alternate ☐ Annual ☒	**If New Member/Alternate, Date of Appointment to Position (*mm/dd/yy*)**

Step 1: Read the instructions for Parts I through V on the following pages.

Step 2: For each statement below, check Yes or No to describe your situation.

I. I have reportable assets or sources of income for myself, my spouse, or my dependent children.	Yes ☒	No ☐
II. I have reportable liabilities (debts) for myself, my spouse, or my dependent children.	Yes ☐	No ☒
III. I have reportable outside positions for myself.	Yes ☒	No ☐
IV. I have reportable agreements or arrangements for myself.	Yes ☒	No ☐

Step 3: If you selected "Yes" for any statement, you must describe the reportable interests (but not values) that you have in the corresponding Part (I, II, III, or IV) of the form.

Step 4: Sign and date the form.

Step 5: Submit the completed form to the Office of the Clerk, U.S. House of Representatives, The Capitol, Room H-154, Washington, DC 20515-6601.

I certify that the statements I have made on this form and any attached statements are true, complete, and correct to the best of my knowledge.

Signature of Member/Alternate Member	Date (*mm/dd/yy*)
	April 23 2009

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*)	Page Number
MIKVA, ABNER J.	2

Part I: Assets and Sources of Income

Report for Yourself, Spouse, and Dependent Child:	Do Not Report:
• Assets held for investment with a value greater than $1,000 at the end of the reporting period OR assets held for investment which produced more than $200 in income during the reporting period, including but not limited to: - Assets such as stocks, bonds, annuities, trust holdings, partnership interests, life insurance, investment real estate, or a privately-held trade or business - Sector mutual funds: those funds invested in a particular industry, business, or location such as ABC Electronics Fund or XYZ Canada Fund (report the full name of the fund, not just the general family fund name) - Holdings of retirement plans, such as 401(k)s or IRAs (list each holding except diversified mutual funds) - Holdings of investment life insurance - Holdings of variable annuities - Defined benefit pension plans provided by a former employer (include the name of the employer)	• Federal Government retirement benefits • Thrift Savings Plan • Certificates of deposit, savings or checking accounts • Term life insurance • Money market mutual funds and money market accounts • Your personal residence, unless you rent all or part of it out • Diversified mutual funds, such as ABC Equity Value Fund or XYZ Large Capital Fund • U.S. Government Treasury bonds, bills, notes, and savings bonds • Money owed to you, your spouse, or dependent child by a spouse, parent, sibling, or child
Also Report:	**Do Not Report:**
• For yourself: (1) all sources of salary, fees, commissions, and other earned income greater than $200, (2) honoraria greater than $200, and (3) other non-investment income such as scholarships, prizes, and gambling income greater than $200 • For your spouse: (1) all sources of salary, fees, commissions, and other earned income greater than $1,000, and (2) honoraria greater than $200	• Dependent child's earned income • Veterans' benefits • Federal Government salary • Social Security benefits

Important Definitions

Diversified Mutual Fund – A mutual fund that does not have a stated policy of concentrating its investments in one industry, business, or single country other than the United States.
Sector Mutual Fund – A mutual fund that concentrates its investments in an industry, business, single country other than the United States, or bonds of a single state within the United States.
Dependent Child – A son, daughter, stepson or stepdaughter who is either unmarried and under age 21 and living in the filer's house, or considered dependent under the U.S. tax code.

Reportable Information – Go to the last page to see examples of how to report assets and sources of income.

Specific stock, bond, sector mutual fund, type/location of real estate, etc. *(Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.)* **Name of Employer or Business; Source of Fees, Commissions, or Honoraria** *(Include brief description.)* **You may choose** to distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held. Do not include actual names.	**No longer held**
1 (S) ANHEUSER BUSCH CORP	☒
2 (S) HEWLETT PACKARD	☐
3 (S) JANUS CAPITAL FUND GROUP, INC.	☐
4 (S) WASHINGTON REAL ESTATE MUTUAL INVESTMENT TRUST	☐
5 UNIV. CHICAGO LAW SCHOOL - PROF	☒

Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*)	Page Number
MIKVA, ABNER J.	3

Part I: Assets and Sources of Income

Continuation Page

Specific stock, bond, sector mutual fund, type/location of real estate, etc. (*Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.*) **Name of Employer or Business; Source of Fees, Commissions, or Honoraria** (*Include brief description.*) **You may choose** to distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held. Do not include actual names.	**No longer held**
1 JAMS, INC - ARBITRATION, MEDIATION	☐
2 ILLINOIS HUMAN RIGHTS COMM'N - CHAIRMAN	☒
3 (S) IRA-MORGAN STANLEY Dean Whitter Value Fund	☐
4 IRA-MORGAN STANLEY Dean Whitter Value Fund	☐
5 (S) STATE OF ILL. TEACHERS PENSION FUND	☐
6 STATE of ILLINOIS LEGISLATIVE PENSION FUND	☐
7 ERNST + YOUNG - EXPERT WITNESS FEES	☒
8 NOKIA CORP. " " "	☒
9 BANK OF NEW YORK " " "	☒
10 S.E.I.U. (UNION) ETHICS COMMITTEE	☒
11	☐
12	☐
13	☐
14	☐
15	☐
16	☐
17	☐
18	☐
19	☐
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Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*)	Page Number
MIKVA, ABNER J.	4

