SF278 (Rev. 03/2000)
5 C.F.R Part 2634
U.S. Office of Government Ethics

Form Approved:
OMB No. 3209-0001

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Date of Appointment, Candidacy, Election or Nomination (Month, Day, Year)	Reporting Status (Check appropriate boxes)	Incumbent [ ]	Calendar Year Covered by Report	New Entrant, Nominee, or Candidate [X]	Termination Filer [ ]	Termination Date (If Applicable) (Month, Day, Year)

Reporting Individual's Name	Last Name: Kaplan	First Name and Middle Initial: Samuel L
Position for Which Filing	Title of Position: Ambassador to the Kingdom of Morocco	Department or Agency (If Applicable): Department of State
Location of Present Office (or forwarding address)	Address (Number, Street, City, State, and ZIP Code): Kaplan, Strangis and Kaplan, P.A., 5500 Wells Fargo Center 90 South 7th Street, Minneapolis, MN 55402	Telephone No. (Include Area Code): 612-375-1138
Position(s) Held with the Federal Government During the Preceding 12 Months (If Not Same as Above)	Title of Position(s) and Date(s) Held: N/A	
Presidential Nominees Subject to Senate Confirmation	Name of Congressional Committee Considering Nomination: Senate Committee on Foreign Relations	Do You Intend to Create a Qualified Diversified Trust? [ ] Yes [X] No

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.	Samuel L. Kaplan	June 24, 2009
Other Review (If desired by agency)	Signature of Other Reviewer	Date (Month, Day, Year)
Agency Ethics Official's Opinion: On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments in the box below).	Signature of Designated Agency Ethics Official/Reviewing Official: James Vlein	Date (Month, Day, Year): 6/25/09
Office of Government Ethics Use Only	Signature: Scott L. Smith	Date (Month, Day, Year): 6/29/09

Comments of Reviewing Officials (If additional space is required, use the reverse side of this sheet)

(Check box if filing extension granted & indicate number of days _____) [ ]

(Check box if comments are continued on the reverse side) [ ]

Fee for Late Filing

Any individual who is required to file this report and does so more than 30 days after the date the report is required to be filed, or, if an extension is granted, more than 30 days after the last day of the filing extension period shall be subject to a $200 fee.

Reporting Periods

Incumbents: The reporting period is the preceding calendar year except Part II of Schedule C and Part I of Schedule D where you must also include the filing year up to the date you file. Part II of Schedule D is not applicable.

Termination Filers: The reporting period begins at the end of the period covered by your previous filing and ends at the date of termination. Part II of Schedule D is not applicable.

Nominees, New Entrants and Candidates for President and Vice President:

Schedule A—The reporting period for income (BLOCK C) is the preceding calendar year and the current calendar year up to the date of filing. Value assets as of any date you choose that is within 31 days of the date of filing.

Schedule B—Not applicable.

Schedule C, Part I (Liabilities)—The reporting period is the preceding calendar year and the current calendar year up to any date you choose that is within 31 days of the date of filing.

Schedule C, Part II (Agreements or Arrangements)— Show any agreements or arrangements as of the date of filing.

Schedule D—The reporting period is the preceding two calendar years and the current calendar year up to the date of filing.

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A

Assets and Income — BLOCK A

For you, your spouse, and dependent children, report each asset held for investment or the production of income which had a fair market value exceeding $1,000 at the close of the reporting period, or which generated more than $200 in income during the reporting period, together with such income.

For yourself, also report the source and actual amount of earned income exceeding $200 (other than from the U.S. Government). For your spouse, report the source but not the amount of earned income of more than $1,000 (except report the actual acount of any honoraria over $200 of your spouse).

