

UNITED STATES COURT OF APPEALS
THIRD CIRCUIT

MAX ROSENN
SENIOR CIRCUIT JUDGE

August 27, 2004

MAX ROSENN UNITED STATES COURTHOUSE
187 SOUTH MAIN STREET, ROOM 235
WILKES BARRE, PENNSYLVANIA 18701

Honorable Mary M. Lisi, Chair
Judicial Conference of the United States
Committee on Financial Disclosure
One Columbus Circle, NE
Washington, D.C. 20544

RE: Calendar Year 2003 Filing

Dear Judge Lisi:

I regret the errors and the incompleteness of my 2003 report. In response to your letter of August 2, I amend my 2003 report as follows:

In Block 5, the report type is "Annual."

In Part VII, page 2, line 2, under "Prudential Sec, now Wachovia Sec" Column B income amount is "A", type is "int.", Column C value is "Code J" and Value Method is "T."

I note your comment as to my incorrect completion of Column C when an asset is completely disposed of during the reporting period. I am aware of the filing instruction, and I shall endeavor to comply with them in the future.

In Part VII, page 6, line 7, column D(4) should be "A."

In Part II, page 6, line 15, column D(3) is "K." Column C(1) is also "K."

In Part VII, page 6 line 1 "Agere," Column D(1) is "spin-off from Lucent", D(2) "6/29/02", D(3) "J."

On line 12, "Advanced Med. Optics Co." D(1) is "spin-off," D(2) is "7/1/02," and D(3) is "J." Column D(1) "Bought," D(2) is "9/30," D(3) is "J."

On page 6, line 3, "PNC Bank, Wilkes Barre, CD," column D(1) is "Bought," D(2)

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is "8/26," and D(3) is "L."

On page 6, line 14, "M&T Bank, Wilkes Barre," "Special Checking Acct.," column D(1) is "deposit," D(2) is 11/17," and D(3) is "L."

If you require any additional information, please let me know.

Sincerely,

A large, dark, irregular redacted area covering the signature of Max Rosenn.

MAX ROSENN

MR:vkt

Enclosures: 3 copies

UNITED STATES COURT OF APPEALS
THIRD CIRCUIT

MAX ROSENN
SENIOR CIRCUIT JUDGE

MAX ROSENN UNITED STATES COURTHOUSE
107 SOUTH MAIN STREET, ROOM 231
WILKES BARRE, PENNSYLVANIA 18701

May 17, 2004

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

SELF INITIATED
AMENDMENT

Dear Committee:

In my recent filing of the Financial Disclosure Report for the calendar year 2003, I reported on Annex Sheet #3, item #13, "none" as for income on capital stock Nokia. It turns out that there was a small sum of income that was reinvested in the stock. Therefore, item #13 should be amended to show that the income in Column B(1) was (A) and in Column B(2), insert "Div." I apologize for the oversight.

Sincerely,


MAX ROSENN

MR:vkt

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FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2003Report Required by the Ethics
in Government Act of 1978,
(5 U.S.C. App. §§101-111)

1. Person Report as (Last name, first, middle initial) <u>Rosen, MAX</u>	2. Court or Organization <u>U.S. Court of Appeals, 3rd Cir</u>	3. Date of Report <u>May 14, 2004</u>
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) <u>Judge Senior Status</u>	5. Report Type (check appropriate type) ____ Nomination, Date _____ ____ Initial ____ Annual ____ Final	6. Reporting Period <u>1/1/2003</u> <u>to 12/31/03</u>
7. Chambers or Office Address <u>Max Rosen, U.S. Courthouse</u> <u>197 S. Main St.</u> <u>Wilkes-Barre, Pa. 18701</u>	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. Reporting 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 Instructions.)

POSITION

NAME OF ORGANIZATION/ENTITY



NONE (No reportable positions.)

1

2

3

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

DATE

PARTIES AND TERMS



NONE (No reportable agreements.)

1

2

III. NON-INVESTMENT INCOME. (Reporting individual and spouse; see pp. 17-24 of Instructions.)

DATE

SOURCE AND TYPE

GROSS INCOME

A. Filer's Non-Investment Income



NONE (No reportable non-investment income.)

1

2

3

<u>Mutual</u>	<u>of New York, monthly payment, retirement</u>	<u>\$ 1160</u>
		\$
		\$

B. Spouse's Non-Investment Income - If you were married during any portion of the reporting year, please complete this section. (dollar amount not required except for honoraria)



NONE (No reportable non-investment income.)

1

2

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Rosen, Max

Date of Report

May 14, 2004

IV. REIMBURSEMENTS -- transportation, lodging, food, entertainment. (Includes those to spouse and dependent children. See pp. 25-27 of Instructions.)

