

UNITED STATES HOUSE OF REPRESENTATIVES
CALENDAR YEAR 2009 FINANCIAL DISCLOSURE STATEMENTFORM A
For use by Members, officers, and employees

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JUN 17 PM 5:41

Christopher John Lee

(202) 225-5265

(Full Name)

(Daytime Telephone)

Filer Status
Member of the U.S. House of Representative
State: NY
District 26Officer 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
(Office Use 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? If yes, complete and attach Schedule I.	Yes	No <input checked="" type="checkbox"/>	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes	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? If yes, complete and attach Schedule II.	Yes	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 \$335 from one source)? If yes, complete and attach Schedule VII.	Yes	No <input checked="" 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? If yes, complete and attach Schedule III.	Yes	No <input checked="" type="checkbox"/>	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes	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? If yes, complete and attach Schedule IV.	Yes	No <input checked="" type="checkbox"/>	IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes	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? If yes, complete and attach Schedule V.	Yes	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

Trusts-- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct 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	No <input checked="" type="checkbox"/>
Exemptions-- 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 Standards of Official Conduct.	Yes	No <input checked="" type="checkbox"/>

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Christopher John Lee

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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 assets or sources of income which generated more than \$200 in "unearned" income during the year. For rental property or land, provide a complete address. Provide full names of stocks and mutual funds (do not use ticker symbols). 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 and income information on each asset in the account that exceeds the reporting threshold. For retirement plans that are not self-directed, name the institution holding the account and its value at the end of the reporting period. For an active business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A. For additional information, see the instruction booklet.</p> <p>Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent or sibling; any deposits totaling \$5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.</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 (JT), in the optional column on the far left.</p>	<p>at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. 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 plans or accounts that do not allow you to choose specific investments, you may write "NA." For all other assets including all IRAs, indicate the type of income by checking the appropriate box below. Dividends and interest, even if reinvested, should be listed as income. Check "None" if asset did not generate any income during the calendar year.</p>	<p>For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, including all IRAs, indicate the category of income by checking the appropriate box below. Dividends and interest, even if reinvested, should be listed 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>
Individual Account (1):				
FIDELITY MONEY MARKET	\$100,001 - \$250,000	INTEREST/CAPITAL GAINS	\$201 - \$1,000	
AMERICAN EUROPACIFIC GRTH	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	P
AMERICAN GRW FD OF AMER	\$50,001 - \$100,000	DIVIDENDS	\$201 - \$1,000	P
ARTISAN MID CAP VALUE	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	P
COLUMBIA ACORN INTL	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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	COLUMBIA VALUE & RESTRUCT	\$50,001 - \$100,000	DIVIDENDS	\$201 - \$1,000	P
	DODGE & COX INTL STOCK	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	P
	DWS DREMAN S/C VALUE	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	P
	EVERGREEN INTRINSIC VALUE	\$50,001 - \$100,000	DIVIDENDS	\$201 - \$1,000	P
	FAIRHOLME FUND	\$50,001 - \$100,000	DIVIDENDS	\$201 - \$1,000	P
	FIDELITY ADV NEW INSIGHTS	\$50,001 - \$100,000	CAPITAL GAINS	\$1 - \$200	P
	FIDELITY EMERGING MARKET	\$15,001 - \$50,000	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	P
	FIDELITY HIGH INCOME	\$15,001 - \$50,000	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	P
	FIDELITY INTERMEDIATE MUNI	\$100,001 - \$250,000	INTEREST	\$1,001 - \$2,500	P
	FIDELITY LEVERAGED CO STOCK	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	P
	FIDELITY SHORT INTERM MUNI	\$100,001 - \$250,000	INTEREST	\$1,001 - \$2,500	P
	HARBOR INTERNATIONAL	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	P
	HARBOR INTERNATIONAL GRO	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	P
	JANUS OVERSEAS	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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LAUDUS ROSENB INTERN DISC	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	P
LAZARD EMERG MKT EQY	\$15,001 - \$50,000	DIVIDENDS	\$1,001 - \$2,500	P
LOOMIS SAYLES BOND FUND	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	P
MASTERS SELECT INTERNATL	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	P
MORGAN STANLEY INS US REAL ESTATE	\$15,001 - \$50,000	None	NONE	P
PERKINS MID CAP VAL	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	P
PIMCO COMMODITY RR STRAT	\$15,001 - \$50,000	DIVIDENDS/CAPITAL GAINS	\$1,001 - \$2,500	P
ROYCE PREMIER	\$15,001 - \$50,000	None	NONE	P
ROYCE VALUE PLUS	\$15,001 - \$50,000	None	NONE	P
RS PARTNERS	\$15,001 - \$50,000	None	NONE	P
RS VALUE	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	P
T ROWE PRICE MID CAP GR	\$15,001 - \$50,000	CAPITAL GAINS	\$1 - \$200	P
THORNBURG INTERMED MUNI	\$100,001 - \$250,000	DIVIDENDS/INTE REST	\$2,501 - \$5,000	P
THORNBURG INTL VALUE	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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THORNBURG LTD TRM MUNI	\$100,001 - \$250,000	DIVIDENDS/INTE REST	\$201 - \$1,000	P
THORNBURG VALUE	\$50,001 - \$100,000	DIVIDENDS	\$201 - \$1,000	P
IRA:				
FIDELITY MONEY MARKET	\$1 - \$1,000	DIVIDENDS	\$201 - \$1,000	
AMERICAN EUROPACIFIC GRTH	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
AMERICAN GRW FD OF AMER	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
ARTISAN MID CAP VALUE	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
COLUMBIA ACORN INTL	\$1,001 - \$15,000	None	NONE	P
COLUMBIA VALUE & RESTRUCT	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
DODGE & COX INCOME	\$15,001 - \$50,000	DIVIDENDS	\$1,001 - \$2,500	P
DWS DREMAN S/C VALUE	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
EVERGREEN INTRINSIC VALUE	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
FAIRHOLME FUND	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
FIDELITY ADV NEW INSIGHTS	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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FIDELITY EMERGING MARKET	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	P	
FIDELITY HIGH INCOME	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	P	
FIDELITY LEVERAGED CO STOCK	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P	
FIDELITY REAL ESTATE	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P	
FIDELITY US BOND INDEX FUND	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S	
HARBOR INTERNATIONAL	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P	
LAZARD EMERG MKT EQY	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P	
LOOMIS SAYLES BOND FUND	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P	
MASTERS SELECT INTERNATL	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P	
PIMCO LOW DURATION	\$15,001 - \$50,000	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	P	
PIMCO TOTAL RETURN	\$15,001 - \$50,000	DIVIDENDS/CAPITAL GAINS	\$1,001 - \$2,500	P	
ROYCE PREMIER	\$1,001 - \$15,000	None	NONE	P	
ROYCE VALUE PLUS	\$1,001 - \$15,000	None	NONE	P	
RS VALUE	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P	

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	T ROWE PRICE MID CAP GR	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	P
	THORNBURG INTL VALUE	\$1,001 - \$15,000	None	NONE	P
	THORNBURG VALUE	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
	VANGUARD S/T INVEST GR	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	P
	IRA:				
SP	FIDELITY MONEY MARKET	\$1 - \$1,000	DIVIDENDS	\$201 - \$1,000	
SP	AMERICAN EUROPACIFIC GRTH	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	AMERICAN GRW FD OF AMER	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	ARTISAN MID CAP VALUE	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	COLUMBIA ACORN INTL	\$1,001 - \$15,000	None	NONE	P
SP	COLUMBIA VALUE & RESTRUCT	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	DODGE & COX INCOME	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	P
SP	EVERGREEN INTRINSIC VALUE	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	FIDELITY ADV NEW INSIGHTS	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	P

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SP	FIDELITY EMERGING MARKET	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	P
SP	FIDELITY HIGH INCOME	\$1 - \$1,000	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	P
SP	FIDELITY LEVERAGED CO STOCK	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	FIDELITY INTERMEDIATE BOND	None	DIVIDENDS	\$1 - \$200	S
SP	FIDELITY REAL ESTATE INVEST	\$1 - \$1,000	None	NONE	P
SP	FIDELITY US BOND INDEX FUND	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
SP	LOOMIS SAYLES BOND FUND	\$1 - \$1,000	DIVIDENDS	\$1 - \$200	P
SP	PIMCO LOW DURATION	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	P
SP	PIMCO TOTAL RETURN	\$15,001 - \$50,000	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	P
SP	RAINIER MID CAP EQUITY	\$1,001 - \$15,000	None	\$1 - \$200	P
SP	ROYCE PREMIER	\$1,001 - \$15,000	None	NONE	P
SP	RS PARTNERS	\$1,001 - \$15,000	None	NONE	P
SP	RS VALUE	\$1,001 - \$15,000	None/DIVIDENDS	\$1 - \$200	P
SP	THORNBURG INTL VALUE	\$1,001 - \$15,000	None	NONE	P

