

# UNITED STATES HOUSE OF REPRESENTATIVES

FORM A Page 1 of 36  
For use by Members, officers, and employees

## CALENDAR YEAR 2009 FINANCIAL DISCLOSURE STATEMENT

David Dreier

(Full Name)

(909) 575-6226

(Daytime Telephone)

Filer Status ☒ Member of the U.S. House of Representative

State: CA District: 26

☐ 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 "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
If yes, complete and attach Schedule I.		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 <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?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year?	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
If yes, complete and attach Schedule II.		IX. Did you have any reportable agreement or arrangement with an outside entity?	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?	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.	
If yes, complete and attach Schedule III.			
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 <input checked="" type="checkbox"/> No <input type="checkbox"/>		
If yes, complete and attach Schedule IV.			
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>		
If yes, complete and attach Schedule V.			

### 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 <input type="checkbox"/> No <input checked="" type="checkbox"/>
Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Standards of Official Conduct.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

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# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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## 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.

Aberdeen Developing Markets Fund of America CI A	\$50,001 - \$100,000	DIVIDENDS	\$201 - \$1,000	P
Aegon NV Funding	\$15,001 - \$50,000	DIVIDENDS	\$2,501 - \$5,000	P
AF Capitol World Growth & Income Fund	None	DIVIDENDS	\$1 - \$200	S
AF Euro Pacific Fund	None	None	NONE	S
Alcatel - Lucent Spon Adr	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	PS(part)
American Express Co.	None	DIVIDENDS	\$1 - \$200	S

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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American Funds Growth Fund of America	\$50,001 - \$100,000	DIVIDENDS	\$1,001 - \$2,500	PS
American Funds Washington Mutual Investors Fund	\$50,001 - \$100,000	DIVIDENDS	\$1,001 - \$2,500	P
American Superconductor Corp.	\$15,001 - \$50,000	None	NONE	P
Amgen Inc.	\$1,001 - \$15,000	None	NONE	
Anglogold Ashanti Ltd New Spon Adr	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
AOL Inc. (Spin Off From Time Warner)	\$1 - \$1,000	None	NONE	
Areva SA ADR	None	DIVIDENDS	\$1 - \$200	PS
Axis Capitol Holdings Ltd Shs	\$1,001 - \$15,000	None	NONE	P
Bank of America	\$15,001 - \$50,000	DIVIDENDS	\$1 - \$200	
Barrick Gold Corp.	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	PS(part)
Belgacom SA Adr	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
BP Plc Spon Adr	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	PS(part)
Cameco Corp. Canada	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Carrefour SA Adr	\$1,001 - \$15,000	None	NONE	P

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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CBS Corp. New Cl B	None	DIVIDENDS	\$2,501 - \$5,000	S
Centrais Eletricas Bras SA Spon Adr Rep 50	\$1,001 - \$15,000	None	NONE	P
Cerner Corp.	\$15,001 - \$50,000	None	NONE	P
Coca Cola	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
Congressional Federal Credit Union	\$250,001 - \$500,000	INTEREST	\$1,001 - \$2,500	
CVS Caremark Corp.	None	DIVIDENDS	\$1 - \$200	S
DAI Nippon Printing Co. Spon ADR	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Daiwa House Ind Ltd, Adr Japan Adr	\$1,001 - \$15,000	None	NONE	P
Deutsche Bank	\$15,001 - \$50,000	DIVIDENDS	\$2,501 - \$5,000	
Eaton Vance Global Buy Write Opportunities Fund	None	DIVIDENDS	\$1 - \$200	S
Eaton Vance Managed Diversified Equity Income Fund	None	DIVIDENDS	\$1 - \$200	S
Eaton Vance Risk-Managed Diversified Equity, Inc.	None	DIVIDENDS/CAPITAL GAINS	\$1 - \$200	S
Eaton Vance Tax Managed Global Buy Write Opportunities Fund	None	DIVIDENDS	\$1 - \$200	S
Eaton Vance Tax Managed Global Diversified Equity, Inc.	None	DIVIDENDS	\$201 - \$1,000	S

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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Embraer Aircraft Corp. Adr	\$1,001 - \$15,000	None	NONE	P
Franklin SmCap Growth Fund (IRA)	None	None	NONE	S
Franklin Templeton (FT) Mutual Shares A Fund	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	
Fuji Film Corp Adr	\$1,001 - \$15,000	None	NONE	P
Garmin, Ltd	None	DIVIDENDS	\$1,001 - \$2,500	S
Gaylord Entertainment Co	\$15,001 - \$50,000	None	NONE	S(part)
General Electric	\$15,001 - \$50,000	DIVIDENDS	\$1,001 - \$2,500	P
Gold Fields Ltd, Spon Adr	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
H.E. Dreier Irrevocable Trust Assets ( For details, see attachment 1) (Owns 1/3 Interest)	\$500,001 - \$1,000,000	DIVIDENDS/INTE REST/CAPITAL GAINS	\$100,001 - \$1,000,000	S(part)
Hachhuuni Bank Ltd, Adr	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Impala Platinum Hdls Ltd, Spon Adr	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
ING Groep	\$15,001 - \$50,000	DIVIDENDS	\$1,001 - \$2,500	
Int'l Business Machine	\$100,001 - \$250,000	DIVIDENDS	\$2,501 - \$5,000	

