

# UNITED STATES HOUSE OF REPRESENTATIVES CALENDAR YEAR 2011 FINANCIAL DISCLOSURE STATEMENT

**FORM A** Page 1 of 18  
For use by Members, officers, and employees

Katherine Anne Castor  
(Full Name)  
2022253376  
(Daytime Telephone)

**Filer Status**  
☒ Member of the U.S. House of Representatives  
State: FL District: 11  
☐ Officer Or Employee

Employing Office:

**Report Type**  
☒ Annual (May 15) ☐ Amendment ☐ Termination  
Termination Date:

A \$200 penalty shall be assessed against anyone who files more than 30 days late.

**HAND DELIVERED**  
LEGISLATIVE RESOURCE CENTER  
OFFICE OF THE CLERK  
U.S. HOUSE OF REPRESENTATIVES  
MAY 14 PM 4:44  
(Office Only)

## PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

|  |   |  |   |
|--|---|--|---|
| I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period?<br>If yes, complete and attach Schedule I.   | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> | VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$350 and not otherwise exempt)?<br>If yes, complete and attach Schedule VI.             | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> |
| II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period?<br>If yes, complete and attach Schedule II.  | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> | VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$350 from one source)?<br>If yes, complete and attach Schedule VII. | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> |
| III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period?<br>If yes, complete and attach Schedule III. | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> | VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year?<br>If yes, complete and attach Schedule VIII.  | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> |
| IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period?<br>If yes, complete and attach Schedule IV.  | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> | IX. Did you have any reportable agreement or arrangement with an outside entity?<br>If yes, complete and attach Schedule IX.   | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> |
| V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period?<br>If yes, complete and attach Schedule V.   | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> | Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.   |   |

## EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

|   |   |
|---|---|
| <b>Trusts-</b><br>Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?                       | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> |
| <b>Exemptions--</b><br>Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics. | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> |

# SCHEDULE I - EARNED INCOME

Name Katherine Anne Castor

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List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

| Source                              | Type          | Amount |
|-------------------------------------|---------------|--------|
| Butler, Pappas, Wehmuller and Craig | Spouse Salary | N/A    |

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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| BLOCK A   |                                       | BLOCK B  | BLOCK C   | BLOCK D   | BLOCK E  |
|---|---------------------------------------|--|---|---|--|
| Asset and/or Income Source  |                                       | Year-End Value of Asset  | Type of Income  | Amount of Income  | Transaction  |
| <p>Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.</p> <p>Provide complete names of stocks and mutual funds (do not use ticker symbols.)</p> <p>For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.</p> <p>For rental or other real property held for investment, provide a complete address.</p> <p>For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.</p> <p>Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or saving accounts; and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan.</p> <p>If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optional column on the far left.</p> |                                       | <p>At close of reporting year.</p> <p>If you use a valuation method other than fair market value, please specify the method used.</p> <p>If an asset was sold and is included only because it is generated income, the value should be "None."</p> | <p>Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.</p> | <p>For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below.</p> <p>Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.</p> | <p>Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</p> |
| JT  | Alcoa                                 | \$1 - \$1,000  | DIVIDENDS   | \$1 - \$200   | P  |
| SP  | Alliance Bernstein Small Cap Growth 1 | \$1,001 - \$15,000   | None  | NONE  | P  |
| JT  | American International Group          | \$1 - \$1,000  | None  | NONE  |  |
| JT  | AT&T                                  | \$1,001 - \$15,000   | DIVIDENDS   | \$1 - \$200   | P  |
|   | AT&T                                  | \$15,001 - \$50,000  | DIVIDENDS   | \$201 - \$1,000   | P  |
| JT  | Bank of America Checking              | \$100,001 - \$250,000  | INTEREST  | \$201 - \$1,000   |  |

