

# UNITED STATES HOUSE OF REPRESENTATIVES CALENDAR YEAR 2008 FINANCIAL DISCLOSURE STATEMENT

FORM A  
For use by Members, officers, and employees

Page 1 of 60

Christopher John Lee

(Full Name)

716-634-2324

(Daytime Telephone)

Filer Status

☒ Member of the U.S. House of Representatives

State: NY District: 26

☐ Officer or Employee

Employing Office:

Report Type

☐ Annual (May 15)

☒ Amendment

☐ Termination

Termination Date:

## PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

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

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? Yes ☐ No ☒ 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)? Yes ☐ No ☒

If yes, complete and attach Schedule I. If yes, complete and attach Schedule VI.

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? Yes ☐ No ☒ 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)? Yes ☐ No ☒

If yes, complete and attach Schedule II. If yes, complete and attach Schedule VII.

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? Yes ☐ No ☒ VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☐ No ☒

If yes, complete and attach Schedule III. If yes, complete and attach Schedule VIII.

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? Yes ☐ No ☒ IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☒

If yes, complete and attach Schedule IV. If yes, complete and attach Schedule IX.

V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? Yes ☐ No ☒

If yes, complete and attach Schedule V. 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 ☒

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 ☒

HAND DELIVERED

2010 JAN -4 AM 11:33

(Office Use Only)

MC ✓

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Christopher John Lee

Page 2 of 60

BLOCK A Asset and/or Income Source  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.  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.  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.	BLOCK B Year-End Value of Asset  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."	BLOCK C Type of Income  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.	BLOCK D Amount of Income  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.	BLOCK E Transaction  Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
Individual Account (1):				
FIDELITY MONEY MARKET	\$1,000,001 - \$5,000,000	INTEREST/CAPITAL GAINS	\$15,001 - \$50,000	
FIDELITY INTERMEDIATE MUNI	\$15,001 - \$50,000	INTEREST/CAPITAL GAINS	\$201 - \$1,000	P
FIDELITY SHORT INTERM MUNI	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
THORNBURG INTERMED MUNI	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
DAVIS NEW YORK VENTURE	None	DIVIDENDS	\$1 - \$200	S

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Christopher John Lee

Page 3 of 60

COLUMBIA ACORN INTL	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
EVERGREEN INTRINSIC VALUE	None	DIVIDENDS/CAPITAL GAINS	\$1,001 - \$2,500	S
FIDELITY ADV NEW INSIGHTS	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
FIDELITY LEVERAGED CO STOCK	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
FIDELITY REAL ESTATE	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
FIDELITY SPART US EQTY	None	DIVIDENDS/CAPITAL GAINS	\$1,001 - \$2,500	S
ISHARES COHEN & STEERS RLTY	None	DIVIDENDS/CAPITAL GAINS	\$1,001 - \$2,500	S
JANUS PERKINS MID CAP VL	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
DWS DREMAN S/C VALUE	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
LOOMIS SAYLES BOND FUND	None	DIVIDENDS	\$5,001 - \$15,000	S
LAZARD EMERGING MKTS	None	DIVIDENDS/CAPITAL GAINS	\$1,001 - \$2,500	S
MASTERS SELECT INTERNATL	None	DIVIDENDS/CAPITAL GAINS	\$2,501 - \$5,000	S
MORGAN STANLEY INS US REAL	None	DIVIDENDS/CAPITAL GAINS	\$5,001 - \$15,000	S
OPPENHEIMER STRATEGIC INC	None	DIVIDENDS	\$201 - \$1,000	S

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Christopher John Lee

Page 4 of 60

PIMCO COMMODITY RR STRAT	None	DIVIDENDS/CAPITAL GAINS	\$5,001 - \$15,000	S
T ROWE PRICE GROWTH STK	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
T ROWE PRICE HIGH YIELD	None	DIVIDENDS	\$2,501 - \$5,000	S
RAINIER MID CAP EQUITY	None	CAPITAL GAINS	\$1 - \$200	S
ROYCE VALUE PLUS	None	DIVIDENDS	\$201 - \$1,000	S
FIDELITY HIGH INCOME	None	DIVIDENDS	\$2,501 - \$5,000	S
THORNBURG INTL VALUE	None	DIVIDENDS	\$1,001 - \$2,500	S
THORNBURG VALUE	None	DIVIDENDS	\$201 - \$1,000	S
COLUMBIA VALUE & RESTRUCT	None	DIVIDENDS/CAPITAL GAINS	\$1,001 - \$2,500	S
IRA:				
FIDELITY MONEY MARKET	\$100,001 - \$250,000	DIVIDENDS	\$1 - \$200	
DODGE & COX INCOME	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	P
FIDELITY US BOND INDEX	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	P
PIMCO TOTAL RETURN	\$15,001 - \$50,000	DIVIDENDS	\$1,001 - \$2,500	P

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Christopher John Lee

Page 5 of 60

COLUMBIA ACORN INTL	None	DIVIDENDS	\$1 - \$200	S
DAVIS NEW YORK VENTURE	None	DIVIDENDS	\$1 - \$200	S
FIDELITY EMERGING MARKET	None	DIVIDENDS	\$1 - \$200	S
FIDELITY ADV NEW INSIGHTS	None	DIVIDENDS	\$1 - \$200	S
FIDELITY SHORT TERM BOND	None	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	S
FIDELITY LEVERAGED CO STOCK	None	DIVIDENDS	\$1 - \$200	S
FIDELITY REAL ESTATE INVEST	None	DIVIDENDS	\$1 - \$200	S
DWS DREMAN S/C VALUE	None	DIVIDENDS	\$1 - \$200	S
LOOMIS SAYLES BOND	None	DIVIDENDS	\$1,001 - \$2,500	S
LAZARD EMERGING MKTS	None	DIVIDENDS	\$201 - \$1,000	S
MORGAN STANLEY INS CORE+	None	DIVIDENDS	\$1 - \$200	S
MASTERS SELECT INTERNATL	None	DIVIDENDS	\$201 - \$1,000	S
MORGAN STANLEY INS US REAL	None	DIVIDENDS	\$201 - \$1,000	S
PIMCO COMMODITY RR STRAT	None	DIVIDENDS	\$1,001 - \$2,500	S

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Christopher John Lee

Page 6 of 60

T ROWE PRICE HIGH YIELD	None	DIVIDENDS	\$1 - \$200	S
PIMCO HIGH YIELD FUND	None	DIVIDENDS	\$201 - \$1,000	S
ROYCE VALUE PLUS	None	DIVIDENDS	\$1 - \$200	S
FIDELITY HIGH INCOME	None	DIVIDENDS	\$201 - \$1,000	S
THORNBURG INTL VALUE	None	DIVIDENDS	\$1 - \$200	S
THORNBURG VALUE	None	DIVIDENDS	\$1 - \$200	S
COLUMBIA VALUE & RESTRUCT	None	DIVIDENDS	\$1 - \$200	S
VANGUARD S/T INVEST GR	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
IRA:				
SP FIDELITY MONEY MARKET	\$50,001 - \$100,000	DIVIDENDS	\$1 - \$200	
SP DODGE & COX INCOME	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	P
SP FIDELITY US BOND INDEX	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	PS(part)
SP FIDELITY INTERMEDIATE BOND	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	PS(part)
SP COLUMBIA ACORN INTL	None	DIVIDENDS	\$1 - \$200	S

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Christopher John Lee

Page 8 of 60

PROCEEDS FROM 2007  
INSTALLMENT SALE  
(INTERNATIONAL MOTION  
CONTROL INC) (Trust FBO  
Johnathan Lee)

DIVIDENDS/INTE  
REST/CAPITAL  
GAINS

DC	Trust FBO Johnathan Lee (1)	None				
DC	FIDELITY MONEY MARKET	None	INTEREST	\$1 - \$200		S
DC	COLUMBIA ACORN INTL-Z	None	DIVIDENDS/CAPIT TAL GAINS	\$1 - \$200		S
DC	FIDELITY ADV NEW INSIGHTS	None	DIVIDENDS/CAPIT TAL GAINS	\$1 - \$200		S
DC	FIDELITY LEVERAGED CO STOCK	None	DIVIDENDS/CAPIT TAL GAINS	\$1 - \$200		S
DC	FIDELITY REAL ESTATE INVEST	None	DIVIDENDS/CAPIT TAL GAINS	\$1 - \$200		S
DC	FIDELITY SPART US EQTY	None	DIVIDENDS/CAPIT TAL GAINS	\$1 - \$200		S
DC	DWS DREMAN S/C VALUE	None	DIVIDENDS/CAPIT TAL GAINS	\$1 - \$200		S
DC	LOOMIS SAYLES BOND FUND	None	DIVIDENDS/CAPIT TAL GAINS	\$201 - \$1,000		S
DC	COLUMBIA VALUE & RESTRUCT	None	DIVIDENDS/CAPIT TAL GAINS	\$1 - \$200		S
	Trust FBO Johnathan Lee (2)					
DC	FIDELITY MONEY MARKET	None	INTEREST	\$1,001 - \$2,500		S

