

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2009

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) Marrero, Victor	2. Court or Organization U.S. District Court, S.D.N.Y.	3. Date of Report 06/1/2010
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination, Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2009 to 12/31/2009
7. Chambers or Office Address U.S. District Court, SDNY 500 Pearl Street New York, New York 10007	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
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. Sign on last page.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Trustee	New York Public Library
2.	
3.	
4.	
5.	

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

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 FINANCIAL
 DISCLOSURE OFFICE

Marrero, Victor

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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.		
2.		
3.		
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. 2009	municipal government official
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.				
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____
5. _____	_____	_____

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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. CITIBANK KEOGH ACCOUNT: (see lines 2 and 3)									
2. CD's	A	Interest	K	T					
3. Annuity-Transamerica	A	Interest	K	T					
4. PUTNAM RETIREMENT IRA: (see line 5)									
5. Balanced Retirement C1-A	B	Interest	K	T					
6. SUN AMERICA IRA: (see lines 7 and 8)									
7. SunAmerica Balanced	A	Dividend	K	T					
8. SunAmerica Goldman Sachs	A	Dividend	K	T					
9. PUTNAM IRA: (see line 10)									
10. Balanced Retirement C1-A	A	Dividend	J	T					
11. DREYFUS NY TAX EXEMPT FUND	D	Dividend	N	T					
12. SCHWAB: ConEd - common stock	B	Dividend	K	T					
13. NY STATE TUITION SAVINGS PLAN	A	Dividend	J	T					
14. JPMORGAN CHASE MONEY MARKET	A	Interest	J	T					
15. NYC DEFERRED COMP. IRA	A	Dividend	K	T					
16.									
17.									

1. Income Gain Codes:

(See Columns B1 and D4)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

I12 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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)
18. FIDELITY ROLLOVER IRA: (see lines 19 through 175)									
19. Puritan					Sold	1/7/09	N		
20. Magellan					Sold	1/7/09	N		
21. Conrafund					Sold	1/7/09	L		
22. Fidelity Cash Reserves	A	Interest	J	T					
23. Spartan 500 Index Fid Adv Class	A	Dividend			Buy	1/8/09	K		
24.					Sold (part)	3/5/09	J		
25.					Sold (part)	3/7/09	J		
26.					Sold (part)	7/23/09	J	A	
27.					Sold (part)	8/27/09	J	B	
28.					Sold	10/14/09	J	B	
29. Fidelity Real Estate Invest.	A	Dividend			Buy	1/8/09	J		
30.					Sold (part)	3/5/09	J		
31.					Sold	3/27/09	J		
32. Fidelity Pas Small Cap Fund	A	Dividend	K	T	Buy	1/8/09	K		
33.					Buy	3/5/09	J		
34.					Sold (part)	6/3/09	J	A	

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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)
35. Fidelity Pas Small Cap Fund (cont'd)					Sold (part)	7/23/09	J	A	
36.					Sold (part)	8/27/09	J	B	
37. Fidelity Pas Int'l Fund	A	Dividend	M	T	Buy	1/8/09	K		
38.					Buy	3/5/09	J		
39.					Sold (part)	3/27/09	J		
40.					Sold (part)	6/3/09	J	A	
41.					Buy	7/23/09	K		
42.					Buy	8/27/09	K		
43.					Buy	8/28/09	J		
44.					Sold (part)	10/14/09	J	A	
45. Fidelity Pas US Opp. Fund	A	Dividend	K	T	Buy	1/8/09	K		
46. Fidelity Dividend Growth	A	Dividend	J	T	Buy	10/14/09	J		
47.					Buy	10/14/09	J		
48. Fidelity Select Gold			J	T	Buy	3/5/09	J		
49. Fidelity Capital & Income	C	Dividend	K	T	Buy	1/8/09	K		
50.					Buy	3/27/09	J		
51.					Sold (part)	6/3/09	J	A	

1. Income Gain Codes:

(See Columns B1 and D4)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

3. Value Method Codes

(See Column C2)