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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Ishares Trust Russell 2000 Index Fund	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	P
Ittron, Inc.	\$15,001 - \$50,000	None	NONE	P
Ivanhoe Mines, Ltd.	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	PS(part)
John Hancock Financial Industries Fund CI A	None	None	NONE	S
John Hancock Regional Bank Fund	None	None	NONE	S
Joyce Y. Dreier Trust (For details, see attachment 1) (Owns 1/3 Interest)	\$1,000,001 - \$5,000,000	DIVIDENDS/INTE REST/CAPITAL GAINS/Other: (Please specify)	\$100,001 - \$1,000,000	S(part)
KAO Corp. Repstg 10 shs Com Spon Adr	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Kinross Gold Corp. New	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Koninkluke Philips EI NV ADR	None	CAPITAL GAINS	\$1,001 - \$2,500	PS
Korea Electric Power Crp Spon Adr	\$1,001 - \$15,000	None	NONE	P
LM Ericsson Telefon Co.	None	None	NONE	S
Magna Int'l Inc. CI A Sub Vtg Canada Ord	\$1,001 - \$15,000	CAPITAL GAINS	\$1,001 - \$2,500	PS(part)
Mass Mutual Life	\$50,001 - \$100,000	INTEREST	\$1 - \$200	

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McMoran Exploration Co.	None	None	NONE	S
Microsoft, Inc.	\$15,001 - \$50,000	DIVIDENDS	\$201 - \$1,000	
Mitsui Sumitomo Unspans Adr	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Newcrest Mining Ltd, Spon Australia Adr	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Newmont Mining Corp. (Holding Co)	None	DIVIDENDS	\$1 - \$200	PS
Nexen, Inc.	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Nicholas Applegate Convertible & Income Fund	None	DIVIDENDS	\$1 - \$200	S
Nicholas Applegate Global Eqty & Conv Inc. Fund	\$1 - \$1,000	DIVIDENDS	\$201 - \$1,000	S(part)
Nintendo Ltd, Adr New Japan Adr	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Nippon Teleg & Tel Corp. Spon Adr	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Nokia Corp Spons Adr Finland Adr	\$1,001 - \$15,000	None	NONE	P
Novartis AG	\$15,001 - \$50,000	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	PS(part)
Ok Publishing Company	\$500,001 - \$1,000,000	DIVIDENDS	\$2,501 - \$5,000	
Panasonic Corp. Spon Adr	\$1,001 - \$15,000	None	NONE	P

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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Pfizer, inc.	None	DIVIDENDS	\$201 - \$1,000	S
Pimco Commodity Real Return Strategy Fd Cl A	\$50,001 - \$100,000	DIVIDENDS/CAPITAL GAINS	\$2,501 - \$5,000	P
Proctor & Gamble Company	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
Rexam Pic Spon Adr	\$1,001 - \$15,000	None	NONE	P
RMA Money Market Fund	\$100,001 - \$250,000	DIVIDENDS	\$1 - \$200	
Rohm Co. Ltd, Adr	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Royal Bank of Scotland Group PLC	None	DIVIDENDS	\$1,001 - \$2,500	S
Royal Dutch Shell Pic Ads Repstg 2 Cl B Ord	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Sanofi-Aventis SA Spon Adr	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	PS(part)
Sega Sammy Hldg, Inc. Spon Adr	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Seikisui House, Ltd. Spon Adr	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Seligman Communications	None	None	NONE	S
Seven & Hlids Co. Ltd, Adr	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Shiseido Co. Ltd, Spons Adr Japan	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P



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Siemens Ag Spon Adr	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	PS(part)
SK Telecom Co. Ltd, Adr	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Societe Generale France Spons Adr Adr	\$1,001 - \$15,000	None	NONE	PS(part)
Stora Enso Oyj Repstg Ser R Spon ADR	None	CAPITAL GAINS	\$201 - \$1,000	PS
Sumitomo Trust & Banking Spon Adr	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Suncor Energy, Inc. New	None	DIVIDENDS	\$1 - \$200	E/S
Suncor, Inc.	None	None	NONE	P/S/E
Surewest Communications	None	None	NONE	S
Tdk Corp. Japan Adr	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	PS(part)
Technip SA New Spon Adr	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	PS(part)
Telecom Italia Spa New Repstg 10 Saf Shs	\$1,001 - \$15,000	None	NONE	P
Tiffany Manor (Apartment Building Kansas City)	\$1,000,001 - \$5,000,000	RENT/INTEREST	\$50,001 - \$100,000	
Time Warner, Inc.	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	
UBS Bank Deposit Account	\$1 - \$1,000	INTEREST	\$1 - \$200	

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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United Utilities Group Adr	\$1,001 - \$15,000	DIVIDENDS	\$1 - \$200	P
Viacom Inc.	\$100,001 - \$250,000	None	NONE	S(part)
VMWare Inc. Cl A	\$15,001 - \$50,000	None	NONE	P
Vodafone Group Pic New Spon Adr	\$1,001 - \$15,000	None	NONE	PS(part)
Wachovia	None	None	NONE	E
Wacoal Holdings, Corp. Adr	\$1,001 - \$15,000	None	NONE	P
Wells Fargo & Co	None	DIVIDENDS	\$1 - \$200	E/S
Wolters Kluwer NV Spon Adr Netherlands Adr	\$1,001 - \$15,000	None	NONE	P