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

Name Christopher John Lee

Page 7 of 60

SP	DAVIS NEW YORK VENTURE	None	DIVIDENDS	\$1 - \$200	S
SP	FIDELITY EMERGING MARKET	None	DIVIDENDS	\$1 - \$200	S
SP	FIDELITY LEVERAGED CO STOCK	None	DIVIDENDS	\$1 - \$200	S
SP	DWS DREMAN S/C VALUE	None	DIVIDENDS	\$1 - \$200	S
SP	LOOMIS SAYLES BOND	None	DIVIDENDS	\$201 - \$1,000	S
SP	MORGAN STANLEY INS US REAL	None	DIVIDENDS	\$201 - \$1,000	S
SP	PIMCO COMMODITY RR STRAT	None	DIVIDENDS	\$201 - \$1,000	S
SP	PIMCO LOW DURATION	None	DIVIDENDS	\$1 - \$200	S
SP	ROYCE VALUE PLUS	None	DIVIDENDS	\$1 - \$200	S
SP	FIDELITY HIGH INCOME	None	DIVIDENDS	\$201 - \$1,000	S
SP	THORNBURG INTL VALUE	None	DIVIDENDS	\$1 - \$200	S
SP	COLUMBIA VALUE & RESTRUCT	None	DIVIDENDS	\$1 - \$200	S
	PROCEEDS FROM 2007 INSTALLMENT SALE (INTERNATIONAL MOTION CONTROL INC) (Christopher Lee)	None	DIVIDENDS/INTE REST/CAPITAL GAINS	\$100,001 - \$1,000,000	



# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Christopher John Lee

Page 9 of 60

DC	COLUMBIA ACORN INTL	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
DC	FIDELITY ADV NEW INSIGHTS	None	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	S
DC	FIDELITY INTERMEDIATE MUNI	None	CAPITAL GAINS/INTEREST	\$201 - \$1,000	S
DC	FIDELITY LEVERAGED CO STOCK	None	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	S
DC	FIDELITY REAL ESTATE INVEST	None	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	S
DC	FIDELITY SHORT INTERM MUNI	None	INTEREST	\$201 - \$1,000	S
DC	FIDELITY SPART US EQTY	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
DC	ISHARES COHEN & STEERS RLTY	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
DC	DWS DREMAN S/C VALUE FND	None	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	S
DC	LOOMIS SAYLES BOND FUND	None	DIVIDENDS	\$1 - \$200	S
DC	THORNBURG LTD TERM MUNICIPAL	None	INTEREST	\$201 - \$1,000	S
DC	LOOMIS SAYLES SMALL CAP GROWTH	None	DIVIDENDS	\$2,501 - \$5,000	S
DC	LAZARD EMERGING MKTS PORT	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
DC	MORGAN STANLEY INS US REAL	None	DIVIDENDS/CAPITAL GAINS	\$1,001 - \$2,500	S

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Christopher John Lee

Page 10 of 60

DC	PIMCO COMMODITY RR STRAT	None	DIVIDENDS	\$1,001 - \$2,500	S
DC	T ROWE PRICE HIGH YIELD	None	DIVIDENDS	\$201 - \$1,000	S
DC	FIDELITY HIGH INCOME FUND	None	DIVIDENDS	\$201 - \$1,000	S
DC	FIDELITY HIGH INCOME FUND	None	DIVIDENDS	\$201 - \$1,000	S
DC	THORNBURG INTL VALUE	None	DIVIDENDS	\$201 - \$1,000	S
DC	THORNBURG INTERMED MUNI	None	INTEREST	\$1,001 - \$2,500	S
DC	THORNBURG VALUE FUND	None	DIVIDENDS	\$201 - \$1,000	S
DC	COLUMBIA VALUE & RESTRUCT	None	DIVIDENDS/CAP TAL GAINS	\$201 - \$1,000	S
	CHARITABLE TRUST FBO CHRISTOPHER J LEE				
	FIDELITY MONEY MARKET	None	DIVIDENDS/INTE REST	\$5,001 - \$15,000	S
	COLUMBIA ACORN INTL	None	DIVIDENDS/CAP TAL GAINS	\$1,001 - \$2,500	S
	DODGE & COX INCOME	None	DIVIDENDS	\$5,001 - \$15,000	S
	FIDELITY ADV NEW INSIGHTS	None	DIVIDENDS/CAP TAL GAINS	\$201 - \$1,000	S
	FIDELITY LEVERAGED CO STOCK	None	DIVIDENDS/CAP TAL GAINS	\$201 - \$1,000	S

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Christopher John Lee

Page 11 of 60

FIDELITY REAL ESTATE INVEST	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
DWS DREMAN S/C VALUE FND	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
LOOMIS SAYLES BOND FUND	None	DIVIDENDS/CAPITAL GAINS	\$15,001 - \$50,000	S
LAZARD EMERGING MKTS	None	DIVIDENDS/CAPITAL GAINS	\$2,501 - \$5,000	S
MASTERS SELECT INTERNATL	None	DIVIDENDS/CAPITAL GAINS	\$2,501 - \$5,000	S
MORGAN STANLEY INS US REAL	None	DIVIDENDS/CAPITAL GAINS	\$5,001 - \$15,000	S
MORGAN STANLEY CORE PLUS FIXED INC	None	DIVIDENDS	\$2,501 - \$5,000	S
PIMCO COMMODITY RR STRAT	None	DIVIDENDS	\$5,001 - \$15,000	S
PIMCO LOW DURATION	None	DIVIDENDS	\$5,001 - \$15,000	S
PIMCO TOTAL RETURN	None	DIVIDENDS	\$5,001 - \$15,000	S
T ROWE PRICE HIGH YIELD	None	DIVIDENDS	\$2,501 - \$5,000	S
FIDELITY HIGH INCOME FUND	None	DIVIDENDS	\$2,501 - \$5,000	S
THORNBURG INTL VALUE	None	DIVIDENDS	\$1,001 - \$2,500	S
THORNBURG VALUE FUND	None	DIVIDENDS	\$1,001 - \$2,500	S

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Christopher John Lee

Page 12 of 60

COLUMBIA VALUE & RESTRUCT	None	DIVIDENDS	\$1,001 - \$2,500	S
VANGUARD SHORT TERM INVESTMENT GRADE	None	DIVIDENDS	\$5,001 - \$15,000	S
TRUST FBO CHRISTOPHER J. LEE				
FIDELITY MONEY MARKET	None	INTEREST	\$5,001 - \$15,000	S
COLUMBIA ACORN INTL	None	DIVIDENDS/CAPITAL GAINS	\$1,001 - \$2,500	S
COLUMBIA ACORN	None	DIVIDENDS/CAPITAL GAINS	\$2,501 - \$5,000	S
FIDELITY ADV NEW INSIGHTS	None	DIVIDENDS/CAPITAL GAINS	\$1,001 - \$2,500	S
FIDELITY INTERMEDIATE MUNI	None	INTEREST/CAPITAL GAINS	\$2,501 - \$5,000	S
FIDELITY LEVERAGED CO STOCK	None	DIVIDENDS/CAPITAL GAINS	\$1,001 - \$2,500	S
FIDELITY REAL ESTATE INVEST	None	DIVIDENDS/CAPITAL GAINS	\$1,001 - \$2,500	S
FIDELITY SPART US EQTY	None	DIVIDENDS	\$1,001 - \$2,500	S
ISHARES COHEN & STEERS RLTY	None	DIVIDENDS/CAPITAL GAINS	\$5,001 - \$15,000	S
DWS DREMAN S/C VALUE	None	DIVIDENDS/CAPITAL GAINS	\$1,001 - \$2,500	S
LOOMIS SAYLES BOND FUND	None	DIVIDENDS	\$15,001 - \$50,000	S

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Christopher John Lee

Page 13 of 60

	LAZARD EMERGING MKTS PORT	None	DIVIDENDS/CAPITAL GAINS	\$5,001 - \$15,000	S
	MASTERS SELECT INTERNATL	None	DIVIDENDS/CAPITAL GAINS	\$5,001 - \$15,000	S
	MORGAN STANLEY INS US REAL	None	DIVIDENDS/CAPITAL GAINS	\$5,001 - \$15,000	S
	PIMCO COMMODITY RR STRAT	None	DIVIDENDS	\$5,001 - \$15,000	S
	T ROWE PRICE HIGH YIELD	None	DIVIDENDS	\$5,001 - \$15,000	S
	FIDELITY HIGH INCOME FUND	None	DIVIDENDS	\$5,001 - \$15,000	S
	THORNBURG INTL VALUE FD	None	DIVIDENDS	\$2,501 - \$5,000	S
	THORNBURG INTERMED MUNI FD	None	INTEREST	\$2,501 - \$5,000	S
	THORNBURG VALUE FUND	None	DIVIDENDS	\$1,001 - \$2,500	S
	COLUMBIA VALUE & RESTRUCT	None	DIVIDENDS/CAPITAL GAINS	\$1,001 - \$2,500	S
	Trust FBO Johnathan Lee (1)- INTEREST IN LEE FAMILY CAPITAL LLC				
DC	FIDELITY MONEY MARKET	\$1,001 - \$15,000	CAPITAL GAINS/INTEREST	\$1 - \$200	
DC	IPATH DOW JONES AIG COMMODITY	\$1 - \$1,000	NONE		P
DC	ISHARES COHEN & STEERS RLTY	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Christopher John Lee