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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☐ 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)
52. Fidelity Capital & Income (cont'd)					Sold (part)	7/23/09	J	B	
53.					Sold (part)	10/14/09	J	A	
54. Fidelity Investment Grade	B	Dividend	L	T	Buy	1/8/09	K		
55.					Sold (part)	3/5/09	J	A	
56.					Buy	3/27/09	J		
57.					Sold (part)	5/19/09	J	A	
58.					Buy	6/3/09	J		
59.					Sold (part)	10/14/09	J	A	
60. Fidelity Short Term Bond	A	Dividend	K	T	Buy	1/8/09	K		
61.					Buy	3/27/09	J		
62.					Buy	6/3/09	J		
63.					Sold (part)	7/23/09	J	A	
64.					Buy	10/14/09	J		
65. Fidelity Total Bond	B	Dividend	L	T	Buy	1/8/09	K		
66.					Sold (part)	3/5/09	J		
67.					Buy	3/27/09	J		
68.					Buy	6/3/09	J		

1. Income Gain Codes.

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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☐ 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 J (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)
69. Fidelity Total Bond (cont'd)					Buy	8/27/09	J		
70. Fidelity Pas Core Income Fund	C	Dividend	L	T	Buy	1/8/09	K		
71.					Buy	3/27/09	J		
72.					Buy	6/3/09	J		
73.					Buy	7/23/09	J		
74.					Buy	10/14/09	J		
75. Fidelity Pas Income Opp Fund	C	Dividend	K	T	Buy	1/8/09	K		
76.					Sold (part)	7/23/09	J	A	
77. Fidelity Money Market	A	Dividend	J	T	Buy	7/23/09	J		
78.					Sold (part)	8/18/09	J		
79.					Buy	8/27/09	J		
80.					Sold (part)	11/24/09	J		
81. Allianz NFJ Divident Value	A	Dividend	K	T	Buy	1/8/09	K		
82.					Buy	3/5/09	J		
83.					Sold (part)	6/3/09	J		
84.					Sold (part)	8/27/09	J		
85. Dreyfus Appreciation Fund	A	Dividend	K	T	Buy	1/8/09	K		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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)
86. Dreyfus Appreciation Fund (cont'd)					Buy	3/5/09	J		
87.					Sold (part)	3/27/09	J		
88.					Sold (part)	6/3/09	J	A	
89.					Sold (part)	7/23/09	J	A	
90.					Sold (part)	8/27/09	J	A	
91. Goldman Sachs Large Cap Value	A	Dividend	K	T	Buy	1/8/09	K		
92.					Sold (part)	6/3/09	J	A	
93.					Sold (part)	7/23/09	J	A	
94.					Sold (part)	8/27/09	J	A	
95. Hartford Growth Opp Class A			J	T	Buy	1/8/09	K		
96.					Sold (part)	3/27/09	J		
97.					Sold (part)	6/3/09	J	A	
98.					Sold (part)	7/23/09	J	A	
99.					Sold (part)	8/27/09	J	A	
100. Hartford Capital Appreciation Class A			J	T	Buy	1/8/09	K		
101.					Sold (part)	3/5/09	J		
102.					Sold (part)	3/27/09	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 = \$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 \$5,000,000	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	

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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)
103. Hartford Capital Appreciation Class A (cont'd)					Sold (part)	6/3/09	J	A	
104. Hotchkis & Wiley Large Cap Value Class A	A	Dividend	K	T	Buy	1/8/09	K		
105.					Sold (part)	3/27/09	J		
106.					Sold (part)	8/27/09	J	A	
107. Perkins Mid Cap Value Fund C1J	A	Dividend	J	T	Buy	1/8/09	J		
108.					Sold (part)	6/3/09	J	A	
109.					Sold (part)	7/23/09	J	A	
110. JPMorgan US Lg Cap Core Plus	A	Dividend	K	T	Buy	1/8/09	J		
111.					Buy	3/5/09	J		
112.					Buy	6/3/09	J		
113.					Buy	6/23/09	J		
114. Lazard Emerging Mkts Open C1	A	Dividend	J	T	Buy	7/23/09	J		
115.					Buy	8/27/09	J		
116.					Buy	10/14/09	J		
117. Legg Mason CBA Lg Cap Growth A			J	T	Buy	1/8/09	K		
118.					Sold (part)	3/27/09	J	A	
119.					Sold (part)	8/27/09	J	B	

