

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) BENNETT, MARK W.	2. Court or Organization USDC/Northern District of Iowa	3. Date of Report 07/25/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Court Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address 313 United States Courthouse 320 Sixth Street Sioux City, IA 51101		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

	POSITION	NAME OF ORGANIZATION/ENTITY
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	DATE	PARTIES AND TERMS
1.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 15

Name of Person Reporting

BENNETT, MARK W.

Date of Report

07/25/2013

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2012	Aspen Publishing	\$4,200.00
2. 2012	Drake University Law School	\$3,700.00
3. 2012	Seton Hall Law School	\$2,500.00
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☒ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	NACDL	1.19-1.21	Aspen, CO	NACDL Seminar	airfare, lodging, meals
2.	Judicial Education Division of the Illinois Courts	1.30-1.31	Chicago, IL	Education Conference 2012	airfare, lodging, meals
3.	Drake University School of Law	2.19-2.20	Des Moines, IA	Co-teaching law class	mileage, lodging
4.	Federal Judicial Center	3.19-3.21	Charlotte, NC	FJC Jury Workshop	airfare, lodging, meals
5.	Seton Hall University School of Law	3.26-3.29	Newark, NJ	Visiting Jurist in Residence	airfare, lodging, meals

FINANCIAL DISCLOSURE REPORT

Page 3 of 15

Name of Person Reporting

BENNETT, MARK W.

Date of Report

07/25/2013

6.	Judicial Education Division of the Illinois Courts	4.16-4.17	Chicago, IL	Education Conference 2012	airfare, lodging, meals
7.	Drake University Law School	4.21	Des Moines, IA	Co-teaching law class	mileage
8.	New York Law School	4.22-4.24	New York, NY	NY Law School Employee Rights Advocacy Institute for Law & Policy Symposium	airfare, lodging, meals
9.	Alaska Bar Association	5.1-5.2	Anchorage, AK	State Judges Conference/ Bar Convention	airfare, lodging, meals
10.	King County Bar Association	5.3-5.4	Seattle, WA	Pacific Coast Labor & Employment Law Conference	airfare, lodging, meals
11.	Nevada Federal Public Defender's Office	5.16-5.17	Las Vegas	Nevada FPD	airfare, lodging, meals
12.	National Association of Criminal Defense Lawyers & ABA	5.23-5.25	St. Petersburg, FL	21st Annual National Seminar on the Federal Sentencing Guidelines	airfare, lodging, meals
13.	University of Louisville - Brandeis Law School	6.20-6.21	Louisville, KY	8th Annual Carl Warns Labor and Employment Law Institute	airfare, lodging, meals
14.	Arizona State Bar Association	6.21-6.23	Phoenix, AZ	Arizona State Bar Convention	airfare, lodging, meals
15.	The Eisenhower Project	9.30-10.1	New Orleans, LA	American Judgs Annual Conference	airfare, lodging, meals
16.	American Bar Association	10.31-11.3	Atlanta, GA	6th Annual ABA Section of Labor and Employment Law Confernece	airfare, lodging, meals
17.	Iowa State Bar Association	12.13-12.14	Des Moines, IA	Federal Practice Seminar	mileage, lodging

FINANCIAL DISCLOSURE REPORT

Page 4 of 15

Name of Person Reporting

BENNETT, MARK W.

Date of Report

07/25/2013

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

1.

2.

3.

4.

5.

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 5 of 15

Name of Person Reporting

BENNETT, MARK W.

Date of Report

07/25/2013

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. Non-IRA (Fidelity)									
2. ANTX		None	J	T					
3. Berkshire Hathaway		None	J	T					
4. FBR Focus Fund		None							
5. First Eagle Global Class C		None	J	T					
6. Invesco Intl. Small Co.		None	J	T					
7. Hennessey Focus Fund **		None	J	T	Spinoff (from line 4)				
8. Permanent Portfolio		None	J	T					
9. Surebeam Corp.		None	J	T					
10. Vanguard Index FDS	A	Dividend	J	T					
11. Vanguard Specialized Portfolios **									
12. WasatchUltra Growth		None			Sold	11/29/12	J	B	
13.									
14. Rollover IRA (Fidelity)									
15. Berkshire Hathaway		None	K	T	Buy	2/14/12	J		
16. Fidelity Cash Reserves	A	Dividend	J	T					
17. Fidelity Real Estate Income	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 6 of 15