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SP	THORNBURG VALUE	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
	PROCEEDS FROM 2007 INSTALLMENT SALE (INTERNATIONAL MOTION CONTROL INC) (Christopher Lee)	None	DIVIDENDS/INTE REST/CAPITAL GAINS	\$100,001 - \$1,000,000	

	Trust FBO Johnathan Lee (1)- INTEREST IN LEE FAMILY CAPITAL LLC				
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DC	FIDELITY MONEY MARKET	\$1,001 - \$15,000	DIVIDENDS/INTE REST/CAPITAL GAINS	\$1 - \$200	
DC	SUMMIT ROCK STRATEGIC FIXED INCOME LP	\$1,001 - \$15,000	None	NONE	P
DC	LOOMIS SAYLES CREDIT ASSET FUND	\$1,001 - \$15,000	DIVIDENDS/INTE REST/CAPITAL GAINS	\$201 - \$1,000	P

DC	ISHARES RUSSELL 3000 INDEX ETF	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	PS(part)
DC	ISHARES MSCI EAFE ETF	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
DC	ISHARES MSCI EMERGING MARKET ETF	\$1 - \$1,000	DIVIDENDS	\$1 - \$200	P
DC	SUMMIT ROCK SELECT EQUITY LP	\$1,001 - \$15,000	None	NONE	P
DC	SUMMIT ROCK HEDGED EQUITY LP	\$1,001 - \$15,000	None	NONE	P
DC	SUMMIT ROCK DIVERSIFIED STRATEGIES LP	\$1,001 - \$15,000	None	NONE	

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DC	SUMMIT ROCK PRIVATE EQUITY LP	\$1,001 - \$15,000	None	NONE	
DC	ISHARES COHEN & STEERS RLTY	\$1 - \$1,000	None	NONE	S(part)
DC	SUMMIT ROCK REAL ASSETS LP	\$1 - \$1,000	None	NONE	
DC	SUMMIT ROCK BALANCED RESERVES LP	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS/INTEREST	\$1 - \$200	

DC	BERSTEIN BROKERAGE CASH BALANCE	\$1 - \$1,000	DIVIDENDS/INTEREST	\$1 - \$200	
DC	CALIFORNIA ECON RECOVERY	\$1 - \$1,000	None	NONE	P
DC	CALIFORNIA STATEWIDE CDA	\$1 - \$1,000	INTEREST	\$1 - \$200	PS(part)
DC	CAMINO REAL REG. MOB AUTH	\$1 - \$1,000	INTEREST	\$1 - \$200	P
DC	CHICAGO IL TRANSP AUTH	\$1 - \$1,000	INTEREST	\$1 - \$200	
DC	CITIZENS PPTY INS CORP FL	\$1 - \$1,000	INTEREST	\$1 - \$200	P
DC	CLARK CNTY NV ARPT	\$1 - \$1,000	None	NONE	P
DC	FLORIDA DEP FLORIDA FOREVER	\$1 - \$1,000	INTEREST	\$1 - \$200	P
DC	FEDERAL HOME LOAN BANK	None	INTEREST/CAPITAL GAINS	\$1 - \$200	PS

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DC	FLORIDA HURRICANE CATASTROPHE	\$1 - \$1,000	INTEREST	\$1 - \$200	P
DC	FULTON CNTY GA DEV AUTH	\$1 - \$1,000	None	NONE	P
DC	HOUSTON TX ARPT SYS	\$1 - \$1,000	None	NONE	P
DC	HEALTH CARE AUTH FOR BAPTIST	None	INTEREST	\$1 - \$200	PS
DC	JACKSONVILLE FL ELEC AUTH	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P
DC	JEFFERSON LA MUNI	\$1 - \$1,000	INTEREST	\$1 - \$200	P
DC	LONG ISLAND PWR AUTH NY	\$1 - \$1,000	INTEREST	\$1 - \$200	P
DC	METROPOLITAN TRANSP AUTH NY	\$1 - \$1,000	INTEREST	\$1 - \$200	P
DC	MIAMI-DADE CNTY FL AVIATION	\$1 - \$1,000	INTEREST	\$1 - \$200	P
DC	MUNI ELECTRIC AUTH OF GA	\$1 - \$1,000	INTEREST	\$1 - \$200	
DC	NASSAU CNTY NY	\$1 - \$1,000	None	NONE	P
DC	NEW YORK N Y CITY MUN WTR	\$1 - \$1,000	INTEREST	\$1 - \$200	P
DC	NEW JERSEY ED FAC AUTH	None	INTEREST	\$1 - \$200	PS
DC	NEW YORK NY	\$1 - \$1,000	INTEREST	\$1 - \$200	P

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DC	NEW YORK NY HLTH & HOSP CORP	\$1 - \$1,000	INTEREST	\$1 - \$200	
DC	NEW YORK NY TRANSL FIN AUTH	\$1 - \$1,000	INTEREST/CAPIT AL GAINS	\$1 - \$200	PS(part)
DC	NEW YORK ST DORM AUTH	\$1 - \$1,000	INTEREST/CAPIT AL GAINS	\$1 - \$200	PS(part)
DC	NEW YORK ST ENVIRONMENTAL FACS	\$1 - \$1,000	INTEREST/CAPIT AL GAINS	\$1 - \$200	PS(part)
DC	NEW YORK ST THRUWAY AUTH	\$1 - \$1,000	INTEREST	\$1 - \$200	P
DC	NEW YORK ST LOC GOV ASST CORP	None	INTEREST/CAPIT AL GAINS	\$1 - \$200	PS
DC	NORTH CAROLINA EASTN MUN PWR	\$1 - \$1,000	None	NONE	P
DC	OHIO AIR QUALITY DEV AUTH	\$1 - \$1,000	INTEREST	\$1 - \$200	
DC	ONONDAGA CNTY NY	\$1 - \$1,000	None	NONE	P
DC	OREGON HEALTH SCIENCES UNIV	None	INTEREST	\$1 - \$200	PS
DC	PORT AUTHORITY OF NY & NJ	\$1 - \$1,000	INTEREST	\$1 - \$200	P
DC	PUERTO RICO COMMWLTH GOVT	\$1 - \$1,000	INTEREST	\$1 - \$200	
DC	PUERTO RICO SALES TAX FIN CORP	\$1 - \$1,000	None	NONE	P
DC	TEXAS TRANSP COMM CENTRAL TEXAS TURNPIKE	\$1 - \$1,000	INTEREST	\$1 - \$200	P

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DC	TOMPKINS CNTY NY IDA	\$1 - \$1,000	None	NONE	P
DC	TRIBOROUGH BRDG & TUNL AUTH NY	\$1 - \$1,000	INTEREST	\$1 - \$200	P
DC	WEST VIRGINIA EDA WEST VIRGINIA ECON DEV AUTH	\$1 - \$1,000	INTEREST	\$1 - \$200	
	Trust FBO Johnathan Lee (2)- INTEREST IN LEE FAMILY CAPITAL LLC				
DC	FIDELITY MONEY MARKET	\$15,001 - \$50,000	DIVIDENDS/INTE REST/CAPITAL GAINS	\$201 - \$1,000	
DC	SUMMIT ROCK STRATEGIC FIXED INCOME LP	\$15,001 - \$50,000	None	NONE	P
DC	LOOMIS SAYLES CREDIT ASSET FUND	\$15,001 - \$50,000	DIVIDENDS/INTE REST/CAPITAL GAINS	\$2,501 - \$5,000	P
DC	ISHARES RUSSELL 3000 INDEX ETF	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	PS(part)
DC	ISHARES MSCI EAFE ETF	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	P
DC	ISHARES MSCI EMERGING MARKET ETF	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
DC	SUMMIT ROCK SELECT EQUITY LP	\$100,001 - \$250,000	None	NONE	P
DC	SUMMIT ROCK HEDGED EQUITY LP	\$100,001 - \$250,000	None	NONE	P
DC	SUMMIT ROCK DIVERSIFIED STRATEGIES LP	\$100,001 - \$250,000	None	NONE	

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DC	SUMMIT ROCK PRIVATE EQUITY LP	\$15,001 - \$50,000	None	NONE	
DC	ISHARES COHEN & STEERS RLTY	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	S(part)
DC	SUMMIT ROCK REAL ASSETS LP	\$1,001 - \$15,000	None	NONE	
DC	SUMMIT ROCK BALANCED RESERVES LP	\$15,001 - \$50,000	DIVIDENDS/INTE REST/CAPITAL GAINS	\$201 - \$1,000	

