

# UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR ANNUAL AND TERMINATION FILERS

<input type="checkbox"/> Amendment			
Last Name	First Name and Middle Initial	Annual Report	
Whitehouse	Sheldon	Calendar Year Covered by Report	Senate Office / Agency in Which Employed
Senate Office Address (Number, Street, City, State, and ZIP Code)	Senate Office Telephone Number (Include Area Code)	Termination Report	Prior Office / Agency in Which Employed
170 Westminster St, Prov, RI 02903	401-453-5294	Termination Date (mm/dd/yy)	

**AFTER READING THE INSTRUCTIONS – ANSWER EACH OF THESE QUESTIONS AND ATTACH THE RELEVANT PART**

	YES	NO		YES	NO
Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If Yes, complete and attach PART I.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel in the reporting period (i.e., worth more than \$350 from one source)? If Yes, complete and attach PART VI.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you or your spouse have earned income (e.g., salaries or fees) or non-investment income of more than \$200 from any reportable source in the reporting period? If Yes, complete and attach PART II.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Did you, your spouse, or dependent child have any reportable liability (more than \$10,000) during the reporting period? If Yes, complete and attach PART VII.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Did you, your spouse, or dependent child hold any reportable asset worth more than \$1,000 at the end of the period, or receive unearned or investment income of more than \$200 in the reporting period? If Yes, complete & attach PART IIIA and/or IIIB.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Did you hold any reportable positions on or before the date of filing in the current calendar year? If Yes, complete and attach PART VIII.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than \$1,000 in the reporting period? If Yes, complete and attach PART IV.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Do you have any reportable agreement or arrangement with an outside entity? If Yes, complete and attach PART IX.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Did you, your spouse, or dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$350 and not otherwise exempt)? If Yes, complete and attach PART V.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	If this is your FIRST Report: Did you receive compensation of more than \$5,000 from a single source in the two prior years? If Yes, complete and attach PART X.	<input type="checkbox"/>	<input type="checkbox"/>

**Each question must be answered and the appropriate PART attached for each “YES” response.**

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Do Not Write Below this Line

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SENATE  
FEB 2013

Whitehouse, Sheldon

## PART II. EARNED AND NON-INVESTMENT INCOME

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Report the source (name and address), type, and amount of earned income to you from any source aggregating \$200 or more during the reporting period. For your spouse, report the source (name and address) and type of earned income which aggregate \$1,000 or more during the reporting period. No amount needs to be specified for your spouse. (See p.3, CONTENTS OF REPORTS, Part B of Instructions.) Do not report income from employment by the U.S. Government for you or your spouse.

**Individuals not covered by the Honoraria Ban:**

For you and /or your spouse, report honoraria income received which aggregates \$200 or more by exact amount, give the date of, and describe the activity (speech, appearance or article) generating such honoraria payment. Do not include payments in lieu of honoraria reported on Part I.

	Name of Income Source	Address (City, State)	Type of Income	Amount
Example:	JP Computers	Wash., DC	EXAMPLE	Salary
	MCI (Spouse)	Arlington, VA	EXAMPLE	Salary
1	Environmental consultant to Ocean Conservancy (Spouse)	Washington, DC	S/E	Over \$1,000
2	"On Virtues" book royalties published by Adams Media	Avon, MA	Royalties	\$8,000
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				

## **PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES**

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BLOCK A

# **Identity of Publicly Traded Assets And Unearned Income Sources**

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, **CONTENTS OF REPORTS, Part B of Instructions**) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
  - (2) generated over \$200 in "unearned" income during the reporting period.

**Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest excepted investment fund, bank account excepted and qualified blind trust, and publicly traded asset of a retirement plan.**

BLOCK E  
Valuation of A

At the close of reporting period  
If None, or less than \$1,001  
check the first column.

**BLOCK C**  
**Type and Amount of Income**

**, EXEMPTION TEST (see instructions before marking box):** If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

... This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

## **PART IIIB. NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES**

4

## BLOCK A

# **Identity of Non-Publicly Traded Assets and Unearned Income Sources**

Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
  - (2) generated over \$200 in "unearned" income during the reporting period.

Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.

## BLOCK B

# Valuation of Assets

**At the close of reporting period  
If None, or less than \$1,001,  
check the first column.**

**BLOCK C**

**EXEMPTION TEST** (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

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Whitehouse, Sheldon

## PART IV. TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

## Identification of Assets

	S, Example: DC, or J	Transaction Type (x)			Amount of Transaction (x)									
		Purchase	Sale	Exchange	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	Over \$50,000,000
1	(S) Morgan Stanley- SEP IRA													
2	General Electric Co	X			2/1/1X		X		E	X	A	M	P	L
3	Genl Elec Capt Corp 6.375% Fixed		X			1/27/1X			X	E	X	A	M	P
4	Janus Overseas Fund		X				10/01/12	X						
5	Gabelli Asset I		X					12/17/12	X					
6	The Financial Sel Spdr Fd (XLF)		X					10/01/12	X					
7	Powershares Kbw Premium Yiel		X					9/26/12	X					
8	AT&T Inc		X					10/01/12	X					
9	Vanguard Info Tech Etf		X					8/08/12	X					
10	Wells Fargo Cap XI 6.25%			X				8/08/12	X					
11	(S) Morgan Stanley- IRA							8/08/12	X					
12	Blackrock Equity Div I		X					6/15/12	X					

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	IBM Corp. (stock) NYSE	X			2/1/1X	X					E	X	A	M	P	L	E	
	(DC) Microsoft (stock) NASDAQ/OTC		X		1/27/1X						X	E	X	A	M	P	L	E
1	Prudential Jennison Eq Inc	X			4/11/12	X												
2	Morgan Stanley- IRA				1/17/12													
3	Vanguard Intl Value Inv (was Vanguard Trustees Equity Fund in 2011)		X		1/17/12	X												
4	William Cos Inc		X		1/17/12	X												
5	Symantec Corp		X		1/17/12	X												
6	Pfizer Inc		X		1/17/12	X												
7	Microsoft Corp		X		1/17/12	X												
8	Fidelity Contrafund		X		1/17/12	X												
9	Cisco Sys Inc		X		1/17/12	X												
10	Columbia Acorn Fund CI Z		X		1/17/12	X												
11	Wasatch Ultra Grw Fund		X		1/17/12	X												
12	T Rowe Price New Asia Fund		X		1/17/12	X												

