

**UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT  
FOR ANNUAL AND TERMINATION REPORTS**

<input type="checkbox"/> Amendment			
Last Name	First Name and Middle Initial	Annual Report	
Whitehouse	Sheldon	Calendar Year Covered by Report: 2011	Senate Office / Agency in Which Employed US Senate
Senate Office Address (Number, Street, City, State, and ZIP Code)	Senate Office Telephone Number (Include Area Code)	Termination Report	
170 Westminster St, Prov, RI 02903	401-453-5294	Termination Date (mm/dd/yy):	Prior Office / Agency in Which Employed

**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 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 type="checkbox"/>

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

**File this report and any amendments with the Secretary of the Senate, Office of Public Records, Room 232, Hart Senate Office Building, U.S. Senate, Washington, DC 20510. \$200 Penalty for filing more than 30 days after due date.**

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The statement will be made available by the Office of the Secretary of the Senate to any requesting person upon written application and will be reviewed by the Select Committee on Ethics. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil and criminal sanctions. (See 5 U.S.C. app. 4, § 104, and 18 U.S.C. § 1001.)

**FOR OFFICIAL USE ONLY  
Do Not Write Below this Line**

**2 AUG -9 PM 4:14**

**SECRETARY OF THE SENATE**

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		8/7/12

**For Official Use Only - Do Not Write Below This Line**

It is the opinion of the reviewer that the statements made in this form are in compliance with Title I of the Ethics in Government Act.	Signature of Reviewing Official	Date (Month, Day, Year)

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## PART II. EARNED AND NON-INVESTMENT INCOME

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	Environmental consultant to Ocean Conservancy (spouse)	Washington, DC	S/E	Over \$1,000
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## 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 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**

<http://www.ams.org/journals>

If None, or less than \$1,00  
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 - \$25,000,000	\$1,000,001 - \$5,000,000	Over \$1,000,000....
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## BLOCK C Type and Amount of Income

## 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)	\$0 - \$200	\$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
X									X	X									
										X									
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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.**



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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														
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																		
	(S) Keystone Fund		X																	
1	Morgan Stanley [3]- see attached (K)			X																
2	Sales Transactions reporting capital gain income-see attached (M)																			
3																				
4																				
5																				
6																				
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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.

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## 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				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***	Over \$5,000,000	
X	X								X	X									Example
X									X	X									Example
1	MS TP Ltd Partnership, Mayville, WI		X																43,233
2	T Acquisition Ltd Partnership (sole inv of MS TP Ltd partnership) Mayville, WI																		
3	TAB Prod Co LLC (sale of office supplies a holding of T Acq Ltd- Mayville, WI																		
4	TAB Prod Canada(sale of office supplies a holding of T Acq Ltd-Ontario, Canada,																		
5	TAB Prod Europa(sale of office supplies a holding of T Acq Ltd-Amsterdam, Neth <i>erlands</i>																		
6	TAB Prod PTY Ltd sale of office supplies a holding of T Acq Ltd-Stillwater, Austral <i>ia</i>																		
7	Seaview Mezzanine Fund,LLP- (New York, NY)		X																892
8	Symco Group, Inc (sole inv of Seaview Mezzanine Fund,LLP-Buford, Ga																		
9	Freedom 4 Wireless, Lake Mary, FL- Morgan Stanley			X						X									
10	Freedom 4 Wireless, Lake Mary, FL- Morgan Stanley- IRA			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.

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## 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	X
	Undeveloped land, Dubuque, Iowa	X
1	Helen Chase Rand Residual Trust- see attached (L)	X
2	(S) Rita D Sellar GST Exempt Trust- Philadelphia, PA- VALUE NOT DISCLOSED TO BENEFICIARIES	
3	(DC) Rita D Sellar GST Exempt Trust- Philadelphia, PA- VALUE NOT DISCLOSED TO BENEFICIARIES	
4	(DC) Rita D Sellar GST Exempt Trust- Philadelphia, PA- VALUE NOT DISCLOSED TO BENEFICIARIES	
5	Rental Property, Newport, RI	X
6	Sales transactions reporting capital gain income- see attached (N)	
7		
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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.

