

HEATH SHULER
11TH DISTRICT
NORTH CAROLINA



HAND DELIVERED

RECORDS CENTER

2009 FEB -9 PM 2:56

United States Congress
House of Representatives

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MC

February 9, 2009

Stan Simpson
Counsel
Committee on Standards of Official Conduct
U.S. House of Representatives
B106 Cannon House Office Building
Washington, DC 20515

Dear Mr. Simpson:

The attached is an amendment to my 2007 financial disclosure report. It provides documentation of my securities in all of my investment accounts.

As always, I am appreciative of your efforts and your assistance with this matter. Please be in touch with Julie Fishman in my office with any questions or concerns. She can be reached at julie.fishman@mail.house.gov or 202-225-6401.

Sincerely,

Heath Shuler
Member of Congress

Attachment for Schedules III and IV

| Description of Asset | Year-End Value of Asset | Type of Income | Amount of Income | Type of Transaction | Date | Amount of Transaction |
|--------------------------------------|-------------------------|-----------------------------|------------------|---------------------|-----------|-----------------------|
| AEGON N V ORD AMER REG | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| ABN AMRO HOLDING N V SPONSORED ADR | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 04/03/07 | \$1,001 - \$15,000 |
| | | | | PS | 08/06/07 | \$1,001 - \$15,000 |
| | | | | Merger | 10/18/07 | \$1 - \$1,000 |
| | | | | Redemption | 10/19/07 | \$1,001 - \$15,000 |
| ALCATEL LUCENT ADR | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| AMGEN INC. | \$1,001 - \$15,000 | None | None | P | 05/18/07 | \$1 - \$1,000 |
| | | | | P | 06/08/07 | \$1,001 - \$15,000 |
| ASTRAZENECA PLC | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 6/4/2007 | \$1 - \$1,000 |
| | | | | P | 06/18/07 | \$1,001 - \$15,000 |
| | | | | P | 08/29/07 | \$1,001 - \$15,000 |
| AZKO NOBEL N V ADR | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 03/19/07 | \$1 - \$1,000 |
| | | | | PS | 07/17/07 | \$1,001 - \$15,000 |
| ALTRIA GROUP INC. | | | | S | 11/19/07 | \$1,001 - \$15,000 |
| AT&T INC. | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | Cash in Lieu | 01/03/07 | \$1 - \$1,000 |
| | | | | PS | 02/05/07 | \$1,001 - \$15,000 |
| | | | | PS | 09/14/07 | \$1,001 - \$15,000 |
| BOSTON SCIENTIFIC | \$1,001 - \$15,000 | None | None | PS | 01/12/07 | \$1 - \$1,000 |
| BRISTOL MYERS SQUIBB CO. | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 03/14/07 | \$1 - \$1,000 |
| | | | | PS | 02/02/07 | \$1,001 - \$15,000 |
| | | | | PS | 07/19/07 | \$1 - \$1,000 |
| BT GROUP PLC ADR | | | | PS | 02/07/07 | \$1,001 - \$15,000 |
| | | | | S | 06/01/07 | \$1,001 - \$15,000 |
| CITIGROUP INC. | \$1,001 - \$15,000 | None | None | P | 11/05/07 | \$1,001 - \$15,000 |
| | | | | P | 11/20/07 | \$1,001 - \$15,000 |
| COUNTRYWIDE FINANCIAL CORP. | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 08/03/07 | \$1,001 - \$15,000 |
| | | | | P | 09/26/07 | \$1,001 - \$15,000 |
| | | | | P | 11/20/07 | \$1 - \$1,000 |
| DAIMLER CHRYSLER AG OR | | | | S | 04/03/07 | \$1,001 - \$15,000 |
| | | | | S | 05/15/07 | \$1 - \$1,000 |
| | | | | S | 05/31/07 | \$1,001 - \$15,000 |
| | | | | S | 06/11/07 | \$1 - \$1,000 |
| DELL, INC. | \$1,001 - \$15,000 | None | None | PS | 06/29/07 | \$1,001 - \$15,000 |
| DEUTSCHE TELECOM AG SPON ADR | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 03/09/07 | \$1 - \$1,000 |
| DOW CHEMICAL COMPANY | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 01/05/07 | \$1 - \$1,000 |
| EASTMAN KODAK COMPANY | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| ELECTRONIC DATA SYSTEM CORP | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| FANNIE MAE ASSN | \$1,001 - \$15,000 | None | None | P | 11/20/07 | \$1,001 - \$15,000 |