# SCHEDULE IV - TRANSACTIONS

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Aberdeen Developing Markets Fund Cl A	P	N/A	06-09-09	\$50,001 - \$100,000
	Aegon NV Funding	P	N/A	06-15-09	\$1,001 - \$15,000
	AF Capitol World Growth Fund of America	S	No	04-16-09	\$1,001 - \$15,000
	AF Euro Pacific Fund	S	No	06-10-09	\$1,001 - \$15,000
	Alcatel - Lucent Spon Adr	P	N/A	06-15-09	\$1,001 - \$15,000
	Alcatel - Lucent Spon Adr	S(part)	Yes	08-26-09 08-27-09	\$1,001 - \$15,000
	American Express Co.	S	No	02-27-09	\$1,001 - \$15,000
	American Funds Growth Fund Growth Fund of America	S	No	06-10-09	\$15,001 - \$50,000
	American Funds Growth Fund Growth Fund of America	P	N/A	04-16-09 06-09-09	\$50,001 - \$100,000
	American Funds Washington Mutual Investors Fund	P	N/A	06-09-09	\$15,001 - \$50,000
	American Superconductor Corp.	P	N/A	12-11-09	\$15,001 - \$50,000

# SCHEDULE IV - TRANSACTIONS

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Anglogold Ashanti Ltd New Spon Adr	P	N/A	06-15-09 07-10-09	\$1,001 - \$15,000
	Areva SA ADR	P	N/A	06-17-09	\$1,001 - \$15,000
	Areva SA ADR	S	No	06-26-09 06-29-09	\$1,001 - \$15,000
	Axis Capitol Holdings Ltd Shs	P	N/A	10-22-09 12-17-09	\$1,001 - \$15,000
	Barrick Gold Corp.	P	N/A	06-15-09 12-17-09	\$1,001 - \$15,000
	Barrick Gold Corp.	S(part)	Yes	11-19-09	\$1,001 - \$15,000
	Belgacom SA Adr	P	N/A	06-17-09	\$1,001 - \$15,000
	BP Pic Spon Adr	P	N/A	06-15-09	\$1,001 - \$15,000
	BP Plc Spon Adr	S(part)	Yes	10-27-09	\$1,001 - \$15,000
	Cameco Corp. Canada	P	N/A	06-29-09	\$1,001 - \$15,000
	Carrefour SA Adr	P	N/A	09-25-09 10-05-09 10-22-09 10-28-09	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	CBS Corp. New CI B	S	No	04-16-09	\$50,001 - \$100,000
	Centrais Eletricas Bras SA Spon Adr Rep 50	P	N/A	06-15-09	\$1,001 - \$15,000
	Cerner Corp.	P	N/A	06-09-09	\$15,001 - \$50,000
	CVS Caremark Corp.	S	No	04-16-09	\$1,001 - \$15,000
	DAI Nippon Printing Co. Spon ADR	P	N/A	06-15-09	\$1,001 - \$15,000
	Daiwa House Ind Ltd, Adr Japan Adr	P	N/A	6-15-09	\$1,001 - \$15,000
	Eaton Vance Global Buy Write Opportunities Fund	S	No	04-16-09	\$15,001 - \$50,000
	Eaton Vance Managed Diversified Equity Income Fund	S	No	04-16-09	\$15,001 - \$50,000
	Eaton Vance Risk-Managed Diversified Equity, Inc.	S	No	04-16-09	\$15,001 - \$50,000
	Eaton Vance Tax Managed Global Buy Write Opportunities Fund	S	No	04-16-09	\$15,001 - \$50,000
	Eaton Vance Tax Managed Global Diversified Equity, Inc.	S	No	04-16-09	\$15,001 - \$50,000

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Embraer Aircraft Corp. Adr	P	N/A	10-30-09 11-03-09	\$1,001 - \$15,000
	Franklin SmCap Growth Fund (IRA)	S	No	06-10-09	\$15,001 - \$50,000
	Fuji Film Corp Adr	P	No	11-25-09	\$1,001 - \$15,000
	Garmin Ltd	S	No	12-11-09	\$15,001 - \$50,000
	Gaylord Entertainment Co	S(part)	No	04-16-09	\$50,001 - \$100,000
	General Electric	P	N/A	01-05-09	\$15,001 - \$50,000
	Gold Fields Ltd, Spon Adr	P	N/A	06-15-09	\$1,001 - \$15,000
	H.E. Dreier Irrevocable Trust Assets (See attachment 2 for details) (Owns 1/3 Interest)	S(part)	Yes	Various	\$1,000,001 - \$5,000,000
	Hachuuuni Bank Ltd, Adr	P	N/A	06-15-09	\$1,001 - \$15,000
	Impala Platinum Hdlgs Ltd, Spon Adr	P	N/A	06-15-09	\$1,001 - \$15,000
	Ishares Trust Russell 2000 Index Fund	P	N/A	06-09-09	\$15,001 - \$50,000

# SCHEDULE IV - TRANSACTIONS

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Itron, Inc.	P	N/A	12-11-09	\$15,001 - \$50,000
	Ivanhoe Mines, Ltd.	S(part)	Yes	08-17-09 09-17-09 11-09-09 11-16-09	\$1,001 - \$15,000
	Ivanhoe Mines, Ltd.	P	N/A	6-15-09	\$1,001 - \$15,000
	John Hancock Financial Industries Fund CI A	S	No	02-27-09	\$1,001 - \$15,000
	John Hancock Regional Bank Fund	S	No	02-27-09	\$1,001 - \$15,000
	Joyce Y. Dreier Trust (See attachment 2 for details) (Owns 1/3 Interest)	S(part)	Yes	Various	\$1,000,001 - \$5,000,000
	KAO Corp. Repstg 10 shs Com Spon Adr	P	N/A	06-15-09	\$1,001 - \$15,000
	Kinross Gold Corp. New	P	N/A	07-07-09 07-09-09 07-10-09 10-30-09	\$1,001 - \$15,000
	Koninkluke Philips EI NV ADR	S	Yes	11-12-09	\$1,001 - \$15,000
	Koninkluke Philips EI NV ADR	P	N/A	06-15-09	\$1,001 - \$15,000

