

**HAND DELIVERED**

June 4, 2013

Office of the Clerk U.S. House of Representatives  
U.S. Capitol  
Room H154  
Washington, DC 20515-6601

LEGISLATIVE RESOURCE CENTER

2013 JUN -4 PM 3:26

U.S. HOUSE OF REPRESENTATIVES

MC ✓

Clerk of the House,

Please substitute this amended financial report for the original filed on May 15, 2013.

The firm hired to prepare the report notified me after May 15, 2013 that their computer software was not working properly resulting in internal errors. These errors have been corrected in the amended report.

Sincerely,



Frank Pallone, Jr.  
Member of Congress

**HAND DELIVERED**

**UNITED STATES HOUSE OF REPRESENTATIVES**  
**CALENDAR YEAR 2012 FINANCIAL DISCLOSURE STATEMENT**

**FORM A** Page 1 of 26  
For use by Members, officers, and employees

Frank Pallone, Jr.

(Full Name)

(Daytime Telephone)

**Filter Status**  
☒ Member of the U.S. House of Representatives

**State:** NJ  
**District:** 6

☐ Officer Or Employee

**Employing Office:**

**Report Type**

☐ Annual (May 15)

☒ Amendment

☐ Termination

**Termination Date:**

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

**PRELIMINARY INFORMATION - ANSWER EACH OF THESE QUESTIONS**

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

**IPO and EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION - ANSWER EACH OF THESE QUESTIONS**

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

**SCHEDULE I - EARNED INCOME**

Name Frank Pallone, Jr.

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

Source	Type	Amount
US EPA	Spouse salary	N/A
Executor of Family Trust	Executor Fee 08/2009 - 03/2012	\$34,945

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Frank Pallone, Jr.

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BLOCK A		BLOCK B	BLOCK C	BLOCK D	BLOCK E
Asset and/or Income Source		Year-End Value of Asset	Type of Income	Amount of Income	Transaction
<p>Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or source of income which generated more than \$200 in "unearned" income during the year.</p> <p>Provide complete names of stocks and mutual funds (do not use ticker symbols.)</p> <p>For all IRAs and other retirement plans (such as 401(k) plans) provide the value for each asset held in the account that exceeds the reporting thresholds.</p> <p>For rental or other real property held for investment, provide a complete address or a description, e.g., "rental property," and a city and state.</p> <p>For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.</p> <p>Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totalling \$5,000 or less in a personal checking or saving account; and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan.</p> <p>If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optional column on the far left.</p> <p>For a detailed discussion of Schedule III requirements, please refer to the instruction booklet.</p>		<p>Indicate value of asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used.</p> <p>If an asset was sold during the reporting year and is included only because it generated income, the value should be "None."</p> <p>* This column is for assets held solely by your spouse or dependent child.</p>	<p>Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.</p>	<p>For assets for which you checked "Tax-Deferred" in Block C, you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.</p> <p>* This column is for income generated by assets held solely by your spouse or dependent child.</p>	<p>Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</p>
SP	Advisors Inner Circle Fund, Cambiar Opportunity Fund Instl (CAMWX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SP	AIM Invst Secs Funds Invesco Invst Secs Funds Global Real Estate Fund CL Y (ARGYX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SP	Altria Group, Inc. (MO) (Margin) (Trust)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
	Altria Group, Inc. (MO) (Margin)(Trust)	None	CAPITAL GAINS	\$1 - \$200	S
DC	American Century Invst Trust Diversified Bond Fund Instl (ACBPX)	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	S(part)