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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	Over \$50,000,000	
	IBM Corp. (stock) NYSE (DC) Microsoft (stock) NASDAQ/OTC	X			2/1/1X		X		E	X	A	M	P	L	E
1	(S) Morgan Stanley- SEP IRA														
2	Regency Energy Partners L P	X			03/23/11	X									
3	Regency Energy Partners L P	X			8/11/11	X									
4	Janus Forty Fund Cl C	X			12/23/11	X									
5	Victory Portfolios Est Value Fd Cl A	X			7/21/11	X									
6	Sheldon Whitehouse Family Trust- Morgan Stanley														
7	Travelers Co Inc		X		8/04/11		X								
8	Covidien PLC		X		12/22/11		X								
9	A123 Systems Inc		X		5/26/11	X									
10	Applied Mats Inc Del		X		10/20/11		X								
11	First Solar Inc		X		8/04/11		X								
12	Ishares Barclays Treas		X		8/17/11		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

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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	IBM Corp. (stock) NYSE (DC) Microsoft (stock) NASDAQ/OTC	Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	\$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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1	Powershares Exch Traded	X			2/1/1X	X							X	E	X	A	M	P	L	E
2	Railamerica Inc		X		1/27/1X								X	E	X	A	M	P	L	E
3	Research in Motion Ltd		X		5/26/11	X														
4	United Tech Corp		X		8/4/11	X														
5	Amazon Com Inc	X			6/10/11	X														
6	Bank of America Corp	X			1/26/11	X														
7	EMC Corp Mass	X			10/20/11	X														
8	Express Scripts Inc	X			8/17/11	X														
9	Goldman Sachs Group	X			6/10/11	X														
10	Goldman Sachs Group	X			8/17/11	X														
11	Illinois Tool Works Inc	X			8/11/11	X														
12	Intl Flavors & Fragrances	X			10/20/11	X														
					12/22/11	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.

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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.

						Amount of Transaction (x)													
			Transaction Type (x)																
			Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)			\$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
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	Pepsico Inc		X			6/10/11			X										
2	Pepsico Inc		X			10/20/11			X										
3	Vodafone Group PLC		X			1/26/11			X										
4	Vodafone Group PLC		X			8/04/11			X										
5	Yum Brands Inc		X			1/26/11						X							
6	Yum Brands Inc		X			12/22/11			X										
7	(DC) Morgan Stanley [1]																		
8	Cisco Sys Inc			X		3/16/11						X							
9	Research in Motion Ltd			X		6/10/11						X							
10	Bank of America		X			8/17/11						X							
11	General Electric		X			1/26/11						X							
12	Teradata Corp		X			10/20/11						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.

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## PART IV. TRANSACTIONS

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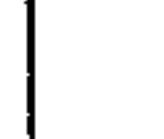
Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions 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	\$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	(DC) Morgan Stanley [2]															
2	Cisco Sys Inc		X		3/16/11		X									
3	Walt Disney Co		X		5/31/11		X									
4	Research in Motion Ltd		X		6/10/11		X									
5	State Street Corp		X		5/31/11		X									
6	Varian Med Systems Inc		X		5/31/11		X									
7	Apple Inc		X		6/10/11		X									
8	Bank of America		X		8/11/11		X									
9	Broadcom Corp Cl A		X		6/10/11		X									
10	General Electric Co		X		1/26/11		X									
11	Netflix Inc		X		6/14/11		X									
12	Pepsico Inc		X		6/04/11		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			Transaction Type (x)			Amount of Transaction (x)										
S, Example: DC, or J	IBM Corp. (stock) NYSE	(DC) Microsoft (stock) NASDAQ/OTC	Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	\$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	Proctor & Gamble Co		X			2/1/1X		X			E	X	A	M	P	L
2	Visa Inc Com Cl A			X		1/27/1X				X	E	X	A	M	P	L
3	(DC) Morgan Stanley [3]															E
4	Intel Corp		X			8/17/11		X								
5	JPMorgan Chase & Co			X		2/02/11		X								
6	(DC) Morgan Stanley [4]															
7	Intel Corp		X			8/17/11		X								
8	JPMorgan Chase & Co			X		2/02/11		X								
9	Morgan Stanley [2]															
10	Covidien PLC			X		8/11/11		X								
11	Covidien PLC			X		8/11/11		X								
12	Corning Inc			X		6/10/11		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

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## 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.