SOURCE

DESCRIPTION



NONE (No such reportable reimbursements.)

2

3

4

5

6

7

V. GIFTS. (Includes those to spouse and dependent children. See pp. 28-31 of Instructions.)

SOURCE

DESCRIPTION

VALUE



NONE (No such reportable gifts.)

1

\$

2

\$

3

\$

4

\$

VI. LIABILITIES. (Includes those of spouse and dependent children. See pp. 32-33 of Instructions.)

CREDITOR

DESCRIPTION

VALUE CODE*



NONE (No reportable liabilities.)

1

2

3

4

5

*Value Codes: J=\$15,000 or less K=\$15,001-\$50,000 L=\$50,001-\$100,000 M=\$100,001-\$250,000
N=\$250,001-\$500,000 O=\$500,001-\$1,000,000 P1=\$1,000,001-\$5,000,000
P2=\$5,000,001-\$25,000,000 P3=\$25,000,001-\$50,000,000 P4=\$50,000,001 or more

14/2004

Place "(X)" after each asset exempt from prior disclosure.	B. Income during reporting period		C. Gross value at end of reporting period		(1) (e.g., buy, sell, merger, redemption)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)		(2) Date: Month-Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income,									
1 American Tel & Tel, Com	A	div.	T	T					
2 SP, Plc, Com	C	div	L	T					
3 Verizon, Inc, Com	D	div	M	T					
4 Bell South, Com	C	div	L	T					
5 General Electric, Com	E	div	O	T					
6 Pfizer, Com	E	div	I	T					
7 Bristol Myers Squibb, Com	D	div	M	T					
8 Glaxo Smith Kline, Com	D	div	N	T					
9 Viacom B, Com	H	div	N	T					
10 Lloyds, Com	B	div	M	T					
11 Wellington, Mot & Ind, Com	C	div	M	T					
12 PAC, Com	E	div	O	T					
13 Telechonia, Com	E	div	P	T					
Abbott Laboratories, Com	D	div	M	T					
15 Wachovia, checking acct	A	int.	K	T					
16 PNC Checking acct	A	int.	M	T					
17									

1	Income/Gain Codes: (See Col. B1, 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 H=\$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 Col. C1, 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 Col. C2)	Q=Appraisal U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

See attached sheet no. 2

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Rosen, M. A.

Date of Report

May 14, 2004

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

Item 8, annex sheet No 2, gift inadvertently was omitted in 1997 report, Larry.

Item 2, annex sheet No 8, are now reported on an individual basis. They had been grouped in previous reports as reported by Protected parties. The individual stocks are listed with the required information.

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

Date May 14, 2004

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSELIES 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

annexed sheet no. 2.

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Rosenn, MAX

Date of Report

May 14, 2004

VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

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)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income,									
1 M & T Bank, m/m acct	A	int	K	T					
2 Prudential Sec. ^{New} Wachovia Sec. T.F.	D	See part VIII infra							
3 Suburban Oil Services,		none	N	V					
4 Ford Motor, Com	B	div	K	T					
5 M & T Bank, Com	B	div	L	T					
6 Allergan, Com	B	div	M	T					
7 Schering Plough Com	B	div	M	T					
8 Westchester Ind County Bond		None	K	T	gifted to [redacted] 12/96	12/96	K		
9 State of Israel, 4 th and 5 th Br	A	int.	K	T					
10 State of Israel, 4 th and 5 th Br	A	int.	K	T	Partial gift 12/96	12/96	K		
11 Royal Bank of Scotland, Ppt	D	div	K	T	Fully Redeemed 1/96	1/96	L		Reported in 2002 as value "K" should be reduced to L
12 NE Pa Hosp. Bond (H/H)	B	int	K	T					
13 Merck, Com	D	"	M	T					
14 Fidelity Equity II Mut-Fund	B	div	M	T					
15 " Asset Growth Fund	A	div	K	T					
16 Vanguard Windsor II "	C	div	M	T					
17 Wilks-Barr Sch. Dist. Bond	B	int	K	T					

1 Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4) 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: J=\$15,000 or less (See Col. C1, B3) K=\$15,001-\$50,000 L=\$50,001-\$100,000 M=\$100,001-\$250,000 N=\$250,001-\$500,000 O=\$500,001-\$1,000,000 P1=\$1,000,001-\$5,000,000 P2=\$5,000,001-\$25,000,000 P3=\$25,000,001-\$50,000,000 P4=More than \$50,000,000
3 Value Method Codes: Q=Appraisal R=Cost (real estate only) S=Assessment T=Cash/Market (See Col. C2) U=Book value V=Other W=Estimated