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Korea Electric Power Crp Spon Adr	P	N/A	08-14-09	\$1,001 - \$15,000
	LM Ericsson Telefon Co.	S	No	04-16-09	\$1,001 - \$15,000
	Magna Int'l Inc. Cl A Canada Ord	S(part)	Yes	08-06-09 08-07-09 08-10-09 11-06-09	\$1,001 - \$15,000
	Magna Int'l Inc. Cl A Canada Ord	P	N/A	6-15-09	\$1,001 - \$15,000
	McMoran Exploration Co.	S	No	4-16-09	\$260
	Mitsui Sumitomo Unspans Adr Adr	P	N/A	06-15-09	\$1,001 - \$15,000
	Newcrest Mining Ltd, Spon Australia Adr	P	N/A	08-10-09	\$1,001 - \$15,000
	Newmont Mining Corp. (Holding Co)	P	N/A	6-15-09	\$1,001 - \$15,000
	Newmont Mining Corp. (Holding Co)	S	No	07-07-09 07-09-09 10-29-09	\$1,001 - \$15,000
	Nexen, Inc.	P	N/A	06-15-09 10-28-09	\$1,001 - \$15,000



# SCHEDULE IV - TRANSACTIONS

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Nicholas Applegate Convertible & Income Fund	S	No	04-16-09	\$53
	Nicholas Applegate Global Eqty & Conv Inc. Fund	S(part)	No	04-16-09	\$1,001 - \$15,000
	Nintendo Ltd, Adr New Japan Adr	P	N/A	06-15-09	\$1,001 - \$15,000
	Nippon Teleg & Tel Corp. Spon Adr	P	N/A	06-15-09	\$1,001 - \$15,000
	Nokia Corp Spons Adr Finland Adr	P	N/A	06-15-09 07-21-09 11-18-09	\$1,001 - \$15,000
	Novartis AG	P	N/A	06-15-09	\$1,001 - \$15,000
	Novartis AG	S(part)	Yes	12-02-09	\$1,001 - \$15,000
	Panasonic Corp. Spon Adr	P	N/A	10-20-09	\$1,001 - \$15,000
	Pfizer, inc.	S	No	04-16-09	\$1,001 - \$15,000
	Pimco Commodity Real Return Strategy Fd Cl A	P	N/A	06-09-09 06-11-09	\$50,001 - \$100,000
	Rexam Pic Spon Adr	P	N/A	10-26-09 10-27-09	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Rohm Co. Ltd, Adr	P	N/A	06-15-09	\$1,001 - \$15,000
	Royal Bank of Scotland Group PLC	S	No	12-11-09	\$15,001 - \$50,000
	Royal Dutch Shell Pic Ads Repstg 2 Cl B Ord	P	N/A	06-15-09	\$1,001 - \$15,000
	Sanofi-Aventis SA Spon Adr	S(part)	Yes	10-28-09	\$1,001 - \$15,000
	Sanofi-Aventis SA Spon Adr	P	N/A	06-15-09 07-01-09	\$1,001 - \$15,000
	Sega Sammy Hldg, Inc. Spon Adr	P	N/A	06-23-09	\$1,001 - \$15,000
	Seikisui House, Ltd. Spon Adr	P	N/A	06-15-09	\$1,001 - \$15,000
	Seligman Communications	S	No	04-16-09	\$15,001 - \$50,000
	Seven & Hldgs Co. Ltd, Adr	P	N/A	06-15-09 08-20-09	\$1,001 - \$15,000
	Shiseido Co. Ltd, Spons Adr Japan	P	N/A	06-15-09	\$1,001 - \$15,000
	Siemens Ag Spon Adr	P	N/A	06-15-09	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Siemens Ag Spon Adr	S(part)	Yes	10-29-09	\$1,001 - \$15,000
	SK Telecom Co. Ltd, Adr	P	N/A	06-15-09	\$1,001 - \$15,000
	Societe Generale France Spons Adr Adr	P	N/A	06-15-09	\$1,001 - \$15,000
	Societe Generale France Spons Adr Adr	S(part)	No	10-01-09 11-09-09	\$578
	Stora Enso Oyi Repstg Ser R Spon ADR	S	Yes	08-06-09 08-07-09 08-19-09 09-15-09 09-16-09	\$1,001 - \$15,000
	Stora Enso Oyi Repstg Ser R Spon ADR	P	N/A	06-15-09	\$1,001 - \$15,000
	Sumitomo Trust & Banking Spon Adr	P	N/A	06-15-09	\$1,001 - \$15,000
	Suncor Energy, Inc. New	S	No	10-01-09	\$1,001 - \$15,000
	Suncor, Inc.	P	N/A	06-15-09	\$1,001 - \$15,000
	Suncor, Inc.	S	No	07-15-09 08-20-09 10-01-09	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Suncor, Inc. ( Exchanged for Suncor Energy Inc. New)	E	N/A	08-03-09	
	Surewest Communications	S	No	04-16-09	\$15,001 - \$50,000
	Tdk Corp. Japan Adr	S(part)	Yes	08-03-09 08-24-09	\$1,001 - \$15,000
	Tdk Corp. Japan Adr	P	N/A	06-15-09	\$1,001 - \$15,000
	Technip SA New Spon Adr	S(part)	Yes	07-24-09	\$1,001 - \$15,000
	Technip SA New Spon Adr	P	N/A	06-15-09	\$1,001 - \$15,000
	Telecom Italia Spa New Repstg 10 Saf Shs	P	N/A	06-15-09	\$1,001 - \$15,000
	Time Warner Cable, Inc.	S	No	06-10-09	\$1,001 - \$15,000
	United Utilities Group Adr	P	N/A	06-15-09	\$1,001 - \$15,000
	Viacom Inc.	S(part)	No	04-16-09	\$100,001 - \$250,000
	VMW/are Inc. Cl A	P	N/A	12-11-09	\$15,001 - \$50,000