None ☐

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

Assets and 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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
Examples: Central Airlines Common				X												X						X										
Examples: Doe Jones & Smith, Hometown, State			X																												Law Partnership Income $130,000	
Examples: Kempstone Equity Fund					X																		X									
Examples: IRA: Heartland 500 Index Fund																								X								
1 ADC Telecom Stock		X																		X												
2 Associated Bank Joint Checking Account			X															X		X												
3 Associated Bank Special Checking Account		X																X		X												
4 Associated Bank, Joint Investment Checking Account			X															X		X												
5 Associated Bank, Money Market Account			X															X				X										
6 Bremer Bank, CTF Certificate 952309				X														X							X							

* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/income is either that of the filer or jointly held by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount: If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income (BLOCK A)	None (or less than $1,000)	$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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	Bremer Bank, CTF Certificate 965443																		X		X												
2	Bremer Bank, CTF Certificate 965576																		X			X											
3	Can Am Partners Partnership Interest (Note 1)				X																											Distribution: $28,000	
4	Grandchild 1 Minnesota College Savings Plan (TIIA-CREF) (Note 2)				X																X												
5	Grandchild 2 Minnesota College Savings Plan (TIIA-CREF)				X																X												
6	Grandchild 3 Minnesota College Savings Plan (TIIA-CREF)				X																X												
7	Grandchild 4 Minnesota College Savings Plan (TIIA-CREF)				X																X												
8	Grandchild 5 Minnesota College Savings Plan (TIIA-CREF)				X																X												
9	Grandchild 6 Minnesota College Savings Plan (TIIA-CREF)				X																X												

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income (Block A)	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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	Grandchild 7 Minnesota College Savings Plan (TIIA-CREF)				X																X												
2	Grandchild 8 Minnesota College Savings Plan (TIIA-CREF)				X																X												
3	Grandchild 9 Minnesota College Savings Plan (TIIA-CREF)			X																	X												
4	Grandchild 10 Minnesota College Savings Plan (TIIA-CREF)				X																X												
5	Grandchild 11 Minnesota College Savings Plan (TIIA-CREF)				X																X												
6	Grandchild 12 Minnesota College Savings Plan (TIIA-CREF)				X																X												
7	Grandchild 13 Minnesota College Savings Plan (TIIA-CREF)				X																X												
8	Condominium, Key West, FL							X										X							X								
9	Cooper State Bank Stock						X														X												

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SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

Assets and Income (BLOCK A)	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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
None ☐																																
Crown Bank, MN Joint Checking Account			X															X		X												
Crown Bank, MN Joint Investment Checking Account with R. Strangis			X															X		X												
Crown Bank, MN Money Market Account					X													X					X									
Crown Bank, MN Special Checking Account			X															X		X												
Driftwood Associates Partnership Interest (Note 3)									X																						Distribution: $287,500	
General Electric Co. Stock		X														X				X												
Genoptix Stock		X																		X												
Greater MN Synergy (Natural Gas Company in St. Peter, MN) Stock				X																X												
J Crew Group Stock		X																		X												

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SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income (BLOCK A)	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 *	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	Johnson & Johnson Stock		X													X				X												
2	Kaplan Strangis and Kaplan, P.A., Minneapolis, MN																														Law Partnership Income: $366,600	
3	KSK of Avon, LLC Equity Interest (Note 4)				X																										Distribution: $1,500	
4	Leonard Louis Health Care Properties Partnership Interest (Note 5)									X																					Distribution: $4,418,553	
5	Northwestern Mutual Whole Life Insurance Policies (cash surrender value)					X														X												
6	M&I Bank, Savings Account			X														X			X											
7	Medtronic Stock		X													X				X												
8	Nitro Data Systems Stock		X																	X												
9	Park Gardens Apartment Partnership, Partnership Interest (Note 6)									X																					Distribution: $1,896,529	

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SCHEDULE A continued

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Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and 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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	Park Gardens of Fergus Falls, Partnership Interest (Note 7)								X																							Distribution: $3,600	
2	Parker Drilling Co. Stock		X																		X												
3	Piper Jaffray Co. Phantom Stock (Note 8)						X														X												
4	Programmed Management Investment Partnership, Partnership Interest (Note 9)		X																		X												
5	Riverland Bank Stock																				X												
6	Sit Minnesota Tax-Free Income Fund			X										X							X												
7	Silvercrest Apartments, LLC Equity Interest (Note 10)						X																									Distribution: $25,000	
8	Summit Avenue Partners Partnership Interest (Note 11)							X																								Distribution: $369,901	
9	Synovus Financial NYSE Stock																X			X													