						Amount of Transaction (x)													
			Transaction Type (x)																
			Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)			\$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
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	Intel Corp			X		6/10/11			X										
2	Putnam Inv Intl New Opp			X		6/10/11			X										
3	Morgan Stanley [3]																		
4	Ie Du Pont De Nemours dtd 2/20/09			X		9/22/11			X										
5	Wells Fargo Cap XIV 8.625%			X		7/21/11			X										
6	Helen Chase Rand Residual Trust																		
7	Driehaus Active Inc Fund			X		7/29/11			X										
8	Hussman Strat Gr Fund			X		7/29/11			X										
9	Merger Fd Sh Ben Int			X		7/29/11			X										
10	Credit SuisseComm Ret Strat Comm Fund			X		7/29/11			X										
11	Spdr DJ Wilshire Intl RE			X		10/25/11			X										
12	Vanguard Reit Viper			X		10/25/11			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	Keeley Small Cap Value Fund	X			7/29/11	X											
2	Mainstay Epoch US Equity Fund	X			7/29/11	X											
3	MFS Value Fund- Class I	X			7/29/11	X											
4	TCW Small Cap Growth Fund	X			7/29/11	X											
5	Artisian Intl Fund	X			7/29/11	X											
6	Oppenheimer Devl Mkt	X			7/29/11	X											
7	Vanguard Msci Emerg Mkts	X			10/25/11	X											
8	Ridgeworth Seix High Yield Bond Fund	X			7/29/11	X											
9	T Rowe Price Short Term Bond Fund	X			7/29/11	X											
10	Dreyfus Emerg Mkts Debt Fund	X			7/29/11	X											
11	Laudus Mondrain Intl Fixed Income Fund	X			7/29/11	X											
12	Harbor Cap Apprec Fund	X		.	7/29/11	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	IBM Corp. (stock) NYSE (DC) Microsoft (stock) NASDAQ/OTC	Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	\$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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1	Ishares S & P 500 Index Fund	X			7/29/11	X										
2	JP Morgan Mid Cap Value Fund	X			7/29/11	X										
3	Golden Large Cap Core Fund		X		7/29/11	X										
4	Golden Small Cap Core Fund		X		7/29/11	X										
5	Goldman Sachs Large Cap Value Fund		X		7/29/11	X										
6	Wells Fargo Adv Intl Bond Fund		X		7/29/11	X										
7	Pimco Comm RR Strat Fund		X		7/29/11	X										
8	Royce Value Plus Fund		X		7/29/11	X										
9	T Rowe Price RE Fund		X		7/29/11	X										
10	Wells Fargo Adv End Sel Fund		X		7/29/11	X										
11	Artio Intl Equity Fund II		X		7/29/11	X										
12	Morgan Stanley Inst Fed Fund		X		7/29/11	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.

			Transaction Type (x)			Amount of Transaction (x)												
	Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)			\$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	
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	Ssga Emerg Mkts Fund		X	7/29/11			X											
2	Artio Total Ret Bond Fund		X	7/29/11				X										
3	Pimco High Yield Fund		X	7/29/11				X										
4	Pioneer High Yield Fund		X	7/29/11				X										
5	Perkins Mid Cap Value Fund		X	7/29/11				X										
6	Pimco Emerg Mkts Bond Fund		X	7/29/11				X										
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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## PART VII. LIABILITIES

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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; (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  S, Example: DC, or J  (J) John Jones	Address	Type of Liability	Date Incurred	Interest Rate	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**	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
1	US Bank	Owensboro, KY	Home Mortgage	1992	13%	25 yrs		X			E	X	A	M	P	L	E
2	Morgan Stanley	Newport, RI	Margin A/C	2000	10%	On dmd			X	E	X	A	M	P	L	E	
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.

\*\* 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.

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Attach A

## 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														
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							Example	X												Example

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

1 (S) Morgan Stanley- SEP IRA

2 Cash Savings

3 Regency Energy Partners

4 JPM Chase Capital

5 Wells Fargo Capital XI 6.25%

6 Fidelity Contrafund Inc

7 Fundamental Inv Fund

8 Oakmark Equity &amp; Income Fund

9 Janus Forty Fund CI C

10 Janus Overseas Fund CI 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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Reporting Individual's Name

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Whitehouse, Sheldon

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A 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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BLOCK B  
Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
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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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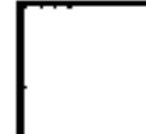
BLOCK C  
Type and Amount of Income

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	Janus Balanced Fund Cl C	X																			
2	T Rowe Price New Asia	X																			
3	Vanguard Specialized Port	X																			
4	Vanguard Trustees Equity Fund	X																			
5	Victory Portfolios Est Value Fd Cl A	X																			
6																					
7																					
8																					
9																					
10																					

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Reporting Individual's Name

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Attach B

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

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

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BLOCK B  
Valuation of Assets

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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 (S) Morgan Stanley- IRA

2 Fidelity Contrafund Inc

3 Goldman Sachs Bric Fund

4 Hartford Cap Apprec Fund

5 T Rowe Price New Asia

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.