Part II: Liabilities

Report for Yourself, Spouse, and Dependent Child:	Do Not Report:
• A liability over $10,000 owed at any time during the reporting period, other than a loan from a financial institution or business entity granted on terms made available to the general public • A loan over $10,000 from an individual, such as a friend or a business associate	• Any liability, such as a mortgage, a student loan, or a credit card account, from a financial institution or business entity granted on terms made available to the general public • Loans secured by automobiles, household furniture, or appliances, unless the loan exceeds the purchase price of the item it secures • Liabilities that you owe to your spouse or to the parent, sibling, or child of you, your spouse, or your dependent child

Reportable Information – Go to the last page to see examples of how to report liabilities.

Name of creditor *(include city and state where creditor is located)*	Type of liability *(personal loan, margin account, etc.)*
1	NONE
2	
3	
4	
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Office of the Clerk Initial OCE Financial Disclosure Form
(August 2008)

Name (*Print last, first, middle initial*)	Page Number
MIKVA, ABNER J.	3

Part III: Outside Positions

Report for Yourself:	Do Not Report:
• All positions outside the U.S. Government held at any time during the reporting period, whether or not you were compensated and whether or not you currently hold that position. Positions include an officer, director, employee, trustee, general partner, proprietor, representative, executor, or consultant of any of the following: - Corporation, partnership, trust, or other business entity - Non-profit or volunteer organization - Educational institution	• Any position with a - Religious entity - Social entity - Fraternal entity - Political entity • Any position held by your spouse or dependent child • Any position that you hold as part of your official duties

Reportable Information – Go to the last page to see examples of how to report outside positions.

Organization (*include city and state where organization is located*)	Type of organization	Position	No longer held
1 MIKVA CHALLENGE CHICAGO, IL	501 (C)(3) ORGANIZATION WORKING W/ YOUTH	BOARD MEMBER	☐
2 ILLINOIS ISSUES SPRINGFIELD, ILL	MAGAZINE ON STATE ISSUES	ADVISORY BOARD MEMBER	☐
3 AMERICAN CONSTITUTION SOCIETY	501 (C)(3) ORG. WORKING WITH LAW STUDENTS	BOARD MEMBER	☐
4 JEWISH COUNCIL FOR URBAN AMERICA	501 (C)(3) ORG WORKING ON URBAN PROBLEMS	BOARD MEMBER	☐
5 ILLINOIS HUMAN RIGHTS COMMISSION	STATE COMMISSION	CHAIRMAN	☑
6			☐
7			☐
8			☐
9			☐
10			☐

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Part IV: Agreements or Arrangements

Report Your Agreements or Arrangements for:	Do Not Report:
• Continuing participation in an employee pension or benefit plan maintained by a former employer • A leave of absence • Future employment, including date you accepted employment offer • Continuation of payment by a former employer (including severance payments)	• Any agreement or arrangement related to your employment by the Federal Government • Spouse's and dependent child's agreements or arrangements

Reportable Information – Go to the last page to see examples of how to report agreements and arrangements.

Entity with which you have an agreement or arrangement *(include city and state where entity is located)*	**Terms of Agreement or Arrangement**
1 STATE OF ILLINOIS	TEACHERS PENSION FUND
2 STATE OF ILLINOIS	LEGISLATIVE PENSION FUND
3	
4	
5	
6	
7	
8	
9	
10	

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EXAMPLES

Part I: Assets and Income

Specific stock, bond, sector mutual fund, type/location of real estate, etc. *(Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.)* **Name of Employer or Business; Source of Fees, Commissions, or Honoraria** *(Include brief description.)* **You may choose** to distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held. Do not include actual names.	**No longer held**
XYZ Japan Fund *(Example of sector mutual fund)*	☐
OGE Energy *(Example of stock that produced more than $200 in capital gains)*	☒
(S) OGC Communications *(Example of stock held in a 401(k) plan)*	☐
ABC Healthcare Fund *(Example of sector fund held in a variable annuity)*	☐
Rental Condo, Anchorage, AK *(Example of investment real estate)*	☐
Bryggadune University – former employer	☒
(S) Express Medical Clinic – employer	☐
Association of Accountants – honoraria	☐

Part II: Liabilities

Name of creditor *(city and state)*	**Type of liability** *(personal loan, margin account, etc.)*
John Jones (Denver, CO)	Personal loan from a friend
ANW Investment Company (San Francisco, CA)	Margin account