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income (Block A)	None (or less than $1,000)	$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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	Amount: $201 - $1,000	Amount: $1,001 - $2,500	Amount: $2,501 - $5,000	Amount: $5,001 - $15,000	Amount: $15,001 - $50,000	Amount: $50,001 - $100,000	Amount: $100,001 - $1,000,000	Amount: Over $1,000,000*	Amount: $1,000,001 - $5,000,000	Amount: Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	TCF Bank, Savings Certificate			X															X														
2	Terrace Food Group Stock		X																		X												
3	The Mercanti Group LLC (Private Investment Bank), Equity Interest				X																X												
4	Tim Horton's, Inc. Stock		X														X				X												
5	UBS (NY) Account Cash Deposit		X																X		X												
6	US Bancorp, Joint Checking Account		X																X		X												
7	US Bancorp, Preferred Checking Account	X																	X		X												
8	Vyyo, Inc. (Telecommunications in Norcross, GA) Stock Options (Note 12)	Value not readily ascertainable.																			X												
9	WF Opportunity Fund Equity Interest (Note 13)		X																		X												

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SCHEDULE A continued

(Use only if needed)

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.

Assets and Income (BLOCK A)	Valuation of Assets at close of reporting period (BLOCK B)													Income (BLOCK C) Type			Amount											
None ☐	None (or less than $1,000)	$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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 Feltl & Company Brokerage Account																																
2 -ASYST Technologies, Inc. Stock		X																		X												
3 -Cash Deposit		X																X		X												
4 -Christopher & Banks Corp. Stock		X														X				X												
5 -Furmanite Corp. Stock		X																		X												
6 -Ninetowns Internet Tech. Stock		X																		X												
7 -Pacific Sunwear Stock		X																		X												
8 -Southwall Techonologies (Energy Company in Palo Alto, CA) Stock		X																		X												
9																																

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SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income (BLOCK A)	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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	UBS (Atlanta) Brokerage Account																																
2	-Assoc Banc Corp, WI Stock																X										X						
3	-Brooklyn Ctr MN MFH Bond				X														X						X								
4	-Brooklyn Pk Multifam Bond				X														X														
5	-Buffalo MN ULT GO Bank Bond		X																X														
6	-Dakota Cnty MN, Bond			X															X					X									
7	-Douglas Cnty MN Hsg Bond			X															X				X										
8	-Minneapolis & St Paul MN Met Arpt Bond		X																X														
9	-Minneapolis & St Paul MN, 6.0%, 01/01/10 Bond				X														X														

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SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income (Block A)	None (or less than $1,000)	$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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	Amount: $201 - $1,000	Amount: $1,001 - $2,500	Amount: $2,501 - $5,000	Amount: $5,001 - $15,000	Amount: $15,001 - $50,000	Amount: $50,001 - $100,000	Amount: $100,001 - $1,000,000	Amount: Over $1,000,000*	Amount: $1,000,001 - $5,000,000	Amount: Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	-Minneapolis & St Paul Rev Ser A Bond			X															X				X										
2	-Minneapolis MN B/E Bond		X																X			X											
3	-Minneapolis MN HC Sys Series B Bond			X															X			X											
4	-Minneapolis MN Health Care Bond					X													X						X								
5	-Minneapolis MN Ref Bond					X													X						X								
6	-Minneapolis St Paul Hsg Fin Brd S/Fam Bond						X												X	X						X							
7	-Minnesota HFA S/F Mtge Bond				X														X					X									
8	-Minnesota HFA SFM Rmktg Bond		X																X			X											
9	-Minnesota HFA Single Fam Mtge Ser E Bond		X																X			X											

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Prior Editions Cannot be Used.

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U.S. Office of Government Ethics

Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.