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18. First Eagle Global Class C		None	K	T	Sold (part)	11/26/12	J	B	
19. Iva Worldwide Fund		None	K	T	Sold (part)	5/30/12	J	B	
20.					Sold (part)	9/21/12	J	B	
21.					Sold (part)	10/31/12	J	B	
22.					Sold (part)	11/1/12	J	B	
23. Leuthold Global Fund Retail Shares	A	Dividend			Sold (part)	2/9/12	J	D	
24.					Sold (part)	3/27/12	J	B	
25.					Sold	4/25/12	J	C	
26. Oakmark International Small Cap	A	Dividend	J	T	Sold (part)	7/27/12	J	B	
27. Permanent Portfolio	A	Dividend	J	T	Sold (part)	12/27/12	J	B	
28. T. Rowe Price PERSNL Strategy Blanced		None			Sold (part)	1/30/12	J	B	
29.					Sold	2/9/12	J	C	
30. Wasatch Ultra Growth		None			Sold (part)	6/29/12	J	C	
31.					Sold	8/28/12	J	B	
32.									
33. Miscellaneous Holdings									
34. Iowa College Savings Account -- self - no control **		None	J	T			J		

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FINANCIAL DISCLOSURE REPORT

Page 7 of 15

Name of Person Reporting

BENNETT, MARK W.

Date of Report

07/25/2013

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35. Iowa College Savings Account . . . no control **		None	J	T			J		
36. CKG ACCT; Fidelity, Boston MA	A	Interest	K	T					
37. Wells Fargo Checking Account	A	Interest	J	T					
38. Iowa/Nebraska State Bank Checking Account	A	Interest	J	T			J		
39. REINSURANCE AGREEMENT; 1st Colony Life Ins. Co.		None	N	W					
40. Belcour Pension Invest VI		None	J	T					
41. LMTD PTRSHIP; Riverfront Ass'n; Des Moines **		None	J	W					
42. LMTD PTRSHIP-Shearson Senior Income Fund **		None			Closed		J	A	**
43. LMTD PTRSHIP-Shearson Coast Savings **		None			Closed		J	A	**
44. LMTD PTRSHIP-Caryle Real Estate		None			Closed		J	A	**
45. RESIDENTIAL LOT; Sioux City, IA		None			Sold	12/28/12	K	B	
46.									
47. IRA Fidelity									
48. Amana Mutual Fund		None	J	T	Buy	06/12/12	J		
49. American Century Mid Cap	A	Dividend	J	T	Buy (add'l)	06/12/12	J		
50. Blackrock Energy & Resources **		None			Sold	06/26/12	J	C	
51. BMO Small Cap		None			Sold	3/5/12	J	D	

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3. Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 8 of 15

Name of Person Reporting

BENNETT, MARK W.

Date of Report

07/25/2013

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52. Berkshire Hathaway Inc DEL CL B **		None	L	T	Buy (add'l)	2/9/12	J		
53.					Buy (add'l)	03/30/12	J		
54.					Buy (add'l)	04/12/12	K		
55.					Buy (add'l)	12/31/12	J		
56. Direxion Long/Short Global		None			Sold	09/24/12	J	C	
57. Fidelity Cash Reserves	A	Dividend	K	T					
58. Fidelity Japan Smaller Co's		None	K	T	Buy	12/18/12	K		
59. Fidelity Real Estate Income	A	Dividend	K	T	Buy (add'l)	1/24/12	J		
60.					Buy (add'l)	07/27/12	J		
61. Fidelity Select Energy	A	Dividend	J	T	Buy	11/29/12	J		
62. First Eagle Global Class 1 **		None	J	T	Sold (part)	07/12/12	J	D	
63.					Buy (add'l)	08/14/12	J		
64.					Sold (part)	10/24/12	J	D	
65. First Eagle Global Class C	A	Dividend	K	T					
66. Harbor International	A	Dividend	J	T	Buy	04/05/12	J		
67. Harding Loevner Emerging MRKTS		None			Buy (add'l)	3/26/12	J		
68.					Buy (add'l)	04/12/12			

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FINANCIAL DISCLOSURE REPORT

Page 9 of 15

Name of Person Reporting

BENNETT, MARK W.