Part III: Outside Positions

Organization *(city and state)*	**Type of organization**	**Position**	**No longer held**
Bryggadune University (Memphis, TN)	Educational institution	Professor	☒
ISK Family Trust (Boynton Beach, FL)	Family Trust	Trustee	☐
Scenic Rivers Association (Nashville, TN)	Non-profit environmental organization	Member, Board of Directors	☒

Part IV: Agreements or Arrangements

Entity with which you have an agreement or arrangement *(include city and state where entity is located)*	**Terms of Agreement or Arrangement**
Dee, Jones & Smith (San Diego, CA)	Will receive pension benefits (defined benefit plan) *(Example of continuing participation in an employee pension or benefit plan by a former employer)*
Hartford & Brown (San Diego, CA)	Employment agreement with Hartford & Brown. Starting work as attorney in July 2009. Entered into agreement in October 2008. *(Example of agreement for future employment)*

Office of the Clerk Initial OCE Financial Disclosure Form

HAND DELIVERED

Date Received by Office of the Clerk

HOUSE RESOURCE CENTER
2009 MAY 15 PM 3:30
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

Page Number 1

FINANCIAL DISCLOSURE REPORT

Office of Congressional Ethics
United States House of Representatives

Name (*Print last, first, middle initial*)	Member or Alternate Member?
Skaggs, David E.	Member

Reporting Status	If New Member/Alternate, Date of Appointment to Position (*mm/dd/yy*)
New Member/Alternate ☐ Annual X	07/24/08

Step 1: Read the instructions for Parts I through V on the following pages.

Step 2: For each statement below, check Yes or No to describe your situation.

I. I have reportable assets or sources of income for myself, my spouse, or my dependent children.	**Yes X**	**No ☐**
II. I have reportable liabilities (debts) for myself, my spouse, or my dependent children.	**Yes ☐**	**No X**
III. I have reportable outside positions for myself.	**Yes X**	**No ☐**
IV. I have reportable agreements or arrangements for myself.	**Yes ☐**	**No X**

Step 3: If you selected "Yes" for any statement, you must describe the reportable interests (but not values) that you have in the corresponding Part (I, II, III, or IV) of the form.

Step 4: Sign and date the form.

Step 5: Submit the completed form to the Office of the Clerk, U.S. House of Representatives, The Capitol, Room H-154, Washington, DC 20515-6601.

I certify that the statements I have made on this form and any attached statements are true, complete, and correct to the best of my knowledge.

Signature of Member/Alternate Member	Date (*mm/dd/yy*)
	05/12/09

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Name (*Print last, first, middle initial*)) Skaggs, David E.	Page Number 2

Part I: Assets and Sources of Income

Specific stock, bond, sector mutual fund, type/location of real estate, etc. *(Indicate the full name of each specific asset or investment. You may add the ticker symbol to the full name.)* **Name of Employer or Business; Source of Fees, Commissions, or Honoraria** *(Include brief description.)* **You may choose** to distinguish any entry for a family member by preceding it with S for spouse, DC for dependent child, or J for jointly held. Do not include actual names.	**No longer held**
1 State of Colorado, Department of Higher Education, employer	☐
2 PUBLIC INTEREST DECLASSIFICATION BOARD, NATIONAL ARCHIVES AND RECORDS ADMINISTRATION, employer as special government employee (board member)	☐
3 CISCO SYSTEMS	☐
4 ISHARES INC MSCI AUSTRIA	☐
5 TLABS INC	☐

Part II: Liabilities

Name of creditor *(include city and state where creditor is located)*	**Type of liability** *(personal loan, margin account, etc.)*
1 NONE	

Part III: Outside Positions

Organization *(include city and state where organization is located)*	**Type of organization**	**Position**	**No longer held**
1 DEMOS	Nonprofit public policy research	Board of trustees (on leave)	☐
2 U S ASSOCIATION OF FORMER MEMBERS OF CONGRESS	Nonprofit association	Board of trustees	☐
3 EAST-WEST PARLIAMENTARY PRACTICE PROJECT	Nonprofit international democracy practices	Steering Committee	☐
4 STATE HIGHER EDUCATION EXECUTIVE OFFICERS	Nonprofit association state higher education policy	Chair Federal Relations Committee	☐
5 WESTERN INTERSTATE COMMISSION FOR HIGHER EDUCATION	Nonprofit interstate education compact	Commissioner, Chair Policy Comm.	☐

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Part IV: Agreements or Arrangements

Entity with which you have an agreement or arrangement *(include city and state where entity is located)*	**Terms of Agreement or Arrangement**
[1] NONE	

Eric Taslitz
Vice President - Investments
Satz, Evans Group
UBS Financial Services Inc.
2029 Century Park East, Suite 3000
Los Angeles, CA 90067-3015

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