| FEDERAL HOME LOAN MTG | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 11/19/07 | \$1,001 - \$15,000 |
| FIFTH THIRD BANK | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PP | 02/09/07 | \$1,001 - \$15,000 |
| FORD MTR CO DEL | \$1,001 - \$15,000 | | | | | |
| FRANCE TELECOM SPON ADR | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 09/14/07 | \$1,001 - \$15,000 |
| FUJIFILM HLDGS CORP ADR 2 ORD | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 02/27/07 | \$1,001 - \$15,000 |
| GANNETT CO INC. DEL | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PP | 07/18/07 | \$1,001 - \$15,000 |
| GENERAL ELECTRIC | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| GENERAL MOTORS CORP. | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 09/28/07 | \$1,001 - \$15,000 |
| GLAXOSMITHKLINE PLC-ADR | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PP | 02/28/07 | \$1,001 - \$15,000 |
| HITACHI LTD ADR 10 COM | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| HOME DEPOT INC. | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PP | 10/26/07 | \$1,001 - \$15,000 |
| | | | | PP | 12/11/07 | \$1,001 - \$15,000 |
| HSBC HOLDINGS PLC SPON | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 06/18/07 | \$1,001 - \$15,000 |
| IDEARC, INC | | | | S | 05/09/07 | \$1 - \$1,000 |
| | | | | PS | 01/05/07 | \$1 - \$1,000 |
| INTEL CORP | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | S | 2/26/2007 | \$1,001 - \$15,000 |
| | | | | S | 07/16/07 | \$1,001 - \$15,000 |
| | | | | S | 09/18/07 | \$1,001 - \$15,000 |
| | | | | S | 11/01/07 | \$1,001 - \$15,000 |
| INTERNATIONAL BUSINESS MACHINES CORP | | | | PS | 08/03/07 | \$1,001 - \$15,000 |
| | | | | PS | 08/17/07 | \$1,001 - \$15,000 |
| | | | | S | 09/18/07 | \$1,001 - \$15,000 |
| J SAINSBURY PLC ADR (NEW) | | | | S | 06/15/07 | \$1,001 - \$15,000 |
| JOHNSON & JOHNSON | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 04/11/07 | \$1,001 - \$15,000 |
| | | | | P | 12/04/07 | \$1,001 - \$15,000 |
| KONINKLIJKE AHOLD ADR | \$1,001 - \$15,000 | Dividends/Return of Capital | \$1 - \$1,000 | | | |
| KROGER COMPANY COMMON | | | | PS | 03/29/07 | \$1,001 - \$15,000 |
| | | | | PS | 05/01/07 | \$1,001 - \$15,000 |
| | | | | S | 06/07/07 | \$1,001 - \$15,000 |
| KT CORP SP ADR | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| LOEWS CORPORATION | | | | S | 02/14/07 | \$1,001 - \$15,000 |
| MARKS & SPENCER PLC ADR | \$1 - \$1,000 | Dividends | \$1 - \$1,000 | PS | 01/04/07 | \$1,001 - \$15,000 |
| MARSH AND MC LENNAN COMPANIES INC | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 04/11/07 | \$1,001 - \$15,000 |
| | | | | P | 08/10/07 | \$1,001 - \$15,000 |
| MCCLATCHY COMPANY CL A | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 05/09/07 | \$1,001 - \$15,000 |
| MERCK & CO INC. | | | | PS | 05/03/07 | \$1,001 - \$15,000 |
| | | | | PS | 08/03/07 | \$1,001 - \$15,000 |
| | | | | PS | 10/24/07 | \$1,001 - \$15,000 |
| | | | | S | 11/09/07 | \$1,001 - \$15,000 |
| | | | | | | |
| MICRON TECHNOLOGY INC | \$1,001 - \$15,000 | None | None | P | 02/23/07 | \$ - \$1,000 |
| | | | | P | 03/02/07 | \$ - \$1,000 |
| | | | | P | 04/20/07 | \$1,001 - \$15,000 |
| MICROSOFT CORP | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | S | 01/31/07 | \$1,001 - \$15,000 |
| MILLEA HOLDINGS INC ADR | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| MITSUBISHI UFJ FINANCIAL ADR | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 02/07/07 | \$1,001 - \$15,000 |
| | | | | P | 07/05/07 | \$1,001 - \$15,000 |
| | | | | P | 09/19/07 | \$1,001 - \$15,000 |