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S, Example: DC, or J		IBM Corp. (stock) NYSE	X			2/1/1X			X			E	X	A	M	P	L	E	
		(DC) Microsoft (stock) NASDAQ/OTC		X		1/27/1X						X	E	X	A	M	P	L	E
1	Wpx Energy Inc			X		1/17/12			X										
2	Vmware Inc			X		1/17/12				X									
3	Nvidia Corp			X		1/17/12				X									
4	Myriad Genetic Inc			X		1/17/12				X									
5	Amdocs Ltd			X		1/17/12				X									
6	Gilead Services Inc			X		1/17/12				X									
7	Sandisk Corp			X		1/17/12				X									
8	Ventas Inc			X		1/17/12				X									
9	Varian Med Systems Inc			X		1/17/12				X									
10	Eaton Vance Comm Strat			X		1/24/12				X									
11	Mainstay Large Cap Grw			X		1/24/12					X								
12	Ivy Mid Cap Growth			X		1/24/12				X									

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	IBM Corp. (stock) NYSE (DC) Microsoft (stock) NASDAQ/OTC	X			2/1/1X	X		E	X	A	M	P	L	E
1	Pimco Emerg Local Bond	X			1/24/12	X								
2	Goldman Sachs Abslt Ret Trck	X	X		1/27/1X			X	E	X	A	M	P	L
3	Eaton Vance Large Cap Value Fd	X			1/24/12		X							
4	Mgrs Systematic Md Cp VII	X			1/24/12	X								
5	Rydex/Sgi Managed Fut Str H	X			1/24/12	X								
6	Ing Global Real Estate Fund	X			1/24/12	X								
7	Cambiar Small Cap Inv	X			1/24/12	X								
8	Virtus Insight Emerg Mkts I	X			1/24/12		X							
9	JP Morgan Dynamic Sm Cp Gr Sel	X			1/24/12	X								
10	Thornburg Intl Value I	X			1/24/12	X								
11	Met West Tot Ret Bond	X			1/24/12		X							
12	Goldman Sachs Abslt Ret Trck	X			4/03/12	X								

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1	Guggenheim Mngd Futrs Strat	X			2/1/1X	X				E	X	A	M	P	L	E	
2	Met West Tot Ret Bond		X		1/27/1X					X	E	X	A	M	P	L	E
3	Pimco Emerg Local Bond			X	4/13/12	X											
4	Nuveen Nwq Large Cap Value I		X		4/18/12		X										
5	Eaton Vance Large Cap Value Fd			X	4/18/12			X									
6	Legg Mason Wa Emerg Mkt Debt I		X		4/18/12		X										
7	Eaton Vance Comm Strat			X	8/24/12	X											
8	Pimco Short Term P		X		8/24/12	X											
9	Pimco Foreign Bond US \$ Hedged P			X	8/24/12	X											
10	Guggenheim Mngd Futrs Strat			X	8/24/12	X											
11	E V Income Fund of Boston I		X		8/24/12	X											
12	Legg Mason Wa Emerg Mkt Debt I			X	8/24/12	X											

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<b>Identification of Assets</b>																
S, Example: DC, or J	IBM Corp. (stock) NYSE		X			2/1/1X	X		E	X	A	M	P	L	E	
	(DC) Microsoft (stock) NASDAQ/OTC			X		1/27/1X			X	E	X	A	M	P	L	E
1	Blackrock Inflat Prot Bond I		X			8/24/12	X									
2	Thornburg Intl Value I		X			8/24/12	X									
3	Met West Tot Ret Bd			X		8/24/12		X								
4	Eaton Vance Comm Strat		X			11/09/12	X									
5	Mainstay Large Cap Grw I		X			11/09/12	X									
6	Pimco Short Term P			X		11/09/12	X									
7	Virtus Insight Emerg Mkts I			X		11/09/12	X									
8	E V Income Fund of Boston I			X		11/09/12	X									
9	Thornburg Intl Value I		X			11/09/12	X									
10	Met West Tot Ret Bd			X		11/09/12	X									
11	Guggenheim Mngd Futrs Strat			X		12/14/12	X									
12	Aqr Managed Futures Strat I		X			12/14/12	X									

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## PART IV. TRANSACTIONS

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Whitehouse, Sheldon

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## **Identification of Assets**

S. Example: DC, or J	IBM Corp. (stock) NYSE (DC) Microsoft (stock) NASDAQ/OTC	X	2/1/1X	X	E X A M P L E
		X	1/27/1X		X E X A M P L E
1	Morgan Stanley-Sheldon Whitehouse Family Trust				
2	Wachovia Cap Trust IV 6.375%	X	4/13/12	X	
3	NYSE Euronext	X	7/06/12	X	
4	Guggenheim China Small Cap	X	7/02/12	X	
5	Clean Energy Fuels Corp	X	7/06/12	X	
6	Clean Energy Fuels Corp	X	8/27/12	X	
7	Clean Energy Fuels Corp	X	12/04/12	X	
8	Bac Cap Tr X 6.25% Due 2044-03-09	X	7/25/12	X	
9	Sandisk Corp	X	10/30/12	X	
10	Suburban Propane Part LP	X	10/25/12	X	
11	Teva Pharm Inds	X	10/02/12	/ X	
12	3M Company	X	12/17/12	X	

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	IBM Corp. (stock) NYSE (DC) Microsoft (stock) NASDAQ/OTC	X			2/1/1X	X			E	X	A	M	P	L	E	
			X		1/27/1X				X	E	X	A	M	P	L	E
1	Accenture Plc Ireland Cl A	X			10/25/12	X										
2	Barrick Gold Corp	X			12/17/12		X									
3	Boeing Co	X			10/25/12	X										
4	Canadian Pacific Rail	X			10/30/12		X									
5	Centurylink Inc	X			3/22/12	X										
6	Clearbridge Energy Mlp Opp Fd	X			8/22/12	X										
7	Clearbridge Energy Mlp Opp Fd	X			10/22/12	X										
8	Honeywell Intl Inc	X			4/27/12	X										
9	Honeywell Intl Inc	X			7/06/12	X										
10	Johnson Controls Inc	X			8/31/12	X										
11	Limited Brands Inc	X			12/17/12	X										
12	Unitedhealth Gp Inc	X			8/31/12		X									