# SCHEDULE IV - TRANSACTIONS

Name David Dreier

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Vodafone Group Pic New Spon Adr	P	N/A	06-15-09	\$1,001 - \$15,000
	Vodafone Group Pic New Spon Adr	S(part)	No	11-30-09	\$567
	Wachovia ( Exchanged For Wells Fargo)	E	N/A	01-02-09	\$1,001 - \$15,000
	Wacoal Holdings, Corp. Adr	P	N/A	06-15-09	\$1,001 - \$15,000
	Wells Fargo & Co	S	No	10-09-09	\$1,001 - \$15,000
	Wolters Kluwer NV Spon Adr Netherlands Adr	P	N/A	06-16-09	\$1,001 - \$15,000

# SCHEDULE VIII - POSITIONS

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

Position	Name of Organization
Secretary (Uncompensated)	The Dreier Family Foundation
Board of Trustees (Uncompensated)	Claremont McKenna College
Board of Visitors (Uncompensated)	Claremont Graduate University School of Politics and Economics
Board of Advisors Member (Uncompensated)	Los Angeles Mission
Member (Uncompensated)	Advisory Council for the Center for Strategic & International Studies
Member (Uncompensated)	Council on Foreign Relations
Member (Uncompensated)	National Endowment for Democracy's Congressional Advisory Board
Board of Directors (Uncompensated)	International Republican Institute

**Name: David Dreier**

**ATTACHMENT 1**

**ADDITIONAL DETAIL FOR SCHEDULE III RELATED TO:**

***Assets held by H.E. Dreier Trust (\*Figures for year-end value & amount of income reflect filer's 1/3 ownership interest)***

<b>Asset</b>	<b>Year-end value*</b>	<b>Type of income</b>	<b>Amount of Income*</b>	<b>Transaction</b>
CBS Corp New	None	Dividends/Cap Gain	\$15,001 - 50,000	Sale
Eaton Vance Enhanced Equity Inc Fund II	None	Dividends/Cap Gain	\$2,501 - 5,000	Sale
Eaton Vance Risk-Managed Diversified Equity Inc Fund	None	Dividends/Cap Gain	\$1,001 - 2,500	Sale
Gaylord Entmt Co New	None	Cap Gain	\$15,001 - 50,000	Sale
Nicholas Applegate CV & Inc. Ncv	\$1 - 1,000	Dividends/Cap Gain	\$2,501 - 5,000	Sale
Northern Inst. Diversified Asst Port Money Market	\$250,001 - 500,000	Interest	\$1 - 200	None
Note Receivable from Tiffany Heights	\$50,001 - 100,000	None	None	None
Note Receivable from Tiffany Manor	\$100,001-250,000	None	None	None
Oklahoma Publishing	None	Dividends	\$15,001 - 50,000	Sale
Tiffany Manor, LP — 51% interest (apartment building in Kansas City)	\$500,001-1,000,000	None	None	None
Viacom Inc New	None	Cap Gain	\$5,001 - 15,000	Sale

**Name: David Dreier**

**ADDITIONAL DETAIL FOR SCHEDULE III RELATED TO:**

***Assets held by Joyce Y. Dreier Trust (\*Figures for year-end value & amount of income reflect filer's 1/3 ownership interest)***

Asset	Year-end value*	Type of income	Amount of Income*	Transaction
4280 Galt Ocean Drive, Florida condominium	None	Cap Gain	\$201 - 1,000	Sale
52 Mayfair, Riverside County, CA residence	\$250,000 - 500,000	None	None	None
6344 Ward Parkway, KC, MO house	None	Cap Gain	\$1,001 - 2,500	Sale
Aegon NV Prd 6.375%	None	Dividends/Cap Gain	\$5,001 - 15,000	Sale
Aegon NV Prd 7.25%	None	Dividends/Cap Gain	\$5,001 - 15,000	Sale
Alltel Corp	None	Interest/Cap Gain	\$2,501 - 5,000	Sale
American Balanced Fund	None	Dividends/Cap Gain	\$1,001 - 2,500	Sale
American Capital World Growth & Income	None	Dividends/Cap Gain	\$15,001 - 50,000	Sale
American Fds Washington Mutual	None	Dividends	\$201 - 1,000	Sale
American New Perspective Fd Inc.	None	Cap Gain	\$2,501 - 5,000	Sale
Argentex Mng Corp	None	Cap Gain	\$1 - 200	Sale
AT&T	None	Dividends/Cap Gain	\$201 - 1,000	Sale
Bank New York Inc	None	Interest/Cap Gain	\$5,001 - 15,000	Sale
Bank of America CD Time Deposits	None	Interest	\$1,001 - 2,500	None
Bank of America Corp	None	Div/Int/Cap Gain	\$2,501 - 5,000	Sale
Barclays Bk Plc	None	Dividends/Cap Gain	\$5,001 - 15,000	Sale
Barrick Gold Corp	None	Cap Gain	\$1 - 200	Sale