Attachment for Schedules III and IV

| | | | | | | |
|-------------------------------------------|--------------------|-----------|---------------|----|----------|--------------------|
| MITSUBISHI SUMITOMO INS | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 02/16/07 | \$1,001 - \$15,000 |
| MIZUHO FINANCIAL GRP ADR | \$1,001 - \$15,000 | | None | P | 05/02/07 | \$1,001 - \$15,000 |
| | | | | P | 05/22/07 | \$1,001 - \$15,000 |
| | | | | P | 09/19/07 | \$1,001 - \$15,000 |
| MOTOROLA INCORPORATED | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 06/08/07 | \$1,001 - \$15,000 |
| | | | | P | 07/30/07 | \$1,001 - \$15,000 |
| NATIONAL CITY CORP | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 09/26/07 | \$1,001 - \$15,000 |
| | | | | P | 11/05/07 | \$1,001 - \$15,000 |
| NESTLE S A REG ADR | \$1 - \$1,000 | Dividends | \$1 - \$1,000 | PS | 08/17/07 | \$1,001 - \$15,000 |
| | | | | PS | 08/28/07 | \$1,001 - \$15,000 |
| | | | | PS | 09/18/07 | \$1,001 - \$15,000 |
| | | | | PS | 12/06/07 | \$1,001 - \$15,000 |
| NIPPON TELEGRAPH & TELEPHONE CORP | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 05/08/07 | \$1,001 - \$15,000 |
| | | | | P | 06/06/07 | \$1 - \$1,000 |
| | | | | P | 10/05/07 | \$1,001 - \$15,000 |
| NORTEL NETWORKS CORP | \$1,001 - \$15,000 | | None | | | |
| PFIZER INCORPORATED | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| PORTUGAL TELECOM | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| SAFEWAY INC | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 01/26/07 | \$1,001 - \$15,000 |
| SANOFI AVENTIS ADR | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 02/14/07 | \$1 - \$1,000 |
| | | | | P | 07/06/07 | \$1,001 - \$15,000 |
| SARA LEE CORP | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 02/09/07 | \$1,001 - \$15,000 |
| SCHERING PLOUGH CORP | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 01/31/07 | \$1,001 - \$15,000 |
| | | | | PS | 04/16/07 | \$1,001 - \$15,000 |
| | | | | PS | 04/24/07 | \$1,001 - \$15,000 |
| | | | | PS | 05/08/07 | \$1,001 - \$15,000 |
| | | | | PS | 07/11/07 | \$1,001 - \$15,000 |
| STMICROELECTRONICS N V | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| SUMITOMO MITSUBI FINL | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 09/20/07 | \$1,001 - \$15,000 |
| TELECOM ITALIA SPA | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 02/07/07 | \$1 - \$1,000 |
| TELEFONICA S A | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 09/14/07 | \$1,001 - \$15,000 |
| | | | | PS | 11/16/07 | \$1,001 - \$15,000 |
| TELEFONOS DE MEXICO SA SPON ADR REPSTG SH | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| TENET HEALTHCARE CORP | \$1 - \$1,000 | | None | | | |
| UNILEVER N V ADR | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 09/18/07 | \$1,001 - \$15,000 |
| | | | | PS | 11/20/07 | \$1,001 - \$15,000 |
| VERIZON COMMUNICATIONS | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 12/06/07 | \$1,001 - \$15,000 |
| | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| WASHINGTON MUT INC | \$1,001 - \$15,000 | | None | P | 08/13/07 | \$1,001 - \$15,000 |
| | | | | P | 10/26/07 | \$1,001 - \$15,000 |
| | | | | P | 12/11/07 | \$1 - \$1,000 |
| WYETH | \$1,001 - \$15,000 | | None | P | 08/24/07 | \$1,001 - \$15,000 |
| | | | | P | 09/24/07 | \$1,001 - \$15,000 |
| | | | | PS | 01/12/07 | \$1 - \$1,000 |
| | | | | PS | 02/26/07 | \$1,001 - \$15,000 |
| | | | | PS | 04/26/07 | \$1 - \$1,000 |
| XEROX | \$1,001 - \$15,000 | | None | | | |
| ABBOT LABORATORIES | | | | PS | 02/26/07 | \$1,001 - \$15,000 |
| | | | | S | 04/26/07 | \$1 - \$1,000 |
| ABERCROMBIE & FITCH CO CL A | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 04/26/07 | \$1,001 - \$15,000 |
| ACE LTD ORD | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| AFFILIATED COMPUTER SVCS INC CL A | | | | S | 01/12/07 | \$1,001 - \$15,000 |
| AFFILIATED MANAGERS GROUP | | | | S | 01/31/07 | \$1,001 - \$15,000 |
| ALLSTATE CORP | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | PS | 02/26/07 | \$1,001 - \$15,000 |
| | | | | S | 04/26/07 | \$1 - \$1,000 |
| AMERICAN EAGLE OUTFITTERS | | | | S | 10/04/07 | \$1,001 - \$15,000 |
| AMERICAN EQUITY INVT LIFE HLDG CO | | | | S | 04/26/07 | \$1,001 - \$15,000 |
| AMERICAN HOME MTG INVESTMENTS REIT | | | | PS | 02/26/07 | \$1 - \$1,000 |
| | | | | PS | 04/10/07 | \$1 - \$1,000 |
| | | | | S | 08/03/07 | \$1 - \$1,000 |
| AMER INTL GROUP INC | | | | PS | 01/12/07 | \$1 - \$1,000 |
| | | | | PS | 02/26/07 | \$1,001 - \$15,000 |
| | | | | S | 04/26/07 | \$1 - \$1,000 |
| AMERICAN REPROGRAPHICS CO | \$1,001 - \$15,000 | | | P | 12/06/07 | \$1,001 - \$15,000 |
| ANSYS INC | \$1,001 - \$15,000 | | | PS | 11/07/07 | \$1 - \$1,000 |
| AON CORP | | | | S | 07/18/07 | \$1,001 - \$15,000 |
| APPLE INC | \$1,001 - \$15,000 | | | | | |
| ASTA FUNDING INC | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| ATP OIL & GAS CORP | | | | S | 07/30/07 | \$1,001 - \$15,000 |
| BAKER HUGHES INC | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| BANK UNITED FINL CRP | | | | S | 03/20/07 | \$1,001 - \$15,000 |
| BAXTER INTL INC | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| BEAZER HOMES USA INC | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | PS | 01/31/07 | \$1 - \$1,000 |
| BED BATH & BEYOND INC | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| BERKLEY W R CORP | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | PS | 02/26/07 | \$1 - \$1,000 |
| BORGWARNER INC | | | | PS | 02/27/07 | \$1,001 - \$15,000 |
| | | | | S | 09/25/07 | \$1,001 - \$15,000 |
| BROADCOM CORP CL A | | | | PS | 02/26/07 | \$1,001 - \$15,000 |
| | | | | S | 04/26/07 | \$1 - \$1,000 |
| CAPITAL ONE FINANCIAL CORP | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | PS | 02/26/07 | \$1,001 - \$15,000 |
| | | | | PS | 04/26/07 | \$1,001 - \$15,000 |
| | | | | S | 05/03/07 | \$1 - \$1,000 |
| CABOT OIL & GAS CP COM | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| CENTRAL EUROPEAN DISTR CORP | \$1,001 - \$15,000 | | | PS | 11/07/07 | \$1 - \$1,000 |
| CENTURY ALUMINUM CO | \$1,001 - \$15,000 | | | | | |
| CEPHALON INC | | | | PS | 01/31/07 | \$1 - \$1,000 |
| | | | | PS | 12/03/07 | \$1 - \$1,000 |
| CHATTEM INC | | | | PS | 02/26/07 | \$1,001 - \$15,000 |