Date of Report

07/25/2013

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69.					Sold	09/20/12	J	D	
70. Hennessy Japan		None	J	T	Buy	12/18/12	J		
71. ING Russia Fund Class A **		None			Sold (part)	04/19/12	J	C	
72.					Sold	09/24/12	J	C	
73. Invesco International Small Co. CL	A	Dividend	J	T	Sold (part)	07/11/12	J	D	
74. iShares S&P 100 Index Fund **	A	Dividend			Sold (part)	04/04/12	J	D	
75.					Sold (part)	05/08/12	J	B	
76.					Sold	09/24/12	J	C	
77. iShares S&P U.S. Preferred Stock **	A	Dividend			Sold (part)	04/04/12	J	D	
78.					Sold	09/24/12	J	C	
79. iShares S&P GSCI Commodity **		None	J	T					
80. iShares TR Dow Jones US Tech		None			Buy	04/03/12	J		
81.					Sold (part)	05/04/12	J	C	
82.					Buy (add'l)	06/01/12	J		
83.					Sold (part)	09/24/12	J	B	
84.					Sold	09/24/12	J	C	
85. IVA Worldwide Fund	A	Dividend	J	T	Sold (part)	07/12/12	J	D	

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FINANCIAL DISCLOSURE REPORT

Page 10 of 15

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BENNETT, MARK W.

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86. Mainstray Marketfield Fund		None	J	T	Buy	09/24/12	J		
87. Market Vectors **		None			Sold (part)	3/23/12	J	B	
88.					Buy (add'l)	3/15/12	J		
89.					Sold (part)	04/09/12	J	D	
90.					Sold (part)	05/08/12	J	B	
91.					Sold (part)	05/08/12	J	B	
92.					Buy (add'l)	05/29/12	J		
93.					Sold (part)	07/17/12	J	C	
94.					Buy (add'l)	08/15/12	J		
95.					Sold (part)	09/24/12	J	B	
96.					Sold	09/24/12	J	C	
97. Matthews China Fund	A	Dividend	J	T					
98. Metzler Payden Euro Emerging Markets		None			Sold (part)	04/19/12	J	C	
99.					Buy (add'l)	05/29/12	J		
100.					Buy (add'l)	07/27/12	J		
101.					Sold	09/20/12	J	D	
102. MFS Emerging Markets**	A	Dividend	J	T					

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FINANCIAL DISCLOSURE REPORT

Page 11 of 15

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103. Oakmark Equity & Income FD	A	Dividend	J	T					
104. Permanent Portfolio **	A	Dividend	K	T					
105. Pimco All Asset Fund	A	Dividend	J	T	Buy	11/30/12	K		
106. Proshares		None	K	T	Sold (part)	1/18/12	J	C	
107.					Buy (add'l)	04/03/12	J		
108.					Buy (add'l)	04/04/12	J		
109.					Sold (part)	04/09/12	J	C	
110.					Sold (part)	04/12/12	J	C	
111.					Buy (add'l)	04/18/12	J		
112.					Buy (add'l)	05/04/12	J		
113.					Buy (add'l)	05/09/12	J		
114.					Sold (part)	05/22/12	J	D	
115.					Buy (add'l)	06/04/12	J		
116.					Sold (part)	06/12/12	J	C	
117.					Buy (add'l)	06/26/12	J		
118.					Sold (part)	08/14/12	J	D	
119.					Buy (add'l)	10/02/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A -\$1,000 or less F -\$50,001 - \$100,000	B -\$1,001 - \$2,500 G -\$100,001 - \$1,000,000	C -\$2,501 - \$5,000 H1 -\$1,000,001 - \$5,000,000	D -\$5,001 - \$15,000 H2 -More than \$5,000,000	E -\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J -\$15,000 or less N -\$250,001 - \$500,000 P3 -\$250,000,001 - \$50,000,000	K -\$15,001 - \$50,000 O -\$500,001 - \$1,000,000	L -\$50,001 - \$100,000 P1 -\$1,000,001 - \$5,000,000 P4 -More than \$50,000,000	M -\$100,001 - \$250,000 P2 -\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 12 of 15

Name of Person Reporting

BENNETT, MARK W.

