

00000622050

# Amendment for

Senator Tom Udall

2009

# Calendar Year

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2015

## **DESCRIPTION OF AMENDMENTS TO PERSONAL FINANCIAL DISCLOSURE COVERING 2009**

In past years, Senator Udall has, at his own expense, paid the financial planning firm responsible for managing most of his investments to prepare a summary of investments and income that must be reported on financial disclosure statements. After passage of new disclosure requirements under the STOCK ACT, Senator Udall requested more detailed transaction records for 2012 from the financial planning firm.

After reviewing the more detailed records for 2012, discrepancies from previous years became apparent. This amendment includes updated information to correct the 2009 report. The decision to review and amend previous financial disclosure reports was made in the interest of improving the transparency and clarity of the reports and was not requested by the Senate Committee on Ethics or any outside group.

### **Grouping of Assets Held In Trust.**

Many of the investments held by Senator Udall and his wife, Ms. Cooper, are jointly held in a trust. Because this trust is not a qualified blind trust, Senator Udall is required to disclose each underlying asset held by the trust, which he has done regularly. For this amendment, we are taking the extra step of grouping together and labeling which assets are held by the trust by indicating with a top line for the trust, followed by its underlying assets. This change does not reflect any change in the disclosure or value of assets held. It is simply intended to make the organization of investments easier to follow and clarify which assets are held by the trust.

### **Assets Renamed For Consistency Across All Years.**

In order to provide more clarity regarding changes in assets from year to year, we are amending the names of several investments to clarify abbreviated financial jargon when possible and make the names of assets consistent across past reports.

### **Reporting Of Unearned Income From Mutual Funds Simplified.**

When unearned income is derived from an investment asset, Senate ethics rules require members to show what types of income were accrued, whether it came from dividends, rent, interest, capital gains, or other sources. Mutual fund investments, which trade in a variety of investments, may yield different types of income from the funds' underlying assets, which must then be passed on to fund investors in a variety of ways.

While past reports have attempted to distinguish the different types of income derived from mutual funds, Senate ethics rules have actually provided a catch-all category to report income from these types of funds as an "excepted investment fund." This exception is also important to note because mutual funds that are not declared as excepted would require the Senator to disclose all of the investments and transactions made by the fund itself (resulting in possibly hundreds of pages added to the financial disclosure report) even though the Senator was not directly executing those transactions.

Although past reports attempted to be more transparent than necessary, we realized that it was more important to properly mark these funds as "excepted investment funds" in order to avoid confusion and show that these are not funds controlled by the Senator.

**Previous Estimates For Income Related To Some Investments Revised.**

After a more detailed review of specific financial transaction records, it was discovered that the actual income derived from some investments was slightly different from the estimates reported by the financial planning firm.

These changes are shown on Page 4, Line 4 and Page 5, Lines 2 & 7.

**Investment Income Reclassified.**

After a more detailed review of specific financial transaction records, it was discovered that the type of income related to one asset was improperly classified. Distribution income from Wells Real Estate Funds VII-A was improperly marked as interest.

This change is shown on Page 8, Line 3.

**Actual Value Of Cash Life Insurance Policy Revised.**

The value of a cash-based Northwestern Mutual life insurance policy had previously been based on estimates. Additional documents were requested during this review process which showed the actual value of the policy was high enough to force it into the next bracket.

This change is shown on Page 7, Line 4.

**Additional Disclosure Of Disposed Assets.**

The original financial disclosure statement disclosed the sale of an Albuquerque NM Gross Receipts Bond. The sale amount for this transaction was reported in Part IV of the disclosure statement. Since the asset was no longer held at the close of the reporting period, it was not included in the list of assets held by the Senator. However, further review of records has shown the bond yielded unearned income in the form of interest, which would trigger a requirement for the assets to be listed in Parts IIIA and IIIB of the disclosure statement in order to show the unearned income even though the Senator no longer owned it.

These changes are shown on Page 4, Line 3.

**Additional Disclosure Of Investments Supporting Retirement Accounts.**

The original report disclosed three variable annuity plans jointly held by Senator and Ms. Cooper, however these annuity plans were incorrectly listed with the total value of each plan on a single line. After requesting and reviewing further documentation from the plan providers, we have determined that these plans do not meet the criteria necessary to be treated as excepted investment funds. As a result, we have amended the financial disclosure statement to provide additional transparency by showing the underlying mutual fund investments supporting these plans.