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Asset	Year-end value*	Type of income	Amount of Income*	Transaction
Bear Stearns Cos Inc	None	Interest/Cap Gain	\$1,001 - 2,500	Sale
CBS Corp New CL B	None	Dividends/Cap Gain	\$201 - 1,000	Sale
Citicorp Mortgage Ser 2005-3 CL 1A-6	None	Interest/Cap Gain	\$201 - 1,000	Sale
Citigroup Cap XVII Trups Prd 6.35%	None	Dividends/Cap Gain	\$5,001 - 15,000	Sale
Comcast Corp New CL A	None	Dividends/Cap Gain	\$1 - 200	Sale
Eaton Vance Risk-Managed Div Equity Inc Fund	None	Dividends/Cap Gain	\$1,001 - 2,500	Sale
Eaton Vance Tax Managed By Wrt Op	None	Dividends/Cap Gain	\$201 - 1,000	Sale
Eaton Vance Tax Managed Div Eq Inc Fund	None	Dividends/Cap Gain	\$5,001 - 15,000	Sale
Eaton Vance Tax Managed Global Equity	None	Dividends/Cap Gain	\$5,001 - 15,000	Sale
El Paso Corp	None	Dividends	\$1 - 200	Sale
Ericsson	None	None	None	Sale
Euro Pac Growth Fd	None	Cap Gain	\$1,001 - 2,500	Sale
FedEX Corp	None	Dividends/Cap Gain	\$2,501 - 5,000	Sale
FHLB	None	Interest	\$1 - 200	Sale
FNMA Remic Series 2006-53 CL JM	None	Interest	\$201 - 1,000	Sale
Franklin Mut Ser Fd Cl A	None	Cap Gain	\$1,001 - 2,500	Sale
Franklin Custodian Income	None	Dividends/Cap Gain	\$5,001 - 15,000	Sale
Franklin Managed Rising Dv Cl A	None	Cap Gain	\$5,001 - 15,000	Sale
Gaylord	\$1,001 - 15,000	Cap Gain	\$1,001 - 2,500	Sale (part)
General Electric Cap 6.05%	None	Dividends/Cap Gain	\$1,001 - 2,500	Sale
General Electric Cap 6.45%	None	Dividends/Cap Gain	\$2,501 - 5,000	Sale

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Asset	Year-end value*	Type of income	Amount of income*	Transaction
GNMA Remic Series 2006-56 CL LB	None	Interest	\$1,001 - 2,500	Sale
Growth Fund Amer Inc.	None	Cap Gain	\$15,001 - 50,000	Sale
Intel Corp	None	Dividends/Cap Gain	\$201 - 1,000	Sale
Internal Revenue Service	None	Interest	\$201 - 1,000	Sale
Joyce Dreier IRA <sup>1</sup>	None	Other-RMD	\$2,501 - 5,000	Sale
Merrill Lynch Cap Tr Gtd Prd 6.45%	None	Dividends/Cap Gain	\$5,001 - 15,000	Sale
Morgan Stanley	None	Dividends/Cap Gain	\$201 - 1,000	Sale
Mutual Ser Fd Beacon CIA	None	Cap Gain	\$2,501 - 5,000	Sale
Mutual Ser Fd Discovery CIA	None	Cap Gain	\$1,001 - 2,500	Sale
Mutual Ser Fd European Fd A	None	Cap Gain	\$2,501 - 5,000	Sale
Newell Rubbermaid Inc Com	None	Dividends/Cap Gain	\$201 - 1,000	Sale
Nicholas Applegate Conv & Inc Fund	\$1 - 1,000	Dividends/Cap Gain	\$1,001 - 2,500	Sale (part)
Nicholas Applegate Global Equity	None	Dividends/Cap Gain	\$2,501 - 5,000	Sale
Northern Instl Diversified Asst Port	\$50,001 - 100,000	Interest	\$201 - 1,000	None
Money Market				
Northern Instl Govt Select Port	None	Interest	\$201 - 1,000	None
Oklahoma Publishing Co	None	Dividends/Cap Gain	\$1 - 200	Sale
Qwest Communications	None	Dividends/Cap Gain	\$1 - 200	Sale
RMA Money Market	None	Dividends	\$201 - 1,000	Sale
Royal Bank Scotland ADR Prd Ser R	None	Dividends/Cap Gain	\$5,001 - 15,000	Sale
Sirius XM Radio	None	Cap Gain	\$1 - 200	Sale

<sup>1</sup> The filer does not have any control over the assets held by the IRA. The trust is the recipient of the required minimum distribution from the IRA, but the trustees do not exercise control over the IRA itself.

Asset	Year-end value*	Type of income	Amount of income*	Transaction
Smallcap World Fd	None	Cap Gain	\$5,001 - 15,000	Sale
Sprint Nextel	None	None	None	Sale
Starbucks	None	Cap Gain	\$201 - 1,000	Sale
TD Ameritrade	None	Cap Gain	\$201 - 1,000	Sale
Templeton Developing Mkts	None	Cap Gain	\$201 - 1,000	Sale
Templeton Fds World Cl A	None	Cap Gain	\$2,501 - 5,000	Sale
Tiffany Heights-100% interest (Apt Bldg in KC, MO)	\$250,001 - 500,000	Rental Income	\$5,001 - 15,000	None
Time Warner	None	Dividends/Cap Gain	\$1 - 200	Sale
Time Warner Cl A	None	None	None	Sale
Time Warner New	None	None	None	Sale
UBS Bank	None	Interest	\$1 - 200	Sale
Viacom	\$1,001 - 15,000	Cap Gain	\$1,001 - 2,500	Sale (part)
Walmart De Mexico SA	\$1,001 - 15,000	Dividends/Cap Gain	\$201 - 1,000	Sale (part)
Washington Mutual Invs Fd	None	Cap Gain	\$5,001 - 15,000	Sale (part)

**Name: David Dreier**

**ATTACHMENT 2**

**ADDITIONAL DETAIL FOR SCHEDULE IV RELATED TO:**

***Transactions by H.E. Dreier Trust (\*Figures for transaction amount reflect filer's 1/3 ownership interest)***

- No purchase transactions were made during 2009; only deposits in money market account funds.