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	IBM Corp. (stock) NYSE	X			2/1/1X	X		E	X	A	M	P	L	E
	(DC) Microsoft (stock) NASDAQ/OTC		X		1/27/1X			X	E	X	A	M	P	L
1	Visa Inc Cl A	X			12/17/12	X								
2	Westport Innovations Inc	X			3/22/12	X								
3	Westport Innovations Inc	X			7/06/12	X								
4	(DC) Morgan Stanley [2]													
5	Petroleo Bras Sa Ads (Petrobras)		X		7/06/12	X								
6	-----													
7	Watts Wtr Tech Inc A		X		9/26/12	X								
8	Centurylink Inc	X			8/24/12	X								
9	Gamestop Corp Cl A New	X			8/24/12	X								
10	Google Inc- Cl A	X			10/24/12	X								
11	(DC) Morgan Stanley [4]													
12	Intel Corp		X		12/17/12	X								

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

## PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

## Identification of Assets

S, Example: DC, or J	Asset Description	Transaction Type (x)			Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x)												
		Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000			
	IBM Corp. (stock) NYSE	X			2/1/1X	X					E	X	A	M	P	L	E	
	(DC) Microsoft (stock) NASDAQ/OTC		X		1/27/1X						X	E	X	A	M	P	L	E
1	Anheuser Busch Inbev Sa Spon	X			10/30/12	X												
2	Health Care Sel Sect Spdr Fd	X			10/25/12	X												
3	Thermo Fischer Scientific Inc	X			12/17/12	X												
4	(J) Morgan Stanley [2]																	
5	Comcast Corp 7.0%		X		2/27/12	X												
6	Comcast Corp 7.0%		X		4/20/12		X											
7	John Deere Cap C dtd 9/08/08		X		1/11/12		X											
8	-----																	
9	Public Storage MD 6.75%		X		2/9/12		X											
10	Usb Capital X 6.25%		X		2/22/12		X											
11	American Elec Power Inc Bond		X		12/14/12		X											
12	Bear Stearns Co Inc 7.25% Due 2018-02-01		X		7/27/12		X											

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.  
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## PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

## Identification of Assets

	S, Example: DC, or J	Transaction Type (x)			Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x)											
		Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000		
		X			2/1/1X		X			E	X	A	M	P	L	E	
			X		1/27/1X					X	E	X	A	M	P	L	E
1	Caterpillar Inc		X		9/25/12		X										
2	PNC Capital Tr E 7.75%		X		7/30/12		X										
3	Verizon Comm 6.10% Due 2018-04-05		X		7/27/12		X										
4	Waste Mgmt Inc		X		8/28/12		X										
5	Accenture Plc Ireland CI A	X			9/28/12		X										
6	Qualcomm Inc	x			9/28/12		X										
7	Duke Energy Corp Holding Co		X		7/05/12		X										
8	Duke Energy Corp New		X		7/05/12		X										
9	-----																
10	-----																
11	-----																
12	-----																

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

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## PART IV. TRANSACTIONS

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## Identification of Assets

S. Example: DC, or J	IBM Corp. (stock) NYSE (DC) Microsoft (stock) NASDAQ/OTC	Transaction Type (x)			Transaction Date (Mo., Day, Yr.)	Amount of Transaction (x)								
		Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000
1					2/1/1X	X					E	X	A	M
2											X	E	X	M
3	Raymond James Financial		X		4/27/12		X							L
4	Helen Chase Rand Residual Trust													E
5	MFS Value Fund- Cl I		X		2/15/12		X							
6	T Rowe Price Short Term Bd Fd		X		2/15/12			X						
7	Artisan Mid Cap Fund		X		4/11/12		X							
8	Pimco Tot Ret Fd		X		5/11/12		X							
9	Dodge & Cox Income Fd		X		5/11/12		X							
10	Gateway Fund		X		8/13/12		X							
11	Dreyfus Emerg Mkt Debt		X		8/13/13		X							
12	Ishares S&P 500 Index Fund		X		8/13/12		X							

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.  
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Reporting Individual's Name

 Amendment

Page Number

Whitehouse, Sheldon

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## PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

## Identification of Assets

	S, Example: DC, or J	Transaction Type (x)			Amount of Transaction (x)											
		Purchase	Sale	Exchange	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000**	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000		
	IBM Corp. (stock) NYSE (DC) Microsoft (stock) NASDAQ/OTC	X			2/1/1X	X			E	X	A	M	P	L	E	
			X		1/27/1X				X	E	X	A	M	P	L	E
1	Pimco Total Ret Fd	X			8/13/12	X										
2	Dodge & Cox Income Fd	X			8/13/12	X										
3	Pimco Total Ret Fund	X			11/20/12	X										
4	Ishares Russell 2000 Growth Index	X			11/23/12	X										
5	Ishares Russell 2000 Growth Index	X			12/24/12	X										
6	Dodge & Cox Income Fd		X		2/13/12	X										
7	Goldman Sachs Grth Opp Fd		X		4/11/12	X										
8	Ishares S&P 500 Index Fd		X		4/19/12	X										
9	Mainstay Epoch US Equity Fund		X		2/13/12	X										
10	Pimco Total Ret Fd		X		2/13/12	X										
11	T Rowe Price Short Term Bd Fd		X		5/09/12	X										
12	Dodge & Cox Income Fund		X		11/20/12	X										

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.  
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## PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000.

Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

## Identification of Assets

	S, Example: DC, or J	Transaction Type (x)			Amount of Transaction (x)											
		Purchase	Sale	Exchange	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000		
		X			2/1/1X	X			E	X	A	M	P	L	E	
			X		1/27/1X				X	E	X	A	M	P	L	E
1	Laudus Mondrian Intl Fixed Income Fund		X		8/09/12	X										
2	Mainstay Epoch US Equity Fund		X		8/09/12	X										
3	Pimco Foreign Bond Fd		X		8/09/12	X										
4	T Rowe Price Short Term Bd Fd		X		8/09/12	X										
5	T Rowe Price Short Term Bd Fd		X		11/20/12	X										
6	TCW Small Cap Growth Fd		X		11/20/12	X										
7	TCW Small Cap Growth Fd		X		12/20/12	X										
8	Anheuser Busch Inbev Sa Spon (SW Family Trust)		X		7/06/12	X										
9	Celgene ( (DC) Morgan Stanley [2] )		X		7/06/12	X										
10																
11																
12																

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Whitehouse, Sheldon

## PART VII. LIABILITIES

20

Report liabilities over \$10,000 owed by you, your spouse, or dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions), to any one creditor at any time during the reporting period. Check the highest amount owed during the reporting period. Exclude: (1) mortgages on your personal residences unless rented (except for Senators); (2) loans secured by automobiles, household furniture or appliances; and (3) liabilities owed to certain relatives listed in Instructions. See Instructions for reporting revolving charge accounts.

	Name of Creditor  Example: DC, or J	Address	Type of Liability	Date Incurred	Interest Rate	Discount Points Paid for Mortgage (Senators Only)	Term if Applicable	Category of Amount of Value (x)						
								\$10,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000**
S,	First District Bank	Wash., DC	Mortgage on undeveloped land	1992	13%	1 pt	25 yrs	X	M	X	A	M	P	L
(J)	John Jones	Wash., DC	Promissory Note	2000	10%	n/a	On dmd	X	E	X	A	M	P	L
1	US Bank	Owensboro, KY	Home Mortgage	2010	4.75%		20 yrs			X				
2	Morgan Stanley	Newport, RI	Margin A/C	2010	8.37%		1 mo			X				
3														
4														
5														
6														
7														
8														
9														
10														
11														
12														

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.  
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Whitehouse, Sheldon

## PART IX. AGREEMENTS OR ARRANGEMENTS

21

Report your agreements or arrangements for future employment (including agreements with a publisher for writing a book or sale of other intellectual property), leaves of absence, continuation of payment by a former employer (including severance payments), or continuing participation in an employee benefit plan. See Instructions regarding the reporting of negotiations for any of these arrangements or benefits.

Status and Terms of any Agreement or Arrangement		Parties	Date
Example:	Pursuant to partnership agreement, will receive lump sum payment of capital account and partnership share calculated on services performed through 11/0X and retained pension benefits (diversified, independently managed, fully funded, defined contribution plan)	Jones & Smith, Hometown, USA	<b>EXAMPLE</b> 1 / 94
	Employment agreement with XYZ Co. to become Vice President of Government Relations. Terms of agreement include salary between \$50,001-\$100,000, signing bonus between \$2,501-\$5,000 and stock options	XYZ Co., Bethesda, MD	<b>EXAMPLE</b> 1 / 1X
1	Adams Media published a book written by Sen Whitehouse titled "On Virtues" and royalties to be paid on book sales	Adams Media, Avon, MA	11/12
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			

Whitehouse, Sheldon

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Attach A

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
- (2) generated over \$200 in "unearned" income during the reporting period.

Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.

IBM Corp. (stock)

None (or less than \$1,001)

\$1,001 - \$15,000
\$15,001 - \$50,000
\$50,001 - \$100,000
\$100,001 - \$250,000
\$250,001 - \$500,000
\$500,001 - \$1,000,000
Over \$1,000,000***
\$1,000,001 - \$5,000,000
\$5,000,001 - \$25,000,000
\$25,000,001 - \$50,000,000
Over \$50,000,000

BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

	S, Example: DC, or J	(S) Keystone Fund	Type of Income								Amount of Income												
			None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000**	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified
1	(S) Morgan Stanley- SEP IRA																						
2	Cash Savings	X																					
3	Regency Energy Partners	X																					
4	JPM Chase Capital	X																					
5	Fidelity Contrafund	X																					
6	Fundamental Inv Fund	X																					
7	Oakmark Equity & Income Fund	X																					
8	Janus Forty Fund CI C		X																				
9	Janus Overseas Fund CI C	X																					
10	Janus Balanced Fund CI C	X																					

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

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Whitehouse, Sheldon

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

A cont'd

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3,

*CONTENTS OF REPORTS, Part B of Instructions*) for production of income or investment which:

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Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.

BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
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## BLOCK C

## Type and Amount of Income

Type of Income							Amount of Income													
None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	Over \$5,000,000	Actual Amount Required if "Other" Specified	

S, Example: DC, or J	IBM Corp. (stock)	X																		Example
(S) Keystone Fund			X																Example	
1 T Rowe Price New Asia		X																		
2 Vanguard Health Care Inv (was Vanguard Specialized Port in 2011)		X																		
3 Vanguard Intl Value Inv (was Vanguard Trustees Equity Fund in 2011)		X																		
4 Victory Portfolios Est Value Fd Cl A		X																		
5 General Electric Co		X																		
6 Genl Elec Capt Corp 6.375% Fixed		X																		
7 Gabeli Asset I		X																		
8 The Financial Sel Spdr Fund (XLF)		X																		
9 Powershares Kbw Premium Yiel		X																		
10 AT&T Inc		X																		

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whitehouse, Sheldon

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

A cont'd

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
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Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.

BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
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## BLOCK C

## Type and Amount of Income

Type of Income							Amount of Income																	
None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified				
X										X													Example	
		X									X													Example

S, Example: DC, or J	IBM Corp. (stock)	X																						
	(S) Keystone Fund		X																					
1	Vanguard Info Tech Etf	X																						
2																								
3																								
4																								
5																								
6																								
7																								
8																								
9																								
10																								

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Whitehouse, Sheldon

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Attach B

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3,

*CONTENTS OF REPORTS, Part B of Instructions*) for production of income or investment which:

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BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
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## BLOCK C

## Type and Amount of Income

Type of Income							Amount of Income														
None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	Over \$5,000,000	Actual Amount Required if "Other" Specified		
	X							Example		X										Example	

S, Example: DC, or J	IBM Corp. (stock)	X																			
	(S) Keystone Fund		X																		Example
1	(S) Morgan Stanley- IRA																				
2	Cash Savings	X																			
3	Fidelity Contra Fund		X																		
4	Goldman Sach Bric Inst		X																		
5	Hartford Cap Apprec I		X																		
6	T Rowe Price New Asia Fund		X																		
7	Blackrock Equity Div I		X																		
8	Prudential Jennison Eq Inc		X																		
9																					
10																					

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Whitehouse, Sheldon

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Attach C

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
- (2) generated over \$200 in "unearned" income during the reporting period.

Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.

BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
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BLOCK C  
Type and Amount of Income

	Type of Income							Amount of Income												
	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000
S, Example: DC, or J	X						X			X	X									Example
(S) Keystone Fund		X						X		X		X		X						Example
1 Morgan Stanley- IRA																				
2 Cash savings	X									X		X			X					
3 Aqr Managed Futures Strat I	X									X		X			X					
4 Blackrock Inflat Prot Bond I	X									X		X			X					
5 Cambiar Small Cap Inv	X									X		X			X					
6 E V Income Fund of Boston I	X									X		X			X					
7 Eaton Vance Comm Strat	X									X		X			X					
8 Goldman Sachs Abslt Ret Trck		X								X		X			X					
9 Ing Global Real Estate Fund	X									X		X			X					
0 Ivy Mid Cap Growth	X									X		X			X					

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.



## **PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES**

BLOCK A

## **Identity of Publicly Traded Assets And Unearned Income Sources**

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, **CONTENTS OF REPORTS, Part B of Instructions**) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
  - (2) generated over \$200 in "unearned" income during the reporting period.

income during the reporting period. Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.

BLOCK B  
Valuation of Assets

**At the close of reporting period**  
**If None, or less than \$1,001**  
check the first column.

**EXEMPTION TEST** (*see instructions before marking box*): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

**\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.**



0000624330 Reporting Individual's Name		<input type="checkbox"/> Amendment	PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES										Page Number																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																		
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<b>BLOCK A</b> <b>Identity of Publicly Traded Assets And Unearned Income Sources</b> <p>Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, <b>CONTENTS OF REPORTS, Part B of Instructions</b>) for production of income or investment which:</p> <ul style="list-style-type: none"> <li>(1) had a value exceeding \$1,000 at the close of the reporting period; and/or</li> <li>(2) generated over \$200 in "unearned" income during the reporting period.</li> </ul> <p>Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.</p>		<b>BLOCK B</b> <b>Valuation of Assets</b> <p>At the close of reporting period. If None, or less than \$1,001, check the first column.</p>		<b>BLOCK C</b> <b>Type and Amount of Income</b> <table border="1"> <thead> <tr> <th colspan="7">Type of Income</th> <th colspan="4">Amount of Income</th> <th rowspan="2">Actual Amount Required if "Other" Specified</th> </tr> <tr> <th>None (or less than \$1,001)</th> <th>\$1,001 - \$15,000</th> <th>\$15,001 - \$50,000</th> <th>\$50,001 - \$100,000</th> <th>\$100,001 - \$250,000</th> <th>\$250,001 - \$500,000</th> <th>\$500,001 - \$1,000,000</th> <th>Over \$1,000,000***</th> <th>\$1,000,001 - \$5,000,000</th> <th>\$5,000,001 - \$25,000,000</th> <th>\$25,000,001 - \$50,000,000</th> <th>Over \$50,000,000</th> </tr> </thead> <tbody> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input checked="" type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> </tr> <tr> <td><input type="checkbox"/></td> <td>&lt;input type="checkbox</td></tr></tbody></table>										Type of Income							Amount of Income				Actual Amount Required if "Other" Specified	None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																							
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<b>BLOCK A</b> <b>Identity of Publicly Traded Assets And Unearned Income Sources</b>  Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, <b>CONTENTS OF REPORTS, Part B of Instructions</b> ) for production of income or investment which: (1) had a value exceeding \$1,000 at the close of the reporting period; and/or (2) generated over \$200 in "unearned" income during the reporting period.  Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.			<b>BLOCK B</b> <b>Valuation of Assets</b>  At the close of reporting period. If None, or less than \$1,001, check the first column.						<b>BLOCK C</b> <b>Type and Amount of Income</b>  <table border="1"> <thead> <tr> <th colspan="7">Type of Income</th> <th colspan="7">Amount of Income</th> </tr> <tr> <th>None (or less than \$1,001)</th> <th>\$1,001 - \$15,000</th> <th>\$15,001 - \$50,000</th> <th>\$50,001 - \$100,000</th> <th>\$100,001 - \$250,000</th> <th>\$250,001 - \$500,000</th> <th>Over \$1,000,000***</th> <th>\$1,000,001 - \$5,000,000</th> <th>\$5,000,001 - \$25,000,000</th> <th>\$25,000,001 - \$50,000,000</th> <th>Over \$50,000,000</th> <th>None</th> <th>Dividends</th> <th>Rent</th> <th>Interest</th> <th>Capital Gains</th> <th>Excepted Investment Fund</th> <th>Excepted Trust</th> <th>Qualified Blind Trust</th> <th>Other (Specify Type)</th> <th>None (or less than \$201)</th> <th>\$201 - \$1,000</th> <th>\$1,001 - \$2,500</th> <th>\$2,501 - \$5,000</th> <th>\$5,001 - \$15,000</th> <th>\$15,001 - \$50,000</th> <th>\$50,001 - \$100,000</th> <th>\$100,001 - \$1,000,000***</th> <th>\$1,000,001 - \$5,000,000</th> <th>Over \$5,000,000</th> <th>Actual Amount Required if "Other" Specified</th> </tr> </thead> <tbody> <tr> <td>X</td> </tr> </tbody> </table>								Type of Income							Amount of Income							None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X
			Type of Income							Amount of Income																																																																															
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X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X																																																														
S, Example: DC, or J	IBM Corp. (stock)	X																																																																																							
	(S) Keystone Fund	X																																																																																							
1	Barrick Gold Corp	X																																																																																							
2	Boeing Co	X																																																																																							
3	Canadian Pacific Rail	X																																																																																							
4	Centurylink Inc	X																																																																																							
5	Citrix Systems Inc	X																																																																																							
6	Clearbridge Energy Mlp Opp Fd	X																																																																																							
7	CVS Caremark Corp	X																																																																																							
8	Danaher Corp DE		X																																																																																						
9	Emc Corp Mass	X																																																																																							
10	Eog Resources Inc		X																																																																																						

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

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Whitehouse, Sheldon

D cont'd

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child. (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
- (2) generated over \$200 in "unearned" income during the reporting period.

Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.

BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
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BLOCK C  
Type and Amount of Income

Type of Income							Amount of Income														
None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000**	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified	
X									X	X											Example

S, Example: DC, or J	IBM Corp. (stock)	X																				Example
(S)	Keystone Fund		X																			Example
1	Express Scripts Inc	X																				
2	Goldman Sachs Group Inc		X																			
3	Google Inc		X																			
4	Home Depot Inc		X																			
5	Honeywell Intl Inc	X																				
6	Illinois Tool Works Inc	X																				
7	Intl Flavors & Fragrances	X																				
8	Ishares Trts China 25	X																				
9	Ishares Tr Msci Eafe	X																				
10	Ishares Tr Russell 200	X																				

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Whitehouse, Sheldon

D cont'd

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, **CONTENTS OF REPORTS, Part B of Instructions**) for production of income or investment which:

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Valuation of Assets

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None (or less than \$1,001)																										
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			\$50,001 - \$100,000																							
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					\$250,001 - \$500,000																					
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							Over \$1,000,000***																			
								\$1,000,001 - \$5,000,000																		
									\$5,000,001 - \$25,000,000																	
										\$25,000,001 - \$50,000,000																
											Over \$50,000,000															

BLOCK C  
Type and Amount of Income

Type of Income							Amount of Income														
None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	Over \$5,000,000	Actual Amount Required if "Other" Specified		
X									X											Example	
		X							X											Example	
			X																		
				X																	
					X																
						X															
							X														
								X													
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																			X		
																				X	
																					X

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## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS, Part B of Instructions*) for production of income or investment which:

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Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.

S, IBM Corp. (stock)

(S) Keystone Fund

None (or less than \$1,001)

\$1,001 - \$15,000
\$15,001 - \$50,000
\$50,001 - \$100,000
\$100,001 - \$250,000
\$250,001 - \$500,000
\$500,001 - \$1,000,000
Over \$1,000,000***
\$1,000,001 - \$5,000,000
\$5,000,001 - \$25,000,000
\$25,000,001 - \$50,000,000
Over \$50,000,000

BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

BLOCK C  
Type and Amount of Income

	Type of Income							Amount of Income															
	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	Over \$5,000,000	Actual Amount Required if "Other" Specified			
	X									X													

S, Example: DC, or J	IBM Corp. (stock)	X								X														
	(S) Keystone Fund		X								X													
1	Qualcomm Inc	X								X														
2	Schlumberger Ltd		X							X														
3	Spdr Ser Tr S&P Metals & Mng	X								X		X												
4	Symantec Corp		X							X														
5	Union Pacific Corp			X						X														
6	United Tech Corp		X							X														
7	Unitedhealth Gp Inc		X							X														
8	V F Corp			X						X														
9	Visa Inc Cl A		X							X														
10	Vodafone Gp PLC		X							X														

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

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Whitehouse, Sheldon

## **PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES**

D cont'd

## BLOCK A

## **Identity of Publicly Traded Assets And Unearned Income Sources**

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, **CONTENTS OF REPORTS**, *Part B of Instructions*) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
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Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest excepted investment fund, bank account excepted and qualified blind trust, and publicly traded asset of a retirement plan.

BLOCK B

**At the close of reporting period  
If None, or less than \$1,001,  
check the first column.**

## BLOCK C

**EXEMPTION TEST** (*see instructions before marking box*): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

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Whitehouse, Sheldon

Attach E

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS, Part B of Instructions*) for production of income or investment which:

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BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
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S, Example: DC, or J	IBM Corp. (stock)	X									
	(S) Keystone Fund		X								
1	(DC) Morgan Stanley [2]										
2	Cash savings	X									
3	Apple Inc		X								
4	Bank of America		X								
5	Berkshire Hathaway Inc		X								
6	Celgene Corp		X								
7	Centurylink Inc	X									
8	Covidien PLC	X									
9	Cvs Caremark Corp		X								
10	Devon Energy Corp	X									

BLOCK C  
Type and Amount of Income

Type of Income							Amount of Income													
None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	Over \$5,000,000	Actual Amount Required if "Other" Specified	
X								Example	X										Example	
		X						Example	X										Example	

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

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## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS, Part B of Instructions*) for production of income or investment which:

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S,  
Example: DC,  
or J

(S) Keystone Fund

BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***

BLOCK C  
Type and Amount of Income

## Type of Income

## Amount of Income

	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified	
S, Example: DC, or J	X				X			Example	X											Example	
(S) Keystone Fund	X	X			X			Example	X											Example	
1 Fresenius Med Care	X				X				X												
2 Gamestop Corp Cl A New	X				X				X												
3 General Electric Co	X				X				X												
4 Google Inc- Cl A	X				X				X												
5 IBM Corp	X				X				X												
6 Kimberly Clark Corp	X				X				X												
7 Microsoft Corp	X				X				X												
8 Nestle SA Spon Adr	X				X				X												
9 Nvidia Corp	X				X				X												
10 Schlumberger Ltd	X				X				X												

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

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## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
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Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.

S, IBM Corp. (stock)

	None (or less than \$1,001)	BLOCK B Valuation of Assets							BLOCK C Type and Amount of Income																								
		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified
S, Example: DC, or J	IBM Corp. (stock)	X											X																		Example		
(S)	Keystone Fund		X											X																	Example		
1	State Street Corp		X										X																				
2	Templeton Emerg Mkts Fund	X											X																				
3	Teradata Corp	X											X																				
4	Varian Med Systems Inc		X										X																				
5	Verizon Comm		X										X																				
6	Visa Inc		X										X																				
7	Walt Disney Co		X										X																				
8																																	
9																																	
10																																	

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## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.