DC	BERSTEIN BROKERAGE CASH BALANCE	\$1,001 - \$15,000	DIVIDENDS/INTE REST	\$1 - \$200	
DC	CALIFORNIA ECON RECOVERY	\$1,001 - \$15,000	None	NONE	P
DC	CALIFORNIA STATEWIDE CDA	\$1,001 - \$15,000	INTEREST	\$1 - \$200	PS(part)
DC	CAMINO REAL REGI MOB AUTH	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P
DC	CHICAGO IL TRANSP AUTH	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
DC	CITIZENS PPTY INS CORP FL	\$1 - \$1,000	INTEREST	\$1 - \$200	P
DC	CLARK CNTY NV ARPT	\$1,001 - \$15,000	None	NONE	P
DC	FEDERAL HOME LOAN BANK	None	INTEREST/CAPIT AL GAINS	\$1 - \$200	PS
DC	FLORIDA DEP FLORIDA FOREVER	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P
DC	FLORIDA HURRICANE CATASTROPHE	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P

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DC	FULTON CNTY GA DEV AUTH	\$1,001 - \$15,000	None	NONE	P
DC	HEALTH CARE AUTH FOR BAPTIST	None	INTEREST	\$1 - \$200	PS
DC	HOUSTON TX ARPT SYS	\$1,001 - \$15,000	None	NONE	P
DC	JACKSONVILLE FL ELEC AUTH	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P
DC	JEFFERSON LA MUNI	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P
DC	LONG ISLAND PWR AUTH NY	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P
DC	METROPOLITAN TRANSP AUTH NY	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P
DC	MIAMI-DADE CNTY FL AVIATION	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P
DC	MUNI ELECTRIC AUTH OF GA	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
DC	NASSAU CNTY NY	\$1,001 - \$15,000	None	NONE	P
DC	NEW JERSEY ED FAC AUTH	None	INTEREST	\$1 - \$200	PS
DC	NEW YORK N Y CITY MUN WTR	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P
DC	NEW YORK N Y	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P
DC	NEW YORK NY HLTH & HOSP CORP	\$1,001 - \$15,000	INTEREST	\$1 - \$200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

SCHEDULE III - ASSETS AND "UNEARNED" INCOME					Name Christopher John Lee		Page 16 of 59
DC	NEW YORK NY TRNSL FIN AUTH	\$1,001 - \$15,000	INTEREST/CAPITAL GAINS	\$201 - \$1,000	PS(part)		
DC	NEW YORK ST DORM AUTH	\$1,001 - \$15,000	INTEREST/CAPITAL GAINS	\$201 - \$1,000	PS(part)		
DC	NEW YORK ST ENVIRONMENTAL FACCS	\$1,001 - \$15,000	INTEREST/CAPITAL GAINS	\$201 - \$1,000	PS(part)		
DC	NEW YORK ST THRUWAY AUTH	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P		
DC	NEW YORK ST LOC GOV ASST CORP	None	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	PS		
DC	NORTH CAROLINA EASTN MUN PWR	\$1,001 - \$15,000	None	NONE	P		
DC	OHIO AIR QUALITY DEV AUTH	\$1 - \$1,000	INTEREST	\$1 - \$200			
DC	ONONDAGA CNTY NY	\$1,001 - \$15,000	None	NONE	P		
DC	OREGON HEALTH SCIENCES UNIV	None	INTEREST	\$1 - \$200	PS		
DC	PORT AUTHORITY OF NY & NJ	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P		
DC	PUERTO RICO COMMWLTH GOVT	\$1,001 - \$15,000	INTEREST	\$1 - \$200			
DC	PUERTO RICO SALES TAX FIN CORP	\$1,001 - \$15,000	None	NONE	P		
DC	TEXAS TRNSP COMM CENTRAL TEXAS TURNPIKE	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P		
DC	TOMPKINS CNTY NY IDA	\$1,001 - \$15,000	None	NONE	P		

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Christopher John Lee

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DC	TRIBOROUGH BRDG & TUNL AUTH NY	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P
DC	WEST VIRGINIA EDA WEST VIRGINIA ECON DEV AUTH	\$1 - \$1,000	INTEREST	\$1 - \$200	
	TRUST FBO CHRISTOPHER J LEE -INTEREST IN LEE FAMILY CAPITAL LLC				
	FIDELITY MONEY MARKET	\$100,001 - \$250,000	DIVIDENDS/INTE REST/CAPITAL GAINS	\$2,501 - \$5,000	
	SUMMIT ROCK STRATEGIC FIXED INCOME LP	\$250,001 - \$500,000	None	NONE	P
	LOOMIS SAYLES CREDIT ASSET FUND	\$250,001 - \$500,000	DIVIDENDS/INTE REST/CAPITAL GAINS	\$15,001 - \$50,000	P
	ISHARES RUSSELL 3000 INDEX ETF	\$250,001 - \$500,000	DIVIDENDS	\$1,001 - \$2,500	PS(part)
	ISHARES MSCI EAFE ETF	\$100,001 - \$250,000	DIVIDENDS	\$1,001 - \$2,500	P
	ISHARES MSCI EMERGING MARKET ET	\$50,001 - \$100,000	DIVIDENDS	\$201 - \$1,000	P
	SUMMIT ROCK SELECT EQUITY	\$1,000,001 - \$5,000,000	None	NONE	P
	SUMMIT ROCK HEDGED EQUITY LP	\$1,000,001 - \$5,000,000	None	NONE	P
	SUMMIT ROCK DIVERSIFIED STRATEGIES LP	\$1,000,001 - \$5,000,000	None	NONE	
	SUMMIT ROCK PRIVATE EQUITY LP	\$100,001 - \$250,000	None	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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ISHARES COHEN & STEERS RLTY	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	S(part)
SUMMIT ROCK REAL ASSETS LP	\$50,001 - \$100,000	None	NONE	
SUMMIT ROCK BALANCED RESERVES LP	\$250,001 - \$500,000	DIVIDENDS/INTE REST/CAPITAL GAINS	\$2,501 - \$5,000	

BERSTEIN BROKERAGE CASH BALANCE	\$1,001 - \$15,000	DIVIDENDS/INTE REST	\$201 - \$1,000	
CALIFORNIA ECON RECOVERY	\$15,001 - \$50,000	None	NONE	P
CALIFORNIA STATEWIDE CDA	\$1,001 - \$15,000	INTEREST	\$1 - \$200	PS(part)
CAMINO REAL REGI MOB AUTH	\$15,001 - \$50,000	INTEREST	\$1 - \$200	P
CHICAGO IL TRANSP AUTH	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	
CITIZENS PPTY INS CORP FL	\$1,001 - \$15,000	INTEREST	\$201 - \$1,000	P
CLARK CNTY NV ARPT	\$1,001 - \$15,000	None	NONE	P
FLORIDA DEP FLORIDA FOREVER	\$15,001 - \$50,000	INTEREST	\$1 - \$200	P
FEDERAL HOME LOAN BANK	None	INTEREST/CAPIT AL GAINS	\$201 - \$1,000	PS
FLORIDA HURRICANE CATASTROPHE	\$15,001 - \$50,000	INTEREST	\$1 - \$200	P
FULTON CNTY GA DEV AUTH	\$15,001 - \$50,000	None	NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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	HOUSTON TX ARPT SYS	\$1,001 - \$15,000	None	NONE	P
	HEALTH CARE AUTH FOR BAPTIST	None	INTEREST	\$1 - \$200	PS
	JACKSONVILLE FL ELEC AUTH	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
	JEFFERSON LA MUNI	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
	LONG ISLAND PWR AUTH NY	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
	METROPOLITAN TRANSP AUTH NY	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
	MIAMI-DADE CNTY FL AVIATION	\$1,001 - \$15,000	INTEREST	\$201 - \$1,000	P
	MUNI ELECTRIC AUTH OF GA	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	
	NASSAU CNTY NY	\$15,001 - \$50,000	None	NONE	P
	NEW YORK N Y CITY MUN WTR	\$15,001 - \$50,000	INTEREST	\$1,001 - \$2,500	P
	NEW JERSEY ED FAC AUTH	None	INTEREST	\$1 - \$200	PS
	NEW YORK N Y	\$50,001 - \$100,000	INTEREST	\$201 - \$1,000	P
	NEW YORK NY HLTH & HOSP CORP	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	
	NEW YORK NY TRANSL FIN AUTH	\$15,001 - \$50,000	INTEREST/CAPIT AL GAINS	\$2,501 - \$5,000	PS(part)