Attachment for Schedules III and IV

| | | | | | | |
|---------------------------------|--------------------|-----------|---------------|----|-----------|--------------------|
| CHATTEM INC | | | | PS | 04/26/07 | \$1,001 - \$15,000 |
| CHOICEPOINT INC | | | | S | 04/26/07 | \$1,001 - \$15,000 |
| CHUBB CORP | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| CITRIX SYSTEMS INC | \$1,001 - \$15,000 | | | PS | 04/26/07 | \$1,001 - \$15,000 |
| COACH INC | \$1,001 - \$15,000 | | | PS | 02/22/07 | \$1,001 - \$15,000 |
| COMMERCIAL METALS CO | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 04/26/07 | \$1,001 - \$15,000 |
| | | | | PS | 11/07/07 | \$1 - \$1,000 |
| COMPUCREDIT CORP | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | PS | 02/26/07 | \$1 - \$1,000 |
| | | | | S | 10/04/07 | \$1,001 - \$15,000 |
| COMTECH TELECOMMUNICATIONS CORP | \$1,001 - \$15,000 | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | PS | 02/26/07 | \$1 - \$1,000 |
| | | | | PS | 07/30/07 | \$1 - \$1,000 |
| CONAGRA FOODS INC | | | | S | 02/05/07 | \$1,001 - \$15,000 |
| CONOCOPHILIPS | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| CONSTELLATION BRANDS INC CL A | \$1,001 - \$15,000 | | | PS | 01/31/07 | \$1,001 - \$15,000 |
| | | | | PS | 02/26/07 | \$1,001 - \$15,000 |
| | | | | PS | 04/10/07 | \$1 - \$1,000 |
| COVENTRY HEALTH CARE INC | | | | S | 04/26/07 | \$1,001 - \$15,000 |
| DIRECTV GROUP INC | \$1,001 - \$15,000 | | | PS | 02/26/07 | \$1,001 - \$15,000 |
| DISCOVER FINL SVCS | \$1 - \$1,000 | Dividends | \$1 - \$1,000 | PS | 10/04/07 | \$1,001 - \$15,000 |
| DONNELLEY R R & SONS | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| DORAL FINANCIAL CORP | | | | PS | 01/12/07 | \$1 - \$1,000 |
| | | | | S | 02/26/07 | \$1 - \$1,000 |
| DOWNEY FINL CORP | | | | PS | 04/10/07 | \$1,001 - \$15,000 |
| | | | | S | 04/26/07 | \$1 - \$1,000 |
| DU PONT ET DE NEMOURS & CO | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 1/12/2007 | \$1,001 - \$15,000 |
| | | | | PS | 4/26/2007 | \$1 - \$1,000 |
| EBAY INC | \$1,001 - \$15,000 | | | PS | 01/12/07 | \$1 - \$1,000 |
| ENDO PHARMACEUTICALS HLDGS INC | | | | PS | 01/12/07 | \$1 - \$1,000 |
| | | | | PS | 02/26/07 | \$1,001 - \$15,000 |
| | | | | S | 10/04/07 | \$1 - \$1,000 |
| ENERGEN CORP | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 02/26/07 | \$1,001 - \$15,000 |
| | | | | PS | 07/30/07 | \$1 - \$1,000 |
| ENSCO | | | | PS | 03/12/07 | \$1 - \$1,000 |
| | | | | PS | 02/26/07 | \$1 - \$1,000 |
| | | | | S | 09/25/07 | \$1,001 - \$15,000 |
| E TRADE FINANCIAL CORP | | | | PS | 01/12/07 | \$1 - \$1,000 |
| | | | | PS | 02/26/07 | \$1,001 - \$15,000 |
| | | | | PS | 04/10/07 | \$1,001 - \$15,000 |
| | | | | S | 4/26/2007 | \$1 - \$1,000 |
| EATON CORP | | | | S | 1/12/2007 | \$1,001 - \$15,000 |
| EQUIFAX INC | | | | S | 4/26/2007 | \$1,001 - \$15,000 |
| | | | | S | 12/5/2007 | \$1 - \$1,000 |
| EQUITABLE RES INC | | | | S | 11/7/2007 | \$1,001 - \$15,000 |