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

| Name Katherine Anne Castor |   |                     |           |                 | Page 4 of 18 |
|----------------------------|---|---------------------|-----------|-----------------|--------------|
| JT                         | Bank of America Savings                 | \$1,001 - \$15,000  | INTEREST  | \$201 - \$1,000 |              |
| JT                         | Bank of America Stock                   | \$1,001 - \$15,000  | DIVIDENDS | \$1 - \$200     |              |
| JT                         | Bank of Florida Checking                | \$1,001 - \$15,000  | INTEREST  | \$201 - \$1,000 |              |
| DC                         | Bank of Florida Savings                 | \$1,001 - \$15,000  | INTEREST  | \$1 - \$200     |              |
| DC                         | Bank of Florida Savings                 | \$1,001 - \$15,000  | INTEREST  | \$1 - \$200     |              |
| JT                         | Bank of Florida Savings                 | \$15,001 - \$50,000 | INTEREST  | \$201 - \$1,000 |              |
| JT                         | Boeing                                  | \$1,001 - \$15,000  | DIVIDENDS | \$1 - \$200     | P            |
| SP                         | Butler, Pappas, Wehmuller, Katz & Craig | \$15,001 - \$50,000 | None      | NONE            |              |
| JT                         | Coca-Cola Stock                         | \$1,001 - \$15,000  | None      | NONE            | P            |
| SP                         | Columbia Acorn Z Fund                   | \$1,001 - \$15,000  | DIVIDENDS | \$201 - \$1,000 | PS(part)     |
| JT                         | Dow Chemical Stock                      | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000 |              |
| JT                         | E*Trade Financial Stock                 | \$1 - \$1,000       | None      | NONE            | P            |
| JT                         | E*Trade Savings                         | \$1 - \$1,000       | INTEREST  | \$1 - \$200     |              |
| JT                         | Franklin Equity Income                  | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000 | P            |

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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|    |                                |                     |           |                 |          |
|----|--------------------------------|---------------------|-----------|-----------------|----------|
| JT | Franklin Funds                 | \$1,001 - \$15,000  | DIVIDENDS | \$201 - \$1,000 | P        |
| JT | Franklin Growth                | \$1,001 - \$15,000  | DIVIDENDS | \$1 - \$200     | P        |
| JT | Franklin Income Fund           | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000 | P        |
| JT | Franklin Money Fund            | None                | None      | NONE            | PS       |
| JT | Franklin Mutual Discovery Fund | None                | None      | NONE            | PS       |
| JT | Franklin Rising Divid          | \$1,001 - \$15,000  | DIVIDENDS | \$1 - \$200     | PS(part) |
| JT | Franklin Small Cap             | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000 | PS(part) |
| JT | Franklin Utilities             | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000 | P        |
| JT | General Electric               | \$1,001 - \$15,000  | DIVIDENDS | \$1 - \$200     | P        |
| JT | Home Depot                     | \$1,001 - \$15,000  | DIVIDENDS | \$1 - \$200     | P        |
| JT | ING Savings                    | \$15,001 - \$50,000 | INTEREST  | \$201 - \$1,000 |          |
| JT | Intel                          | \$1,001 - \$15,000  | DIVIDENDS | \$201 - \$1,000 | S(part)  |
| JT | JP Morgan Chase Stock          | \$1,001 - \$15,000  | DIVIDENDS | \$1 - \$200     | P        |
| JT | Merck Stock                    | \$1,001 - \$15,000  | DIVIDENDS | \$1 - \$200     | P        |