Page 14 of 60

DC	ISHARES RUSSELL 3000 INDEX	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
DC	ISHARES MSCI ACWI EX US INDEX	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
DC	BERSTEIN BROKERAGE CASH BALANCE	\$1 - \$1,000	INTEREST	\$1 - \$200	
DC	FEDERATED MONEY MARKET	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
DC	NEW YORK ST EVNRMNTL FACS CORP BOND	\$1 - \$1,000	None		P
DC	OREGON HLTH SCIENCES UNIV BOND	\$1 - \$1,000	None		P
DC	NEW YORK NY HLTH & HOSP CORP BOND	\$1 - \$1,000	None		P
DC	CALIFORNIA STATEWIDE CDA BOND	\$1 - \$1,000	None		P
DC	WEST VIRGINIA ECON DEV AUTH SO BOND	\$1 - \$1,000	None		P
DC	NEW YORK ST TWY AUTH SPL TAX BOND	\$1 - \$1,000	None		P
DC	NY ENVIRONMENTAL NYC MUNI WTR BOND	\$1 - \$1,000	None		P
DC	PUERTO RICO COMMWLTH BOND	\$1 - \$1,000	None		P
DC	PUERTO RICO COMMWLTH BOND	\$1 - \$1,000	None		P
DC	LONG ISLAND PWR AUTH N Y ELEC BOND	\$1 - \$1,000	None		P

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Christopher John Lee

Page 15 of 60

DC	NEW YORK N Y G/O BOND	\$1 - \$1,000	None	P
DC	NEW YORK NY TRNSL FIN AUTH BOND	\$1 - \$1,000	None	P
DC	TRIBOROUGH BRDG & TUNL AUTH NY BOND	\$1 - \$1,000	None	P
DC	CHICAGO IL TRNSP AUTH FED GAN BOND	\$1 - \$1,000	None	P
DC	MUNI ELECTRIC AUTH OF GA BOND	\$1 - \$1,000	None	P
DC	OHIO AIR QUALITY DEV AUTH BOND	\$1 - \$1,000	None	P
DC	Summit Rock Strategic Fixed Income LP	\$1,001 - \$15,000	None	P
DC	Summit Rock Select Equity LP	\$1,001 - \$15,000	None	P
DC	Summit Rock Hedged Equity LP	\$1,001 - \$15,000	None	P
DC	Summit Rock Diversified Strategies LP	\$1,001 - \$15,000	None	P
DC	Summit Rock Real Assets LP	\$1 - \$1,000	None	P
DC	Summit Rock Private Equity LP	\$1,001 - \$15,000	None	P
DC	Summit Rock Balanced Reserves LP (Cash)	\$1,001 - \$15,000	None	
	Trust FBO Johnathan Lee (2)- INTEREST IN LEE FAMILY CAPITAL LLC			

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Christopher John Lee

Page 16 of 60

DC	FIDELITY MONEY MARKET	\$50,001 - \$100,000	INTEREST/CAPITAL GAINS	\$1 - \$200	
DC	IPATH DOW JONES AIG COMMODITY	\$1,001 - \$15,000	None		P
DC	ISHARES COHEN & STEERS RLTY	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	P
DC	ISHARES RUSSELL 3000 INDEX	\$100,001 - \$250,000	DIVIDENDS	\$201 - \$1,000	P
DC	ISHARES MSCI ACWI EX US INDEX	\$50,001 - \$100,000	DIVIDENDS	\$201 - \$1,000	P
DC	BERSTEIN BROKERAGE CASH BALANCE	\$1 - \$1,000	INTEREST	\$1 - \$200	
DC	FEDERATED MONEY MARKET	\$50,001 - \$100,000	DIVIDENDS	\$1 - \$200	
DC	NEW YORK ST EVNRMNTL FACS CORP BOND	\$1,001 - \$15,000	None		P
DC	OREGON HLTH SCIENCES UNIV BOND	\$1 - \$1,000	None		P
DC	NEW YORK NY HLTH & HOSP CORP BOND	\$1,001 - \$15,000	None		P
DC	CALIFORNIA STATEWIDE CDA BOND	\$1 - \$1,000	None		P
DC	WEST VIRGINIA ECON DEV AUTH SO BOND	\$1 - \$1,000	None		P
DC	NEW YORK ST TWY AUTH SPL TAX BOND	\$1,001 - \$15,000	None		P
DC	NY ENVIRONMENTAL NYC MUNI WTR BOND	\$1,001 - \$15,000	None		P



# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Christopher John Lee

Page 17 of 60

DC	PUERTO RICO COMMWLTH BOND	\$1 - \$1,000	None	P
DC	PUERTO RICO COMMWLTH BOND	\$1,001 - \$15,000	None	P
DC	LONG ISLAND PWR AUTH N Y ELEC BOND	\$1,001 - \$15,000	None	P
DC	NEW YORK N Y G/O BOND	\$1,001 - \$15,000	None	P
DC	NEW YORK NY TRNSL FIN AUTH BOND	\$1,001 - \$15,000	None	P
DC	TRIBOROUGH BRDG & TUNL AUTH NY BOND	\$1,001 - \$15,000	None	P
DC	CHICAGO IL TRNSP AUTH FED GAN BOND	\$1,001 - \$15,000	None	P
DC	MUNI ELECTRIC AUTH OF GA BOND	\$1,001 - \$15,000	None	P
DC	OHIO AIR QUALITY DEV AUTH BOND	\$1 - \$1,000	None	P
DC	Summit Rock Strategic Fixed Income LP	\$1,001 - \$15,000	None	P
DC	Summit Rock Select Equity LP	\$15,001 - \$50,000	None	P
DC	Summit Rock Hedged Equity LP	\$50,001 - \$100,000	None	P
DC	Summit Rock Diversified Strategies LP	\$100,001 - \$250,000	None	P
DC	Summit Rock Real Assets LP	\$1,001 - \$15,000	None	P

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

Name Christopher John Lee

Page 18 of 60

DC	Summit Rock Private Equity LP	\$15,001 - \$50,000	None		P
DC	Summit Rock Balanced Reserves LP (Cash)	\$15,001 - \$50,000	None		
	TRUST FBO CHRISTOPHER J LEE -INTEREST IN LEE FAMILY CAPITAL LLC				
	FIDELITY MONEY MARKET	\$500,001 - \$1,000,000	CAPITAL GAINS/INTEREST	\$1,001 - \$2,500	
	IPATH DOW JONES AIG COMMODITY	\$50,001 - \$100,000	None		P
	ISHARES COHEN & STEERS RLTY	\$100,001 - \$250,000	DIVIDENDS	\$2,501 - \$5,000	P
	ISHARES RUSSELL 3000 INDEX	\$500,001 - \$1,000,000	DIVIDENDS	\$5,001 - \$15,000	P
	ISHARES MSCI ACWI EX US INDEX	\$500,001 - \$1,000,000	DIVIDENDS	\$2,501 - \$5,000	P
	BERSTEIN BROKERAGE CASH BALANCE	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
	FEDERATED MONEY MARKET	\$250,001 - \$500,000	DIVIDENDS	\$201 - \$1,000	
	NEW YORK ST EVNRMNTL FACS CORP BOND	\$15,001 - \$50,000	None		P
	OREGON HLTH SCIENCES UNIV BOND	\$1,001 - \$15,000	None		P
	NEW YORK NY HLTH & HOSP CORP BOND	\$15,001 - \$50,000	None		P
	CALIFORNIA STATEWIDE CDA BOND	\$1,001 - \$15,000	None		P

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

Name Christopher John Lee

Page 19 of 60

WEST VIRGINIA ECON DEV AUTH SO BOND	\$1,001 - \$15,000	None		P
NEW YORK ST TWY AUTH SPL TAX BOND	\$15,001 - \$50,000	None		P
NY ENVIRONMENTAL NYC MUNI WTR BOND	\$15,001 - \$50,000	None		P
PUERTO RICO COMMWLTH BOND	\$1,001 - \$15,000	None		P
PUERTO RICO COMMWLTH BOND	\$1,001 - \$15,000	None		P
LONG ISLAND PWR AUTH N Y ELEC BOND	\$15,001 - \$50,000	None		P
NEW YORK N Y G/O BOND	\$15,001 - \$50,000	None		P
NEW YORK NY TRNSL FIN AUTH BOND	\$15,001 - \$50,000	None		P
TRIBOROUGH BRDG & TUNL AUTH NY BOND	\$15,001 - \$50,000	None		P
CHICAGO IL TRNSP AUTH FED GAN BOND	\$15,001 - \$50,000	None		P
MUNI ELECTRIC AUTH OF GA BOND	\$15,001 - \$50,000	None		P
OHIO AIR QUALITY DEV AUTH BOND	\$1,001 - \$15,000	None		P
Summit Rock Strategic Fixed Income LP	\$50,001 - \$100,000	None		P
Summit Rock Select Equity LP	\$100,001 - \$250,000	None		P