Additionally, the original report disclosed Senator Udall's New Mexico Public Employees Retirement account as a single excepted investment fund. After further review of additional documentation, we questioned our previous determination that the fund meets all criteria of an excepted investment fund. In the interest of erring on the side of transparency, we chose to separate out and list the two underlying funds of the NM Public Employees Retirement Association, which can each be treated separately as excepted investment funds.

The move to disclose these underlying assets in Part III of the disclosure statement also necessitated that transactions on November 20, 2009 and December 11, 2009 involving the underlying assets had to be disclosed in Part IV of the disclosure statement.

These changes are shown on Page 3, Lines 3-10; Page 4, Line 1; Page 7, Lines 2-3; and Page 10, Lines 3-4 & 10-11.

**Correction Of NYVTEX Purchase Date.**

The date of purchase for NYVTEX: Davis NY Venture Class A (590) was corrected from Jan 5, 2009 to Jan 15, 2009.

This change is shown on Page 9, Line 1.

**Clarification Of Aggregated Single-Day Stock Sales.**

The original disclosure showed the sales of General Electric (GE) stock and Berkshire Hathaway Class B (BRK B) stock on March 18, 2009 as single lines for each stock showing all of that stock purchased on that day. However, recently-retrieved financial records show that the sales of Berkshire Hathaway stock was actually executed in two transactions and the sale of General Electric Stock was executed in a series of six transactions all on the same day. This amendment breaks out each individual transaction rather than reporting the daily aggregated sales.

These changes are shown on Page 9, Lines 2-3 & 5-11.

**Removal Of Confusing Automatic Reinvestments.**

The original report over-reported several small, automatic dividend reinvestment and related money market account transactions to the point of creating the impression of transactions that were larger than what actually occurred. There were several transactions occurring on an automatic basis to reinvest dividends from mutual funds. Under Senate reporting rules, these transactions do not need to be reported. Additionally, rules only require reporting of individual transactions that exceed \$1,000. The original report took the extra step of reporting reinvestment transactions that in aggregate totaled more than \$1,000 over the course of the entire year.

However in many cases, the individual transactions fell below the \$1,000. The decision to over-report, along with the layout of the form led to the inaccurate impression that more than \$1,000 was being transacted every quarter (or month in some cases). In order to conform to the intended use of the disclosure form and clear up the false impression of a much higher trading volume created by the form's design, we have removed references to reinvestment transactions that were unnecessary to report. These transactions are still visible in the original report, which will remain a public record.

These changes apply to Page 8, Lines 11-12 and Page 9, Lines 1 & 4 of the original report.

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

<input checked="" type="checkbox"/> Amendment			
Last Name	First Name and Middle Initial	Annual Report	
Udall	Thomas S. (Tom)	Calendar Year Covered by Report 2009	Senate Office / Agency in Which Employed U.S. Senate
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
110 Hart Senate Office Building Washington, D.C. 20510	202-224-6621	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 type="checkbox"/>	<input checked="" 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 type="checkbox"/>	<input checked="" 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 checked="" type="checkbox"/>

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

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11/14/2009

Thomas S. (Tom) Udall

**PART II. EARNED AND NON-INVESTMENT INCOME**

2

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 \$15,000
	MCI (Spouse)	Arlington, VA	EXAMPLE	Salary Over \$1,000
1	Smithsonian Institution (spouse)	Washington, D.C.	salary	n/a
2				
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13				

Thomas S. (Tom) Udall

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

3

## 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 this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

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

(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**	\$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	

1 J	Thomas S. & Jill Cooper Udall Revocable Trust (page 3, line 2 - page 5, line B)			X																	
2 J	PacificLife Select Variable Annuity (450)																				
3 J	BlackRock Equity Index		X																		
4 J	ClearBridge Large-Cap Value		X																		
5 J	Oppenheimer Main Street Core		X																		
6 J	MFS International Large-Cap		X																		
7 J	PacificLife Value Variable Annuity (414)																				
8 J	Portfolio Optimization Model C15 (formerly Model C14)					X															
9 J	TransAmerica Variable Annuity																				
10 J	TransAmerica T. Rowe Price Growth Stock VP			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**

4

**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 this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets 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.

For more information about the study, please contact Dr. Michael J. Koenig at (314) 747-2146 or via email at [koenig@dfci.harvard.edu](mailto:koenig@dfci.harvard.edu).