S, Example: DC, or J	IBM Corp. (stock)	X
(S)	Keystone Fund	X

1 (DC) Morgan Stanley [4]

2 Cash savings

3 3M Co

4 Anheuser Busch Inbev Sa Spon

5 Blackrock Inc

6 Select Spec Spdr-Energy

7 Enterprise Prod Parners LP

8 Health Care Sel Sect Spdr Fd

9 JPM Morgan Chase &amp; Co

10 Pepsico

BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
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BLOCK C  
Type and Amount of Income

Type of Income							Amount of Income													
None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	Over \$5,000,000	Actual Amount Required if "Other" Specified	
X								Example	X											Example

X		X							X											
X										X										
X											X									
X											X									
X												X								
X												X								
X												X								
X												X								
X												X								
X												X								
X												X								

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.





### **Reporting Individual's Name**

Amendment

Page Number

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

AttachG

**BLOCK A**  
**Identity of Publicly Traded Assets**  
**And Unearned Income Sources**

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS, Part B of Instructions*) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
  - (2) generated over \$200 in "unearned" income during the reporting period.

**Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account excepted and qualified blind trust, and publicly traded asset of a retirement plan.**

<b>Example:</b> DC, or J	S. <i>IBM Corp. (stock)</i> <hr/> (S) <i>Keystone Fund</i>
-----------------------------	---

1 | (J) Morgan Stanley [1]

## 2 | Cash savings

3 | Quantum Polymer Tech Corp

1

29

-

1

4

8

9

10

1

BLOCK B

**At the close of reporting period**  
**If None, or less than \$1,001,**  
**check the first column.**

None (or less than \$1,001)
\$1,001 - \$15,000
\$15,001 - \$50,000
\$50,001 - \$100,000
\$100,001 - \$250,000
\$250,001 - \$500,000
\$500,001 - \$1,000,000
Over \$1,000,000***
\$1,000,001 - \$5,000,000
\$5,000,001 - \$25,000,000
\$25,000,001 - \$50,000,000
Over \$50,000,000

**BLOCK C**

**EXEMPTION TEST** (see *instructions before marking box*): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.



Reporting Individual's Name  Amendment  
Whitehouse, Sheldon

Page Number  
Attach H

### PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

#### BLOCK A

#### Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
- (2) generated over \$200 in "unearned" income during the reporting period.

Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.

#### BLOCK B

#### Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
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S, Example: DC, or J	IBM Corp. (stock)
(S)	Keystone Fund

1 (J) Morgan Stanley [2]

2 Cash Savings

3 Accenture Plc Ireland Cl A

4 Apple Inc

5 AT&T Inc

6 Caterpillar Inc

7 Clorox Co De

8 Coca Cola Co

9 Conagra Foods Inc

10 Duke Energy Corp New

#### BLOCK C

#### Type and Amount of Income

Type of Income								Amount of Income														
None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified		
X				X					X	X											Example	
					X						X											Example
						X						X										
							X						X									
								X						X								
									X						X							
										X						X						
											X						X					
												X						X				
													X						X			
														X						X		
															X							
																X						
																	X					
																		X				
																			X			
																				X		
																					X	
																						X

EXEMPTION TEST (see Instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.



## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS, Part B of Instructions*) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
- (2) generated over \$200 in "unearned" income during the reporting period.

Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.

BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
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BLOCK C  
Type and Amount of Income

Type of Income								Amount of Income												Actual Amount Required if "Other" Specified	
None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000		

S, Example: DC, or J	IBM Corp. (stock)	X								X											Example
	(S) Keystone Fund		X								X		X								Example
1	Eaton Corp Plc Shs	X								X							X				
2	Enterprise Prod Partners LP	X								X								X			
3	General Electric Co	X								X								X			
4	Honeywell Intl Inc	X								X								X			
5	Intel Corp	X								X								X			
6	JP Morgan Chase & Co	X								X								X			
7	Mcdonalds Corp	X								X								X			
8	Microchip Tech Inc	X								X								X			
9	Nestle SA Spon Adr		X							X								X			
10	Qualcomm Inc		X							X								X			

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

## **PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES**

Hitehouse, Sheldon

H cont'd

**BLOCK A**  
**Identity of Publicly Traded Assets**  
**And Unearned Income Sources**

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS, Part B of Instructions*) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
  - (2) generated over \$200 in "unearned" income during the reporting period.

income during the reporting period.  
Include on PART IIIA a complete  
identification of each public bond, mutual  
fund, publicly traded partnership interest,  
excepted investment fund, bank account,  
excepted and qualified blind trust, and  
publicly traded asset of a retirement plan.

BLOCK B  
Valuation of Assets

**At the close of reporting period**  
If None, or less than \$1,001,  
check the first column.

## BLOCK C

**EXEMPTION TEST** (*see instructions before marking box*): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

**\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.**



Reporting Individual's Name  Amendment  
Whitehouse, Sheldon

Page Number  
Attach I

### PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

#### BLOCK A

##### Identity of Publicly Traded Assets And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS, Part B of Instructions*) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
- (2) generated over \$200 in "unearned" income during the reporting period.

Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.

#### BLOCK B

##### Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000**	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
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#### BLOCK C

##### Type and Amount of Income

	Type of Income							Amount of Income																	
	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000**	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified				
S, Example: DC, or J	X									X	X												Example		
(S) Keystone Fund		X									X													Example	
1 Sales transactions reporting capital gain income																									
2 (S) Morgan Stanley-SEP IRA																									
3 Wells Fargo Capital XI 6.25%	X										X														
4 Morgan Stanley-IRA																									
5 Microsoft Corp	X										X														
6 Myriad Genetics Inc	X										X														
7 Nvidia Corp	X										X														
8 Pfizer Inc	X										X														
9 Sandisk Corp	X										X														
10 Symantec Corp	X										X														

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Whitehouse, Sheldon

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

I cont'd

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
- (2) generated over \$200 in "unearned" income during the reporting period.

Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.

BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
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BLOCK C  
Type and Amount of Income

Type of Income							Amount of Income															
None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified		

S, Example: DC, or J	IBM Corp. (stock)	X																					Example
	(S) Keystone Fund		X																				Example
1	Varian Med Systems Inc	X																	X				
2	Vmware Inc	X																		X			
3	Ventas Inc	X																			X		
4	Williams Cos Inc	X																		X			
5	Met West Total Ret Bd	X																		X			
6	Eaton Vance large Cap Value Fd	X																	X				
7	Morgan Stanley-Sheldon Whitehouse family Trust																						
8	Wachovia Cap trust iv 6.375%	X																		X			
9	Bac Cap Tr X	X																			X		
10	(DC) Morgan Stanley [2]																						

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

## **PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES**

I cont'd

**BLOCK A**  
**Identity of Publicly Traded Assets**  
**And Unearned Income Sources**

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, **CONTENTS OF REPORTS, Part B of Instructions**) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
  - (2) generated over \$200 in "unearned" income during the reporting period.

**Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest excepted investment fund, bank account excepted and qualified blind trust, and publicly traded asset of a retirement plan.**

## BLOCK B

### Valuation of Assets

At the close of reporting period  
If None, or less than \$1,001  
check the first column.

None (or less than \$1,001)	
\$1,001 - \$15,000	
\$15,001 - \$50,000	
\$50,001 - \$100,000	
\$100,001 - \$250,000	
\$250,001 - \$500,000	
\$500,001 - \$1,000,000	
Over \$1,000,000***	
\$1,000,001 - \$5,000,000	
\$5,000,001 - \$25,000,000	
\$25,000,001 - \$50,000,000	
Over \$50,000,000	

## BLOCK C

**EXEMPTION TEST** (*see instructions before marking box*): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

**\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.**



Whitehouse, Sheldon

I cont'd

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, *CONTENTS OF REPORTS, Part B of Instructions*) for production of income or investment which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
- (2) generated over \$200 in "unearned" income during the reporting period.

Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan.

BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
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BLOCK C  
Type and Amount of Income

Type of Income							Amount of Income											
None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount

S, Example: DC, or J	IBM Corp. (stock)	X																	Example
(S)	Keystone Fund		X																Example
1	Caterpillar Inc	X							X									X	
2	PNC Capital Tr E 7.75%	X							X									X	
3	Verizon Comm	X							X									X	
4	Waste Mgmt Inc	X							X									X	
5																			
6																			
7																			
8																			
9																			
10																			

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.



Reporting Individual's Name

 Amendment

Page Number

Whitehouse, Sheldon

Attach J

## PART IIIB. NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

## Identity of Non-Publicly Traded Assets and Unearned Income Sources

Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
- (2) generated over \$200 in "unearned" income during the reporting period.

Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.

BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
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BLOCK C  
Type and Amount of Income

Type of Income							Amount of Income														
None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified	
X									X	X											Example
X									X	X											Example

S, Example: DC, or J	JP Computer, Software Design, Wash DC
	Undeveloped land, Dubuque, Iowa

X									X	X											Example
X									X	X											Example

1 Helen Chase Rand Residual Trust

2 White Ranch Minerals Ltd

3 Wells Fargo MM- cash savings

4 Dodge &amp; Cox Income Fund

5 Pimco Tot Ret Fund

6 Ridgeworth Seix High Yield Bond Fd

7 T Rowe Price Short Term Bond Fd

8 Dreyfus Emerg Mkts Debt Fund

9 Laudus Mondrian Intl Fixed Income Fund

10 Pimco Foreign Bond Fd

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.



Reporting Individual's Name

 Amendment

Whitehouse, Sheldon

Page Number

J cont'd

## PART IIIB. NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

## BLOCK A

## Identity of Non-Publicly Traded Assets and Unearned Income Sources

Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
- (2) generated over \$200 in "unearned" income during the reporting period.

Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.

BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
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BLOCK C  
Type and Amount of Income

Type of Income							Amount of Income														
None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified	
X	X								X	X											Example

S, Example: DC, or J JP Computer, Software Design, Wash DC  
Undeveloped land, Dubuque, Iowa

1 Driehouse Active Inc Fund	X
2 Gateway Fd	X
3 Hussman Strat Gr Fund	X
4 Merger Fd Sh Ben Int	X
5 Credit Suisse Comm Ret Strat Comm Fd	X
6 Spdr DJ Wilshire Intl RE	X
7 Vanguard Reit Viper	X
8 Artisan Mid Cap Fd	X
9 Harbor Cap Apprec Fd	X
10 Ishares S&P 500 Index Fund	X

X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	Example
X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	Example
X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	Example
X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	Example
X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	Example
X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	Example
X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	Example
X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	Example
X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	Example
X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	Example
X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	X	Example

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

**Reporting Individual's Name**

Amendment

Page Number

## **PART IIIB. NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES**

## BLOCK A

# Identity of Non-Publicly Traded Assets and Unearned Income Sources

Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
  - (2) generated over \$200 in "unearned" income during the reporting period.

income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.

BLOCK B

**At the close of reporting period**

If None, or less than \$1,001,  
check the first column.

None (or less than \$1,001)	\$25,000,001 - \$50,000,000
\$1,001 - \$15,000	\$5,000,001 - \$25,000,000
\$15,001 - \$50,000	\$1,000,001 - \$5,000,000
\$50,001 - \$100,000	Over \$1,000,000***
\$100,001 - \$250,000	\$500,001 - \$1,000,000
\$250,001 - \$500,000	
\$500,001 - \$100,000	
\$1,000,001 - \$250,000	
\$5,000,001 - \$15,000	
\$25,000,001 - \$50,000,000	

**BLOCK C**  
**Type and Amount of Income**

**Amount of Income**

**EXEMPTION TEST** (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

\*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

**Reporting Individual's Name**

Amendment

Page Number

## PART IIIB. NON-PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Attach K

BLOCK A

# Identity of Non-Publicly Traded Assets and Unearned Income Sources

Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS, Part B of Instructions) for the production of income or investment in a non-public trade or business which:

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
  - (2) generated over \$200 in "unearned" income during the reporting period.

Income during the reporting period. Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.

BLOCK 8  
Valuation of

At the close of reporting period  
If None, or less than \$1,001,  
check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000
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**BLOCK C**

**EXEMPTION TEST** (see *instructions before marking box*): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.

**• This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.**