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Christopher John Lee

Page 20 of 60

Summit Rock Hedged Equity LP	\$250,001 - \$500,000	None	P
Summit Rock Diversified Strategies LP	\$500,001 - \$1,000,000	None	P
Summit Rock Real Assets LP	\$50,001 - \$100,000	None	P
Summit Rock Private Equity LP	\$100,001 - \$250,000	None	P
Summit Rock Balanced Reserves LP (Cash)	\$250,001 - \$500,000	None	
CHARITABLE TRUST FBO CHRISTOPHER J LEE - INTEREST IN LEE CHARITABLE CAPITAL LLC			

FIDELITY MONEY MARKET	\$50,001 - \$100,000	INTEREST	\$1 - \$200	
IPATH DOW JONES AIG COMMODITY	\$50,001 - \$100,000	None		P
ISHARES COHEN & STEERS RLTY	\$100,001 - \$250,000	DIVIDENDS	\$2,501 - \$5,000	P
ISHARES RUSSELL 3000 INDEX	\$500,001 - \$1,000,000	DIVIDENDS	\$2,501 - \$5,000	P
ISHARES MSCI ACWI EX US INDEX	\$500,001 - \$1,000,000	DIVIDENDS/CAPITAL GAINS	\$5,001 - \$15,000	P
BERSTEIN BROKERAGE CASH BALANCE	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
FEDERATED MONEY MARKET	\$500,001 - \$1,000,000	DIVIDENDS	\$1,001 - \$2,500	

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

Name Christopher John Lee

Page 21 of 60

NEW YORK ST EVNRMNTL FACS CORP BOND	\$15,001 - \$50,000	None	P
NEW YORK NY TRNSL FIN AUTH BOND	\$1,001 - \$15,000	None	P
NEW YORK NY HLTH & HOSP CORP BOND	\$15,001 - \$50,000	None	P
CALIFORNIA STATEWIDE CDA BOND	\$1,001 - \$15,000	None	P
WEST VIRGINIA ECON DEV AUTH SO BOND	\$1,001 - \$15,000	None	P
NEW YORK ST TWY AUTH SPL TAX BOND	\$15,001 - \$50,000	None	P
NY ENVIRONMENTAL NYC MUNI WTR BOND	\$15,001 - \$50,000	None	P
NY ST TWY AUTH ST PERS BOND	\$15,001 - \$50,000	None	P
PUERTO RICO COMWLTH BOND	\$15,001 - \$50,000	None	P
LONG ISLAND PWR AUTH N Y ELEC BOND	\$15,001 - \$50,000	None	P
NEW YORK N Y G/O BOND	\$15,001 - \$50,000	None	P
NEW YORK NY TRNSL FIN AUTH BOND	\$15,001 - \$50,000	None	P
TRIBOROUGH BRDG & TUNL AUTH NY BOND	\$15,001 - \$50,000	None	P
CHICAGO IL TRNSP AUTH FED GAN BOND	\$15,001 - \$50,000	None	P

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Christopher John Lee

Page 22 of 60

	MUNI ELECTRIC AUTH OF GA BOND	\$15,001 - \$50,000	None		P
	OHIO AIR QUALITY DEV AUTH BOND	\$1,001 - \$15,000	None		P
	Summit Rock Strategic Fixed Income LP	\$15,001 - \$50,000	None		P
	Summit Rock Select Equity LP	\$100,001 - \$250,000	None		P
	Summit Rock Hedged Equity LP	\$100,001 - \$250,000	None		P
	Summit Rock Diversified Strategies LP	\$100,001 - \$250,000	None		P
	Summit Rock Balanced Reserves LP (Cash)	\$100,001 - \$250,000	None		
	Individual Account:				
SP	BERKSHIRE HATHAWAY INC	\$1,001 - \$15,000			
SP	DISNEY WALT COMPANY	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SP	MIDDLEBY CORP	\$1,001 - \$15,000			
SP	CITADEL BROADCASTING CORP	\$1 - \$1,000			
SP	MONEY MARKET	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
	Individual Account (2):				

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

Name Christopher John Lee

Page 23 of 60

INTERNET INFRASTRUCTURE HOLDERS	\$1 - \$1,000	DIVIDENDS	\$201 - \$1,000	
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	
MONEY MARKET	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
Individual Account (3):				
QUANTUM FUEL SYS TECHNOLOGIES	\$1,001 - \$15,000			PS(part)
POWERSECURE INTL INC COM	None			PS
BLOCKBUSTER INC	None			S
AUTONATION INC	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
SIERRA WIRELESS INC	None			PS

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

Name Christopher John Lee

Page 24 of 60

MONEY MARKET	\$1 - \$1,000		
OTHER			
PRINCIPAL FINANCIAL GROUP	\$1,001 - \$15,000 DIVIDENDS	\$1 - \$200	



# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 25 of 60

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	Date	Amount of Transaction
	Individual Account (1):			
	AMERICAN BEACON L/C VALU 3 PURCHASES, 2 SALES	PS	VARIOUS	\$50,001 - \$100,000
	ALLIANCEBERNSTEIN INT VAL 2 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	COLUMBIA ACORN INTL 6 PURCHASES, 2 SALES	PS	VARIOUS	\$15,001 - \$50,000
	AMERICAN EUROPACIFIC GRTH	PS	PURCHASE 10/3/08, SALE 12/16/08	\$50,001 - \$100,000
	RVS MID CAP VALUE	PS	PURCHASE 1/23/08, SALE 10/3/08	\$1,001 - \$15,000
	ARTISAN MID CAP VALUE 2 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
	WILLIAM BLAIR INTL GROWTH	S	9/23/08, 12/16/08	\$50,001 - \$100,000
	DAVIS NEW YORK VENTURE 2 PURCHASES, 2 SALES	PS	VARIOUS	\$50,001 - \$100,000
	DODGE & COX INTL STOCK 2 PURCHASE, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
	EVERGREEN INTRINSIC VALUE 5 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 26 of 60

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	Date	Amount of Transaction
	FIDELITY VALUE	PS	PURCHASE 1/2/08, SALES 8/28/08	\$15,001 - \$50,000

	FIDELITY EMERGING MARKET 2 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
	FIDELITY ADV NEW INSIGHTS 4 PURCHASES, 2 SALES	PS	VARIOUS	\$100,001 - \$250,000
	FIDELITY INTL REAL ESTATE	PS	PURCHASE 1/2/08, SALE 9/23/08	\$15,001 - \$50,000

	FIDELITY INTERMEDIATE MUNI 16 PURCHASES	P	VARIOUS	\$15,001 - \$50,000
	FIDELITY LEVERAGED CO STOCK 4 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
	FIDELITY REAL ESTATE INVEST 4 PURCHASES, 1 SALES	PS	VARIOUS	\$15,001 - \$50,000
	FIDELITY INTL SMALL CAP OPP 2 PURCHASES, 1 SALES	PS	VARIOUS	\$15,001 - \$50,000
	FIDELITY SHORT INTERM MUNI 4 PURCHASES	PS	VARIOUS	\$15,001 - \$50,000
	FIDELITY SPART US EQTY 7 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	AMERICAN GRW FD OF AMER 2 PURCHASES, 2 SALES	PS	VARIOUS	\$50,001 - \$100,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 27 of 60

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	Date	Amount of Transaction
	HARBOR INTERNATIONAL GROTH	PS	PURCHASE 9/23/08, SALES 12/16/08	\$50,001 - \$100,000
	HARBOR INTERNATIONAL	PS	PURCHASE 9/23/08, SALE 12/16/08	\$50,001 - \$100,000
	ISHARES COHEN & STEERS RLTY 1 PURCHASE, 2 SALES	PS	VARIOUS	\$50,001 - \$100,000
	ARTIO INTERNATIONAL EQY II 2 PURCHASES, 1 SALES	PS	VARIOUS	\$15,001 - \$50,000
	JANUS PERKINS MID CAP VL 3 PURCHASES, 1 SALES	PS	VARIOUS	\$1,001 - \$15,000
	DWS DREMAN S/C VALUE	PS	PURCHASE 1/3/08, SALES 12/17/08	\$15,001 - \$50,000
	KEELEY SMALL CAP VAL	PS	PURCHASE 1/3/08, SALE 12/17/08	\$15,001 - \$50,000
	LAUDUS ROSENB INTERN DISC 3 PURCHASES, 2 SALES	PS	VARIOUS	\$15,001 - \$50,000
	LOOMIS SAYLES BOND 10 PURCHASES, 3 SALES	PS	VARIOUS	\$100,001 - \$250,000
	LAZARD EMERGING MKTS PORT 4 PURCHASES, 1 SALES	PS	VARIOUS	\$50,001 - \$100,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 28 of 60