See Annexed sheet no 3

annexed sheet no 3

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Rosina, Max

Date of Report

May 14, 2004

VII. Page 1 INVESTMENTS and TRUSTS – Income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

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)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income,									
1st Liberty Bank, Com, ^{New} Community Bank	B	div	J	T					
2 N.Y. Times, Com	B	div	L	T					
3 Suburban Comm. Bank, Com		none		T	fully redeemed	10/14	K	D	
4 Fleet Bank, C.D.	C	int	M	T					
5 Freddie Mac, Com	B	div	L	T					
6 Lucent Technologies, Com		None	J	T	Bought partial/sell	1/2/03 10/11	J J		
7 Citicorp Group, Com	B	div	L	T					
8 Marathon Corp, Com	B	div	K	T					
9 Bank of America, Com	B	div	K	T					
10 Visteon, Com	A	div	J	T					
11 Fleet of Boston, C.D.		none	K	T	This is an incorrect reporting #4				
12 Board Sec. Bank, W/B (CD)	C	int	M	T					
13 NetSc, Com		none	J	T					
14 GMAC Smart Notes	C	int	K	T					
15 20-yr Life Annuity	none	none	L	T					
16 FNMA Resic Series 2002 ^{SB}	D	int	L	T					
17 FNLMC " " 247912	B	int		T	Redeemed	9/15	K		

1	Income/Gain Codes: (See Col. B1, 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 H=\$1,000,001-\$5,000,000	D=\$5,001-\$15,000 I2=More than \$5,000,000	E=\$15,001-\$50,000
2	Value Codes: (See Col. C1, D3)	J=\$15,000 or less K=\$250,001-\$500,000 P3=\$25,000,001-\$50,000,000	L=\$15,001-\$50,000 O=\$500,001-\$1,000,000	M=\$50,001-\$100,000 P1=\$1,000,001-\$5,000,000 P4=More than \$50,000,000	N=\$100,001-\$250,000 P2=\$5,000,001-\$25,000,000	
3	Value Method Codes: (See Col. C2)	Q=Appraisal U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

See Annexed Sheet No 4

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Rosen, MAY

Date of Report

MAY 4, 2004

VII. Page 1 INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of instructions.)

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)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Amt. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income,									
1 Fleet Boston, Com	B	div	K	T					
2 Preferred Plus Trust, Class A	B	div	K	T					
3 Zimmer Holdings		None	L	T					
4 Bank America, Notes	B	int	L	T					
5 Fed. H.L. Bank Bonds	A	int		T	Redeemed	5/11	K		
6 Grange Nat'l Bank C.D.		None	L	T					
7 Boeing Capital Corp Notes	B	int	K	T					
8 " " " "	B	int	K	T					
9 Cit Group Sr. Nt.	B	int	K	T					
10 Advanced Med. Optics, Com		None	K	T					
11 1st Home Mortgage Bank, N.B.(F.D)	C	int	L	T					
12 1st Nat'l Bank, Berkeley, CA	C	int	L	T					
13 Travelers Prop. Casualty, Com	A	div.		T	Charitable gift	12/23	J		
14 Household Finance Notes	C	int	K	T					
15 State of Israel Bond	A	int.	S	T					
16 Ford Motor Credit Notes	D	int	M	T					
17 Motorola, inc, Notes	B	int	S	T					

1	Income/Gain Codes: A=\$1,000 or less (See Col. B1, D4)	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: J=\$15,000 or less (See Col. C1, D3)	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
3	Value Method Codes: Q=Appraisal (See Col. C2)	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Rosen, m d n

Date of Report

May 14, 2004

VII. Page 1 INVESTMENTS and TRUSTS — income, value, transactions (Includes those of spouse and dependent children. See pp. 34-37 of Instructions.)

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)	(2)	(1)	(2)	(1)	If not exempt from disclosure			
	Am't. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income,									
1 F M A C smart notes	C	int.	L	T					
2 Household finance notes	C	"	L	T					
3 Fed. H L. mtgo Corp. (602	B	"	K	T					
4 Morgan Stanley Cap. Trust	B	"	K	T					
5 Sonamerica Cap. Trust	B	"	K	T					
6 M + T, W - G. R. C. D.	C	"		T	Redeemed	5/27	M		
7 Travelers Prop. Cas. Corp	A	div		T	gifted to	12/23	J		
8 Comcast, Corp.		none	K	T					
9 Bac Capital Trust II, Corp	B	int	K	T					
10 F M L M C Penn Series 2420	A	int		T	Redeemed	5/15	J		
11 New Community Bank, C. D.	D	int	M	T					
12 Pa. High Ed F. R. Bond	A	"	K	T					
13 AT & T Wireless, Corp.		none	J	T					
14									
15									
16									
17									