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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	NEW YORK ST DORM AUTH	\$15,001 - \$50,000	INTEREST/CAPIT AL GAINS	\$1,001 - \$2,500	PS(part)
	NEW YORK ST ENVIRONMENTAL FACs	\$15,001 - \$50,000	INTEREST/CAPIT AL GAINS	\$2,501 - \$5,000	PS(part)
	NEW YORK ST THRUWAY AUTH	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
	NORTH CAROLINA EASTN MUN PWR	\$1,001 - \$15,000	None	NONE	P
	NEW YORK ST LOC GOVT ASST CORP	None	INTEREST/CAPIT AL GAINS	\$201 - \$1,000	PS
	OHIO AIR QUALITY DEV AUTH	\$1,001 - \$15,000	INTEREST	\$201 - \$1,000	
	ONONDAGA CNTY NY	\$15,001 - \$50,000	None	NONE	P
	PORT AUTHORITY OF NY & NJ	\$15,001 - \$50,000	INTEREST	\$1 - \$200	P
	OREGON HEALTH SCIENCES UNIV	None	INTEREST	\$1 - \$200	PS
	PUERTO RICO COMMWLTH GOVT	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	
	PUERTO RICO SALES TAX FIN CORP	\$15,001 - \$50,000	None	NONE	P
	TEXAS TRANSP COMM CENTRAL TEXAS TURNPIKE	\$1,001 - \$15,000	INTEREST	\$201 - \$1,000	P
	TOMPKINS CNTY NY IDA	\$1,001 - \$15,000	None	NONE	P
	TRIBOROUGH BRDG & TUNL AUTH NY	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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WEST VIRGINIA EDA WEST VIRGINIA ECON DEV AUTH	\$1,001 - \$15,000	INTEREST	\$201 - \$1,000	
CHARITABLE TRUST FBO CHRISTOPHER J LEE - INTEREST IN LEE CHARITABLE CAPITAL LLC				

FIDELITY MONEY MARKET	\$100,001 - \$250,000	DIVIDENDS/INTE REST	\$1,001 - \$2,500	
SUMMIT ROCK STRATEGIC FIXED INCOME LP	\$100,001 - \$250,000	None	NONE	P
LOOMIS SAYLES CREDIT ASSET FUND	\$100,001 - \$250,000	DIVIDENDS/INTE REST/CAPITAL GAINS	\$5,001 - \$15,000	P

ISHARES RUSSELL 3000 INDEX ETF	\$100,001 - \$250,000	DIVIDENDS	\$1,001 - \$2,500	PS(part)
ISHARES MSCI EAFE ETF	\$50,001 - \$100,000	DIVIDENDS	\$201 - \$1,000	P
ISHARES MSCI EMERGING MARKET ETF	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	P
SUMMIT ROCK SELECT EQUITY LP	\$500,001 - \$1,000,000	None	NONE	P
SUMMIT ROCK HEDGED EQUITY LP	\$500,001 - \$1,000,000	None	NONE	P
SUMMIT ROCK DIVERSIFIED STRATEGIES LP	\$250,001 - \$500,000	None	NONE	P
SUMMIT ROCK PRIVATE EQUITY LP	\$1,001 - \$15,000	None	NONE	P
SUMMIT ROCK BALANCED RESERVES LP	\$100,001 - \$250,000	DIVIDENDS/INTE REST/CAPITAL GAINS	\$5,001 - \$15,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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BERSTEIN BROKERAGE CASH BALANCE	\$1,001 - \$15,000	DIVIDENDS	\$1,001 - \$2,500	
CAMINO REAL REGI MOB AUTH	\$15,001 - \$50,000	INTEREST	\$1 - \$200	P
CALIFORNIA STATEWIDE CDA	None	INTEREST	\$1 - \$200	PS
CHICAGO IL TRANSP AUTH	\$15,001 - \$50,000	INTEREST	\$1,001 - \$2,500	
CITIZENS PPTY INS CORP FL	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
CLARK CNTY NV ARPT	\$1,001 - \$15,000	None	NONE	P
ENERGY NORTHWEST WA	None	INTEREST/CAPIT AL GAINS	\$201 - \$1,000	PS
FEDERAL HOME LOAN BANK	None	INTEREST	\$1 - \$200	PS
FLORIDA DEP FLORIDA FOREVER	\$15,001 - \$50,000	INTEREST	\$1 - \$200	P
FLORIDA HURRICANE CATASTROPHE	\$15,001 - \$50,000	None	NONE	P
FULTON CNTY GA DEV AUTH	None	INTEREST/CAPIT AL GAINS	\$1 - \$200	PS
HOUSTON TX ARPT SYS	\$15,001 - \$50,000	None	NONE	P
HEALTH CARE AUTH FOR BAPTIST	None	INTEREST	\$1 - \$200	PS
JACKSONVILLE FL ELEC AUTH	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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	JEFFERSON LA MUNI	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
	LONG ISLAND PWR AUTH	\$1,001 - \$15,000	INTEREST/CAPIT AL GAINS	\$1,001 - \$2,500	PS(part)
	METROPOLITAN TRANSP AUTH NY	\$15,001 - \$50,000	INTEREST/CAPIT AL GAINS	\$201 - \$1,000	PS(part)
	MIAMI-DADE CNTY FL AVIATION	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
	MUNI ELECTRIC AUTH OF GA	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	
	NEW YORK NY	\$15,001 - \$50,000	INTEREST/CAPIT AL GAINS	\$2,501 - \$5,000	PS(part)
	NASSAU CNTY NY	None	INTEREST/CAPIT AL GAINS	\$1 - \$200	PS
	NEW JERSEY ED FAC AUTH	None	INTEREST	\$1 - \$200	PS
	NEW YORK N Y CITY MUN WTR	\$15,001 - \$50,000	INTEREST/CAPIT AL GAINS	\$1,001 - \$2,500	PS(part)
	NEW YORK NY HLTH & HOSP	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	
	NEW YORK NY TRANSL FIN AUTH	\$1,001 - \$15,000	INTEREST/CAPIT AL GAINS	\$5,001 - \$15,000	PS(part)
	NEW YORK ST DORM AUTH	\$15,001 - \$50,000	INTEREST/CAPIT AL GAINS	\$1,001 - \$2,500	PS(part)
	NEW YORK ST EVNRMNTL FACS	\$15,001 - \$50,000	INTEREST	\$2,501 - \$5,000	PS(part)
	NORTH CAROLINA EASTN MUN PWR	\$15,001 - \$50,000	None	NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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	NORTH CAROLINA MUN PWR	\$15,001 - \$50,000	None	NONE	P
	NEW YORK ST LOC GOVT ASST CORP	None	INTEREST/CAPITAL GAINS	\$1,001 - \$2,500	PS
	NEW YORK ST THRUWAY AUTH	None	INTEREST/CAPITAL GAINS	\$5,001 - \$15,000	PS
	OHIO AIR QUALITY DEV AUTH	\$1,001 - \$15,000	INTEREST	\$201 - \$1,000	
	ONONDAGA CNTY NY	None	INTEREST/CAPITAL GAINS	\$1,001 - \$2,500	PS
	OREGON HLTH SCIENCES UNIV	None	INTEREST	\$1 - \$200	PS
	PORT AUTHORITY OF NY & NJ	\$15,001 - \$50,000	INTEREST	\$1 - \$200	P
	PUERTO RICO COMMWLTH	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	
	PUERTO RICO PUB BLDGS AUTH	\$1,001 - \$15,000	None	NONE	P
	PUERTO RICO SALES TAX FIN CORP	\$15,001 - \$50,000	None	NONE	P
	TEXAS TRANSP COMM CENTRAL TEXAS TURNPIKE	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
	TOBACCO SETTLEMENT FING CORP NY	\$15,001 - \$50,000	INTEREST	\$1,001 - \$2,500	P
	TOMPKINS CNTY NY IDA	\$15,001 - \$50,000	None	NONE	P
	WEST VIRGINIA ECON DEV AUTH	\$1,001 - \$15,000	INTEREST	\$201 - \$1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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	TRIBOROUGH BRDG & TUNL AUTH NY	None	INTEREST/CAPITAL GAINS	\$2,501 - \$5,000	PS
	Individual Account:				
SP	BERKSHIRE HATHAWAY INC	\$1,001 - \$15,000	None	NONE	
SP	DISNEY WALT COMPANY	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SP	MIDDLEBY CORP	\$1,001 - \$15,000	None	NONE	
SP	CASH MONEY MARKET	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
	Individual Account (2):				
	INTERNET INFRASTRUCTURE HOLDERS	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	
	ISHARES TR FTSE XINHUA HK CHINA 25 INDEX FD	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
	ISHARES TR MSCI EMERGING MKTS INDEX FD	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
	ISHARES TR S&P GLOBAL TELECOMMUNICATIONS SECTOR INDEX FD	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
	ISHARES S&P NORTH AMERICAN NATURAL RESOURCES SECTOR INDEX FD	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
	ISHARES S&P NORTH AMERICAN TECHNOLOGY SECTOR INDEX FD	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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	CASH MONEY MARKET	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
	Individual Account (3):				
	QUANTUM FUEL SYS TECHNOLOGIES WORLDWIDE	\$1,001 - \$15,000	None	NONE	
	OTHER				
	PRINCIPAL FINANCIAL GROUP	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
	Residential property, Lancaster, NY	\$100,001 - \$250,000	None	NONE	P