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Attach C

## 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

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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 \$50,000,000	Actual Amount Required if "Other" Specified	

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

1 Morgan Stanley- IRA

2 Cash Savings

3 Amdocs Ltd

4 Cisco Sys Inc

5 Gilead Services Inc

6 Microsoft Corp

7 Myriad Genetics Inc

8 Nvidia Corp

9 Pfizer Inc

10 Sandisk Corp

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**

Amendmen

Page Number

Whitehouse, Sheldon

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

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

## **PART IIIA. PUBLICLY**

---

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

**BLOCK C**

		Check the first column.							Type of Income		Amount of Income	
S, Example: DC, or J	IBM Corp. (stock)	\$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
(S)	Keystone Fund	X	X									
1	Symantec Corp	X						X			X	
2	Varian Med Systems Inc	X						X			X	
3	Ventas Inc	X						X			X	
4	Vmware Inc		X					X			X	
5	Williams Cos Inc	X						X			X	
6	Columbia Acorn Fund CI Z	X						X	X		X	
7	Fidelity Contrafund	X						X	X		X	
8	T Rowe Price New Asia	X						X	X		X	
9	Vanguard Trustees Equity Fund	X						X	X		X	
10	Wasatch Ultra Growth Fund	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

Whitehouse, Sheldon

Page Number

Attach 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 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

S. Example: DC, or J	IBM Corp. (stock)											Actual Amount
	(S) Keystone Fund	X										Required if "Other" Specified
1 Sheldon Whitehouse Family Trust- Morgan Stanley												
2 Cash Savings		X										
3 Amazon Com Inc		X										
4 American Express Co		X										
5 Apache Corp			X									
6 Apple Inc			X									
7 Bank of America		X										
8 CVS Caremark Corp			X									
9 Citrix Systems Inc		X										
10 Danaher Corp DE			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	<input type="checkbox"/> Amendment
Whitehouse, Sheldon	

Page Number

D cont'd

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

BLOCK A Identity of Publicly Traded Assets And Unearned Income Sources		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 (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	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	EMC Corp-Mass		X												X																			
2	Eog Resources Inc			X											X																			
3	Express Scripts Inc		X												X																			
4	Goldman Sachs Group Inc			X											X																			
5	Google Inc				X										X																			
6	Home Depot Inc				X										X																			
7	Illinois Tool Works Inc				X										X																			
8	Intl Flavors & Fragrances				X										X																			
9	Kimberly Clark Corp				X										X																			
10	Microsoft 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.

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Reporting Individual's Name

 Amendment

Whitehouse, Sheldon

Page Number

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 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**	Over \$5,000,000
X									X	X								

S, Example: DC, or J	IBM Corp. (stock)	X	X														
(S) Keystone Fund			X														
1 Microchip Tech Inc		X															
2 NYSE Euronext		X															
3 Nike Inc		X															
4 Oracle Corp		X															
5 Pepsico Inc		X															
6 Proctor & Gamble		X															
7 Qualcomm Inc		X															
8 Sandisk Corp		X															
9 Schlumberger Ltd		X															
10 Suburban Propane Part LP		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

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.

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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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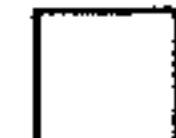
## BLOCK C

## Type and Amount of Income

Type of Income							Amount of Income					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***	Over \$5,000,000
X								Example	X								Example	
		X						Example	X								Example	
1 Symantec Corp	X								X									
2 Teva Pharm Inds	X								X			X						
3 Union Pacific Corp	X								X			X						
4 United Tech Corp	X								X			X						
5 V F Corp		X							X			X						
6 Vodafone Group PLC	X								X			X						
7 Waste Mgt Inc Del	X								X			X						
8 Yum Brands Inc	X								X			X						
9 Guggenheim China Small Cap	X								X			X						
10 Ishares Trts China (formerly referred to as Ishares Trts Xinhua HK)	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	<input type="checkbox"/> Amendment
Whitehouse, Sheldon	

Page Number

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 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														
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	

S, Example: DC, or J	IBM Corp. (stock)																				
(S)	Keystone Fund		X																		Example
1	Ishares Tr Msci Eafe		X																		
2	Ishares Tr Russell 2000		X																		
3	Powershares Etf Dynamic		X																		
4	Spdr Ser Tr S&P Metals & Mng		X																		
5	Bac Capital Tr X 6.25%		X																		
6	Wachovia Cap Tr IV 6.375%		X																		
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

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

## Whitehouse, Sheldon

**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 \$1,000  
Check the first column.

At the close of reporting period  
If None, or less than \$1,000  
Check the first column.