Date of Report

07/25/2013

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120.					Sold (part)	11/28/12	J	D	
121. Robeco Boston Ptnrs		None	K	T					
122. Select Sector SPDR **		None			Buy (add'l)	03/30/12	J		
123.					Sold (part)	05/02/12	J	D	
124.					Sold	09/24/12	J	D	
125. TCW Emerging Markets	A	Dividend	J	T	Buy	10/08/12	K		
126. Thornburg Investment Income Builder **	A	Dividend	J	T	Buy (add'l)	04/04/12	J		
127. Vanguard Inflation	A	Dividend	J	T					
128. Wasatch International Growth	A	Dividend	K	T	Buy (add'l)	3/26/12	J		
129. Wasatch Long/Short Fund		None	J	T	Buy	09/28/12	J		
130. Wasatch Microcap		None			Sold	3/5/12	J	D	
131. Wasatch Ultra Growth		None			Sold (part)	10/03/12	J	C	
132.					Sold	10/24/12	J	C	
133.									
134. IRA Smith Barney									
135. Berkshire Hathaway		None			Buy (add'l)	02/14/12	J		
136. Blackrock Global Fund		None			Sold	02/14/12	J	D	

1. Income Gain Codes: (See Columns B1 and D4)	A -\$1,000 or less F -\$50,001 - \$100,000	B -\$1,001 - \$2,500 G -\$100,001 - \$1,000,000	C -\$2,501 - \$5,000 H1 -\$1,000,001 - \$5,000,000	D -\$5,001 - \$15,000 H2 -More than \$5,000,000	E -\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J -\$15,000 or less N -\$250,001 - \$500,000 P3 -\$25,000,001 - \$50,000,000	K -\$15,001 - \$50,000 O -\$500,001 - \$1,000,000	L -\$50,001 - \$100,000 P1 -\$1,000,001 - \$5,000,000 P4 -More than \$50,000,000	M -\$100,001 - \$250,000 P2 -\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 13 of 15

Name of Person Reporting

BENNETT, MARK W.

Date of Report

07/25/2013

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)☐

NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. Dreyfus Liquid Assets, Inc.		None			Matured	03/21/12	J		
138. Ivy Asset Strategy Fund		None			Sold	03/21/12	J	D	
139. Ivy Global Natural Resources		None			Sold	03/21/12	J	D	
140. Select Sector SPDR		None			Buy (add'l)	01/03/12	J		
141. Templeton Global Bond Fund		None			Sold	03/21/12	J	D	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 14 of 15

Name of Person Reporting

BENNETT, MARK W.

Date of Report

07/25/2013

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Hennessey Focus Fund (line 7) was referred to in the 2011 report as FBR Focus Fund. There was a name change in 2012

Vanguard Specialized Portfolios (line 11) was completely sold in 2011, but inadvertently left on the report

In response to a letter of inquiry, the Iowa College Savings account (line 34) includes a Moderate Growth Portfolio and an Aggressive Growth Portfolio. It is not age-based.

In response to a letter of inquiry, the Iowa College Savings account (line 35) includes a Moderate Growth Portfolio and an Aggressive Growth Portfolio. It is not age-based

The Limited Partnerships (lines 41-43) were closed in 2012 but the filer does not remember the exact dates -- The filer also does not recall anyone else involved in the transactions.

Blackrock Energy & Resources (line 50) rolled over from [REDACTED] Smith Barney IRA on 3.21

Berkshire Hathaway (line 52) additional shares were rolled over from [REDACTED] Smith Barney IRA on 3.21

First Eagle Global Class 1 (line 62) rolled over from [REDACTED] Smith Barney IRA on 3.21

ING Russia Fund Class A (line 71) rolled over from [REDACTED] Smith Barney IRA on 3.21

iShares S& P 100 Index Fund (line 74) rolled over from [REDACTED] Smith Barney IRA on 3.21

iShares S& P Preferred Stock (line 77) rolled over from [REDACTED] Smith Barney IRA on 3.21

iShares S&P GSCI Commodity (line 79) was completely sold in 2011, but inadvertently left on the report

Market Vectors ETF (line 81) additional shares were rolled over from [REDACTED] Smith Barney IRA on 3.21

MFS Emerging Markets Fund (line 102) rolled over from [REDACTED] Smith Barney IRA on 3.21

Permanent Portfolio (line 104) additional shares were rolled over from [REDACTED] Smith Barney IRA on 3.21

Select Sector SPDR (line 122) rolled over from [REDACTED] Smith Barney IRA on 3.21

Thornburg Investment Income Builder (line 126) rolled over from [REDACTED] Smith Barney IRA on 3.21

FINANCIAL DISCLOSURE REPORT

Page 15 of 15

Name of Person Reporting

BENNETT, MARK W.

Date of Report

07/25/2013

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **MARK W. BENNETT**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
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Washington, D.C. 20544