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, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Individual Account (1):				
	AMERICAN EUROPACIFIC GRTH 3 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	AMERICAN GRW FD OF AMER 4 PURCHASES	P	N/A	VARIOUS	\$50,001 - \$100,000
	ARTISAN MID CAP VALUE 3 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	COLUMBIA ACORN INTL 3 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	COLUMBIA VALUE & RESTRUCT 5 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	DODGE & COX INTL STOCK 3 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	DWS DREMAN S/C VALUE 4 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	EVERGREEN INTRINSIC VALUE 4 PURCHASES	P	N/A	VARIOUS	\$50,001 - \$100,000
	FAIRHOLME FUND 4 PURCHASES	P	N/A	VARIOUS	\$50,001 - \$100,000
	FIDELITY ADV NEW INSIGHTS 4 PURCHASES	P	N/A	VARIOUS	\$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, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	FIDELITY EMERGING MARKET 4 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	FIDELITY HIGH INCOME 6 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	FIDELITY INTERMEDIATE MUNI 26 PURCHASES	P	N/A	VARIOUS	\$100,001 - \$250,000
	FIDELITY LEVERAGED CO STOCK 3 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	FIDELITY SHORT INTERM MUNI 14 PURCHASES	P	N/A	VARIOUS	\$100,001 - \$250,000
	HARBOR INTERNATIONAL 3 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	HARBOR INTERNATIONAL GRO	P	N/A	7/27/2009, 12/18/10	\$15,001 - \$50,000
	JANUS OVERSEAS	P	N/A	12/22/2009, 11/16/09	\$15,001 - \$50,000
	LAUDUS ROSENB INTERN DISC 4 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	LAZARD EMERG MKT EQY 4 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	LOOMIS SAYLES BOND FUND 4 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000

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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, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	MASTERS SELECT INTERNATL 3 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	MORGAN STANLEY INS US REAL ESTATE	P	N/A	11/16/2009, 10/28/09	\$15,001 - \$50,000
	PERKINS MID CAP VAL 3 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	PIMCO COMMODITY RR STRAT 4 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	ROYCE PREMIER 3 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	ROYCE VALUE PLUS	P	N/A	7/27/2009, 11/16 /09	\$1,001 - \$15,000
	RS PARTNERS	P	N/A	7/27/2009, 11/16/09	\$1,001 - \$15,000
	RS VALUE 3 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	T ROWE PRICE MID CAP GR 3 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	THORNBURG INTERMED MUNI 14 PURCHASES	P	N/A	VARIOUS	\$100,001 - \$250,000
	THORNBURG LTD TRM MUNI 5 PURCHASES	P	N/A	VARIOUS	\$100,001 - \$250,000

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, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	THORNBURG VALUE 5 PURCHASES	P	N/A	VARIOUS	\$50,001 - \$100,000
	THORNBURG INTL VALUE 3 PURCHS	P	N/A	VARIOUS	\$15,001 - \$50,000
	IRA:				
	AMERICAN EUROPACIFIC GRTH	P	N/A	11/16/2009, 12/28/09	\$1,001 - \$15,000
	AMERICAN GRW FD OF AMER 3 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
	ARTISAN MID CAP VALUE	P	N/A	7/27/2009, 12/17/09	\$1,001 - \$15,000
	COLUMBIA ACORN INTL	P	N/A	7/27/2009, 10/28/09	\$1,001 - \$15,000
	COLUMBIA VALUE & RESTRUCT 3 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
	DODGE & COX INCOME 5 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	DWS DREMAN S/C VALUE	P	N/A	7/27/2009, 12/21/09	\$1,001 - \$15,000
	EVERGREEN INTRINSIC VALUE 3 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000

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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, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	FAIRHOLME FUND	P	N/A	10/28/2009, 12/16/09	\$1,001 - \$15,000
	FIDELITY ADV NEW INSIGHTS 3 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
	FIDELITY EMERGING MARKET 3 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
	FIDELITY HIGH INCOME 6 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
	FIDELITY LEVERAGED CO STOCK 3 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
	FIDELITY REAL ESTATE 3 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
	HARBOR INTERNATIONAL	P	N/A	7/27/2009, 12/18/09	\$1,001 - \$15,000
	FIDELITY US BOND INDEX FUND	S	Yes	1/27/09	\$15,001 - \$50,000
	LAZARD EMERG MKT EGY 3 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
	LOOMIS SAYLES BOND FUND 4 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
	MASTERS SELECT INTERNATL	P	N/A	7/27/2009, 12/30/09	\$1,001 - \$15,000