Assets and Income (BLOCK A)	Valuation of Assets at close of reporting period (BLOCK B)															Income (BLOCK C) Type				Amount										
None ☐	None (or less than $1,000)	$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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 -Minnesota Hsg Fin Agcy Resdentl Bond				X														X						X								
2 -Minnesota Hsg Fin Agy SFM 1997 Ser K Bond			X															X			X											
3 -Minnesota St Hghr Ed Fac Bond						X												X							X							
4 -Minnesota St Higher Ed F Ser 5 Bond				X														X				X										
5 -MN Hsg Fin Agy Rental Hsg Bond			X															X			X											
6 -Monticello Big Lake MN Bond		X																X			X											
7 -Pequot Lakes MN Sch Bond		X																X			X											
8 -Rochester Hlth Care Bond		X																X			X											
9 -UBS M2 Fund					X								X							X												

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income (Block A)	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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	-Univ MN Spl Purp. Bond						X												X					X									
2	-Univ MN Sr A Bond				X														X					X									
3	-Washington Cnty Hsg Bond			X															X			X											
4																																	
5	T. Rose & Associates Brokerage Account																																
6	-Apple Computers Stock		X																		X												
7	-AT&T Stock		X																		X												
8	-Best Buy Stock		X																		X												
9	-Burger King Stock		X														X				X												

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income (BLOCK A)	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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	-Burlington No Santa Stock		X														X				X												
2	-Carnival Stock		X																		X												
3	-Caterpillar Stock			X																	X												
4	-Coca Cola Stock		X														X				X												
5	-CSX Stock			X													X				X												
6	-Deere Stock		X																		X												
7	-Devon Energy Stock		X														X				X												
8	-Dow Chemical Stock		X																		X												
9	-Du Pont Stock			X													X																

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income (BLOCK A)	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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	-Express Scripts Stock		X																		X												
2	-FedEx Stock		X														X				X												
3	-General Mills Stock			X																	X												
4	-HJ Heinz		X																		X												
5	-Home Depot Stock		X														X				X												
6	-Honeywell Stock		X																		X												
7	-IBM Stock		X																		X												
8	-Intel Stock		X														X				X												
9	-Johnson & Johnson Stock			X													X				X												

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U.S. Office of Government Ethics

Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income (Block A)	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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	-Lowes Stock		X																		X												
2	-Massey Energy Stock		X																		X												
3	-McDonalds Stock		X														X				X												
4	-Med Co Health Stock		X																		X												
5	-Medtronic Stock		X																		X												
6	-Nike Stock		X														X				X												
7	-Packaging Corp. Stock		X																		X												
8	-Procter & Gamble Stock		X														X				X												
9	-Research in Motion Stock		X																		X												

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income	None (or less than $1,000)	$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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1.	-Semiconductors (SMH) ETF		X																		X												
2	-St. Jude Medical Stock		X																		X												
3	-Target Stock		X														X				X												
4	-TD Ameritrade Money Market Account		X														X				X												
5	-Total Systems Services, Inc. Stock						X										X						X										
6	-Verizon Communications Stock		X																		X												
7	-Wal-Mart Stock																				X												
8	-Walt Disney Stock		X																		X												
9																																	

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

#	Assets and Income (BLOCK A)	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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gain	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
	None ☐																																
1	Kaplan Strangis and Kaplan, P.A., Profit Sharing Account																																
2	-Airtel Wireless, LLC Equity Interest (Note 14)			X																	X												
3	-Airtel Wireless, LLC Secured Debt Note					X															X												
4	-Airtel Wireless, LLC Promissory Note				X																X												
5	-Ariel Holdings, Ltd. (Reinsurance Company) Stock					X															X												
6	-Bondhawk II, LP Limited Partnership Interest (Note 15)					X													X						X								
7	-Castle Creek Capital Partners Fund III LP, Limited Partnership Interest (Note 16)						X														X												
8	-Castle Creek Partners Fund IIb LP, Limited Parntership Interest (Note 17)				X																X												
9	-Churchill Capital Partners IV Limited Partnership Interest				X									X									X										

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income (BLOCK A)	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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	-CoVestia Capital Partners LP Limited Partnership Interest			X										X							X												
2	-Cycle Group Limited (Recycling Company in Mocksville, NC) Stock			X																	X												
3	-GHJM (Financial Services Company)Limited Partnership Interest		X																		X												
4	-Global Maintech, Inc. (Information Technology) Stock		X																		X												
5	-American Growth Fund of America	X												X						X						X							
6	-James W. Lupient Demand Note					X													X							X							
7	-Marathon Fund LP III Limited Partnership Interest		X											X											X								
8	-Marathon Fund LP IV Limited Partnership Interest				X									X							X												
9	-Mercanti CoVestia Holdings (Financial Services Company) Equity Interest		X											X							X												