| EVEREST REINSURANCE GROUP LTD | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 01/12/07 | \$1 - \$1,000 |
| | | | | PS | 08/28/07 | \$1,001 - \$15,000 |
| EXPRESS SCRIPTS INC | \$1,001 - \$15,000 | | | PS | 02/26/07 | \$1,001 - \$15,000 |
| FEDEX CORP | | | | S | 01/12/07 | \$1,001 - \$15,000 |
| FOREST LABORATORIES INC | | | | PS | 01/12/07 | \$1 - \$1,000 |
| | | | | S | 10/04/07 | \$1,001 - \$15,000 |
| FORTUNE BRANDS INC | | | | S | 07/11/07 | \$1,001 - \$15,000 |
| FREMONT GEN CORP | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | PS | 02/26/07 | \$1 - \$1,000 |
| | | | | S | 04/24/07 | \$1,001 - \$15,000 |
| GAP INC | \$1,001 - \$15,000 | | | PS | 02/22/07 | \$1,001 - \$15,000 |
| | | | | PS | 02/26/07 | \$1,001 - \$15,000 |
| GARDNER DENVER INC | \$1,001 - \$15,000 | | | PS | 10/04/07 | \$1 - \$1,000 |
| GENENTECH INC | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | PS | 02/26/07 | \$1,001 - \$15,000 |
| | | | | PS | 04/26/07 | \$1,001 - \$15,000 |
| GENLYTE GROUP INC | \$1,001 - \$15,000 | | | | | |
| GRANT PRIDECO INC | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | PS | 01/31/07 | \$1 - \$1,000 |
| | | | | S | 12/06/07 | \$1,001 - \$15,000 |
| GULFPORT ENERGY CORP | \$1,001 - \$15,000 | | | | | |
| HARMAN INTL INDS INC | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 01/31/07 | \$1,001 - \$15,000 |
| | | | | PS | 08/28/07 | \$1 - \$1,000 |
| | | | | PS | 09/25/07 | \$1,001 - \$15,000 |
| HARRIS CORP DEL | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 01/31/07 | \$1,001 - \$15,000 |
| | | | | PS | 08/28/07 | \$1 - \$1,000 |
| | | | | PS | 09/25/07 | \$1,001 - \$15,000 |
| HARTFORD FINL SVCS GROUP INC | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| HEINZ H J CO | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 04/26/07 | \$1,001 - \$15,000 |
| HELEN OF TROY LTD SHS ISIN | | | | S | 03/20/07 | \$1,001 - \$15,000 |
| HEWLETT-PACKARD CO | | | | S | 11/23/07 | \$1,001 - \$15,000 |
| HILB ROGAL & HOBBS CO | | | | S | 01/12/07 | \$1,001 - \$15,000 |
| HUNTINGTON BANCSHARES INC COM | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 01/12/07 | \$1,001 - \$15,000 |
| INDYMAC BANCORP INC | | | | S | 01/31/07 | \$1,001 - \$15,000 |
| INVENTIV HEALTH INC | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 12/06/07 | \$1 - \$1,000 |
| J2 GLOBAL COMM INC COM | | | | PS | 01/12/07 | \$1 - \$1,000 |
| | | | | PS | 02/26/07 | \$1 - \$1,000 |
| | | | | PS | 02/27/07 | \$1,001 - \$15,000 |
| KENEXA CORP | \$1,001 - \$15,000 | | | P | 12/06/07 | \$1 - \$1,000 |
| | | | | PS | 02/26/07 | \$1 - \$1,000 |
| | | | | PS | 04/10/07 | \$1 - \$1,000 |
| | | | | PS | 04/26/07 | \$1 - \$1,000 |
| KLA-TENCOR CORP | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 02/26/07 | \$1 - \$1,000 |
| | | | | PS | 09/25/07 | \$1,001 - \$15,000 |
| KIMBERLY CLARK CORP | | | | S | 01/12/07 | \$1,001 - \$15,000 |
| KOHL'S | \$1,001 - \$15,000 | | | PS | 07/11/07 | \$1,001 - \$15,000 |
| KRAFT FOODS INC | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |

Attachment for Schedules III and IV

| | | | | | | |
|--------------------------------|--------------------|-----------|---------------|----|-----------|--------------------|
| L-3 COMMUNICATIONS HLDGS INC | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| LABORATORY CORP AMER HLDGS COM | \$1,001 - \$15,000 | | | PS | 03/20/07 | \$1,001 - \$15,000 |
| LAM RESEARCH CORP | | | | S | 12/04/07 | \$1,001 - \$15,000 |
| | | | | PS | 10/04/07 | \$1 - \$1,000 |
| LAWSON & SESSIONS CO | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | PS | 03/20/07 | \$1,001 - \$15,000 |
| | | | | S | 04/24/07 | \$1,001 - \$15,000 |
| LIMITED BRANDS INC | \$1,001 - \$15,000 | | | PS | 04/26/07 | \$1,001 - \$15,000 |
| LUNDIN MNG CORP ISIN | \$1,001 - \$15,000 | | | PS | 02/26/07 | \$1,001 - \$15,000 |
| MANPOWER INC | | | | S | 10/04/07 | \$1,001 - \$15,000 |
| MATRIX SVC CO | \$1,001 - \$15,000 | | | | | |
| MATTEL INC | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 04/26/07 | \$1 - \$1,000 |
| | | | | PS | 10/04/07 | \$1 - \$1,000 |
| MEDAREX INC | \$1,001 - \$15,000 | | | | | |
| MEMC ELECTRONICS MATERIAL INC | \$1,001 - \$15,000 | | | PS | 02/26/07 | \$1,001 - \$15,000 |
| METHANEX CORP | | | | S | 01/31/07 | \$1,001 - \$15,000 |
| MOHAWK INDS INC | | | | S | 02/22/07 | \$1,001 - \$15,000 |
| MORGAN STANLEY | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| MOTOROLA INC | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 04/10/07 | \$1,001 - \$15,000 |
| | | | | PS | 04/26/07 | \$1,001 - \$15,000 |
| NASDAQ STK MKT INC | \$1,001 - \$15,000 | | | PS | 12/06/07 | \$1 - \$1,000 |
| | | | | PS | 09/25/07 | \$1 - \$1,000 |
| NEKTAR THERAPEUTICS | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | S | 11/07/07 | \$1 - \$1,000 |
| NEWS CORP CL B | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 05/03/07 | \$1,001 - \$15,000 |
| NOBLE ENERGY INC | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | PS | 03/20/07 | \$1,001 - \$15,000 |
| NUANCE COMMUNICATIONS INC | \$1,001 - \$15,000 | | | P | 12/06/07 | \$1 - \$1,000 |
| NUVEEN INVTS INC | | | | PS | 02/26/07 | \$1,001 - \$15,000 |
| | | | | S | 04/10/07 | \$1,001 - \$15,000 |
| ORACLE CORPORATION | \$1,001 - \$15,000 | | | | | |
| ORTHOFIX INTL N V SEDOL | | | | S | 06/21/07 | \$1,001 - \$15,000 |
| PDL BIOPHARMA INC | | | | PS | 04/24/07 | \$1 - \$1,000 |
| | | | | S | 06/21/07 | \$1,001 - \$15,000 |
| PMI GROUP INC | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | PS | 04/26/07 | \$1 - \$1,000 |
| | | | | S | 11/07/07 | \$1 - \$1,000 |
| PARAMETRIC TECHNOLOGY CORP | | | | PS | 04/10/07 | \$1,001 - \$15,000 |
| | | | | PS | 04/26/07 | \$1 - \$1,000 |
| | | | | S | 07/30/07 | \$1,001 - \$15,000 |
| PARLUX FRAGRANCES INC | | | | S | 04/26/07 | \$1 - \$1,000 |
| PENN NATIONAL GAMING INC | | | | PS | 01/31/07 | \$1,001 - \$15,000 |
| | | | | S | 07/30/07 | \$1,001 - \$15,000 |
| PFIZER INC | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | S | 04/26/07 | \$1 - \$1,000 |