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

**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	\$500,001 - \$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**

### Type 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.

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Thomas S. (Tom) Udall

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

5

## 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**	\$1,000,001 - \$5,000,000	Over \$5,000,000	Actual Amount Required if "Other" Specified	
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>																				

S, Example: DC, or J	IBM Corp. (stock)	<input checked="" type="checkbox"/>																				
	(S) Keystone Fund	<input checked="" type="checkbox"/>																				
1 J	EWEAX: Evergreen Intrinsic World Equity Fund	<input checked="" type="checkbox"/>																				
2 J	FRHIX: Franklin High-Yield Tax-Free Income Fund	<input checked="" type="checkbox"/>																				
3 J	AGTHX: Growth Fund of America Class A	<input checked="" type="checkbox"/>																				
4 J	AIVSX: American Funds Investment Company of America Class A (590)	<input checked="" type="checkbox"/>																				
5 J	PGNAX: Jennison Natural Resources Fund	<input checked="" type="checkbox"/>																				
6 J	ANWPX: American Funds New Perspective Fund Class A (590)	<input checked="" type="checkbox"/>																				
7 J	AWSHX: American Funds Washington Mutual Investors Fund Class A (590)	<input checked="" type="checkbox"/>																				
8 J	Liberty Composite Fund, L.P.	<input checked="" type="checkbox"/>																				
9	Pershing Government Account (Money Market Account) (998)	<input checked="" type="checkbox"/>																				
10	CBS: CBS Corp Cl B Com	<input checked="" type="checkbox"/>																				

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.

Thomas S. (Tom) Udall

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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:

- (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 this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets 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
<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>														
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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

Thomas S. (Tom) Udall

Page Number

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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:

- (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 this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

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

(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**	\$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					X				X								Example

1		NM Public Employees Retirement Association															
2		RGAGX: American Funds Growth Fund of America R6			X						X						
3		New Mexico Stable Value Fund	X							X			X				
4	J	Northwestern Mutual Paid Up Life Insurance (cash)			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.

## 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***	Over \$5,000,000	Actual Amount Required if "Other" Specified

S, Example: DC, or J	JP Computer, Software Design, Wash DC	X																	
	Undeveloped land, Dubuque, Iowa		X																
1 J	Thomas S. & Jill Cooper Udall Revocable Trust (lines 2-4)																		
2 J	Inland Western REIT, Inc., Oak Brook, IL		X																
3 J	Wells Real Estate Funds VIII-A, Norcross, GA	X																	\$159.84
4 J	Mewbourne Energy Partners 09-A, Tyler, TX		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.

## 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	IBM Corp. (stock) NYSE (DC) Microsoft (stock) NASDAQ/OTC	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				
1	J	NYVTX: Davis NY Venture Class A (590)	X			2/1/1X	X						A	M	P	L	E		
2	J	BRK B: Berkshire Hathaway Hldg Co Cl B Com		X		1/27/1X							E	X	A	M	P	L	E
3	J	BRK B: Berkshire Hathaway Hldg Co Cl B Com		X		1/15/09													
4	J	FRHIX: Franklin High-Yield Tax-Free Income Fund		X		3/18/09													
5	J	GE: General Electric		X		3/18/09													
6	J	GE: General Electric		X		3/18/09													
7	J	GE: General Electric		X		3/18/09													
8	J	GE: General Electric		X		3/18/09													
9	J	GE: General Electric		X		3/18/09													
10	J	GE: General Electric		X		3/18/09													
11	J	GE: General Electric		X		3/18/09													
12	J	PGNAX: Jennison Natural Resources Fund		X		5/7/09													

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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)			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	
1	J	FRHIX: Franklin High-Yield Tax-Free Income Fund		X		2/1/1X		X		E	X	A	M	P	L	E
2	J	Albuquerque NM Gross Receipts Tax Refunding Series C Bond		X		1/27/1X			X	E	X	A	M	P	L	E
3	J	TransAmerica Capital Guardian Value VP		X		6/15/09	X									
4	J	TransAmerica BlackRock Large Cap Value VP	X			7/22/09		X								
5	J	EKWAX: Evergreen Precious Metals Holding Class A	X			11/20/09		X								
6	J	PGNAX: Jennison Natural Resources Fund	X			11/20/09		X								
7	J	ESIYX: Evergreen International Bond Fund Class A	X			12/1/09		X								
8	J	Mewbourne Energy Partners 09-A, Tyler, TX	X			12/1/09		X								
9		CWGIX: Capital World Growth & Income Fund Class A	X			12/9/09		X								
10		RGAFX: American Funds Growth Fund of America R5		X		6/15/09		X								
11		RGAGX: American Funds Growth Fund of America R6	X			1/27/09		X								
12	s	SMCWX: Smallcap World Fund Class A	X			12/11/09			X							

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