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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DC	American Century Invst Trust Diversified Bond Fund Instl (ACBPX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	S(part)
DC	American Century Invst Trust Diversified Bond Fund Instl (ACBPX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	S(part)
DC	American Century Mutual Funds Growth Fund Instl (TWGIX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	S(part)
DC	American Century Mutual Funds Growth Fund Instl (TWGIX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	S(part)
DC	American Century Mutual Funds Growth Fund Instl (TWGIX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	S(part)
DC	Artisan Funds Inc Small Cap Value Fund (ARTVX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	
DC	Artisan Funds Inc Small Cap Value Fund (ARTVX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	
DC	Artisan Funds Inc. Small Cap Value Fund (ARTVX)	\$1,001 - \$15,000	CAPITAL GAINS/DIVIDEN DS	\$1 - \$200	
SP	Blair Williams Funds Intl Growth Fund CL I (BIGIX)	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	
	Chase Bank Acct, Long Branch, NJ	\$50,001 - \$100,000	INTEREST	\$201 - \$1,000	
	Chevron Corporation (CVX) (Margin)(Trust)	None	CAPITAL GAINS	\$201 - \$1,000	S
SP	Chevron Corporation (CVX) (Margin)(Trust)	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	

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

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SP	Citigroup Inc New C (Margin)(Trust)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	S(part)
SP	Delaware Group Equity Funds II - Value Fund Instl (DDVIX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	Delaware Group Equity Funds II Value FD Instl (IRA)(DDVIX)	\$1,001 - \$15,000	None	\$1 - \$200	P
SP	Disney, Walt Company (DIS)	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	
DC	Dodge & Cox Funds International Stock Fund (DODFX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
DC	Dodge & Cox Funds International Stock Fund (DODFX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	PS(part)
DC	Dodge & Cox Funds International Stock Fund (DODFX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	PS(part)
SP	Dominion Resources Inc VA New (D) (Margin)(Trust)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
	Dominion Resources Inc VA New (D) Margin)(Trust)	None	CAPITAL GAINS	\$201 - \$1,000	S
SP	Dreyfus Appreciation Fund Inc (DGAGX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
DC	Dreyfus Emerging Markets Fund CL I (DRPEX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	PS(part)
DC	Dreyfus Emerging Markets Fund CL I (DRPEX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	PS(part)
DC	Dreyfus Emerging Markets Fund CL I (DRPEX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	PS(part)

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

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SP	DWS Value Ser Incom Small Cap Value Fund CL S (KDSSX)	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	
SP	Eagle Small Cap Growth Fund CL I (HSIX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
DC	Eaton Vance Large Cap Value Fund CL I (EILVX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
DC	Eaton Vance Large Cap Value Fund CL I (EILVX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
DC	Eaton Vance Large Cap Value Fund CL I (EILVX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
DC	Eaton Vance Ser II Income Fund Boston CL I (EIBIX)	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	
DC	Eaton Vance Ser II Income Fund Boston CL I (EIBIX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
DC	Eaton Vance Ser II Income Fund Boston CL I (EIBIX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SP	Energy Select Sector SPDR (XLE)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	Federated Kaufmann Fund CL A (KAUAX)	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	
	Federated Kaufmann Fund CL A (KAUAX) (Margin)(Trust)	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	
SP	Financial Select Sector SPDR (XLF)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	First Eagle Funds SOGEN Overseas Fund CL I (SGOIX)	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	P
DC	First Eagle Funds SOGEN Overseas Fund CL I (SGOIX)	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	P

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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DC	First Eagle Funds SOGEN Overseas Fund CL I (SGOIX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	P
DC	First Eagle Funds SOGEN Overseas Fund CL I (SGOIX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	P
	Franklin Cust Dyna Tech CL (FKDIX) (Roth)(IRA)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SP	Franklin Cust Dyna Tech CL (FKDIX)(Roth)(IRA)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SP	General Electric Company (GE)	\$15,001 - \$50,000	DIVIDENDS	\$1,001 - \$2,500	
SP	Goldman Sachs Trust Finl Square Treas Instr Fund Instl (FTIXX)(IRA)	\$1,001 - \$15,000	None	NONE	
SP	Hancock, John Cap Ser Classic Value Fund CL I (JCVIX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	S(part)
DC	Harbor Fund Cap Appreciation Fund Instl (HACAX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	
DC	Harbor Fund Cap Appreciation Fund Instl (HACAX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
DC	Harbor Fund Cap Appreciation Fund Instl (HACAX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SP	Harbor Fund Intl Fund Instl (HAINX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
DC	Harris Assoc Invst Trust Oakmark Equity & Income Fund CL I (OAKBX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	P
DC	Harris Assoc Invst Trust Oakmark Equity & Income Fund CL I (OAKBX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	P



# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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DC	Harris Assoc Inv Trust Oakmark Equity & Income Fund CL I (OAKBX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	P
SP	Hotchkis & Wiley Funds Mid Cap Value Fund CL I (HWMIX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
	Income Fund America Inc CL A (AMECX) (Margin) (Trust)	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	
SP	Income Fund America Inc CL A (AMECX) (Margin)(Trust)	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	
SP	Industrial Select SPDR (XLI)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	Ishares Barclays 1-3 Year Credit Bond Fund (CSJ)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	Ishares Barclays 3-7 Year Treasury Bond Fund (IEI)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	Ishares Barclays 7-10 Year Treasury Bond Fund (IEF)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	Ishares Barclays Intermediate Credit Bond Fund (CIU)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	Ishares Barclays MBS Bond Fund (MBB)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	P
SP	Ishares Core S&P MidCap 400 Index Fund (IJH)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	Ishares Core S&P Small Cap 600 Index Fund (IJR)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	Ishares IBOX \$ Yield Corporate Bond Fund (HYG)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	Ishares IBOX Inv Grade Corp Bond Fund (LQD)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	P

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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SP	Ishares JP Morgan Emerging Markets Bond Fund (EMB)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	Ishares MSCI Mexico Capped Investable Market Index Fund (EWV)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	
SP	Ishares MSCI S Korea WEBS Index Fund WEBS Index Series (EWY)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
DC	Janus Invst Fund Flexible Bond Fund CL I (JFLEX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	
DC	Janus Invst Fund Flexible Bond Fund CL I (JFLEX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	
DC	Janus Invst Fund Flexible Bond Fund CL I (JFLEX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	
SP	JP Morgan Chase 8.625% Non-Cum Perpetual Mat Callable Start 09/01/13 (JMP1) (Trust)	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	S(part)
DC	JP Morgan Core Bond Fund Select (WOBDX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	
DC	JP Morgan Core Bond Fund Select (WOBDX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	
DC	JP Morgan Core Bond Fund Select (WOBDX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	
SP	JP Morgan Prime Money Market Sweep-Capital	\$1,001 - \$15,000	INTEREST	\$1 - \$200	
SP	Keeley Funds Inc Small Cap Value Fund CL I SHRS (KSCIX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SP	Kraft Food Group (KRFT) (Margin) (Trust)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	

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

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	Kraft Food Group (KRFT) (Margin)(Trust)	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	S(part)
SP	Lauder, Estee Cos., Inc. CL A (EL)	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	
SP	Legg Mason Value Trust Inc. Navigator Value Trust (LMNVX)	None	None	NONE	S
SP	Lord Abbett Investment Trust Short Duration Income CL F (LDLFX)	\$15,001 - \$50,000	DIVIDENDS/CAP ITAL GAINS	\$1,001 - \$2,500	
	Lord Abbett Investment Trust Short Duration Income CL F (LDLFX) (Trust)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$201 - \$1,000	
SP	Mainstay Large Cap Growth Fund CL I (MLAIX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SP	Managers AMG Funds TimesSquare Mid Cap Growth Fund Premiere (TMDPX)	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	
SP	Merrill Lynch Sweep Acct	\$250,001 - \$500,000	INTEREST	\$1 - \$200	
	Merrill Lynch Sweep Acct.	\$50,001 - \$100,000	INTEREST	\$1 - \$200	
SP	Mondelez Int'l, Inc. (MDLZ) (Margin)(Trust)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SP	Morgan Stanley Instl Fund Trust Mid Cap Growth Fund CL I (MPEGX)	\$1,001 - \$15,000	CAPITAL GAINS/DIVIDEN DS	\$1 - \$200	
DC	Munder Ser Trust Midcap Core Growth Fund CL Y (MGOYX)	\$1,001 - \$15,000	None	NONE	
DC	Munder Ser Trust Midcap Core Growth Fund CL Y (MGOYX)	\$1,001 - \$15,000	None	NONE	