| PRECISION CASTPARTS CORP | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 02/26/07 | \$1,001 - \$15,000 |
| | | | | PS | 04/26/07 | \$1 - \$1,000 |
| PROCTER & GAMBLE CO | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 04/26/07 | \$1 - \$1,000 |
| PROGRESS ENERGY INC | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | PS | 02/26/07 | \$1 - \$1,000 |
| QUEST DIAGNOSTICS INC | | | | S | 07/25/07 | \$1,001 - \$15,000 |
| QUICKSILVER RESOURCES INC | | | | PS | 04/26/07 | \$1 - \$1,000 |
| | | | | PS | 05/24/07 | \$1 - \$1,000 |
| | | | | S | 11/07/07 | \$1,001 - \$15,000 |
| ROBERT HALF INTL INC | | | | PS | 04/26/07 | \$1,001 - \$15,000 |
| | | | | S | 05/25/07 | \$1,001 - \$15,000 |
| RUTH CHRIS STEAK HSE INC | | | | PS | 09/25/07 | \$ - \$1,000 |
| | | | | S | 10/04/07 | \$ - \$1,000 |
| RAYTHEON CO COM | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| SANDISK | \$1,001 - \$15,000 | | | P | 12/06/07 | \$ - \$1,000 |
| | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | PS | 04/24/07 | \$ - \$1,000 |
| | | | | PS | 08/28/07 | \$ - \$1,000 |
| SCHAWK INC | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | S | 02/26/07 | \$ - \$1,000 |
| SCHLUMBERGER LTD | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | | | |
| SMITH INTL INC | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | P | 12/06/07 | \$1,001 - \$15,000 |
| SONIC CORP | \$1,001 - \$15,000 | | | | | |
| STAPLES INC | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 04/26/07 | \$1,001 - \$15,000 |
| STEEL DYNAMICS INC | | | | S | 04/24/07 | \$ - \$1,000 |
| STEINER LEISURE LTD | \$1,001 - \$15,000 | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| TXU CORP | | | | S | 01/12/07 | \$1,001 - \$15,000 |
| TECHNICAL OLYMPIC USA INC | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | S | 02/26/07 | \$ - \$1,000 |
| TEREX CORP | \$1,001 - \$15,000 | | | PS | 4/26/2007 | \$ - \$1,000 |
| | | | | P | 12/06/07 | \$ - \$1,000 |
| TEXAS INSTRUMENTS INC | \$1,001 - \$15,000 | Dividends | \$1 - \$1,000 | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | PS | 10/04/07 | \$ - \$1,000 |
| THOR INDS INC | | | | PS | 01/12/07 | \$ - \$1,000 |
| | | | | PS | 02/26/07 | \$ - \$1,000 |
| | | | | S | 04/24/07 | \$ - \$1,000 |
| TOLL BROS INC | | | | PS | 02/26/07 | \$1,001 - \$15,000 |
| | | | | PS | 04/24/07 | \$ - \$1,000 |
| | | | | PS | 04/26/07 | \$1,001 - \$15,000 |
| | | | | S | 10/04/07 | \$1 - \$1,000 |
| TORO CO | | | | PS | 03/20/07 | \$1,001 - \$15,000 |
| | | | | S | 04/24/07 | \$1,001 - \$15,000 |
| THERMO FISHER SCIENTIFIC INC | \$1,001 - \$15,000 | | | | | |
| UNISOURCE ENERGY CRP | | | | S | 07/30/07 | \$1,001 - \$15,000 |
| UNITED HEALTH GROUP | \$1,001 - \$15,000 | | | PS | 01/12/07 | \$1 - \$1,000 |
| VALERO ENERGY CORP | \$1,001 - \$15,000 | | | PS | 10/04/07 | \$1 - \$1,000 |
| VALUECLICK INC | | | | PS | 02/27/07 | \$1 - \$1,000 |