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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|    |  |                       |           |                   |          |
|----|--|-----------------------|-----------|-------------------|----------|
| JT | Mutual Shares                            | \$1,001 - \$15,000    | DIVIDENDS | \$201 - \$1,000   | P        |
| JT | Pfizer Stock                             | \$1,001 - \$15,000    | DIVIDENDS | \$1 - \$200       | P        |
| SP | PIMCO Real Return Admin Fund             | \$50,001 - \$100,000  | DIVIDENDS | \$1,001 - \$2,500 | P        |
| SP | Prin Global Lg Cap                       | None                  | None      | NONE              | PS       |
| SP | Principal LargeCap S&P 500 Index         | \$100,001 - \$250,000 | None      | NONE              | P        |
| SP | Principal Life Time 2010 Sep Account     | \$15,001 - \$50,000   | None      | NONE              | P        |
| SP | Principal Life Time 2020 Sep Account     | \$15,001 - \$50,000   | None      | NONE              | PS(part) |
| SP | Principal Life Time 2040 Sep Account     | \$15,001 - \$50,000   | None      | NONE              | P        |
| SP | Principal Life Time 2050 Sep Account     | \$15,001 - \$50,000   | None      | NONE              | P        |
| SP | Principal Life Time Strategic Income     | \$15,001 - \$50,000   | None      | NONE              | PS(part) |
| SP | Principal LifeTime 2030 Seperate Account | \$15,001 - \$50,000   | None      | NONE              | P        |
| SP | Principal Mid Cap Value                  | None                  | None      | NONE              | S        |
| SP | Principal MidCap Blend Separate Account  | \$15,001 - \$50,000   | None      | NONE              | PS(part) |
| SP | Principal US Property Sep Account        | \$15,001 - \$50,000   | None      | NONE              | P        |

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

| SCHEDULE III - ASSETS AND "UNEARNED" INCOME |   |                     |           |                   | Name Katherine Anne Castor |          | Page 7 of 18 |
|---|---|---------------------|-----------|-------------------|----------------------------|----------|--------------|
|   | T Rowe Price Blue Chip Growth             | \$15,001 - \$50,000 | DIVIDENDS | \$1 - \$200       |                            | P        |              |
|   | T Rowe Price Diversified Small Cap Growth | \$15,001 - \$50,000 | DIVIDENDS | \$1,001 - \$2,500 |                            | P        |              |
| SP  | T Rowe Price Large Cap Growth             | \$15,001 - \$50,000 | None      | NONE              |                            |          |              |
|   | T Rowe Price Money Market                 | None                | DIVIDENDS | \$1 - \$200       |                            | PS       |              |
|   | T Rowe Price Small Cap Stock              | None                | None      | NONE              |                            | S        |              |
|   | T. Rowe Price Equity Index                | \$15,001 - \$50,000 | DIVIDENDS | \$1,001 - \$2,500 |                            | PS(part) |              |
| JT  | Templeton Growth                          | None                | None      | NONE              |                            | PS       |              |
| JT  | Texas Instruments Stock                   | \$1,001 - \$15,000  | DIVIDENDS | \$201 - \$1,000   |                            |          |              |
| DC  | Vanguard 500 Index 529                    | \$15,001 - \$50,000 | None      | NONE              |                            | P        |              |
| DC  | Vanguard Age Based Growth                 | \$15,001 - \$50,000 | None      | NONE              |                            | P        |              |
| JT  | Vanguard Index 500                        | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000   |                            | P        |              |
| DC  | Vanguard Small Cap Index                  | \$15,001 - \$50,000 | None      | NONE              |                            | P        |              |
| DC  | Vanguard Total Inter Stock                | \$15,001 - \$50,000 | None      | NONE              |                            | P        |              |
| JT  | Vanguard US Value Fund                    | \$1,001 - \$15,000  | DIVIDENDS | \$201 - \$1,000   |                            | P        |              |

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

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|    |                       |                        |           |                 |   |
|----|-----------------------|------------------------|-----------|-----------------|---|
| DC | Vanguard Windsor Fund | \$15,001 -<br>\$50,000 | None      | NONE            | P |
|    | Verizon               | \$15,001 -<br>\$50,000 | DIVIDENDS | \$201 - \$1,000 | P |
| JT | Verizon Stock         | \$15,001 -<br>\$50,000 | DIVIDENDS | \$201 - \$1,000 |   |



# SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

| SP,<br>DC,<br>JT | Asset                                 | Type of<br>Transaction | Capital<br>Gain In<br>Excess<br>of \$200? | Date   | Amount of Transaction |
|------------------|---------------------------------------|------------------------|---|--|-----------------------|
| JT               | Alcoa                                 | P                      | N/A                                       | 1/20/2011  | \$1,001 - \$15,000    |
| SP               | Alliance Bernstein Small Cap Growth 1 | P                      | N/A                                       | 2/1; 2/28; 4/29;<br>5/31; 6/30; 8/1;<br>9/16; 10/3;<br>12/1; 12/30 | \$1,001 - \$15,000    |
|                  | AT&T                                  | P                      | N/A                                       | 8/5; 8/19/2011   | \$15,001 - \$50,000   |
| JT               | AT&T Stock                            | P                      | N/A                                       | 2/15; 8/4  | \$1,001 - \$15,000    |
| JT               | Boeing Stock                          | P                      | N/A                                       | 8/4/2011   | \$1,001 - \$15,000    |
| JT               | Coca-Cola Stock                       | P                      | N/A                                       | 10/19/2011   | \$1,001 - \$15,000    |
| SP               | Columbia Acorn Z Fund                 | P                      | N/A                                       | 8/5; 12/1  | \$50,001 - \$100,000  |
| SP               | Columbia Acorn Z Fund                 | S(part)                | No  | 11/14  | \$50,001 - \$100,000  |
| JT               | E*Trade Financial Stock               | P                      | N/A                                       | 1/31/2011  | \$1,001 - \$15,000    |

# SCHEDULE IV - TRANSACTIONS

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| SP,<br>DC,<br>JT | Asset                  | Type of<br>Transaction | Capital<br>Gain in<br>Excess<br>of \$200? | Date  | Amount of Transaction |
|------------------|------------------------|------------------------|---|---|-----------------------|
| JT               | Franklin Equity Income | P                      | N/A                                       | 5/16; 6/6; 6/16;<br>6/23; 6/30;<br>7/11; 7/12;<br>7/18; 8/1; 8/4;<br>8/9; 8/19; 8/29;<br>8/31; 9/16 | \$1,001 - \$15,000    |

|    |                 |   |     |  |                    |
|----|-----------------|---|-----|--|--------------------|
| JT | Franklin Funds  | P | N/A | 8/9/2011;<br>10/14/2011  | \$1,001 - \$15,000 |
| JT | Franklin Growth | P | N/A | 2/16; 3/8; 3/31;<br>4/14; 4/25;<br>4/29; 5/9; 5/17;<br>5/26; 5/31;<br>8/25; 10/24;<br>11/3 | \$1,001 - \$15,000 |

|    |                      |   |     |  |                     |
|----|----------------------|---|-----|--|---------------------|
| JT | Franklin Income Fund | P | N/A | 8/2; 8/15; 8/17;<br>8/19; 8/22;<br>8/30; 9/1; 9/12;<br>11/21; 11/29;<br>12/5; 12/12;<br>12/19; 12/27 | \$15,001 - \$50,000 |
|----|----------------------|---|-----|--|---------------------|

|    |                     |   |     |   |                      |
|----|---------------------|---|-----|---|----------------------|
| JT | Franklin Money Fund | P | N/A | 7/26/2012   | \$50,001 - \$100,000 |
| JT | Franklin Money Fund | S | No  | 8/1; 8/2; 8/9;<br>8/15; 8/17;<br>8/19; 8/22;<br>8/30; 8/31; 9/1 | \$50,001 - \$100,000 |