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

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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. MFS Int'l Value Fund Cl A	A	Dividend	J	T	Buy	7/23/09	J		
121.					Buy	8/27/09	J		
122. MFS Research Int'l Class A	A	Dividend	J	T	Buy	7/23/09	J		
123.					Buy	8/27/09	J		
124. Mainstay Lg Cap Growth Fund Cl A			K	T	Buy	3/5/09	K		
125.					Buy	3/27/09	J		
126.					Buy	8/27/09	J		
127. Marsico Focus	A	Dividend	J	T	Buy	1/8/09	K		
128.					Sold (part)	3/5/09	J		
129.					Sold (part)	6/3/09	J	A	
130.					Sold (part)	7/23/09	J	A	
131. Master's Select Int'l Invest	A	Dividend	J	T	Buy	7/23/09	J		
132.					Buy	8/27/09	J		
133. Merger Fund	A	Dividend	K	T	Buy	1/8/09	K		
134.					Sold (part)	3/5/09	J		
135.					Buy	6/3/09	J		
136.					Buy	10/14/09	J		

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

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Name of Person Reporting
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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. Morgan Stanley Mid Cap Gr Port Cl P			K	T	Buy	1/8/09	K		
138.					Sold (part)	3/5/09	J		
139.					Sold (part)	3/27/09	J	A	
140.					Sold (part)	6/3/09	J	A	
141.					Sold (part)	7/23/09	J	A	
142.					Sold (part)	8/27/09	J	B	
143. Pimco Total Return Adm Shs	C	Dividend	L	T	Buy	1/8/09	L		
144.					Sold (part)	3/5/09	J		
145.					Buy	3/27/09	J		
146.					Buy	8/27/09	J		
147.					Sold (part)	10/14/09	J	A	
148. Pimco Short Term Adm Shs	A	Dividend	K	T	Buy	1/8/09	K		
149.					Buy	3/5/09	J		
150.					Buy	3/27/09	J		
151.					Buy	6/3/09	J		
152.					Sold (part)	7/23/09	J	A	
153.					Buy	10/14/09	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 = \$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	

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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)
154. Pimco Comm Real Ret Strat Adm	B	Dividend	K	T	Buy	1/9/09	K		
155.					Sold (part)	3/27/09	J		
156. Pimco Foreign Bond Fund Unhedged	A	Dividend			Buy	1/8/09	K		
157.					Sold	6/3/09	K	A	
158. T Rowe Price Gr Stock Adv Cl	A	Dividend			Buy	1/8/09	K		
159.					Sold (part)	3/5/09	J		
160.					Sold (part)	6/3/09	J	A	
161.					Sold (part)	7/23/09	J	A	
162.					Sold	8/27/09	J	B	
163. T Rowe Price High Yield Adv Cl	B	Dividend	K	T	Buy	1/8/09	K		
164. Royce Penn Mut Fund			J	T	Buy	3/5/09	J		
165.					Sold (part)	6/3/09	J	A	
166. Selected American Shs Cl S	A	Dividend	K	T	Buy	1/8/09	K		
167.					Sold (part)	6/3/09	J	A	
168.					Sold (part)	8/27/09	J	A	
169. Templeton Global Bond Cl A	A	Dividend	K	T	Buy	6/3/09	K		
170.					Buy	6/4/09	J		

1. Income Gain Codes:

(See Columns B1 and D4)

2. Value Codes

(See Columns C1 and D3)

3. Value Method Codes

(See Column C2)