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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, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	PIMCO LOW DURATION 15 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	PIMCO TOTAL RETURN 12 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
	ROYCE PREMIER	P	N/A	10/28/2009	\$1,001 - \$15,000
	ROYCE VALUE PLUS	P	N/A	7/27/2009	\$1,001 - \$15,000
	RS VALUE	P	N/A	11/16/2009, 12/18/09	\$1,001 - \$15,000
	T ROWE PRICE MID CAP GR	P	N/A	7/27/2009, 12/14/09	\$1,001 - \$15,000
	THORNBURG INTL VALUE	P	N/A	10/28/2009	\$1,001 - \$15,000
	THORNBURG VALUE	P	N/A	10/28/2009, 12/24/09	\$1,001 - \$15,000
	VANGUARD S/T INVEST GR 4 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	IRA:				
SP	AMERICAN EUROPACIFIC GRTH 3 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
SP	AMERICAN GRW FD OF AMER	P	N/A	7/27/2009, 12/22/09	\$1,001 - \$15,000
SP	ARTISAN MID CAP VALUE	P	N/A	7/27/2009, 12/17/09	\$1,001 - \$15,000
SP	COLUMBIA ACORN INTL	P	N/A	7/27/2009, 10/28/09	\$1,001 - \$15,000
SP	COLUMBIA VALUE & RESTRUCT	P	N/A	12/9/2009, 10/28/09	\$1,001 - \$15,000
SP	DODGE & COX INCOME 4 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
SP	EVERGREEN INTRINSIC VALUE	P	N/A	7/27/2009, 12/09/09	\$1,001 - \$15,000
SP	FIDELITY ADV NEW INSIGHTS	P	N/A	12/23/2009, 10/28/09	\$1,001 - \$15,000
SP	FIDELITY EMERGING MARKET 3 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
SP	FIDELITY HIGH INCOME 6 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
SP	FIDELITY LEVERAGED CO STOCK	P	N/A	12/11/2009, 10/28/09	\$1,001 - \$15,000
SP	FIDELITY INTERMEDIATE BOND	S	No	1/27/09	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
SP	FIDELITY REAL ESTATE INVEST 3 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
SP	FIDELITY US BOND INDEX FUND	S	Yes	1/27/09	\$1,001 - \$15,000
SP	LOOMIS SAYLES BOND FUND 4 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
SP	PIMCO LOW DURATION 14 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
SP	PIMCO TOTAL RETURN 6 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
SP	RAINIER MID CAP EQUITY	P	N/A	7/27/2009, 12/16/09	\$1,001 - \$15,000
SP	ROYCE PREMIER 3 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
SP	RS PARTNERS	P	N/A	10/28/09, 11/16/09	\$1,001 - \$15,000
SP	RS VALUE	P	N/A	12/18/2009, 11/16/09	\$1,001 - \$15,000
SP	THORNBURG INTL VALUE	P	N/A	11/16/2009	\$1,001 - \$15,000
SP	THORNBURG VALUE	P	N/A	7/27/2009, 11/16/09	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Trust FBO Johnathan Lee (1) - INTEREST IN LEE FAMILY CAPITAL LLC				
DC	SUMMIT ROCK STRATEGIC FIXED INCOME LP	P	N/A	2/5/09, 5/20/2009	\$1,001 - \$15,000
DC	LOOMIS SAYLES CREDIT ASSET FUND	P	N/A	7/15/2009	\$1,001 - \$15,000
DC	ISHARES RUSSELL 3000 INDEX ETF 3 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
DC	ISHARES RUSSELL 3000 INDEX ETF 3 SALES	S(part)	No	VARIOUS	\$1,001 - \$15,000
DC	ISHARES MSCI EAFE ETF 3 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
DC	ISHARES MSCI EMERGING MARKET ETF 3 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
DC	SUMMIT ROCK SELECT EQUITY LP	P	N/A	1/23/09, 3/24/2009	\$1,001 - \$15,000
DC	SUMMIT ROCK HEDGED EQUITY LP	P	N/A	3/24/2009	\$1,001 - \$15,000
DC	ISHARES COHEN & STEERS RLTY	S(part)	No	3/6/09, 2/10/09	\$1,001 - \$15,000
DC	IPATH DOW JONES-UBS COMMDTY 3 SALES	S	No	VARIOUS	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
DC	ISHARES MSCI ACWI EX US INDEX	S	No	2/24/09, 2/25/09	\$1,001 - \$15,000
DC	CALIFORNIA ECON RECOVERY	P	N/A	12/01/09	\$1,001 - \$15,000
DC	CALIFORNIA ECON RECOVERY	P	N/A	2/19/09, 11/10/09	\$1,001 - \$15,000
DC	CALIFORNIA STATEWIDE CDA	S	No	1/8/09, 2/26/09	\$1,001 - \$15,000
DC	CAMINO REAL REGI MOB AUTH	P	N/A	08/05/09	\$1,001 - \$15,000
DC	CITIZENS PPTY INS CORP FL	P	N/A	05/01/09	\$1,001 - \$15,000
DC	CLARK CNTY NV ARPT	P	N/A	09/17/09	\$1,001 - \$15,000
DC	FLORIDA DEP FLORIDA FOREVER	P	N/A	01/14/09	\$1,001 - \$15,000
DC	FEDERAL HOME LOAN BANK	P	N/A	09/03/09	\$1,001 - \$15,000
DC	FEDERAL HOME LOAN BANK 5 SALES	S	No	VARIOUS	\$1,001 - \$15,000
DC	FLORIDA HURRICANE CATASTROPHE	P	N/A	04/09/09	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
DC	FULTON CNTY GA DEV AUTH	P	N/A	09/17/09	\$1,001 - \$15,000
DC	HOUSTON TX ARPT SYS	P	N/A	07/31/09	\$1,001 - \$15,000
DC	HEALTH CARE AUTH FOR BAPTIST	P	N/A	01/29/09	\$1,001 - \$15,000
DC	HEALTH CARE AUTH FOR BAPTIST	S	No	05/21/09	\$1,001 - \$15,000
DC	JACKSONVILLE FL ELEC AUTH	P	N/A	02/20/09	\$1,001 - \$15,000
DC	JEFFERSON LA MUNI	P	N/A	05/28/09	\$1,001 - \$15,000
DC	LONG ISLAND PWR AUTH NY	P	N/A	05/07/09	\$1,001 - \$15,000
DC	METROPOLITAN TRANSP AUTH NY	P	N/A	4/24/09, 11/4/09	\$1,001 - \$15,000
DC	MIAMI-DADE CNTY FL AVIATION	P	N/A	04/27/09	\$1,001 - \$15,000
DC	NASSAU CNTY NY	P	N/A	09/02/09	\$1,001 - \$15,000
DC	NEW YORK N Y CITY MUN WTR	P	N/A	09/17/09	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
DC	NEW JERSEY ED FAC AUTH 4 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
DC	NEW JERSEY ED FAC AUTH 4 SALES	S	No	VARIOUS	\$1,001 - \$15,000
DC	NEW YORK NY	P	N/A	08/07/09	\$1,001 - \$15,000
DC	NEW YORK NY TRANSL FIN AUTH	P	N/A	2/23/09, 3/6/09	\$1,001 - \$15,000
DC	NEW YORK NY TRANSL FIN AUTH	S(part)	No	8/13/09, 8/31/09	\$1,001 - \$15,000
DC	NEW YORK ST DORM AUTH 4 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
DC	NEW YORK ST DORM AUTH 3 SALIES	S(part)	No	VARIOUS	\$1,001 - \$15,000
DC	NEW YORK ST ENVIRONMENTAL FACS	P	N/A	01/05/09	\$1,001 - \$15,000
DC	NEW YORK ST ENVIRONMENTAL FACS	S(part)	No	08/31/09	\$1,001 - \$15,000
DC	NEW YORK ST THRUWAY AUTH	P	N/A	08/12/09	\$1,001 - \$15,000
DC	NEW YORK ST LOC GOV ASST CORP	P	N/A	2/25/09, 6/5/09	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
DC	NEW YORK ST LOC GOV ASST CORP	S	No	7/28/09, 8/21/09	\$1,001 - \$15,000
DC	NORTH CAROLINA EASTN MUN PWR	P	N/A	09/17/09	\$1,001 - \$15,000
DC	ONONDAGA CNTY NY	P	N/A	02/24/09	\$1,001 - \$15,000
DC	OREGON HEALTH SCIENCES UNIV	P	N/A	04/28/09	\$1,001 - \$15,000
DC	OREGON HEALTH SCIENCES UNIV	S	No	06/11/09	\$1,001 - \$15,000
DC	PORT AUTHORITY OF NY & NJ	P	N/A	09/02/09	\$1,001 - \$15,000
DC	PUERTO RICO SALES TAX FIN CORP	P	N/A	06/11/09	\$1,001 - \$15,000
DC	TEXAS TRANSP COMM CENTRAL TEXAS TURNPIKE	P	N/A	02/27/09	\$1,001 - \$15,000
DC	TOMPKINS CNTY NY IDA	P	N/A	08/14/09	\$1,001 - \$15,000
DC	TRIBOROUGH BRDG & TUNL AUTH NY	P	N/A	05/27/09	\$1,001 - \$15,000
	Trust FBO Johnathan Lee (2)- INTEREST IN LEE FAMILY CAPITAL LLC				

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
DC	SUMMIT ROCK STRATEGIC FIXED INCOME LP	P	N/A	2/5/09, 5/20/2009	\$15,001 - \$50,000
DC	LOOMIS SAYLES CREDIT ASSET FUND	P	N/A	7/15/09	\$15,001 - \$50,000
DC	ISHARES RUSSELL 3000 INDEX ETF 3 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
DC	ISHARES RUSSELL 3000 INDEX ETF 3 SALES	S(part)	No	VARIOUS	\$50,001 - \$100,000
DC	ISHARES MSCI EAFE ETF 3 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
DC	ISHARES MSCI EMERGING MARKET ETF 3 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
DC	SUMMIT ROCK SELECT EQUITY LP	P	N/A	1/23/09, 3/24/09	\$50,001 - \$100,000
DC	SUMMIT ROCK HEDGED EQUITY LP	P	N/A	3/24/09	\$50,001 - \$100,000
DC	ISHARES COHEN & STEERS RLTY 3 SALES VARIOUS	S(part)	No	VARIOUS	\$15,001 - \$50,000
DC	IPATH DOW JONES-UBS COMMDTY 3 SALES	S	No	VARIOUS	\$1,001 - \$15,000
DC	ISHARES MSCI ACWI EX US INDEX	S	No	2/24/09, 2/25/09	\$50,001 - \$100,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
DC	CALIFORNIA ECON RECOVERY	P	N/A	12/01/09	\$1,001 - \$15,000
DC	CALIFORNIA STATEWIDE CDA	P	N/A	2/19/09, 11/10/09	\$1,001 - \$15,000
DC	CALIFORNIA STATEWIDE CDA	S(part)	No	1/8/09, 2/26/09	\$1,001 - \$15,000
DC	CAMINO REAL REGL MOB AUTH	P	N/A	08/05/09	\$1,001 - \$15,000
DC	CITIZENS PPTY INS CORP FL	P	N/A	05/01/09	\$1,001 - \$15,000
DC	CLARK CNTY NV ARPT	P	N/A	09/17/09	\$1,001 - \$15,000
DC	FEDERAL HOME LOAN BANK	P	N/A	9/3/09	\$1,001 - \$15,000
DC	FEDERAL HOME LOAN BANK 5 SALES	S	No	VARIOUS	\$1,001 - \$15,000
DC	FLORIDA DEP FLORIDA FOREVER	P	N/A	01/14/09	\$1,001 - \$15,000
DC	FLORIDA HURRICANE CATASTROPHE	P	N/A	04/09/09	\$1,001 - \$15,000
DC	FULTON CNTY GA DEV AUTH	P	N/A	09/17/09	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
DC	HEALTH CARE AUTH FOR BAPTIST	P	N/A	01/29/09	\$1,001 - \$15,000
DC	HEALTH CARE AUTH FOR BAPTIST	S	No	05/21/09	\$1,001 - \$15,000
DC	HOUSTON TX ARPT SYS	P	N/A	07/31/09	\$1,001 - \$15,000
DC	JACKSONVILLE FL ELEC AUTH	P	N/A	02/20/09	\$1,001 - \$15,000
DC	JEFFERSON LA MUNI	P	N/A	05/28/09	\$1,001 - \$15,000
DC	LONG ISLAND PWR AUTH NY	P	N/A	05/07/09	\$1,001 - \$15,000
DC	METROPOLITAN TRANSP AUTH NY	P	N/A	4/24/09, 11/4/09	\$1,001 - \$15,000
DC	MIAMI-DADE CNTY FL AVIATION	P	N/A	04/27/09	\$1,001 - \$15,000
DC	NASSAU CNTY NY	P	N/A	09/02/09	\$1,001 - \$15,000
DC	NEW JERSEY ED FAC AUTH 4 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
DC	NEW JERSEY ED FAC AUTH 4 SALES	S	Yes	VARIOUS	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
DC	NEW YORK N Y CITY MUN WTR	P	N/A	09/17/09	\$1,001 - \$15,000
DC	NEW YORK N Y	P	N/A	08/07/09	\$1,001 - \$15,000
DC	NEW YORK NY TRNSL FIN AUTH	P	N/A	2/23/09, 3/6/09	\$1,001 - \$15,000
DC	NEW YORK NY TRNSL FIN AUTH	S(part)	Yes	8/13/09, 8/31/09	\$1,001 - \$15,000
DC	NEW YORK ST DORM AUTH 4 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
DC	NEW YORK ST DORM AUTH 3 SALES	S(part)	No	VARIOUS	\$1,001 - \$15,000
DC	NEW YORK ST ENVIRONMENTAL FACS	P	N/A	01/05/09	\$1,001 - \$15,000
DC	NEW YORK ST ENVIRONMENTAL FACS	S(part)	No	08/31/09	\$1,001 - \$15,000
DC	NEW YORK ST THRUWAY AUTH	P	N/A	08/12/09	\$1,001 - \$15,000
DC	NEW YORK ST LOC GOV ASST CORP	P	N/A	2/25/09, 6/5/09	\$1,001 - \$15,000
DC	NEW YORK ST LOC GOV ASST CORP	S	No	7/28/09, 8/21/09	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
DC	NORTH CAROLINA EASTN MUN PWR	P	N/A	09/17/09	\$1,001 - \$15,000
DC	ONONDAGA CNTY NY	P	N/A	02/24/09	\$1,001 - \$15,000
DC	OREGON HEALTH SCIENCES UNIV	P	N/A	04/28/09	\$1,001 - \$15,000
DC	OREGON HEALTH SCIENCES UNIV	S	No	1/30/09, 6/11/09	\$1,001 - \$15,000
DC	PORT AUTHORITY OF NY & NJ	P	N/A	09/02/09	\$1,001 - \$15,000
DC	PUERTO RICO SALES TAX FIN CORP	P	N/A	06/11/09	\$1,001 - \$15,000
DC	TEXAS TRANSP COMM CENTRAL TEXAS TURNPIKE	P	N/A	02/27/09	\$1,001 - \$15,000
DC	TOMPKINS CNTY NY IDA	P	N/A	08/14/09	\$1,001 - \$15,000
DC	TRIBOROUGH BRDG & TUNL AUTH NY	P	N/A	05/27/09	\$1,001 - \$15,000
	TRUST FBO CHRISTOPHER J LEE - INTEREST IN LEE FAMILY CAPITAL LLC				
	SUMMIT ROCK STRATEGIC FIXED INCOME LP	P	N/A	2/5/09, 5/20/09	\$100,001 - \$250,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	LOOMIS SAYLES CREDIT ASSET FUND	P	N/A	7/15/2009	\$250,001 - \$500,000
	ISHARES RUSSELL 3000 INDEX ETF 3 PURCHASES	P	N/A	VARIOUS	\$250,001 - \$500,000
	ISHARES RUSSELL 3000 INDEX ETF 3 SALES	S(part)	No	VARIOUS	\$500,001 - \$1,000,000
	ISHARES MSCI EAFE ETF 3 PURCHASES	P	N/A	VARIOUS	\$100,001 - \$250,000
	ISHARES MSCI EMERGING MARKET ET 3 PURCHASES	P	N/A	VARIOUS	\$50,001 - \$100,000
	SUMMIT ROCK SELECT EQUITY	P	N/A	1/23/09, 3/4/09	\$500,001 - \$1,000,000
	SUMMIT ROCK HEDGED EQUITY LP	P	N/A	3/24/2009	\$250,001 - \$500,000
	ISHARES COHEN & STEERS RLTY 3 SALES	S(part)	No	VARIOUS	\$100,001 - \$250,000
	IPATH DOW JONES-UBS COMMDTY 3 SALES	S	No	VARIOUS	\$50,001 - \$100,000
	ISHARES MSCI ACWI EX US INDEX	S	No	2/24/09, 2/25/09	\$250,001 - \$500,000
	CALIFORNIA ECON RECOVERY	P	N/A	12/01/09	\$15,001 - \$50,000

SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

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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 (ie., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	CALIFORNIA STATEWIDE CDA	P	N/A	2/19/09, 11/10/09	\$15,001 - \$50,000
	CALIFORNIA STATEWIDE CDA	S(part)	No	1/8/09, 2/26/09	\$1,001 - \$15,000
	CAMINO REAL REGI MOB AUTH	P	N/A	08/05/09	\$15,001 - \$50,000
	CITIZENS PPTY INS CORP FL	P	N/A	05/01/09	\$1,001 - \$15,000
	CLARK CNTY NV ARPT	P	N/A	09/17/09	\$1,001 - \$15,000
	FLORIDA DEP FLORIDA FOREVER	P	N/A	1/14/2009	\$15,001 - \$50,000
	FEDERAL HOME LOAN BANK	P	N/A	09/03/09	\$100,001 - \$250,000
	FEDERAL HOME LOAN BANK 5 SALES	S	No	VARIOUS	\$100,001 - \$250,000
	FLORIDA HURRICANE CATASTROPHE	P	N/A	04/09/09	\$1,001 - \$15,000
	FULTON CNTY GA DEV AUTH	P	N/A	09/17/09	\$15,001 - \$50,000
	HOUSTON TX ARPT SYS	P	N/A	07/31/09	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	HEALTH CARE AUTH FOR BAPTIST	P	N/A	1/29/09	\$1,001 - \$15,000
	HEALTH CARE AUTH FOR BAPTIST	S	No	05/21/09	\$1,001 - \$15,000
	JACKSONVILLE FL ELEC AUTH	P	N/A	02/20/09	\$15,001 - \$50,000
	JEFFERSON LA MUNI	P	N/A	05/28/09	\$15,001 - \$50,000
	LONG ISLAND PWR AUTH NY	P	N/A	05/07/09	\$1,001 - \$15,000
	METROPOLITAN TRANSP AUTH NY	P	N/A	4/24/09, 11/4/09	\$15,001 - \$50,000
	MIAMI-DADE CNTY FL AVIATION	P	N/A	04/27/09	\$1,001 - \$15,000
	NASSAU CNTY NY	P	N/A	09/02/09	\$15,001 - \$50,000
	NEW YORK N Y CITY MUN WTR	P	N/A	09/17/09	\$1,001 - \$15,000
	NEW JERSEY ED FAC AUTH 4 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	NEW JERSEY ED FAC AUTH 4 SALES	S	No	VARIOUS	\$15,001 - \$50,000

SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

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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, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	NEW YORK N Y	P	N/A	08/07/09	\$15,001 - \$50,000
	NEW YORK NY TRNSL FIN AUTH	P	N/A	2/23/09, 3/6/09	\$50,001 - \$100,000
	NEW YORK NY TRNSL FIN AUTH	S	Yes	8/13/09, 8/31/09	\$50,001 - \$100,000
	NEW YORK ST DORM AUTH 4 PURCHASES	P	N/A	VARIOUS	\$50,001 - \$100,000
	NEW YORK ST DORM AUTH 3 SALES	S(part)	Yes	VARIOUS	\$50,001 - \$100,000
	NEW YORK ST ENVIRONMENTAL FACCS	P	N/A	01/05/09	\$15,001 - \$50,000
	NEW YORK ST ENVIRONMENTAL FACCS	S(part)	Yes	08/31/09	\$15,001 - \$50,000
	NEW YORK ST THRUWAY AUTH	P	N/A	08/12/09	\$15,001 - \$50,000
	NORTH CAROLINA EASTN MUN PWR	P	N/A	09/17/09	\$1,001 - \$15,000
	NEW YORK ST LOC GOVT ASST CORP	P	N/A	2/25/09, 6/5/09	\$15,001 - \$50,000
	NEW YORK ST LOC GOVT ASST CORP	S	Yes	7/28/09, 8/21/09	\$15,001 - \$50,000

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, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	ONONDAGA CNTY NY	P	N/A	02/24/09	\$15,001 - \$50,000
	PORT AUTHORITY OF NY & NJ	P	N/A	09/02/09	\$15,001 - \$50,000
	OREGON HEALTH SCIENCES UNIV	P	N/A	4/28/2009	\$1,001 - \$15,000
	OREGON HEALTH SCIENCES UNIV	S	No	1/30/09, 6/11/09	\$1,001 - \$15,000
	PUERTO RICO SALES TAX FIN CORP	P	N/A	06/11/09	\$1,001 - \$15,000
	TEXAS TRANSP COMM CENTRAL TEXAS TURNPIKE	P	N/A	02/27/09	\$1,001 - \$15,000
	TOMPKINS CNTY NY IDA	P	N/A	08/14/09	\$1,001 - \$15,000
	TRIBOROUGH BRDG & TUNL AUTH NY	P	N/A	05/27/09	\$1,001 - \$15,000
	CHARITABLE TRUST FBO CHRISTOPHER J LEE - INTEREST IN LEE CHARITABLE CAPITAL LLC				
	SUMMIT ROCK STRATEGIC FIXED INCOME LP	P	N/A	9/24/2009	\$100,001 - \$250,000
	LOOMIS SAYLES CREDIT ASSET FUND	P	N/A	7/15/2009	\$100,001 - \$250,000