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income (BLOCK A)	None (or less than $1,000)	$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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	-Rancho Partners 1, LLC Equity Interest (Note 18)					X															X												
2	-Shurman Cardiology Systems, Inc. Stock		X																		X												
3	-Sit Dev Markets Growth Fund				X									X							X												
4	-Sit International Growth Fund				X									X							X												
5	-Sit Large Cap Growth Fund					X								X							X												
6	-Sit Mid Cap Growth Fund					X								X							X												
7	-Sit Small Cap Growth Fund				X									X							X												
8	-Sit US Government Securities Fund					X								X										X									
9	-State of Israel Eighth Infrastructure & Absorption Bond			X																	X												

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income (Block A)	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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rents and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	-State of Israel, 6.45%, 04/01/12 Bond				X														X		X												
2	-State of Israel, 7.2%, 11/01/10 Bond			X															X		X												
3	-State of Israel, 7.5%, 12/14/09 Bond			X															X		X												
4	-State of Israel, 8.0%, 07/01/08 Bond	X																	X						X								
5	-State of Israel, Floating Rate LIBOR, 02/01/11 Bond		X																X		X												
6	- Third Avenue Value Fund, Inc.	X												X										X									
7																																	
8	*-UBS Minneapolis Brokerage Account (part of Profit Sharing Account)*																																
9	–3M Company Stock					X											X							X									

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Reporting Individual's Name: Kapian, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income (Block A)	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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	--ASBC Capital I, 7.625%, 6/15/32 Bond			X															X				X										
2	--Associated Banc Corp Stock		X														X					X											
3	--Berkshire Hathaway Cl A Stock				X																X												
4	--Best Buy Stock							X												X					X								
5	--General Mills Stock					X											X							X									
6	--Google Inc Cl A Stock					X															X												
7	--Jmp Group Stock			X													X					X											
8	--Medtronic Stock				X												X						X										
9	--Piper Jaffray Cos Stock						X														X												

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Prior Editions Cannot be Used.

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and 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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	--Polaris Industries Stock				X												X								X								
2	--Regis Corporation Stock			X													X					X											
3	--St. Jude Medical Stock			X																	X												
4	--Target Corp Stock				X												X						X										
5	--TCF Financial Corp Stock				X												X								X								
6	--Trans1 Inc Stock			X																	X												
7	--Us Bancorp Stock			X													X					X											
8																																	
9																																	

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income (BLOCK A)	None (or less than $1,000)	$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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	Amount: $201 - $1,000	Amount: $1,001 - $2,500	Amount: $2,501 - $5,000	Amount: $5,001 - $15,000	Amount: $15,001 - $50,000	Amount: $50,001 - $100,000	Amount: $100,001 - $1,000,000	Amount: Over $1,000,000*	Amount: $1,000,001 - $5,000,000	Amount: Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	*-Citi SmithBarney Brokerage Account (part of Profit Sharing Account)*																																
2	--Dreyfus Liquid Assets Fund, Inc. Class 2			X										X								X											
3	--Federated Prudent Bear Fund			X										X							X												
4	--IShares Barclays Treas Inflation Protected Secs Fund			X										X								X											
5	--IShares MSCI Emerging Mkts Index Fund			X										X								X											
6	--IShares IBoxx $ Investment Grade Corp Fund			X										X								X											
7	--IShares Lehman 20+ Year Treas Bonds Fund	X												X										X									
8	--IShares Lehman 7-10 Year Treas Bond Fund	X												X									X										
9	--IShares MSCI Australia Index Fund		X											X							X												

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

#	Assets and Income (BLOCK A)	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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	--iShares MSCI Canada Index Fund		X											X							X												
2	--iShares Silver Trust			X										X							X												
3	--iShares Tr IBoxx $ High Yield Corp Bond Fund			X										X								X											
4	--iShares Tr MSCI EAFE Index Fund			X										X								X											
5	--Kayne Anderson MLP Investment Fund			X										X							X												
6	--Market Vectors Gold Miners ETF			X										X							X												
7	--Powershares DB Crude Oil	X												X									X										
8	--Proshares Ultrashort MSCI EAFE	X												X											X								
9	--Proshares Ultrashort QQQ	X												X								X											

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Prior Editions Cannot be Used.