# SCHEDULE IV - TRANSACTIONS

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| SP,<br>DC,<br>JT | Asset                     | Type of<br>Transaction | Capital<br>Gain in<br>Excess<br>of \$200? | Date   | Amount of Transaction |
|------------------|---------------------------|------------------------|---|--|-----------------------|
| JT               | Franklin Mutual Discovery | P                      | N/A                                       | 1/31; 2/8  | \$1,001 - \$15,000    |
| JT               | Franklin Mutual Discovery | S                      | No  | 7/26/2012  | \$1,001 - \$15,000    |
| JT               | Franklin Rising Divid     | S(part)                | No  | 7/26/2012  | \$15,001 - \$50,000   |
| JT               | Franklin Rising Divid     | P                      | N/A                                       | 1/10; 1/25;<br>2/15; 6/16;<br>7/11; 7/12;<br>7/18; 8/30;<br>8/31; 9/23;<br>10/3;<br>10/6; 10/24;<br>11/3; 11/21;<br>12/16; 12/19 | \$15,001 - \$50,000   |
| JT               | Franklin Small Cap        | S(part)                | No  | 7/26/2012  | \$15,001 - \$50,000   |
| JT               | Franklin Small Cap        | P                      | N/A                                       | 1/18; 1/24;<br>1/31; 2/22;<br>6/16; 7/11;<br>8/30; 8/31;<br>10/3; 10/6;<br>10/24; 11/3;<br>11/8                                  | \$15,001 - \$50,000   |

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| SP,<br>DC,<br>JT | Asset              | Type of<br>Transaction | Capital<br>Gain In<br>Excess<br>of \$200? | Date  | Amount of Transaction |
|------------------|--------------------|------------------------|---|---|-----------------------|
| JT               | Franklin Utilities | P                      | N/A                                       | 1/7 1/4 1/19 2/3<br>3/3 3/8 3/15<br>3/24 4/8 4/11<br>4/25 4/29 6/16<br>8/1 8/4 8/9 8/12<br>8/17 8/19 8/29<br>8/30 9/1 9/12<br>9/16 11/21<br>12/27 | \$15,001 - \$50,000   |

|    |                        |         |     |  |                    |
|----|------------------------|---------|-----|--|--------------------|
| JT | General Electric Stock | P       | N/A | 6/20/2011;<br>8/12/2011  | \$1,001 - \$15,000 |
| JT | Home Depot             | P       | N/A | 8/4/2011;<br>11/25/2011  | \$1,001 - \$15,000 |
| JT | Intel                  | S(part) | No  | 10/19/2011   | \$1,001 - \$15,000 |
| JT | JP Morgan Chase Stock  | P       | N/A | 8/4/2011   | \$1,001 - \$15,000 |
| JT | Merck Stock            | P       | N/A | 6/21/2011;<br>11/25/2011   | \$1,001 - \$15,000 |
| JT | Mutual Shares          | P       | N/A | 4/19; 4/29;<br>5/17; 5/26;<br>5/29; 5/31; 6/6;<br>6/16; 6/23;<br>6/30; 8/1; 8/9;<br>8/29; 9/12; 9/23 | \$1,001 - \$15,000 |

# SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

| SP,<br>DC,<br>JT | Asset                                | Type of<br>Transaction | Capital<br>Gain in<br>Excess<br>of \$200? | Date   | Amount of Transaction |
|------------------|--------------------------------------|------------------------|---|--|-----------------------|
| JT               | Pfizer Stock                         | P                      | N/A                                       | 1/12/2011;<br>10/19/2011   | \$1,001 - \$15,000    |
| SP               | PIMCO Real Return Admin Fund         | P                      | N/A                                       | 10/31; 11/15;<br>11/22; 11/29;<br>12/1; 12/6;<br>12/7; 12/8;<br>12/12; 12/22 | \$100,001 - \$250,000 |
| SP               | PIMCO Real Return Admin Fund         | S(part)                | No  | 12/29  | \$15,001 - \$50,000   |
| SP               | Prin Global Lg Cap St Indx           | P                      | N/A                                       | 2/1; 2/28; 4/29;<br>5/31; 6/30; 8/1;<br>9/16; 10/3                           | \$1,001 - \$15,000    |
| SP               | Principal LargeCap S&P 500 Index     | S                      | No  | 11/14  | \$100,001 - \$250,000 |
| SP               | Principal LargeCap S&P 500 Index     | P                      | N/A                                       | 2/1; 2/28; 4/29;<br>5/31; 6/30; 8/1;<br>9/16; 10/3;<br>12/1; 12/30           | \$250,001 - \$500,000 |
| SP               | Principal Life Time 2010 Sep Account | P                      | N/A                                       | 12/8; 12/12  | \$15,001 - \$50,000   |
| SP               | Principal Life Time 2020 Sep Account | S(part)                | No  | 12/21; 12/28;<br>12/29   | \$50,001 - \$100,000  |
| SP               | Principal Life Time 2020 Sep Account | P                      | N/A                                       | 12/1; 12/6;<br>12/8; 12/12   | \$50,001 - \$100,000  |

# SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

| SP,<br>DC,<br>JT | Asset                                     | Type of<br>Transaction | Capital<br>Gain in<br>Excess<br>of \$200? | Date  | Amount of Transaction     |
|------------------|---|------------------------|---|---|---------------------------|
| SP               | Principal Life Time 2030 Seperate Account | P                      | N/A                                       | 12/8; 12/12   | \$15,001 - \$50,000       |
| SP               | Principal Life Time 2040 Sep Account      | P                      | N/A                                       | 12/8; 12/12   | \$15,001 - \$50,000       |
| SP               | Principal Life Time 2050 Sep Account      | P                      | N/A                                       | 12/8; 12/12   | \$15,001 - \$50,000       |
| SP               | Principal Life Time Strategic Income      | P                      | N/A                                       | 11/15; 11/22;<br>11/19; 12/1;<br>12/6; 12/8;<br>12/12 | \$100,001 - \$250,000     |
| SP               | Principal Life Time Strategic Income      | S(part)                | No  | 12/16; 12/19;<br>12/22; 12/23;<br>12/27; 12/29        | \$100,001 - \$250,000     |
| SP               | Principal Mid Cap Value                   | S                      | No  | 7/15  | \$100,001 - \$250,000     |
| SP               | Principal MidCap Blend Separate Account   | P                      | N/A                                       | 7/15; 12/8;<br>12/12; 12/22                           | \$250,001 - \$500,000     |
| SP               | Principal MidCap Blend Separate Account   | S(part)                | No  | 7/26  | \$100,001 - \$250,000     |
| SP               | Principal Money Market Separate Account   | P                      | N/A                                       | 7/26; 11/14   | \$1,000,001 - \$5,000,000 |

# SCHEDULE IV - TRANSACTIONS

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| SP, DC, JT | Asset                                     | Type of Transaction | Capital Gain in Excess of \$200? | Date   | Amount of Transaction     |
|------------|---|---------------------|----------------------------------|--|---------------------------|
| SP         | Principal Money Market Separate Account   | S                   | No                               | 8/1; 8/4; 8/5;<br>8/9; 8/12; 8/15;<br>8/17; 8/19;<br>8/25; 8/29;<br>8/31; 9/1;<br>11/15; 11/22;<br>11/29; 12/1;<br>12/6; 12/8;<br>12/12; 12/16 | \$1,000,001 - \$5,000,000 |
| SP         | Principal US Property Sep Account         | P                   | N/A                              | 12/8; 12/12  | \$15,001 - \$50,000       |
|            | T Rowe Price Blue Chip Growth             | P                   | N/A                              | 8/2; 8/4;<br>8/5/2011  | \$15,001 - \$50,000       |
|            | T Rowe Price Diversified Small Cap Growth | P                   | N/A                              | 8/2; 8/4;<br>8/5/2011  | \$15,001 - \$50,000       |
|            | T Rowe Price Money Market                 | P                   | N/A                              | 7/29/2011  | \$100,001 - \$250,000     |
|            | T Rowe Price Money Market                 | S                   | No                               | 8/2; 8/4; 8/5;<br>8/10; 8/12;<br>8/17; 8/19;<br>8/21; 8/26;<br>8/29; 8/31; 9/1;<br>9/28; 10/12   | \$100,001 - \$250,000     |
|            | T Rowe Price Small Cap Stock              | S                   | No                               | 7/26/2011  | \$15,001 - \$50,000       |