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, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	ISHARES RUSSELL 3000 INDEX ETF 3 PURCHASES	P	N/A	VARIOUS	\$100,001 - \$250,000
	ISHARES RUSSELL 3000 INDEX ETF 3 SALES	S	No	VARIOUS	\$500,001 - \$1,000,000
	ISHARES MSCI EAFE ETF 3 PURCHASES	P	N/A	VARIOUS	\$50,001 - \$100,000
	ISHARES MSCI EMERGING MARKET ETF	P	N/A	10/7/09, 12/23/09	\$15,001 - \$50,000
	SUMMIT ROCK SELECT EQUITY LP	P	N/A	9/24/2009	\$250,001 - \$500,000
	SUMMIT ROCK HEDGED EQUITY LP	P	N/A	9/24/2009	\$250,001 - \$500,000
	SUMMIT ROCK DIVERSIFIED STRATEGIES LP	P	N/A	9/30/2009	\$100,001 - \$250,000
	SUMMIT ROCK PRIVATE EQUITY LP 4 PURCHASES	P	N/A	VARIOUS	\$1,001 - \$15,000
	IPATH DOW JONES-UBS COMMDTY 3 SALES	S	No	VARIOUS	\$50,001 - \$100,000
	ISHARES COHEN & STEERS RLTY	S	No	3/6/2009, 2/9/09	\$50,001 - \$100,000
	ISHARES MSCI ACWI EX US INDEX 3 SALES	S	No	VARIOUS	\$250,001 - \$500,000

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, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	CAMINO REAL REGL MOB AUTH	P	N/A	08/05/09	\$15,001 - \$50,000
	CALIFORNIA STATEWIDE CDA	P	N/A	02/19/09	\$1,001 - \$15,000
	CALIFORNIA STATEWIDE CDA	S	No	1/08/09, 02/26/09	\$1,001 - \$15,000
	CITIZENS PPTY INS CORP FL	P	N/A	05/01/09	\$15,001 - \$50,000
	CLARK CNTY NV ARPT	P	N/A	09/17/09	\$1,001 - \$15,000
	ENERGY NORTHWEST WA	P	N/A	04/02/09	\$1,001 - \$15,000
	ENERGY NORTHWEST WA	S	Yes	08/31/09	\$1,001 - \$15,000
	FEDERAL HOME LOAN BANK	P	N/A	09/03/09	\$100,001 - \$250,000
	FEDERAL HOME LOAN BANK	S	No	9/21/09, 9/25/09	\$100,001 - \$250,000
	FLORIDA DEP FLORIDA FOREVER	P	N/A	01/14/09	\$15,001 - \$50,000
	FLORIDA HURRICANE CATASTROPHE	P	N/A	07/28/09	\$15,001 - \$50,000

SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	FULTON CNTY GA DEV AUTH	P	N/A	09/17/09	\$15,001 - \$50,000
	FULTON CNTY GA DEV AUTH	S	No	09/29/09	\$15,001 - \$50,000
	HOUSTON TX ARPT SYS	P	N/A	07/31/09	\$15,001 - \$50,000
	HEALTH CARE AUTH FOR BAPTIST	P	N/A	01/29/09	\$1,001 - \$15,000
	HEALTH CARE AUTH FOR BAPTIST	S	No	05/21/09	\$1,001 - \$15,000
	JACKSONVILLE FL ELEC AUTH	P	N/A	02/20/09	\$15,001 - \$50,000
	JEFFERSON LA MUNI	P	N/A	05/28/09	\$15,001 - \$50,000
	LONG ISLAND PWR AUTH	P	N/A	5/7/2009	\$1,001 - \$15,000
	LONG ISLAND PWR AUTH	S(part)	Yes	09/30/09	\$15,001 - \$50,000
	METROPOLITAN TRANSP AUTH NY	P	N/A	4/22/09, 4/24/09	\$50,001 - \$100,000
	METROPOLITAN TRANSP AUTH NY	S(part)	No	8/14/2009	\$15,001 - \$50,000

SCHEDULE IV - TRANSACTIONS

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	MIAMI-DADE CNTY FL AVIATION	P	N/A	04/27/09	\$15,001 - \$50,000
	NEW YORK NY 3 PURCHASES	P	N/A	VARIOUS	\$50,001 - \$100,000
	NEW YORK NY	S	Yes	9/25/09, 9/30/09	\$50,001 - \$100,000
	NASSAU CNTY NY	P	N/A	09/02/09	\$15,001 - \$50,000
	NASSAU CNTY NY	S	No	09/02/09	\$15,001 - \$50,000
	NEW JERSEY ED FAC AUTH 3 PURCHASES	P	N/A	VARIOUS	\$15,001 - \$50,000
	NEW JERSEY ED FAC AUTH 3 SALES	S	No	VARIOUS	\$15,001 - \$50,000
	NEW YORK N Y CITY MUN WTR	P	N/A	9/17/2009	\$15,001 - \$50,000
	NEW YORK N Y CITY MUN WTR	S(part)	No	09/30/09	\$15,001 - \$50,000
	NEW YORK NY TRANSL FIN AUTH	P	N/A	2/23/09, 3/6/09	\$50,001 - \$100,000
	NEW YORK NY TRANSL FIN AUTH	S(part)	Yes	8/13/09, 8/31/09	\$50,001 - \$100,000

SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	NEW YORK ST DORM AUTH 3 PURCHASES	P	N/A	VARIOUS	\$50,001 - \$100,000
	NEW YORK ST DORM AUTH 3 SALES	S(part)	Yes	VARIOUS	\$50,001 - \$100,000
	NEW YORK ST EVNRMNTL FACS	P	N/A	01/05/09	\$15,001 - \$50,000
	NEW YORK ST EVNRMNTL FACS	S(part)	Yes	08/31/09	\$15,001 - \$50,000
	NORTH CAROLINA EASTN MUN PWR	P	N/A	09/17/09	\$15,001 - \$50,000
	NORTH CAROLINA MUN PWR	P	N/A	09/10/09	\$15,001 - \$50,000
	NEW YORK ST LOC GOVT ASST CORP	P	N/A	2/25/09, 6/5/09	\$15,001 - \$50,000
	NEW YORK ST LOC GOVT ASST CORP	S	Yes	7/28/09, 8/21/09	\$15,001 - \$50,000
	NEW YORK ST THRUWAY AUTH	P	N/A	08/12/09	\$15,001 - \$50,000
	NEW YORK ST THRUWAY AUTH	S	Yes	8/31/09, 09/29/09	\$100,001 - \$250,000
	ONONDAGA CNTY NY	P	N/A	02/24/09	\$15,001 - \$50,000

SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	ONONDAGA CNTY NY	S	Yes	09/25/09	\$15,001 - \$50,000
	OREGON HLTH SCIENCES UNIV	P	N/A	1/2/09, 4/28/09	\$1,001 - \$15,000
	OREGON HLTH SCIENCES UNIV	S	No	2/13/09, 6/11/09	\$1,001 - \$15,000
	PORT AUTHORITY OF NY & NJ	P	N/A	9/2/2009	\$15,001 - \$50,000
	PUERTO RICO PUB BLDGS AUTH	P	N/A	08/20/09	\$1,001 - \$15,000
	PUERTO RICO SALES TAX FIN CORP	P	N/A	06/11/09	\$15,001 - \$50,000
	TEXAS TRNSP COMM CENTRAL TEXAS TURNPIKE	P	N/A	2/27/2009	\$15,001 - \$50,000
	TOBACCO SETTLEMENT FING CORP NY	P	N/A	03/05/09	\$15,001 - \$50,000
	TOMPKINS CNTY NY IDA	P	N/A	08/14/09	\$50,001 - \$100,000
	TRIBOROUGH BRDG & TUNL AUTH NY	P	N/A	05/26/09	\$15,001 - \$50,000
	TRIBOROUGH BRDG & TUNL AUTH NY	S	Yes	09/25/09	\$50,001 - \$100,000

SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Other				
	Residential property, Lancaster, NY	P	N/A	9/18/2009	\$100,001 - \$250,000

SCHEDULE V - LIABILITIES

Name Christopher John Lee

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Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless all or part of it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report "revolving charge accounts" (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	HSBC Mortgage Corp	Mortgage on Lancaster, NY residential property	\$100,001 - \$250,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Christopher John Lee

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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 \$335 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-- Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Days not at sponsor's expense
Congressional Institute	Jan 29-31, 2009	DC-Hot Springs, VA-DC	Y	Y	Y	0 days
American Israel Education Fund	August 1- 9, 2009	DC-Tel Aviv-Buffalo, NY	Y	Y	Y	0 days

SCHEDULE VIII - POSITIONS

Name Christopher John Lee

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Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director	Patrick P. Lee Foundation