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

#	Assets and Income (BLOCK A)	None (or less than $1,000)	$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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent/Royalty	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
	None ☐																																
1	--Rydex S&P Equal Weight ETF		X											X							X												
2	--Spdr Gold Shares Fund				X									X							X												
3	--Vanguard Consumer Discretionary ETF		X											X							X												
4	--Vanguard Consumer Staples ETF		X											X							X												
5	--Vanguard Energy ETF		X											X							X												
6	--Vanguard Health Care ETF		X											X							X												
7	--Vanguard Industrials ETF		X											X							X												
8	--Vanguard Information Technology ETF			X										X							X												
9	--Vanguard Materials ETF		X											X							X												

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income (BLOCK A)	None (or less than $1,000)	$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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	$201 - $1000	$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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	--Vanguard Telecommunication Svcs ETF			X										X								X											
2	--Vanguard Utilities ETF		X											X							X												
3																																	
4	**Assets of Spouse**																																
5	-Associated Bank, Money Market Account			X															X			X											
6	The Last Cowboy LLC (holds restaurant in Minneapolis, MN)						X																									Spouse Pass-Through Income	
7	-Rich 'R Us Investment Club Equity Interest (Note 19)		X																		X												
8																																	
9																																	

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item.

#	Assets and Income (BLOCK A)	Valuation of Assets at close of reporting period (BLOCK B)													Income (BLOCK C) Type				Amount										
	None ☐	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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	-Spouse's UBS (Minneapolis) Brokerage Account																																
2	--3M Company Stock		X														X					X											
3	--Affiliated Managers Group Stock		X																		X												
4	--American Express Stock		X																	X			X										
5	--Ameriprise Fincl Stock		X																	X		X											
6	--Amgen Inc Stock		X																		X												
7	--Apache Corp Stock		X														X				X												
8	--ATP Oil & Gas Corp Stock		X																		X												
9	--Bank One Capital Tr VI, 7.2% Bond		X																X			X											

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income (BLOCK A)	None (or less than $1,000)	$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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	--Bucyrus Intl Inc New Stock		X														X				X												
2	--Carrizo Oil & Gas Inc Stock		X																		X												
3	--Chesapeake Energy Corp Stock		X														X				X												
4	--Denbury Resources Inc New Stock		X																		X												
5	--General Electric Stock		X														X				X												
6	--Hologic Inc Stock		X																		X												
7	--I Shares Msci Hong Kong Index Fund Stock		X											X								X											
8	--Johnson & Johnson Stock																X					X											
9	--Morgan Stanley Cap Tr IV, 6.25%, 4/1/33 Bond		X																X				X										

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income (BLOCK A)	None (or less than $1,000)	$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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	--Morgan Stanley India Inv Fd Stock		X											X							X													
2	--National City Cap Iv. 8%. 8/30/67 Bond		X																X				X											
3	--Pnc Financial Svcs Stock		X														X				X													
4	--Synovus Fincl Stock				X												X						X											
5	--Target Corp Stock			X													X					X												
6	--TCF Cap I. 10.75%, Ser. I, 8/15/68 Bond		X																X				X											
7	--Tel Offshore Trust UBI Stock		X																		X													
8	--Telephone & Data Systems Inc. 7.6% Nts, Ser A, 12/1/41 Bond		X																X			X												
9	--Total System Services Inc Stock				X												X						X											

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE A continued

(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

#	Assets and Income (BLOCK A)	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	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: 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	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	--Wachovia Cap Tr X, 7.87%, 12/01/2067 Bond		X																X				X										
2	--Walgreen Co Stock		X														X				X												
3	--Windstream Corp Stock		X														X																
4																																	
5																																	
6																																	
7																																	
8																																	
9																																	

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Prior Editions Cannot be Used.

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Do not Complete Schedule B if you are a new entrant, nominee, Vice Presidential or Presidential Candidate

Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE B

Part I: Transactions

None ☐

Report any purchase, sale, or exchange by you, your spouse, or dependent children 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 solely between you, your spouse, or dependent child. Check the "Certificate of divestiture" block to indicate sales made pursuant to a certificate of divestiture from OGE.