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

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DC	Munder Ser Trust Midcap Core Growth Fund CLY (MGOYX)	\$1,001 - \$15,000	None	NONE	
DC	Nuveen Invst Funds Inc Real Estate Secs Fund CL 1 (FARCX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	
	Nuveen Municipal Trust High Yield Municipal Bond Fund CL A (NHMAX) (Margin) (Trust)	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	
SP	Nuveen Municipal Trust High Yield Municipal Bond Fund CL A (NHMAX) (Margin) (Trust)	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	
SP	Openheimer Dev Markets CL Y (ODVYX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
	Philip Morris International Inc. (PM) (Margin) (Trust)	None	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	S
SP	Philip Morris International, Inc. (PM) (Margin) (Trust)	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	
DC	PIMCO Funds Pac Invst Management Ser - Commodity Real Return Strat Fund Instl (PCRIX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	
DC	PIMCO Funds Pac Invst Management Ser - Commodity Real Return Strat Fund Instl (PCRIX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	
DC	PIMCO Funds Pac Invst Management Ser - Commodity Real Return Strat Fund Instl (PCRIX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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SP	PIMCO Funds Pac Inv Management Ser - Commodity Real Return Strat Fund Instl (PCRIX)(IRA)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	
DC	PIMCO Funds Pac Inv Management Ser Total Return Fund (Instl (PTTRX))	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	
DC	PIMCO Funds Pac Inv Management Ser Total Return Fund Instl (PTTRX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$201 - \$1,000	
DC	PIMCO Funds Pac Inv Management Ser Total Return Instl (PTTRX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$201 - \$1,000	
DC	Pioneer Ser Trust I Pioneer Oak Ridge Small Cap Growth Fund CL Y (ORIX)	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	
DC	Pioneer Ser Trust I Pioneer Oak Ridge Small Cap Growth Fund CL Y (ORIX)	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	
DC	Pioneer Ser Trust I Pioneer Oak Ridge Small Cap Growth Fund CL Y (ORIX)	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	
SP	Powershares DB Commodity Index Tracking Fund (DBC)	\$1,001 - \$15,000	None	NONE	P
SP	Powershares EIM Mar SOV DE PT (PCY)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
DC	Real Estate, Long Branch, NJ. M. Pallone Estate (half interest)	\$250,001 - \$500,000	None	NONE	
DC	Rose Marie Hospodor IRA Trust	\$250,001 - \$500,000	EXCEPTED TRUST	\$50,001 - \$100,000	
DC	Rose Marie Hospodor IRA Trust	\$250,001 - \$500,000	EXCEPTED TRUST	NONE	

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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DC	Rose Marie Hospodor IRA Trust	\$250,001 - \$500,000	EXCEPTED TRUST	NONE	
DC	Royce Funds Value Plus Fund - Inv (RVPHX)	\$1,001 - \$15,000	None	NONE	
DC	Royce Funds Value Plus Fund - Inv (RVPHX)	\$1,001 - \$15,000	None	NONE	
DC	Royce Funds Value Plus Fund - Inv (RVPHX)	\$1,001 - \$15,000	None	NONE	
SP	RS Inv Trust Emerging Markets Fund CL Y (RSENX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	S(part)
SP	Russell Emerging Markets CL S (REMSX)	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	P
SP	Russell Global Equity CL S (RGESX)	\$50,001 - \$100,000	DIVIDENDS	\$201 - \$1,000	P
SP	Russell Intl Developed Markets Fund CL S (RINTX)	\$50,001 - \$100,000	DIVIDENDS	\$1,001 - \$2,500	P
SP	Russell Inv Co Commodity Strategies Fund CL S (RCCSX)	\$15,001 - \$50,000	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	P
SP	Russell Inv Co Global Infrastructure Fund CL S (RGISX)	\$15,001 - \$50,000	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	P
SP	Russell Inv Co Global Opportunistic CR Fund CL S (RGCSX)	\$15,001 - \$50,000	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	P
SP	Russell Inv Co Global Real Estate Sec Fund CL S (RRESX)	\$15,001 - \$50,000	CAPITAL GAINS/DIVIDENDS	\$201 - \$1,000	P
SP	Russell Inv Co Multi-Strategy Alternative Fund CL S (RMSSX)	\$15,001 - \$50,000	CAPITAL GAINS	\$1 - \$200	P

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Frank Pallone, Jr.