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	Date	Amount of Transaction
	MASTERS SELECT INTERNATL 5 PURCHASES, 1 SALES	PS	VARIOUS	\$50,001 - \$100,000
	MORGAN STANLEY INS US REAL 7 PURCHASES, 1 SALES	PS	VARIOUS	\$100,001 - \$250,000
	OPENHEIMER STRATEGIC INC 5 PURCHASES, 1 SALES	PS	VARIOUS	\$50,001 - \$100,000
	PIMCO COMMODITY RR STRAT 6 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	T ROWE PRICE GROWTH STK 3 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	T ROWE PRICE HIGH YIELD 1 PURCHASE, 2 SALES	PS	VARIOUS	\$15,001 - \$50,000
	FORWARD INTL SMALL COMPAN	PS	PURCHASE 10/3/08, SALE 12/16/08	\$15,001 - \$50,000
	RAINIER MID CAP EQUITY 2 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
	RS PARTNERS FUND	S	12/17/08	\$15,001 - \$50,000
	RS VALUE FUND	S	12/17/08	\$15,001 - \$50,000
	ROYCE VALUE PLUS FUND 3 PURCHASES, 1 SALES	PS	VARIOUS	\$15,001 - \$50,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 29 of 60

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	Date	Amount of Transaction
	FIDELITY HIGH INCOME 17 PURCHASES, 1 SALES	PS	VARIOUS	\$15,001 - \$50,000
	THORNBURG INTL VALUE 4 PURCHASES, 1 SALES	PS	VARIOUS	\$15,001 - \$50,000
	THORNBURG INTERMED MUNI 2 PURCHASES, 1 SALES	PS	VARIOUS	\$15,001 - \$50,000
	THORNBURG VALUE 3 PURCHASES, 1 SALES	PS	VARIOUS	\$50,001 - \$100,000
	COLUMBIA VALUE & RESTRUCT 5 PURCHASES, 2 SALES	PS	VARIOUS	\$50,001 - \$100,000
	IRA:			
	AMERICAN BEACON L/C VALU	S	12/16/08	\$1,001 - \$15,000
	ALLANCEBERNSTEIN INT VAL	S	12/16/08	\$1,001 - \$15,000
	COLUMBIA ACORN INTL	PS	PURCHASE 6/12/08, SALE 12/16/08	\$1,001 - \$15,000
	ARTISAN MID CAP VALUE	S	12/16/08	\$1,001 - \$15,000
	WILLIAM BLAIR INTL GROWTH	S	12/16/08	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 30 of 60

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	Date	Amount of Transaction
	DAVIS NEW YORK VENTURE	PS	PURCHASE 12/2/08, SALE 12/16/08	\$1,001 - \$15,000
	DODGE & COX INCOME 5 PURCHASES	P	VARIOUS	\$1,001 - \$15,000
	DODGE & COX INTL STOCK	S	12/16/08	\$1,001 - \$15,000
	FIDELITY US BOND INDEX 4 PURCHASES	P	VARIOUS	\$15,001 - \$50,000
	FIDELITY CAPITAL APPREC	S	2/25/08	\$1,001 - \$15,000
	FIDELITY EMERGING MARKET	PS	PURCHASE 12/5/08, SALES 12/16/08	\$1,001 - \$15,000
	FIDELITY ADV NEW INSIGHTS 2 PURCHASES, 1 SALES	PS	VARIOUS	\$1,001 - \$15,000
	FIDELITY INTL REAL ESTATE	S	12/16/08	\$1,001 - \$15,000
	FIDELITY LEVERAGED CO STOCK 2 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
	FIDELITY REAL ESTATE INVEST 3 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
	FIDELITY SHORT TERM BOND 2 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 31 of 60

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	Date	Amount of Transaction
	AMERICAN GRW FD OF AMER	S	2/25/08, 12/16/08	\$1,001 - \$15,000
	ARTIO INTERNATIONAL EQY II	PS	PURCHASED 2/25/08, SALE 12/16/08	\$1,001 - \$15,000
	DWS DREMAN S/C VALUE 2 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
	KEELEY SMALL CAP VAL	S	2/25/08, 12/16/08	\$1,001 - \$15,000
	LAUDUS ROSENB INTERN DISC	S	12/16/08	\$1,001 - \$15,000
	LOOMIS SAYLES BOND 9 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
	LAZARD EMERGING MKTS 2 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
	MASTERS SELECT INTERNATL	PS	PURCHASE 11/5/08, SALE 12/16/08	\$1,001 - \$15,000
	MORGAN STANLEY INS CORE+	PS	PURCHASE 4/2/08, SALE 5/16/08	\$1,001 - \$15,000
	MORGAN STANLEY INS US REAL 3 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 32 of 60

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	Date	Amount of Transaction
	PIMCO COMMODITY RR STRAT 5 PURCHASES, 1 SLAE	PS	VARIOUS	\$1,001 - \$15,000
	PIMCO TOTAL RETURN 14 PURCHASES	P	VARIOUS	\$15,001 - \$50,000
	PIMCO HIGH YIELD 8 PURCHASES	PS	VARIOUS	\$1,001 - \$15,000
	T ROWE PRICE HIGH YIELD 4 PURCHASES, 2 SALES	PS	VARIOUS	\$1,001 - \$15,000
	RAINIER MID CAP EQUITY	S	12/16/08	\$1,001 - \$15,000
	RS PARTNERS	S	12/16/08	\$1,001 - \$15,000
	RS VALUE	S	12/16/08	\$1,001 - \$15,000
	ROYCE VALUE PLUS	PS	PURCHASE 12/9/08, SALE 12/16/08	\$1,001 - \$15,000
	FIDELITY HIGH INCOME 12 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
	THORNBURG INTL VALUE 2 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
	THORNBURG VALUE 4 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000



# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 33 of 60

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	Date	Amount of Transaction
	COLUMBIA VALUE & RESTRUCT 3 PURCHASES, 2 SALES	PS	VARIOUS	\$1,001 - \$15,000
	VANGUARD S/T INVEST GR	PS	PURCHASE 1/31/08, SALE 2/25/08	\$1,001 - \$15,000
	IRA:			
SP	AMERICAN BEACON L/C VALU	S	12/16/08	\$1,001 - \$15,000
SP	ALLIANCEBERNSTEIN INT VAL	S	12/16/08	\$1,001 - \$15,000
SP	COLUMBIA ACORN INTL	PS	PURCHASE 6/12/08, SALE 12/16/08	\$1,001 - \$15,000
SP	ARTISAN MID CAP VALUE	S	12/16/08	\$1,001 - \$15,000
SP	WILLIAM BLAIR INTL GROWTH	S	12/16/08	\$1,001 - \$15,000
SP	DAVIS NEW YORK VENTURE	PS	PURCHASE 12/2/08, SALE 12/16/08	\$1,001 - \$15,000
SP	DODGE & COX INCOME 4 PURCHASES	P	VARIOUS	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 34 of 60

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	Date	Amount of Transaction
SP	FIDELITY US BOND INDEX 4 PURCHASES, 1 SALE	PS(part)	VARIOUS	\$1,001 - \$15,000
SP	FIDELITY EMERGING MARKET 2 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
SP	FIDELITY ADV NEW INSIGHTS	PS	PURCHASE 2/25/08, SALES 12/16/08	\$1,001 - \$15,000
SP	FIDELITY INTL REAL ESTATE	S	12/16/08	\$1,001 - \$15,000
SP	FIDELITY LEVERAGED CO STOCK 2 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
SP	FIDELITY INTERMEDIATE BOND 13 PURCHASES, 1 SALE	PS(part)	VARIOUS	\$1,001 - \$15,000
SP	AMERICAN GRW FD OF AMER	S	2/15/08, 12/16/08	\$1,001 - \$15,000
SP	ARTIO INTERNATIONAL EQY II	S	12/16/08	\$1,001 - \$15,000
SP	DWS DREMAN S/C VALUE 1 PURCHASE, 2 SALES	PS	VARIOUS	\$1,001 - \$15,000
SP	KEELEY SMALL CAP VAL	S	2/22/08, 12/16/08	\$1,001 - \$15,000
SP	LOOMIS SAYLES BOND 9 PURCHASE, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 35 of 60

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	Date	Amount of Transaction
SP	MORGAN STANLEY INS US REAL 4 PURCHASE, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
SP	PIMCO COMMODITY RR STRAT 6 PURCHASE, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
SP	PIMCO LOW DURATION	PS	PURCHASE 1/31/08, SLAE 2/25/08	\$1,001 - \$15,000
SP	RAINIER MID CAP EQUITY	S	12/16/08	\$1,001 - \$15,000
SP	RS PARTNERS	S	2/25/08, 12/16/08	\$1,001 - \$15,000
SP	RS VALUE	S	8/28/08, 12/16/08	\$1,001 - \$15,000
SP	ROYCE VALUE PLUS 1 PURCHASE, 2 SALES	PS	VARIOUS	\$1,001 - \$15,000
SP	FIDELITY HIGH INCOME 12 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
SP	THORNBURG INTL VALUE 2 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
SP	COLUMBIA VALUE & RESTRUCT 5 PURCHASES, 2 SALES	PS	VARIOUS	\$1,001 - \$15,000
	Trust FBO Johnathan Lee (1)			