Asset	Transaction	Cap Gain > \$200?	Date(s)	Amount*
CBS Corp. New	Sale	Yes	3/30/2009, 5/12/2009, 5/14/2009, 5/19/2009, 5/29/2009, 6/01/2009	\$500,001 – 1,000,000
Eaton Vance Enh Eqty	Sale	Yes	3/30/2009, 5/14/2009, 5/19/2009, 5/29/2009, 6/01/2009	\$50,001 – 100,000
Eaton Vance Risk Mgd Div	Sale	No	3/30/2009, 5/12/2009, 5/13/2009, 5/14/2009, 5/19/2009, 5/29/2009, 6/01/2009	\$100,001 – 250,000

Asset	Transaction	Cap Gain > \$200?	Date(s)	Amount*
Eaton Vance Tx Mgd Div	Sale	Yes	5/12/2009, 5/13/2009, 5/14/2009, 5/19/2009, 5/29/2009	\$250,001 – 500,000
Gaylord Entmt Co New	Sale	Yes	1/13/2009, 3/30/2009, 5/12/2009, 5/14/2009, 5/19/2009, 5/29/2009, 6/01/2009	\$500,001 – 1,000,000
Nicholas-Applegate CV	Sale	Yes	5/12/2009, 5/14/2009, 5/19/2009, 6/01/2009 5/29/2009 9/14/2009	\$15,001 – 50,000
Oklahoma Publishing	Sale	No	12/10/2009	\$1,000,001 – 5,000,000
Viacom Inc New	Sale	Yes	1/13/2009, 3/30/2009, 5/12/2009, 5/14/2009, 5/19/2009, 5/29/2009	\$1,000,001 – 5,000,000

Name: David Dreier

**ADDITIONAL DETAIL FOR SCHEDULE IV RELATED TO:**

***Transactions by Joyce Y. Dreier Trust (\*Figures for transaction amount reflect filer's 1/3 ownership interest)***

Asset	Transaction	Cap Gain > \$200?	Date(s)	Amount*
4280 Galt Ocean Drive, Florida condominium	Sale	Yes	6/29/2009	\$101,001 – 250,000
6344 Ward Parkway, KC, MO house	Sale	Yes	6/23/2009	\$250,001 – 500,000
Aegon NV Prd 6.375%	Sale	Yes	4/20/2009, 4/23/2009, 5/8/2009, 6/3/2009, 6/4/2009	\$15,001 – 50,000
Aegon NV Prd 7.25%	Sale	Yes	4/01/2009, 4/06/2009, 4/15/2009, 4/17/2009, 4/20/2009, 4/28/2009, 5/08/2009, 6/03/2009	\$50,001 – 100,000
Alltel Corp	Sale	Yes	6/3/2009	\$15,001 – 50,000
American Balanced Fund	Sale	Yes	3/30/2009	\$15,001 – 50,000

Asset	Transaction	Cap Gain > \$200?	Date(s)	Amount*
American Capital World Growth & Income	Purchase/Sale	Yes	4/02/2009 S, 4/08/2009 S, 4/15/2009 S, 4/24/2009 S, 5/11/2009 S, 6/01/2009 S Various P	\$1,001 – 15,000
American Fds Washington Mutual	Sale (part)	Yes	4/03/2009, 4/08/2009, 4/15/2009, 4/16/2009	\$1,001 – 15,000
American New Perspective Fd Inc.	Sale	Yes	3/30/2009	\$50,001 – 100,000
Argentex Mng Corp	Sale	No	4/01/2009	\$1 – 1,000
AT&T	Sale	Yes	5/12/2009	\$1 – 1,000
Bank New York Inc	Sale	Yes	10/07/2009	\$1,001 – 15,000
Bank of America Corp	Sale	No	4/2/2009	\$1 – 1,000
Barclays Bk Plc	Sale	Yes	4/17/2009, 4/23/2009, 5/08/2009, 6/03/2009	\$15,001 – 50,000
Barrick Gold Corp	Sale	No	4/1/2009	\$1 – 1,000
Bear Stearns Cos Inc	Sale	Yes	12/16/2009	\$1,001 – 15,000
CBS Corp New CL B	Sale	Yes	3/31/2009, 4/02/2009	\$1,001 – 15,000