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SP	Russell Inv't Co US Strategic Equity Fund CL S (RSESX)	\$100,001 - \$250,000	CAPITAL GAINS/DIVIDENDS	\$201 - \$1,000	P
SP	Russell Strategic BO CL S (RFCTX)	\$100,001 - \$250,000	DIVIDENDS/CAPITAL GAINS	\$2,501 - \$5,000	P
SP	Russell US Small Cap Equity Fund CL S (RLESX)	\$15,001 - \$50,000	CAPITAL GAINS/DIVIDENDS	\$1 - \$200	P
SP	Security Equity Fund Mid Cap Value Ser CL A (SEVAX)	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	
SP	Select Sector SPDR Fund Consumer Discretionary (XLY)	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	P
SP	Select Sector SPDR Fund Health Care (XLV)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	Select Sector SPDR Fund Materials (XLB)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	Select Sector SPDR Trust Consumer Staples (XLP)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	SPDR Barclays Capital High Yield Bond ETF (JNK)	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	P
SP	SPDR Barclays Capital International Treasury Bond ETF (BWX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	SPDR Euro STOXX 50 (FEZ)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SP	SPDR S&P Bank (KBE)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
SP	SPDR S&P Retail (XRT)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Frank Pallone, Jr.

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SP	Texas Instruments, Inc. (TXN)(IRA)	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	
SP	Touchstone Strategic Trust Large Cap Growth Fund CL I (TIQIX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	

SP	Unilever PLC Spons ADR (UL)	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	
SP	Vanguard Information Technology Fund (VGT)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	Vanguard MSCI EAFE (VEA)	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	P
SP	Vanguard MSCI Emerging Markets ETF (VWO)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
	Vanguard Municipal Bond Fund Limited Term Tax-Exempt Portfolio (VMLTX) (Margin) (Trust)	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	

SP	Vanguard Municipal Bond Fund Limited Term Tax-Exempt Portfolio (VMLTX) (Margin)(Trust)	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	
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SP	Vanguard REIT (VNQ)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
SP	Vanguard Total Bond Market (BND)	\$50,001 - \$100,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	P
SP	Verizon Communications Com (VZ) (Margin)(Trust)	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	
	Verizon Communications Com (VZ) (Margin)(Trust)	None	CAPITAL GAINS	\$1,001 - \$2,500	S



# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Frank Pallone, Jr.

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DC	Verizon Communications Inc. (VZ)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
DC	Verizon Communications Inc. (VZ)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
DC	Verizon Communications, Inc. (VZ)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
DC	Virtus Emerging Markets Opportunities Fund CL I (HIEMX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	P
DC	Virtus Emerging Markets Opportunities Fund CL I (HIEMX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	P
DC	Virtus Emerging Markets Opportunities Fund CL I (HIEMX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$1 - \$200	P
SP	Wells Fargo Advantage Funds - Traditional Small Cap Growth Fund CL A (EGWAX)	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	
	Wells Fargo Advantage Funds - Traditional Small Cap Growth Fund CL A (EGWAX)	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	
JT	Wells Fargo Bank Deposit Sweep Account (Acct XXXX- 0264)	\$50,001 - \$100,000	INTEREST	\$1 - \$200	
SP	Wells Fargo Bank Deposit Sweep Account (Acct XXXX- 0721)	\$100,001 - \$250,000	INTEREST	NONE	
SP	Wells Fargo Bank Deposit Sweep Account (Acct XXXX- 1371)	\$1,001 - \$15,000	None	NONE	
	Wells Fargo Bank Deposit Sweep Acct XXXX-0266)	\$1,001 - \$15,000	None	NONE	

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Frank Pallone, Jr.