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

		Check the first column										Type of Income	Amount of Income					
												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
												None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust
S, Example: DC, or J												X					Example	X
(S) Keystone Fund												X					Example	X
1	(DC) Morgan Stanley [1]																	Example
2	Cash Savings											X						X
3	Covidien PLC											X						X
4	Apple Inc											X						X
5	Bank of America											X						X
6	Berkshire Hathaway Inc											X						X
7	CVS Caremark Corp											X						X
8	Devon Energy Corp											X						X
9	Walt Disney Co											X						X
10	Fresenius Med Care											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

Whitehouse, Sheldon

Page Number

E 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 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,

IBM Corp. (stock)

Example: DC,  
or J

(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
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Example

Example

1 General Electric Co

X

	X								Example	X										
2 IBM Corp		X								X										
3 Kimberly Clark Corp		X								X										
4 Microsoft Corp			X							X										
5 Nestle S A Spon Adr		X								X										
6 Nvidia Corp		X								X										
7 Petrobras		X								X										
8 Schlumberger Ltd		X								X										
9 State Street Corp			X							X							X			
10 Teradata Corp		X								X										

Example

1 General Electric Co

X

2 IBM Corp

X

3 Kimberly Clark Corp

X

4 Microsoft Corp

X

5 Nestle S A Spon Adr

X

6 Nvidia Corp

X

7 Petrobras

X

8 Schlumberger Ltd

X

9 State Street Corp

X

10 Teradata Corp

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

Whitehouse, Sheldon

E 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
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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		

S, Example: DC, or J	IBM Corp. (stock)		X							X											Example
(S)	Keystone Fund		X								X		X								Example
1	Varian Med Systems Inc		X							X											
2	Verizon Comm		X							X											
3	Visa Inc		X							X											
4	Watts Wtr Tech Inc Cl A		X							X											
5	Templeton Emerg Mkts Fund		X							X		X									
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.

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Reporting Individual's Name  Amendment  
Whitehouse, Sheldon

Page Number

Attach F

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

Type of Income	Amount of Income										
	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
None	X										
Dividends		X									
Rent			X								
Interest				X							
Capital Gains					X						
Excepted Investment Fund						X					
Excepted Trust							X				
Qualified Blind Trust								X			
Other (Specify Type)									X		

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

1 (DC) Morgan Stanley [2]

2 Cash Savings

3 Amdocs Ltd

4 Covidien PLC

5 Apple Inc

6 Bank of America

7 Berkshire Hathaway

8 Broadcom Corp Cl A

9 CVS Caremark Corp

10 Devon Energy Corp

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

## **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 Asset

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

## BLOCK C

### Type of Income

### **Amount of Income**

**Actual  
Amount**

**Required  
if  
"Other"  
Specified**

**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**

F 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 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

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

If None, or less than \$1,000

**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.

**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.



Reporting Individual's Name	<input type="checkbox"/> Amendment
Whitehouse, Sheldon	

Page Number  
G 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 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														
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	X	X										Example	

S, Example: DC, or J	IBM Corp. (stock)	X	X																		Example
	(S) Keystone Fund		X																		Example
1	Select Spec Spdr- Energy	X							X	X											
2	Vanguard Spec Dir Apprec	X							X	X											
3	Aes Tr III 6.75% Conv	X							X	X											
4	Capital World Gr & Inc Fund		X						X	X											
5	Ivy Global Nat Res Fed Cl C	X							X	X											
6	Smallcap World Fund Cl F		X						X	X											!!
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

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 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														
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	(DC) Morgan Stanley [4]																				
2	Cash Savings	X																X			
3	Blackrock Inc	X																X			
4	Enterprise Prods Partners LP		X															X			
5	Intel Corp	X																X			
6	JP Morgan Chase & Co	X																X			
7	Pepsico	X																X			
8	3M Co	X																X			
9	Verizon Comm	X																X			
10	Vmware Inc		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	<input type="checkbox"/> Amendment
Whitehouse, Sheldon	

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H 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 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														
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