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 36 of 60

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	Date	Amount of Transaction
DC	ALLANCEBERNSTEIN INT VAL	S	11/6/08	\$1,001 - \$15,000
DC	COLUMBIA ACORN INTL	PS	PURCHASE 6/12/08, SALE 11/6/08	\$1,001 - \$15,000
DC	ARTISAN MID CAP VALUE FD	PS	PURCHASE 1/22/08, SALE 11/6/08	\$1,001 - \$15,000
DC	DAVIS NEW YORK VENTURE FD	PS	PURCHASE 1/2/08, SALE 11/6/08	\$1,001 - \$15,000
DC	FIDELITY EMERGING MARKET FD 2 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
DC	FIDELITY ADV NEW INSIGHTS 3 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
DC	FIDELITY INTL REAL ESTATE	PS	PURCHASE 1/2/08, SALE 11/6/08	\$1,001 - \$15,000
DC	FIDELITY LEVERAGED CO STOCK 2 PURCHASES, 1 SALE	PS	VAROUS	\$1,001 - \$15,000
DC	FIDELITY REAL ESTATE INVEST 5 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
DC	FIDELITY INTL SMALL CAP OPP 2 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 37 of 60

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	Date	Amount of Transaction
DC	FIDELITY SPART US EQTY IN 4 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
DC	AMERICAN GRW FD OF AMER	S	11/6/08	\$1,001 - \$15,000
DC	ARTIO INTERNATIONAL EQY II 2 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
DC	DWS DREMAN S/C VALUE FND 3 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
DC	KEELEY SMALL CAP VAL FD 2 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
DC	LOOMIS SAYLES BOND FUND 9 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
DC	RAINIER MID CAP EQUITY	PS	PURCHASE 1/2/08, 11/6/08	\$1,001 - \$15,000
DC	RS PARTNERS FUND	S	11/6/08	\$1,001 - \$15,000
DC	RS VALUE FUND	S	11/6/08	\$1,001 - \$15,000
DC	ROYCE VALUE PLUS FUND 2 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
DC	COLUMBIA VALUE & RESTRUCT 5 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 38 of 60

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	Date	Amount of Transaction
	Trust FBO Johnathan Lee (2)			
DC	AMERICAN BEACON L/C VALUE- 2 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
DC	ALLIANCEBERNSTEIN INT VAL 2 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
DC	COLUMBIA ACORN INTL 3 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
DC	RVS MID CAP VALUE FUND	PS	PURCHASE 1/22/08, SALE 11/6/08	\$1,001 - \$15,000
DC	ARTISAN MID CAP VALUE FD	PS	PURCHASE 1/2/08, SALE 11/6/08	\$1,001 - \$15,000
DC	WILLIAM BLAIR INTL GROWTH 2 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
DC	DAVIS NEW YORK VENTURE FD	PS	PURCHASE 1/2/08, SALE 11/6/08	\$15,001 - \$50,000
DC	DODGE & COX INTL STOCK FUND 2 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
DC	FIDELITY CAPITAL APPREC	S	4/24/08	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 39 of 60

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	Date	Amount of Transaction
DC	FIDELITY VALUE FUND	PS	PURCHASE 1/2/08, SALE 11/6/08	\$1,001 - \$15,000
DC	FIDELITY EMERGING MARKET FD 2 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
DC	FIDELITY ADV NEW INSIGHTS 4 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
DC	FIDELITY INTL REAL ESTATE	PS	PURCHASE 1/2/08, SALE 11/6/08	\$1,001 - \$15,000
DC	FIDELITY INTERMEDIATE MUNI 12 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
DC	FIDELITY LEVERAGED CO STOCK 3 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
DC	FIDELITY REAL ESTATE INVEST 4 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
DC	FIDELITY INTL SMALL CAP OPP 2 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
DC	FIDELITY SHORT INTERM MUNI 11 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
DC	FIDELITY SPART US EQTY 4 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
DC	AMERICAN GRW FD OF AMER 2 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 40 of 60

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	Date	Amount of Transaction
DC	ISHARES COHEN & STEERS RLTY	P	1/22/08	\$15,001 - \$50,000
DC	ARTIO INTERNATIONAL EQY II 2 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
DC	DWS DREMAN S/C VALUE FND 3 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
DC	KEELEY SMALL CAP VAL FD-	PS	PURCHASE 1/2/08, SALE 11/6/08	\$15,001 - \$50,000
DC	LAUDUS ROSENB INTERN DISC 2 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
DC	LOOMIS SAYLES BOND FUND 11 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
DC	THORNBURG LTD TERM MUNICIPAL 10 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
DC	LOOMIS SAYLES SMALL CAP GROWTH	PS	PURCHASE 1/22/08, SALE 11/6/08	\$1,001 - \$15,000
DC	LAZARD EMERGING MKTS PORT 2 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
DC	MORGAN STANLEY INS US REAL 4 PURCHASE, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
DC	PIMCO COMMODITY RR STRAT 4 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000



# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 41 of 60

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	Date	Amount of Transaction
DC	T ROWE PRICE HIGH YIELD 10 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
DC	RAINIER MID CAP EQUITY 2 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
DC	RS PARTNERS FUND	S	11/6/08	\$1,001 - \$15,000
DC	RS VALUE FUND	S	11/6/08	\$1,001 - \$15,000
DC	ROYCE VALUE PLUS FUND	PS	PURCHASE 11/2/08, SALE 11/6/08	\$1,001 - \$15,000
DC	FIDELITY HIGH INCOME FUND 12 PURCHASES, 1 SALE	PS	VARIOUS	\$1,001 - \$15,000
DC	THORNBURG INTL VALUE FD 3 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
DC	THORNBURG INTERMED MUNI FD 11 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
DC	THORNBURG VALUE FUND 4 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
DC	COLUMBIA VALUE & RESTRUCT 5 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
	CHARITABLE TRUST FBO CHRISTOPHER J LEE			

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 42 of 60

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	Date	Amount of Transaction
	AMERICAN BEACON L/C VALUE 2 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	ALLIANCEBERNSTEIN INT VAL 2 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	COLUMBIA ACORN INTL 3 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
	RVS MID CAP VALUE FUND	PS	PURCHASE 1/22/08, SALE 11/6/08	\$15,001 - \$50,000
	ARTISAN MID CAP VALUE FD 2 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
	WILLIAM BLAIR INTL GROWTH 2 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	DAVIS NEW YORK VENTURE FD 2 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	DODGE & COX INTL STOCK FUND 2 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	DODGE & COX INCOME 5 PURCHASES, 1 SALE	PS	VARIOUS	\$250,001 - \$500,000
	FIDELITY CAPITAL APPREC	S	4/24/08	\$50,001 - \$100,000
	FIDELITY VALUE FUND	PS	PURCHASE 1/2/08, SALE 11/6/08	\$15,001 - \$50,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 43 of 60

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	Date	Amount of Transaction
	FIDELITY EMERGING MARKET 2 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	FIDELITY ADV NEW INSIGHTS 4 PURCHASES, 2 SALES	PS	VARIOUS	\$100,001 - \$250,000
	FIDELITY INTL REAL ESTATE 2 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
	FIDELITY LEVERAGED CO STOCK 3 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	FIDELITY REAL ESTATE INVEST 5 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	FIDELITY INTL SMALL CAP OPP 2 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000
	AMERICAN GRW FD OF AMER 2 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	ARTIO INTERNATIONAL EQY 2 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	DWS DREMAN S/C VALUE FND 2 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	KEELEY SMALL CAP VAL FD	PS	PURCHASE 1/2/08, SALE 11/6/08	\$50,001 - \$100,000
	LAUDUS ROSENB INTERN DISC 2 PURCHASES, 1 SALE	PS	VARIOUS	\$15,001 - \$50,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 44 of 60

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	Date	Amount of Transaction
	LOOMIS SAYLES BOND FUND 11 PURCHASES, 2 SALES	PS	VARIOUS	\$250,001 - \$500,000
	LOOMIS SAYLES SMALL CAP GROWTH	PS	PURCHASE 1/22/08, SALE 11/6/08	\$1,001 - \$15,000
	LAZARD EMERGING MKTS PORT 2 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	MASTERS SELECT INTERNATL FD 3 PURCHASES, 2 SALES	PS	VARIOUS	\$15,001 - \$50,000
	MORGAN STANLEY INS US REAL 5 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	MORGAN STANLEY CORE PLUS FIXED INC 3 PURCHASES, 1 SALE	PS	VARIOUS	\$250,001 - \$500,000
	PIMCO COMMODITY RR STRAT 4 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	PIMCO LOW DURATION 10 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	PIMCO TOTAL RETURN 7 PURCHASES, 1 SALE	PS	VARIOUS	\$250,001 - \$500,000
	T ROWE PRICE HIGH YIELD 11 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	RAINIER MID CAP EQUITY 2 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 45 of 60