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Asset	Transaction	Cap Gain > \$200?	Date(s)	Amount*
Citicorp Mortgage Ser 2005-3 CL IA-6	Sale	No	4/09/2009	\$1,001 – 15,000
Citigroup Cap XVII Trups Prd 6.35%	Sale	Yes	4/01/2009, 4/06/2009, 4/15/2009, 4/17/2009, 4/23/2009, 4/28/2009, 5/08/2009, 6/03/2009	\$15,001 – 50,000
Comcast Corp New CL A	Sale	No	5/12/2009	\$1 – 1,000
Eaton Vance Risk-Managed Div Equity Inc Fund	Sale	Yes	3/31/2009, 4/02/2009	\$100,001 – 250,000
Eaton Vance Tax Managed By Wrt Op	Sale	Yes	Various	\$1 – 1,000
Eaton Vance Tax Managed Div Eq Inc Fund	Sale	Yes	3/31/2009, 4/02/2009	\$100,001 – 250,000
Eaton Vance Tax Managed Global Equity	Sale	Yes	3/31/2009, 4/02/2009	\$100,001 – 250,000
El Paso Corp	Sale	No	4/2/2009	\$1 – 1,000
Ericsson	Sale	No	3/31/2009, 4/02/2009	\$1,001 – 15,000
Euro Pac Growth Fd	Sale	Yes	3/30/2009	\$1,001 – 15,000
FedEX Corp	Sale	Yes	3/31/2009, 4/02/2009	\$15,001 – 50,000
FHLB	Sale	No	3/30/2009	\$1,001 – 15,000



Asset	Transaction	Cap Gain > \$200?	Date(s)	Amount*
FNMA Remic Series 2006-53 CL JM	Sale	No	4/6/2009	\$15,001 – 50,000
Fraklin Mut Ser Fd Cl A	Sale	Yes	3/31/2009	\$50,001 – 100,000
Franklin Custodian Income	Sale	Yes	4/13/2009, 4/15/2009	\$15,001 – 50,000
Franklin Managed Rising Dv Cl A	Sale	Yes	4/02/2009, 4/15/2009, 4/16/2009	\$50,001 – 100,000
Gaylord	Sale (Part)	Yes	3/31/2009, 4/02/2009	\$1,001 – 15,000
General Electric Cap 6.05%	Sale	Yes	4/01/2009, 4/17/2009, 4/20/2009	\$15,001 – 50,000
General Electric Cap 6.45%	Sale	Yes	4/01/2009, 4/06/2009, 4/20/2009	\$15,001 – 50,000
GNMA Remic Series 2006-56 CL LB	Sale	No	4/6/2009	\$50,001 – 100,000
Growth Fund Amer Inc.	Purchase / Sale	Yes	4/03/2009 S, 4/13/2009 S, 4/15/2009 S, 4/24/2009 S, 6/01/2009 S, Quarterly P	\$100,001 – 250,000
Intel Corp	Sale	Yes	3/31/2009, 4/02/2009	\$1,001 – 15,000

# Name: David Dreier

Asset	Transaction	Cap Gain > \$200?	Date(s)	Amount*
Merrill Lynch Cap Tr Gtd Prd 6.45%	Sale	Yes	4/01/2009, 4/15/2009, 4/23/2009, 4/28/2009, 5/08/2009, 5/12/2009, 6/04/2009	\$15,001 – 50,000
Morgan Stanley	Sale	No	3/31/2009, 4/01/2009	\$1 – 1,000
Mutual Ser Fd Beacon Cl A	Sale	Yes	3/30/2009	\$15,001 – 50,000
Mutual Ser Fd Discovery Cl A	Sale	Yes	3/30/2009	\$50,001 – 100,000
Mutual Ser Fd European Fd A	Sale	Yes	4/03/2009, 4/13/2009, 4/15/2009, 4/16/2009	\$50,001 – 100,000
Newell Rubbermaid Inc Com	Sale	Yes	3/31/2009, 4/01/2009	\$1,001 – 15,000
Nicholas Applegate Conv & Inc Fund	Sale (part)	Yes	5/12/2009, 5/14/2009	\$1,001 – 15,000
Nicholas Applegate Global Equity	Sale	Yes	3/31/2009, 4/02/2009	\$50,001 – 100,000
Oklahoma Publishing Co	Sale	No	12/10/2009	\$1 – 1,000
Qwest Communications	Sale	Yes	5/12/2009	\$1,001 – 15,000

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Asset	Transaction	Cap Gain > \$200?	Date(s)	Amount*
Royal Bank Scotland ADR Prd Ser R	Sale	Yes	4/01/2009, 4/03/2009, 4/23/2009, 5/08/2009, 6/03/2009, 6/04/2009	\$1,001 – 15,000
Sirius XM Radio	Sale	Yes	4/2/2009	\$1 – 1,000
Smallcap World Fd	Purchase / Sale	Yes	5/11/2009 S, 6/01/2009 S Quarterly P	\$15,001 – 50,000
Sprint Nextel	Sale	No	3/31/2009, 4/02/2009	\$1,001 – 15,000
Starbucks	Sale	Yes	3/31/2009, 4/01/2009	\$1,001 – 15,000
TD Ameritrade	Sale	Yes	3/31/2009, 4/02/2009	\$1,001 – 15,000
Templeton Developing Mkts	Sale	Yes	3/30/2009	\$1,001 – 15,000
Templeton Fds World Cl A	Sale	Yes	3/30/2009	\$50,001 – 100,000
Time Warner	Sale	Yes	3/31/2009, 4/17/2009	\$1,001 – 15,000
Time Warner Cl A	Sale	No	4/17/2009	\$1 – 1,000
Time Warner New	Sale	No	4/17/2009	\$1,001 – 15,000
Viacom	Sale (part)	Yes	3/31/2009, 4/1/2009	\$15,001 – 50,000
Walmart De Mexico SA	Sale (part)	No	3/31/2009	\$1,001 – 15,000

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Asset	Transaction	Cap Gain > \$200?	Date(s)	Amount*
Washington Mutual Invs Fd	Sale	Yes	4/03/2009, 4/08/2009, 4/15/2009, 4/16/2009	\$250,001 – 500,000