Attachment for Schedules III and IV

| | | | | | | |
|---------------------------|--------------------|--|--|----|----------|--------------------|
| VALUECLICK INC | | | | PS | 06/21/07 | \$1 - \$1,000 |
| VALUECLICK INC | | | | S | 10/04/07 | \$1 - \$1,000 |
| VERIFONE HLDGS INC | | | | S | 08/28/07 | \$1,001 - \$15,000 |
| WACHOVIA CORP | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | PS | 04/26/07 | \$1 - \$1,000 |
| WADDELL & REED | \$1,001 - \$15,000 | | | | | |
| WASTE MANAGEMENT INC | \$1,001 - \$15,000 | | | PS | 01/12/07 | \$1 - \$1,000 |
| | | | | PS | 02/26/07 | \$1 - \$1,000 |
| WELLCARE HEALTH PLANS INC | | | | PS | 01/12/07 | \$1 - \$1,000 |
| | | | | PS | 01/31/07 | \$1,001 - \$15,000 |
| | | | | S | 02/27/07 | \$1,001 - \$15,000 |
| WESCO INTERNATIONAL INC | \$1,001 - \$15,000 | | | P | 12/06/07 | \$1,001 - \$15,000 |
| | | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| | | | | PS | 04/26/07 | \$1 - \$1,000 |
| | | | | PS | 10/04/07 | \$1,001 - \$15,000 |
| WHIRPOOL CORP | | | | S | 04/10/07 | \$1,001 - \$15,000 |
| XILINX INC | \$1,001 - \$15,000 | | | PS | 01/12/07 | \$1,001 - \$15,000 |
| ZIMMER HLDGS INC | \$1,001 - \$15,000 | | | PS | 08/23/07 | \$1,001 - \$15,000 |
| ZORAN CORP | | | | S | 01/12/07 | \$1,001 - \$15,000 |