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	Date	Amount of Transaction
	RS PARTNERS FUND	S	11/6/08	\$15,001 - \$50,000
	RS VALUE FUND	S	11/6/08	\$15,001 - \$50,000
	ROYCE VALUE PLUS FUND	PS	PURCHASE 11/2/08, SALE 11/6/08	\$15,001 - \$50,000
	FIDELITY HIGH INCOME FUND 12 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	THORNBURG INTL VALUE FD 4 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	THORNBURG VALUE FUND 5 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	COLUMBIA VALUE & RESTRUCT 5 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	VANGUARD SHORT TERM INVESTMENT GRADE 10 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	TRUST FBO CHRISTOPHER J. LEE			
	AMERICAN BEACON L/C VALUE 2 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	ALLIANCEBERNSTEIN INT VAL 2 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 46 of 60

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	Date	Amount of Transaction
	COLUMBIA ACORN INTL 3 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	COLUMBIA ACORN 2 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	RVS MID CAP VALUE FUND	PS	PURCHASE 1/22/08, SALE 11/6/08	\$50,001 - \$100,000
	ARTISAN MID CAP VALUE FD	PS	PURCHASE 1/2/08, SALE 11/6/08	\$50,001 - \$100,000
	WILLIAM BLAIR INTL GROWTH 2 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	DAVIS NEW YORK VENTURE FD	PS	PURCHASE 1/2/08, SALE 10/16/08	\$100,001 - \$250,000
	DODGE & COX INTL STOCK FUND 2 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	FIDELITY CAPITAL APPREC	S	4/24/08	\$100,001 - \$250,000
	FIDELITY VALUE FUND	PS	PURCHASE 1/2/08, SALE 11/6/08	\$15,001 - \$50,000
	FIDELITY EMERGING MARKET FD 2 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 47 of 60

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	Date	Amount of Transaction
	FIDELITY ADV NEW INSIGHTS 4 PURCHASES, 1 SALE	PS	VARIOUS	\$250,001 - \$500,000
	FIDELITY INTL REAL ESTATE	PS	PURCHASE 1/2/08, SALE 11/6/08	\$15,001 - \$50,000
	FIDELITY INTERMEDIATE MUNI 11 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	FIDELITY LEVERAGED CO STOCK 3 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	FIDELITY REAL ESTATE INVEST 4 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	FIDELITY INTL SMALL CAP OPP 2 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	FIDELITY SPART US EQTY 4 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	AMERICAN GRW FD OF AMER 2 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	ISHARES COHEN & STEERS RLTY	P	1/22/08	\$100,001 - \$250,000
	ARTIO INTERNATIONAL EQY II 2 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	DWS DREMAN S/C VALUE FND 2 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 48 of 60

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	Date	Amount of Transaction
	KEELEY SMALL CAP VAL FD	PS	PURCHASE 1/2/08, SALE 11/6/08	\$50,001 - \$100,000
	LAUDUS ROSENB INTERN DISC 2 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	LOOMIS SAYLES BOND FUND 10 PURCHASES, 1 SALE	PS	VARIOUS	\$250,001 - \$500,000
	LOOMIS SAYLES SMALL CAP GROWTH	PS	PURCHASE 1/22/08, SALE 11/6/08	\$15,001 - \$50,000
	LAZARD EMERGING MKTS PORT 2 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	MASTERS SELECT INTERNATL 3 PURCHASES, 2 SALES	PS	VARIOUS	\$50,001 - \$100,000
	MORGAN STANLEY INS US REAL 4 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	PIMCO COMMODITY RR STRAT 4 PURCHASES, 1 SALE	PS	VARIOUS	\$250,001 - \$500,000
	T ROWE PRICE HIGH YIELD 10 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	RAINIER MID CAP EQUITY 2 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	RS PARTNERS FUND	S	10/16/08	\$50,001 - \$100,000



# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 49 of 60

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	Date	Amount of Transaction
	RS VALUE FUND	S	11/6/08	\$50,001 - \$100,000
	FIDELITY HIGH INCOME FUND 11 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	THORNBURG INTL VALUE FD 4 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	THORNBURG INTERMED MUNI FD 10 PURCHASES, 1 SALE	PS	VARIOUS	\$50,001 - \$100,000
	THORNBURG VALUE FUND 4 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	COLUMBIA VALUE & RESTRUCT 5 PURCHASES, 1 SALE	PS	VARIOUS	\$100,001 - \$250,000
	Trust FBO Johnathan Lee (1)- INTEREST IN LEE FAMILY CAPITAL LLC			
DC	IPATH DOW JONES AIG COMMODITY	P	11/6/08	\$1,001 - \$15,000
DC	ISHARES COHEN & STEERS RLTY	P	11/6/08	\$1,001 - \$15,000
DC	ISHARES RUSSELL 3000 INDEX	P	11/6/08	\$1,001 - \$15,000
DC	ISHARES MSCI ACWI EX US INDEX	P	11/6/08	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 50 of 60

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	Date	Amount of Transaction
DC	NEW YORK ST EVNRMNTL FACS CORP BOND	P	12/29/2008	\$1,001 - \$15,000
DC	OREGON HLTH SCIENCES UNIV BOND	P	12/26/2008	\$1,001 - \$15,000
DC	NEW YORK NY TRNSL FIN AUTH BOND	PS	PURCHASED 12/24/2008, SOLD 12/31/08	\$1,001 - \$15,000
DC	NEW YORK NY HLTH & HOSP CORP BOND	P	12/23/2008	\$1,001 - \$15,000
DC	CALIFORNIA STATEWIDE CDA BOND	P	12/18/2008	\$1,001 - \$15,000
DC	WEST VIRGINIA ECON DEV AUTH SO BOND	P	12/18/2008	\$1,001 - \$15,000
DC	NEW YORK ST TWY AUTH SPL TAX BOND	P	12/16/2008	\$1,001 - \$15,000
DC	NY ENVIRONMENTAL NYC MUNI WTR BOND	P	12/16/2008	\$1,001 - \$15,000
DC	PUERTO RICO COMMWLTH BOND	P	12/12/2008	\$1,001 - \$15,000
DC	PUERTO RICO COMMWLTH BOND	P	12/11/2008	\$1,001 - \$15,000
DC	LONG ISLAND PWR AUTH N Y ELEC BOND	P	12/4/2008	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 51 of 60

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	Date	Amount of Transaction
DC	NEW YORK N Y G/O BOND	P	12/3/2008	\$1,001 - \$15,000
DC	NEW YORK NY TRNSL FIN AUTH BOND	P	12/2/2008	\$1,001 - \$15,000
DC	TRIBOROUGH BRDG & TUNL AUTH NY BOND	P	12/1/2008	\$1,001 - \$15,000
DC	CHICAGO IL TRNSP AUTH FED GAN BOND	P	11/21/2008	\$1,001 - \$15,000
DC	MUNI ELECTRIC AUTH OF GA BOND	P	11/20/2008	\$1,001 - \$15,000
DC	OHIO AIR QUALITY DEV AUTH BOND	P	11/20/2008	\$1,001 - \$15,000
DC	Summit Rock Strategic Fixed Income LP	P	10/23/08	\$1,001 - \$15,000
DC	Summit Rock Select Equity LP	P	10/23/08	\$1,001 - \$15,000
DC	Summit Rock Hedged Equity LP	P	10/23/08	\$1,001 - \$15,000
DC	Summit Rock Diversified Strategies LP	P	11/17/08	\$1,001 - \$15,000
DC	Summit Rock Real Assets LP	P	11/10/08	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 52 of 60

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	Date	Amount of Transaction
DC	Summit Rock Private Equity LP	P	11/5/08	\$1,001 - \$15,000
	Trust FBO Johnathan Lee (2)- INTEREST IN LEE FAMILY CAPITAL LLC			
DC	IPATH DOW JONES AIG COMMODITY	P	11/6/2008	\$1,001 - \$15,000
DC	ISHARES COHEN & STEERS RLTY	P	11/6/2008	\$15,001 - \$50,000
DC	ISHARES RUSSELL 3000 INDEX	P	11/6/2008	\$100,001 - \$250,000
DC	ISHARES MSCI ACWI EX US INDEX	P	11/6/2008	\$50,001 - \$100,000
DC	NEW YORK ST EVNRMNTL FACS CORP BOND	P	12/29/2008	\$1,001 - \$15,000
DC	OREGON HLTH SCIENCES UNIV BOND	P	12/26/2008	\$1,001 - \$15,000
DC	NEW YORK NY TRNSL FIN AUTH BOND	P	12/24/2008	\$1,001 - \$15,000
DC	NEW YORK NY HLTH & HOSP CORP BOND	P	12/23/2008	\$1,001 - \$15,000
DC	CALIFORNIA STATEWIDE CDA BOND	P	12/18/2008	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 53 of 60