A = \$1,000 or less

F = \$50,001 - \$100,000

J = \$15,000 or less

N = \$250,001 - \$500,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

U = Book Value

B = \$1,001 - \$2,500

G = \$100,001 - \$1,000,000

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

R = Cost (Real Estate Only)

V = Other

C = \$2,501 - \$5,000

H1 = \$1,000,001 - \$5,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

P4 = More than \$50,000,000

S = Assessment

W = Estimated

D = \$5,001 - \$15,000

H2 = More than \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

T = Cash Market

E = \$15,001 - \$50,000

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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)
171. Templeton Global Bond CI A (cont'd)					Sold (part)	7/23/09	J	A	
172. Westport Select Cap CI R	A	Dividend	J	T	Buy	1/8/09	K		
173.					Sold (part)	3/5/09	J		
174.					Sold (part)	7/23/09	J	A	
175.					Sold (part)	8/27/09	J	A	
176.									
177. ☒ FIDELITY ROLLOVER IRA: (see lines 178 through 228)									
178. Ameristock Fund					Sold	1/7/09	J		
179. Artisan Int'l.					Sold	1/7/09	K		
180. FMI Focus Fund					Sold	1/7/09	J		
181. Oakmark Equity & Income Fund					Sold	1/7/09	K		
182. Royce Stock Fund					Sold	1/7/09	J		
183. Fidelity Cash Reserves	A	Interest	J	T					
184. Fidelit Pas Small Cap Fund	A	Dividend	J	T	Buy	1/8/09	J		
185. Fidelity Pas Int'l Fund	A	Dividend	J	T	Buy	1/8/09	J		
186.					Buy	7/29/09	J		
187.					Buy	8/27/09			

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

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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)
188. Fidelity Pas US Opp Fund	A	Dividend	J	T	Buy	1/8/09	J		
189. Fidelity Real Estate Inc.	A	Dividend	J	T	Buy	1/8/09	J		
190. Fidelity Capital & Income	A	Dividend	J	T	Buy	1/8/09	J		
191. Fidelity Invest Grade	A	Dividend	J	T	Buy	1/8/09	J		
192. Fidelity Total Bond	A	Dividend	J	T	Buy	1/8/09	J		
193.					Buy	7/29/09	J		
194. Fidelity Pas Core Inc Fund	A	Dividend	J	T	Buy	1/8/09	J		
195. Fidelity Pas Income Opp Fund	A	Dividend	J	T	Buy	1/8/09	J		
196.					Sold (part)	5/28/09	J	A	
197. Fidelity Money Market	A	Dividend	J	T	Buy	1/8/09	J		
198.					Buy	3/27/09	J		
199.					Buy	5/28/09	J		
200. Allianz NFJ Dividend Value Fund	A	Dividend			Buy	1/8/09	J		
201.					Sold (part)	7/29/09	J		
202.					Sold	8/27/09	J		
203. American Beacon Lg Cap Invest	A	Dividend	J	T	Buy	7/29/09	J		
204.					Buy	8/27/09	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 = \$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	

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Name of Person Reporting
Marrero, Victor

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06/1/2010

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)
205. Credit Suisse Commd Rtm Strtg Sh	A	Dividend	J	T	Buy	1/8/09	J		
206. Goldman Sachs Lg Cap Val Instl	A	Dividend	J	T	Buy	1/8/09	J		
207. John Hancock US Glob Lead Gr Cl A					Buy	1/8/09	J		
208.					Sold (part)	3/27/09	J		
209.					Sold (part)	7/29/09	J		
210.					Sold	8/27/09	J		
211. Janus Fund Cl J Shs	A	Dividend	J	T	Buy	1/8/09	J		
212. Perkins Mid Cap Val Fd Inv Shs	A	Dividend	J	T	Buy	1/8/09	J		
213. Lazard Emerging Mkts Open Cl	A	Dividend	J	T	Buy	7/29/09	J		
214.					Buy	8/27/09	J		
215.					Buy	11/4/09	J		
216. Mainstay Lg Cap Gr Fd Cl A			J	T	Buy	1/8/09	J		
217. Merger Fund	A	Dividend	J	T	Buy	1/8/09	J		
218. Metropolitan West Low Duration M	A	Dividend	J	T	Buy	1/8/09	J		
219.					Sold (part)	3/27/09	J		
220. Pimco Total Return Adm Shs	A	Dividend	J	T	Buy	1/8/09	J		
221. Pimco Short Term Adm Shs	A	Dividend	J	T	Buy	1/8/09	J		