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

1 Select Spec Spdr- Energy	X									X	X										
2 Vanguard Spec Dir Apprec	X									X	X										
3 Aes Tr III @ 6.75% Conv	X									X	X										
4 Capital World Gr & Inc Fund		X								X	X										
5 Ivy Global Nat Res Fed Cl C	X									X	X										
6 Smallcap World Fund Cl F		X								X	X										
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

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

**Attach 1**

**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 Asset

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

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	\$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**

**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.



**Reporting Individual's Name**

Amendment

Page Number

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

**Attach J**

**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

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

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

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

**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 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														
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							Example		X											Example
								Example	X												Example
1 Honeywell Intl Inc	X										X										
2 Intel Corp	X										X										
3 JP Morgan Chase & Co	X										X										
4 McDonalds Corp	X										X										
5 Microchip Tech Inc	X										X										
6 Nestle S A Spon Adr		X									X										
7 VF Corp		X									X										
8 Verizon Comm		X									X										
9 Waste Mgt Inc Del		X									X										
10 Allianz SE 8.375%		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

Whitehouse, Sheldon

Attach K

## 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

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

1 Morgan Stanley [3]

2 Cash Savings

3 Comcast Corp 7.0%

4 JP Morgan Chase Cap XXIV 6.875%

5 PNC Capital Tr E 7.75%

6 Public Storage MD

7 Usb Capital X 6.25%

8 American Electric PO

9 Caterpillar Inc

10 Goldman Sachs Group Inc Global Sr Notes

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

K 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 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

S, Example: DC, or J	IBM Corp. (stock)	X										Actual Amount
	(S) Keystone Fund	X										Required if "Other" Specified
1	Bear Stearns Co Inc	X					X				X	Example
2	Verizon Comm	X					X				X	Example
3	John Deere Cap C dtd 9/08/08	X					X				X	
4	AT&T Inc dtd 2/03/09	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

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

Attach L

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

Valuation of Assets

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

BLOCK 6

### 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.**

**Reporting Individual's Name**

Amendment

Page Number

L 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.

**BLOCK C**

**Type and Amount of Income**

**XEMPTION 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

L 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												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	JP Computer, Software Design, Wash DC
	Undeveloped land, Dubuque, Iowa

Example

Example

1 T Rowe Price Short Term Bond Fund

X

X

X

2 Dreyfus Emerg Mkts Debt Fund

X

X

X

3 Laudus Mondrain Intl Fixed Income Fund

X

X

X

4 Pimco Foreign Bond Fund

X

X

X

5 Goldman Sachs Gr OPP Fund

X

X

X

6 Harbor Cap Apprec Fund

X

X

X

7 Ishares S &amp; P 500 Index Fund

X

X

X

8 JP Morgan Mid Cap Value Fund

X

X

X

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

Whitehouse, Sheldon

Page Number

AttachM

## 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														
	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	X												Example

1	Sales Transactions reporting capital gain income																					
2	Sheldon Whitehouse Family Trust																					
3	Covidien PLC	X									X											
4	Applied Mats Inc Del	X									X											
5	Ishares Barclays Treas	X									X											
6	Powershares Exch Traded	X									X											
7	Railamerica Inc	X									X											
8	United Tech Corp	X									X											
9	Travelers Co Inc	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.

**Reporting Individual's Name**

Amendment

Page Number

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

M 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 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

**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

Page Number

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

M 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 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.**

**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

Page Number

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

Attach N

## 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.

<b>S, Example: DC, or J</b>	<i>JP Computer, Software Design, Wash DC</i> <i>Undeveloped land, Dubuque, Io</i>
-------------------------------------	--

1 Sales transactions reporting capital gain income

## 2 | Helen Chase Rand Residual Trust

3 | Wells Fargo Adv Intl Bond Fund

#### 4 | Royce Value Plus Fund

### 5 | T Rowe Price RE Fund

6 | Wells Fargo Adv End Sel Fund

7 | Ssqa Emerg Mkts Fund

8 | Artio Total Ret Bond Fu

9 | Pioneer High Yield Fund

#### 0 Perkins Mid Cap Value Fund

## BLOCK B

### Valuation of Assets

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

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

**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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Reporting Individual's Name

 Amendment

Whitehouse, Sheldon

Page Number

N 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
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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				

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	X									Example	

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

1 Pimco Emerg Mkts Bond Fund

X

2 Golden Small Cap Core Fund

X

3

4

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.