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	Date	Amount of Transaction
DC	WEST VIRGINIA ECON DEV AUTH SO BOND	P	12/18/2008	\$1,001 - \$15,000
DC	NEW YORK ST TWY AUTH SPL TAX BOND	P	12/16/2008	\$1,001 - \$15,000
DC	NY ENVIRONMENTAL NYC MUNI WTR BOND	P	12/16/2008	\$1,001 - \$15,000
DC	PUERTO RICO COMWLTH BOND	P	12/12/2008	\$1,001 - \$15,000
DC	PUERTO RICO COMWLTH BOND	P	12/11/2008	\$1,001 - \$15,000
DC	LONG ISLAND PWR AUTH N Y ELEC BOND	P	12/4/2008	\$1,001 - \$15,000
DC	NEW YORK N Y G/O BOND	P	12/3/2008	\$1,001 - \$15,000
DC	NEW YORK NY TRNSL FIN AUTH BOND	P	12/2/2008	\$1,001 - \$15,000
DC	TRIBOROUGH BRDG & TUNL AUTH NY BOND	P	12/1/2008	\$1,001 - \$15,000
DC	CHICAGO IL TRNSP AUTH FED GAN BOND	P	11/21/2008	\$1,001 - \$15,000
DC	MUNI ELECTRIC AUTH OF GA BOND	P	11/20/2008	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 54 of 60

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	Date	Amount of Transaction
DC	OHIO AIR QUALITY DEV AUTH BOND	P	11/20/2008	\$1,001 - \$15,000
DC	Summit Rock Strategic Fixed Income LP	P	10/23/08	\$1,001 - \$15,000
DC	Summit Rock Select Equity LP	P	10/23/08	\$15,001 - \$50,000
DC	Summit Rock Hedged Equity LP	P	10/23/08	\$50,001 - \$100,000
DC	Summit Rock Diversified Strategies LP	P	11/17/08	\$100,001 - \$250,000
DC	Summit Rock Real Assets LP	P	11/10/08	\$1,001 - \$15,000
DC	Summit Rock Private Equity LP	P	11/5/08	\$15,001 - \$50,000
TRUST FBO CHRISTOPHER J LEE - INTEREST IN LEE FAMILY CAPITAL LLC				
	IPATH DOW JONES AIG COMMODITY	P	11/6/2008	\$50,001 - \$100,000
	ISHARES COHEN & STEERS RLTY	P	11/6/2008	\$100,001 - \$250,000
	ISHARES RUSSELL 3000 INDEX	P	11/6/2008	\$500,001 - \$1,000,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 55 of 60

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	Date	Amount of Transaction
	ISHARES MSCI ACWI EX US INDEX	P	11/6/2008	\$500,001 - \$1,000,000
	NEW YORK ST EVNRMNTL FACS CORP BOND	P	12/29/2008	\$15,001 - \$50,000
	OREGON HLTH SCIENCES UNIV BOND	P	12/26/2008	\$1,001 - \$15,000
	NEW YORK NY TRNSL FIN AUTH BOND	PS	Purchase 12/24/2008, Sale 12/31/08	\$1,001 - \$15,000
	NEW YORK NY HLTH & HOSP CORP BOND	P	12/23/2008	\$15,001 - \$50,000
	CALIFORNIA STATEWIDE CDA BOND	P	12/18/2008	\$1,001 - \$15,000
	WEST VIRGINIA ECON DEV AUTH SO BOND	P	12/18/2008	\$1,001 - \$15,000
	NEW YORK ST TWY AUTH SPL TAX BOND	P	12/16/2008	\$15,001 - \$50,000
	NY ENVIRONMENTAL NYC MUNI WTR BOND	P	12/16/2008	\$15,001 - \$50,000
	PUERTO RICO COMMWLTH BOND	P	12/12/2008	\$1,001 - \$15,000
	PUERTO RICO COMMWLTH BOND	P	12/11/2008	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 56 of 60

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	Date	Amount of Transaction
	LONG ISLAND PWR AUTH N Y ELEC BOND	P	12/4/2008	\$15,001 - \$50,000
	NEW YORK N Y G/O BOND	P	12/3/2008	\$15,001 - \$50,000
	NEW YORK NY TRNSL FIN AUTH BOND	P	12/2/2008	\$15,001 - \$50,000
	TRIBOROUGH BRDG & TUNL AUTH NY BOND	P	12/1/2008	\$15,001 - \$50,000
	CHICAGO IL TRNSP AUTH FED GAN BOND	P	11/21/2008	\$15,001 - \$50,000
	MUNI ELECTRIC AUTH OF GA BOND	P	11/20/2008	\$15,001 - \$50,000
	OHIO AIR QUALITY DEV AUTH BOND	P	11/20/2008	\$1,001 - \$15,000
	Summit Rock Strategic Fixed Income LP	P	10/23/08	\$50,001 - \$100,000
	Summit Rock Select Equity LP	P	10/23/08	\$100,001 - \$250,000
	Summit Rock Hedged Equity LP	P	10/23/08	\$250,001 - \$500,000
	Summit Rock Diversified Strategies LP	P	11/17/08	\$500,001 - \$1,000,000



# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 57 of 60

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	Date	Amount of Transaction
	Summit Rock Real Assets LP	P	11/10/08	\$50,001 - \$100,000
	Summit Rock Private Equity LP	P	11/5/08	\$100,001 - \$250,000
	CHARITABLE TRUST FBO CHRISTOPHER J LEE -INTEREST IN LEE CHARITABLE CAPITAL LLC			
	IPATH DOW JONES AIG COMMODITY 1 PURCHASE, 2 SALES	PS(part)	VARIOUS	\$50,001 - \$100,000
	ISHARES COHEN & STEERS RLTY 1 PURCHASE, 2 SALES	PS(part)	VARIOUS	\$100,001 - \$250,000
	ISHARES RUSSELL 3000 INDEX 1 PURCHASE, 2 SALES	PS(part)	VARIOUS	\$1,000,001 - \$5,000,000
	ISHARES MSCI ACWI EX US INDEX 1 PURCHASE, 2 SALES	PS(part)	VARIOUS	\$500,001 - \$1,000,000
	NEW YORK ST EVNRMNTL FACS CORP	P	12/29/2008	\$15,001 - \$50,000
	NEW YORK NY TRANSL FIN AUTH	P	12/24/2008	\$15,001 - \$50,000
	NEW YORK NY HLTH & HOSP CORP	P	12/23/2008	\$15,001 - \$50,000
	CALIFORNIA STATEWIDE CDA	P	12/18/2008	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 58 of 60

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	Date	Amount of Transaction
	WEST VIRGINIA ECON DEV AUTH SO	P	12/18/2008	\$1,001 - \$15,000
	NEW YORK ST TWY AUTH SPL TAX	P	12/16/2008	\$15,001 - \$50,000
	NY ENVIRONMENTAL NYC MUNI WTR	P	12/16/2008	\$15,001 - \$50,000
	NY ST TWY AUTH ST PERS	P	12/16/2008	\$15,001 - \$50,000
	PUERTO RICO COMWLTH	P	12/11/2008	\$15,001 - \$50,000
	LONG ISLAND PWR AUTH N Y ELEC	P	12/4/2008	\$15,001 - \$50,000
	NEW YORK N Y G/O	P	12/3/2008	\$15,001 - \$50,000
	NEW YORK NY TRNSL FIN AUTH	P	12/2/2008	\$15,001 - \$50,000
	TRIBOROUGH BRDG & TUNL AUTH NY	P	12/1/2008	\$15,001 - \$50,000
	CHICAGO IL TRNSP AUTH FED GAN	P	11/21/2008	\$15,001 - \$50,000
	MUNI ELECTRIC AUTH OF GA	P	11/20/2008	\$15,001 - \$50,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 59 of 60

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	Date	Amount of Transaction
	OHIO AIR QUALITY DEV AUTH	P	11/20/2008	\$1,001 - \$15,000
	Summit Rock Strategic Fixed Income LP	P	12/22/08	\$15,001 - \$50,000
	Summit Rock Select Equity LP	P	12/22/08	\$100,001 - \$250,000
	Summit Rock Hedged Equity LP	P	12/22/08	\$100,001 - \$250,000
	Summit Rock Diversified Strategies LP	P	12/22/08	\$100,001 - \$250,000
	Individual Account (3):			
	QUANTUM FUEL SYS TECHNOLOGIES 3 PURCHASES, 5 SALES	PS(part)	VARIOUS	\$15,001 - \$50,000
	POWERSECURE INTL INC COM 7 PURCHASES, 10 SALES	PS	VARIOUS	\$250,001 - \$500,000
	BLOCKBUSTER INC	PS	PURCAHSE 7/17/08, SALE 7/18/08	\$1,001 - \$15,000
	AUTONATION INC	PS	PURCAHSE 7/25/08, SALE 7/29/08	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Christopher John Lee

Page 60 of 60

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	Date	Amount of Transaction
	SIERRA WIRELESS INC	PS	PURCHASE 7/31/08, SALE 8/7/08	\$15,001 - \$50,000