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

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06/1/2010

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

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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)
222. Pimco Total Return Mtge Adm Cl	A	Dividend			Buy	1/8/09	J		
223.					Sold (part)	7/29/09	J	A	
224.					Sold (part)	8/27/09	J	A	
225. Pimco Foreign Bd Fd Unhedged Adm CL	A	Dividend			Buy	1/8/09	J		
226.					Sold	5/28/09	J	A	
227. T Rowe Price High Yld Adv Cl	A	Dividend	J	T	Buy	1/8/09	J		
228. Templeton Global Bd Cl A	A	Dividend	J	T	Buy	5/28/09	J		
229.									
230. FIDELITY SEP IRA: (see lines 230 through 320)									
231. Baron Small Cap Fund					Sold	1/7/09	J		
232. Columbia Value and Rest Cl (Excelsior)					Sold	1/8/09	J		
233. Fidelity Floating Rate High Income					Sold	1/7/09	K		
234. Fidelity Contrafund					Sold	1/7/09	J		
235. Tweedy Brown Global Value Fd					Sold	1/7/09	K		
236. Fidelity Cash Reserves	A	Interest	J	T					
237.					Buy	1/9/09	J		
238. Fidelity Pas Small Cap Fund	A	Dividend	J	T	Buy	1/7/09	J		

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

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Name of Person Reporting

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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)
239. Fidelity Pas Int'l Fund	A	Dividend	J	T	Buy	1/7/09	J		
240.					Buy	1/9/09	J		
241.					Buy	7/29/09	J		
242.					Buy	11/4/09	J		
243. Fidelity Pas US Opp Fund	A	Dividend	J	T	Buy	1/7/09	J		
244.					Buy	1/9/09	J		
245.					Buy	3/27/09	J		
246. Fidelity Real Estate Income	A	Dividend	J	T	Buy	1/7/09	J		
247.					Buy	1/9/09	J		
248. Fidelity Select Gold	A	Dividend	J	T	Buy	3/27/09	J		
249. Fidelity Capital & Income	A	Dividend	J	T	Buy	1/7/09	J		
250.					Buy	1/9/09	J		
251. Fidelity Invest Grade	A	Dividend	K	T	Buy	1/7/09	J		
252.					Buy	1/9/09	J		
253.					Buy	7/29/09	J		
254.					Sold (part)	11/4/09	J	A	
255. Fidelity Total Bond	A	Dividend	K	T	Buy	1/7/09	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 = \$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	

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

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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)
256. Fidelity Total Bond (cont'd)					Buy	1/9/09	J		
257.					Buy	7/29/09	J		
258.					Buy	8/27/09	J		
259.					Buy	8/28/09	J		
260. Fidelity Pas Core Inc Fund	B	Dividend	K	T	Buy	1/7/09	K		
261.					Buy	1/9/09	J		
262. Fidelity Pas Inc Opp Fd	B	Dividend	J	T	Buy	1/7/09	J		
263.					Buy	1/9/09	J		
264.					Sold (part)	5/28/09	J	A	
265.					Sold (part)	7/29/09	J	A	
266. Fidelity Money Market	A	Dividend	J	T	Buy	1/7/09	J		
267.					Buy	1/9/09	J		
268.					Buy	3/27/09	J		
269.					Buy	5/28/09	J		
270. Allianz NFJ Dividend Val Fd	A	Dividend			Buy	1/7/09	J		
271.					Buy	1/9/09	J		
272.					Buy	1/9/09	J		