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SP	Wells Fargo Funds Trust Emerging Growth Fund Admin (WFGDX)	\$1,001 - \$15,000	DIVIDENDS/CAP ITAL GAINS	\$201 - \$1,000	
SP	Wells Fargo Funds Trust Emerging Growth Fund Institutional (WEMIX)	\$1,001 - \$15,000	None	NONE	
DC	WT Mutual Fund Crm Mid Cap Value Fund Instl (CRIMX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
DC	WT Mutual Fund Crm Mid Cap Value Fund Instl (CRIMX)	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
DC	WT Mutual Fund Crm Mid Cap Value Fund Instl (CRIMX)	\$1,001 - \$15,000	CAPITAL GAINS/DIVIDEN DS	\$1 - \$200	

# SCHEDULE IV - TRANSACTIONS

Name Frank Pallone, Jr.

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Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded \$1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

Capital Gains — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.

\* This column is for assets solely held by your spouse or dependent child.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Altria Group, Inc. (MO) (Trust)	S	No	7/2/12	\$1,001 - \$15,000
SP	Artio Global INVT FD Intl Equity FD II CL I	S(part)	No	8-28-12	\$1,001 - \$15,000
	Chevron Corp (CVX) (Trust)	S	No	7/2/12	\$1,001 - \$15,000
	Citigroup Inc New C (Trust)	S	No	7/2/12	\$1,001 - \$15,000
SP	Delaware Group Equity Funds II - Value FD Instl (DDVIX)	P	N/A	1-25-12	\$1,001 - \$15,000
SP	Delaware Group Equity Funds II - Value FD Instl (DDVIX)	P	N/A	8-28-12	\$1,001 - \$15,000
	Dominion Resources Inc. VA (D) (Trust)	S	Yes	7/2/12	\$1,001 - \$15,000
SP	Eagle Small Cap Growth Fund CL I (HSIIX)	P	N/A	8-28-12	\$1,001 - \$15,000
SP	Energy Select Sector SPDR (XLE)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	Fidelity Advisor II Short Fixed Income Fund Instl (FSXIX)	S	No	7/27/12	\$1,001 - \$15,000
SP	Financial Select Sector SPDR (XLF)	P	N/A	10-2-12	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
DC	First Eagle Funds SOGEN Overseas Fund CL I (SGOIX)	P	N/A	7/27/12	\$1,001 - \$15,000
DC	First Eagle Funds SOGEN Overseas Fund CL I (SGOIX)	P	N/A	7/27/12	\$1,001 - \$15,000
DC	First Eagle Funds SOGEN Overseas Fund CL I (SGOIX)	P	N/A	7/27/12	\$1,001 - \$15,000
SP	First Eagle Funds SOGEN Overseas Fund CL I (SGOIX) (IRA)	P	N/A	8/28/12	\$1,001 - \$15,000
SP	Hancock John Cap Ser Classic Value Fund CL I (JCVIX)	S(part)	No	8-28-12	\$1,001 - \$15,000
DC	Harbor Fund Intl Growth Fund Instl (HAIGX)	S	No	7/27/12	\$1,001 - \$15,000
DC	Harbor Fund Intl Growth Fund Instl (HAIGX)	S	No	7/27/12	\$1,001 - \$15,000
DC	Harbor Fund Intl Growth Fund Instl (HAIGX)	S	No	7/27/12	\$1,001 - \$15,000
DC	Harris Assoc Invst Trust Oakmark Equity & Income Fund CL I (OAKBX)	P	N/A	7/27/12	\$1,001 - \$15,000
DC	Harris Assoc Invst Trust Oakmark Equity & Income Fund CL I (OAKBX)	P	N/A	7/27/12	\$1,001 - \$15,000
DC	Harris Assoc Invst Trust Oakmark Equity & Income Fund CL I (OAKBX)	P	N/A	7/27/12	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded \$1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