1	Income/Gain Codes: (See Col. B1, 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 Col. C1, 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 Col. C2)	Q=Appraisal U=Book value	R=Cost (real estate only) V=Other	S=Assessment W=Estimated	T=Cash/Market	

annexed sheet no 6

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Date of Report

Rosen, Max

May 14, 2003

VII. Page 1 INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children. See pp. 34-57 of Instructions.)

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)	(2)	(1)	(2)	If not exempt from disclosure				
	Am't. Code1 (A-H)	Type (e.g., div., rent or int.)	Value Code2 (J-P)	Value Method Code3 (Q-W)	Type (e.g., buy, sell, merger, redemption)	(2) Date: Month- Day	(3) Value Code2 (J-P)	(4) Gain Code1 (A-H)	(5) Identity of buyer/seller (if private transaction)
☐ NONE (No reportable income,									
1. <u>Angene Systems, A</u>		<u>None</u>	<u>T</u>	<u>Sold</u>	<u>4/17</u>	<u>J</u>			
2. <u>Sears Roebuck Asst. Nats. Thrift</u>	<u>B</u>	<u>int</u>	<u>K</u>	<u>T</u>	<u>Bought</u>	<u>1/7</u>	<u>K</u>		
3. <u>Fed. H.L. Mtge. Corp. Notes</u>	<u>A</u>	<u>int</u>	<u>K</u>	<u>T</u>	<u>"</u>	<u>1/16</u>	<u>K</u>		
4. <u>CS 1st Boston MRE Sec.</u>	<u>A</u>	<u>int</u>		<u>T</u>	<u>Recalled</u>	<u>7/25</u>	<u>K</u>		
5. <u>G.N.M.A. Remic 2003</u>	<u>B</u>	<u>int</u>	<u>K</u>	<u>T</u>	<u>Bought</u>	<u>6/11</u>	<u>K</u>		
6. <u>Fed. H.L. Mtge. Assoc. Remic 100</u>	<u>B</u>	<u>int</u>	<u>L</u>	<u>T</u>	<u>"</u>	<u>6/25</u>	<u>L</u>		
7. <u>Fed. H.L. Mtge. Corp. Bonds</u>	<u>B</u>	<u>int</u>	<u>L</u>	<u>T</u>	<u>Bought</u>	<u>2/16</u>	<u>L</u>		
8. <u>Black Rock Ltd Trust</u>	<u>B</u>	<u>DVA</u>	<u>K</u>	<u>T</u>	<u>Bought</u>	<u>7/28</u>	<u>K</u>		
9. <u>Gen. Elec. Capital Corp. notes</u>		<u>int</u>	<u>K</u>	<u>T</u>	<u>"</u>	<u>6/32</u>	<u>K</u>		
10. <u>United Parcel Svc Note</u>		<u>int</u>	<u>K</u>	<u>T</u>	<u>"</u>	<u>7/23</u>	<u>K</u>		
11. <u>Med Co. Health Solutions, Corp.</u>		<u>None</u>		<u>T</u>	<u>Share rep</u>	<u>6/26</u>			
12. <u>Advanced Med. Equip. Corp.</u>		<u>None</u>	<u>K</u>	<u>T</u>	<u>Charity gift</u>	<u>9/23</u>	<u>J</u>		
13. <u>FNC Bank, W.D. (CD)</u>	<u>A</u>	<u>int</u>	<u>L</u>	<u>T</u>					
14. <u>M&T Bank, W.D. S&A-CKing</u>	<u>A</u>	<u>int</u>	<u>L</u>	<u>T</u>					
15. <u>Fed. H.L.M.C., Remic, Series 2713</u>		<u>None</u>	<u>L</u>	<u>T</u>	<u>Bought</u>	<u>12/20</u>			
16									
17									

1	Income/Gain Codes: A=\$1,000 or less (See Col. D4)	B=\$1,001-\$2,500 F=\$50,001-\$100,000	C=\$2,501-\$5,000 G=\$100,001-\$1,000,000	D=\$5,001-\$15,000 H=\$1,000,001-\$5,000,000	E=\$15,001-\$50,000 I=More than \$5,000,000
2	Value Codes: J=\$15,000 or less (See Col. C1, D3)	K=\$15,001-\$50,000 N=\$250,001-\$500,000 P3=\$25,000,001-\$50,000,000	L=\$50,001-\$100,000 O=\$500,001-\$1,000,000	M=\$100,001-\$250,000 P1=\$1,000,001-\$5,000,000 P4=More than \$5,000,000	
3	Value Method Codes: Q=Appraisal (See Col. C2)	R=Cost (real estate only) U=Book value	S=Assessment V=Other	T=Cash/Market	

~~Annexed sheet no 6~~