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

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Name of Person Reporting
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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)
273. Allianz NFJ Divident Val Fd (con't)					Buy	3/27/09	J		
274.					Sold (part)	7/29/09	J		
275.					Sold	8/27/09	J		
276. American Beacon Lg Cap Invest	A	Dividend	J	T	Buy	7/29/09	J		
277.					Buy	8/27/09	J		
278. Credit Suisse Commnd Return Strtgy Shs	A	Dividend	J	T	Buy	1/7/09	J		
279.					Buy	1/9/09	J		
280. Goldman Sachs Lg Cap Val Instl	A	Dividend	J	T	Buy	1/7/09	J		
281.					Buy	1/9/09	J		
282.					Sold (part)	7/29/09	J	A	
283. John Hancock US Glb Lead Gr Cl A					Buy	1/7/09	J		
284.					Buy	1/9/09	J		
285.					Sold (part)	7/29/09	J	A	
286.					Sold	8/27/09	J	A	
287. Janus Fund Cl J Shs	A	Dividend	J	T	Buy	1/7/09	J		
288.					Buy	1/9/09	J		
289.					Sold (part)	7/29/09	J	A	

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	

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Name of Person Reporting
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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)
290. Janus Mid Cap Value Invest Shs	A	Dividend			Buy	1/7/09	J		
291.					Buy	1/9/09	J		
292.					Merged (with line 293)	8/27/09	J	A	
293. Perkins Mid Cap Value Fd Cl J (merged with line 290)	A	Dividend	J	T					
294. Lazard Emerging Mkts Open CL	A	Dividend	J	T	Buy	7/29/09	J		
295.					Buy	8/27/09	J		
296.					Buy	11/04/09	J		
297. Mainstay Lg Cap Gr Fd Cl A			J	T	Buy	1/7/09	J		
298.					Buy	1/9/09	J		
299.					Sold	8/27/09	J	A	
300. Merger Fund	A	Dividend	J	T	Buy	1/7/09	J		
301.					Buy	1/9/09	J		
302. Metropolitan West Low Dur M	A	Dividend	J	T	Buy	1/7/09	J		
303.					Buy	1/9/09	J		
304.					Sold (part)	3/27/09	J		
305. Pimco Total Retrn Adm Shs	B	Dividend	K	T	Buy	1/7/09	J		
306.					Buy	1/9/09	J		

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

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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)
307. Pimco Short Term Adm Shs	A	Dividend	K	T	Buy	1/7/09	J		
308.					Buy	1/9/09	J		
309. Pimco Total Rtn Mtge Adm Cl	A	Dividend			Buy	1/7/09	J		
310.					Buy	1/9/09	J		
311.					Sold (part)	7/29/09	J		
312.					Sold	8/27/09	J		
313. Pimco Foreign Bd Fd Unhedged Adm Cl	A	Dividend			Buy	1/7/09	J		
314.					Buy	1/9/09	J		
315.					Sold	5/28/09	J	A	
316. T Rowe Price High Yld Adv Cl	A	Dividend	J	T	Buy	1/7/09	J	A	
317.					Buy	1/9/09	J	A	
318.					Sold (part)	7/29/09	J	A	
319. Templeton Global Bd Cl A	A	Dividend	J	T	Buy	5/28/09	J		
320.					Buy	5/29/09	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

K = \$15,001 - \$50,000

O = \$500,001 - \$1,000,000

L = \$50,001 - \$100,000

P1 = \$1,000,001 - \$5,000,000

M = \$100,001 - \$250,000

P2 = \$5,000,001 - \$25,000,000

P3 = \$25,000,001 - \$50,000,000

Q = Appraisal

R = Cost (Real Estate Only)

S = Assessment

T = Cash Market

U = Book Value

V = Other

W = Estimated

3. Value Method Codes

(See Column C2)

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

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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

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

FILING INSTRUCTIONS

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544