Capital Gains — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
SP	Industrial Select Sector SPDR (XLI)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	IShares Barclays 1-3 Year Credit Bond Fund (CSJ)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	IShares Barclays 3-7 Year Treasury Bond Fund (IEI)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	IShares Barclays 7-10 Year Treasury Bond Fund (IEF)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	IShares Barclays Intermediate Credit Bond Fund (CIU)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	IShares Barclays MBS Bond Fund (MBB)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	IShares Core - S&P SmallCap 600 Index Fund (IJR)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	IShares Core S&P MidCap 400 Index Fund ETF (IJH)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	IShares IBOXX \$ Yield Corporate Bond Fund (HYG)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	IShares IBOXX Inv Grade Corp Bond Fund (LQD)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	IShares JP Morgan Emerging Markets Bond Fund (EMB)	P	N/A	10-2-12	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

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Capital Gains — if a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.

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SP, DC, JT	Asset	Type of Transaction	Capital Gain In Excess of \$200?	Date	Amount of Transaction
SP	IShares MSCI S Korea WEBS Index Fund WEBS Index Series (EWY)	P	N/A	10-2-12	\$1,001 - \$15,000
	JP Morgan Chase 8.62 NON-CUM Perpetual Mat Callable (JPM.I) (Trust)	S(part)	No	7/2/12	\$1,001 - \$15,000
	Kraft Foods Inc CL A (Trust)	S(part)	Yes	7/2/12	\$1,001 - \$15,000
SP	Lazard Funds, Inc. Emerging Markets Portfolio Instl SHS (LZEMX)	S	No	8-28-12	\$1,001 - \$15,000
SP	Legg Mason Value Trust, Inc. Navigator Value Trust (LMNVX)	S	No	1-24-12	\$1,001 - \$15,000
SP	Oppenheimer Dev Markets CL Y (ODVYX)	P	N/A	8-28-12	\$1,001 - \$15,000
	Philip Morris International, Inc. (PM) (Trust)	S	No	7/2/12	\$1,001 - \$15,000
DC	Pioneer Series Trust III Fundamental Value Fund CL Y (CVFYX)	S	No	7/27/12	\$1,001 - \$15,000
DC	Pioneer Series Trust III Fundamental Value Fund CL Y (CVFYX)	S	No	7/27/12	\$1,001 - \$15,000
DC	Pioneer Series Trust III Fundamental Value Fund CL Y (CVFYX)	S	No	7/27/12	\$1,001 - \$15,000
SP	Powershares DB Commodity Index Tracking Fund (DBC)	P	N/A	10-2-12	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

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SP, DC, JT	Asset	Type of Transaction	Capital Gain In Excess of \$200?	Date	Amount of Transaction
SP	Powershares EM Mar SOV DE PT (PCY)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	RS Investment Trust Emerging Markets Fund CL Y (RSEMX)	S(part)	No	8-28-12	\$1,001 - \$15,000
SP	Russell Emerging Markets CL S (REMSX)	P	N/A	9/27/12	\$15,001 - \$50,000
SP	Russell Global Equity CL S (RGEESX)	P	N/A	9/27/12	\$15,001 - \$50,000
SP	Russell Intl Developed Markets Fund CL S (RINTX)	P	N/A	9/27/12	\$50,001 - \$100,000
SP	Russell Inv't Co Commodity Strategies Fund CL S (RCCSX)	P	N/A	9/27/12	\$15,001 - \$50,000
SP	Russell Inv't Co Global Infrastructure Fund CL S (RGISX)	P	N/A	9/27/12	\$1,001 - \$15,000
SP	Russell Inv't Co Global Opportunistic CR Fund CL S (RGCSX)	P	N/A	9/27/12	\$1,001 - \$15,000
SP	Russell Inv't Co Global Real Estate Secs Fund CL S (RRESX)	P	N/A	9/27/12	\$1,001 - \$15,000
SP	Russell Inv't Co Multi-Strategy Alternative Fund CL S (RMSSX)	P	N/A	9/27/12	\$15,001 - \$50,000
SP	Russell Inv't Co U.S. Strategic Equity Fund CL S (RSESX)	P	N/A	9/27/12	\$50,001 - \$100,000

# SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded \$1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

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SP, DC, JT	Asset	Type of Transaction	Capital Gain In Excess of \$200?	Date	Amount of Transaction
SP	Russell Strategic BO CL S (RFACTX)	P	N/A	9/27/12	\$100,001 - \$250,000
SP	Russell US Small Cap Equity Fund CL S (RLESX)	P	N/A	9/27/12	\$15,001 - \$50,000
SP	Select Sector SPDR Fund Consumer Discretionary (XLY)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	Select Sector SPDR Fund Health Care (XLV)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	Select Sector SPDR Fund Materials (XLB)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	Select Sector SPDR Trust Consumer Staples (XLP)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	Sentinel Mutual Funds Small Company CL I (SIGWX)	S	No	8-28-12	\$1,001 - \$15,000
SP	SPDR Barclays Capital High Yield Bond ETF (JNK)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	SPDR Barclays Capital International Treasury Bond ETF (BWX)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	SPDR S&P Bank (KBE)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	SPDR S&P Retail (XRT)	P	N/A	10-2-12	\$1,001 - \$15,000



# SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded \$1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

Capital Gains — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.

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SP, DC, JT	Asset	Type of Transaction	Capital Gain In Excess of \$200?	Date	Amount of Transaction
SP	Vanguard Information Technology Fund (VGT)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	Vanguard MSCI EAFE (VEA)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	Vanguard MSCI Emerging Markets ETF (VWO)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	Vanguard REIT (VNQ)	P	N/A	10-2-12	\$1,001 - \$15,000
SP	Vanguard Total Bond Market (BND)	P	N/A	10-2-12	\$1,001 - \$15,000
	Verizon Communications (VZ) (Trust)	S	Yes	7/2/12	\$1,001 - \$15,000
DC	Virtus Emerging Markets Opportunities Fund CL I (HIEMX)	P	N/A	7/27/12	\$1,001 - \$15,000

# SCHEDULE V - LIABILITIES

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Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Members: Members are required to report all liabilities secured by real property including mortgages on their personal residence. Exclude: Any mortgage on your personal residence (unless it is rented out or you are a Member); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report revolving charge accounts (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000. \*This column is for liabilities held solely by your spouse or dependent child.

SP, DC, JT	Creditor	Date Liability Incurred	Type of Liability	Amount of Liability
JT	Congressional Federal Credit Union	Sept 2007	Personal Line of Credit	\$15,001 - \$50,000
JT	Citi Mortgage Inc., San Antonio, TX	Feb 2011	Mortgage on Real Estate, Washington, DC	\$100,001 - \$250,000
JT	CitiBank, St. Louis, MO	Feb 2008	Home Equity Loan on Real Estate, Washington, DC	\$250,001 - \$500,000
	Wells Fargo Bank, Long Branch, NJ	Dec 2006	M. Pallone Estate. Mortgage on Real Estate, Long Branch, NJ, held by life estate tenant.	\$50,001 - \$100,000

# FOOTNOTES

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Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III	Assets not previously shown on Schedule II, with no corresponding Transaction, were previously below reporting thresholds.	
2	Schedule III	DC Assets showing multiple iterations were previously combined.	
3	Schedule IV	Assets previously below reporting thresholds, when added to Transactions below reporting thresholds appear on Sched III	
4	Schedule III	Assets marked (Trust) were inherited in 2012.	Verizon Communications (VZ) (Trust)
5	Schedule IV	Assets marked (Trust) were inherited in 2012.	
6	Schedule III	Non-paying tenant with life estate interest	Real Estate in Long Branch, NJ
7	Schedule III	Assets shown last year that do not appear on this report either fell below the reporting threshold or were sold with no reportable income	
8	Schedule V	Mortgage held by tenant with life estate interest	Wells Fargo Bank, Long Branch, NJ real estate