# SCHEDULE IV - TRANSACTIONS

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| SP,<br>DC,<br>JT | Asset                                    | Type of<br>Transaction | Capital<br>Gain In<br>Excess<br>of \$200? | Date  | Amount of Transaction |
|------------------|--|------------------------|---|---|-----------------------|
| SP               | T. Rowe Price Equity Income Advisor Fund | P                      | N/A                                       | 8/12; 8/15;<br>8/17; 8/19;<br>8/25; 8/29;<br>8/31; 9/1; 9/28                                    | \$15,001 - \$50,000   |
| SP               | T. Rowe Price Equity Income Advisor Fund | S                      | No  | 11/14   | \$15,001 - \$50,000   |
|                  | T. Rowe Price Equity Index               | S(part)                | No  | 7/26/2011   | \$100,001 - \$250,000 |
|                  | T. Rowe Price Equity Index               | P                      | N/A                                       | 8/10; 8/12;<br>8/19; 8/25;<br>8/29; 8/30;<br>8/31; 9/1; 9/15;<br>9/28; 10/13                    | \$15,001 - \$50,000   |
| JT               | Templeton Growth                         | S                      | No  | 7/26/2011   | \$1,001 - \$15,000    |
| JT               | Templeton Growth                         | P                      | N/A                                       | 1/3; 1/25; 2/8;<br>2/14; 2/15;<br>2/22; 3/3   | \$1,001 - \$15,000    |
| DC               | Vanguard 500 Index 529                   | P                      | N/A                                       | 1/14; 2/17;<br>3/16; 4/19; 5/4;<br>6/2; 7/5; 8/2;<br>9/1; 10/4;<br>11/15; 12/5;<br>12/12; 12/19 | \$1,001 - \$15,000    |
| DC               | Vanguard Age Based Growth                | P                      | N/A                                       | 1/14/2011;<br>2/17/2011   | \$1,001 - \$15,000    |



# SCHEDULE IV - TRANSACTIONS

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| SP,<br>DC,<br>JT | Asset                      | Type of<br>Transaction | Capital<br>Gain in<br>Excess<br>of \$200? | Date   | Amount of Transaction |
|------------------|----------------------------|------------------------|---|--|-----------------------|
| JT               | Vanguard Index 500         | P                      | N/A                                       | 1/5; 1/20; 3/14;<br>3/23; 3/30; 4/7;<br>4/13; 6/16; 7/1;<br>7/12; 8/7; 8/10;<br>9/28; 10/4;<br>10/11 | \$15,001 - \$50,000   |
| DC               | Vanguard Total Inter Stock | P                      | N/A                                       | 1/4; 2/17; 3/16;<br>4/19; 5/4; 6/2;<br>7/5; 8/2; 9/1;<br>10/4; 11/15;<br>12/5; 12/12;<br>12/19       | \$1,001 - \$15,000    |
| JT               | Vanguard US Value Fund     | P                      | N/A                                       | 5/5; 5/12; 5/16;<br>5/27; 5/31; 6/6;<br>6/16; 8/31; 9/23   | \$1,001 - \$15,000    |
| DC               | Vanguard Windsor Fund      | P                      | N/A                                       | 3/16; 4/19; 5/4;<br>6/2; 7/5; 8/2;<br>9/1; 10/4;<br>11/15; 12/5;<br>12/12; 12/19                     | \$1,001 - \$15,000    |
|                  | Verizon                    | P                      | N/A                                       | 8/5/2011   | \$15,001 - \$50,000   |

**SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS**

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Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than \$350 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

| Source                                  | Date(s)  | Point of Departure--<br>Destination--Point of Return | Lodging?<br>(Y/N) | Food?<br>(Y/N) | Was a Family<br>Member Included?<br>(Y/N) | Days not at<br>sponsor's<br>expense |
|---|----------|--|-------------------|----------------|---|-------------------------------------|
| American Israel<br>Education Foundation | Aug 7-15 | Tampa-Jerusalem-Tampa                                | Y                 | Y              | N   | None                                |