	Identification of Assets	Transaction Type (x)			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	Over $50,000,000	Certificate of divestiture
	Example: Central Airlines Common	x			2/1/99			x									
1																	
2																	
3																	
4																	
5																	

* This category applies only if the underlying asset is solely that of the filer's spouse or dependent children. If the underlying asset is either held by the filer or jointly held by the filer with the spouse or dependent children, use the other higher categories of value, as appropriate.

Part II: Gifts, Reimbursements, and Travel Expenses

For you, your spouse and dependent children, report the source, a brief description, and the value of: (1) gifts (such as tangible items, transportation, lodging, food, or entertainment) received from one source totaling more than $260; and (2) travel-related cash reimbursements received from one source totaling more than $260. For conflicts analysis, it is helpful to indicate a basis for receipt, such as personal friend, agency approval under 5 U.S.C. § 4111 or other statutory authority, etc. For travel-related gifts and reimbursements, include travel itinerary, dates, and the nature of expenses provided. **Exclude** anything given to you by the U.S. Government; given to your agency in connection with official travel; received from relatives; received by your spouse or dependent child totally independent of their relationship to you; or provided as personal hospitality at the donor's residence. Also, for purposes of aggregating gifts to determine the total value from one source, exclude items worth $104 or less. See instructions for other exclusions.

None ☐

	Source *(Name and Address)*	Brief Description	Value
	Examples: Nat'l Assn. of Rock Collectors, NY, NY	Airline ticket, hotel room & meals incident to national conference 6/15/99 (personal activity unrelated to duty)	$500
	Frank Jones, San Francisco, CA	Leather briefcase (personal friend)	$300
1			
2			
3			
4			
5			

Prior Editions Cannot Be Used.

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Do not Complete Schedule B if you are a new entrant, nominee, or Vice Presidential or Presidential Candidate

Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE B continued

(Use only if needed)

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Part I: Transactions

	Identification of Assets	Transaction Type (x): Purchase	Sale	Exchange	Date (Mo., Day, Yr.)	Amount of Transaction (x): $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	Certificate of divestiture
	Example: Central Airlines Common	x			2/1/99			x									
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* This category applies only if the underlying asset is solely that of the filer's spouse or dependent children. If the underlying asset is either held by the filer or jointly held by the filer with the spouse or dependent children, use the other higher categories of value, as appropriate.

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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE C

Part I: Liabilities

Report liabilities over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent children. Check the highest amount owed during the reporting period. **Exclude** a mortgage on your personal residence unless it is rented out; loans secured by automobiles, household furniture or appliances; and liabilities owed to certain relatives listed in instructions. See instructions for revolving charge accounts

None [X]

	Creditors (Name and Address)	Type of Liability	Date Incurred	Interest Rate	Term if applicable	$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
Examples:	First District Bank, Washington, DC	Mortgage on rental property, Delaware	1991	8%	25 yrs.			x								
	John Jones, 123 J St., Washington, DC	Promissory note	1999	10 %	on demand					x						
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Category of Amount or Value (x)

* This category applies only if the liability is solely that of the filer's spouse or dependent children. If the liability is that of the filer or a joint liability of the fil with the spouse or dependent children, mark the other higher categories, as appropriate.

Part II: Agreements or Arrangements

Report your agreements or arrangements for: continuing participation in an employee benefit plan (e.g. 401k, deferred compensation; (2) continuation payment by a former employer (including severance payments); (3) leaves of absence; and (4) future employment. See instructions regarding the reporting of negotiations for any of these arrangements or benefits

None [ ]

	Status and Terms of any Agreement or Arrangement	Parties	Date
Example:	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	Doe Jones & Smith, Hometown, State	7/85
1	As compensation for Board service, I received phantom stock under deferred compensation plan. Upon resignation from the Board, I will receive cash and shares of stock equivalent to full value of phantom stock.	Piper Jaffray Companies, Minneapolis, MN	11/2005
2	I will retain the assets presently in my profit sharing account with my firm, but will receive no severance of any kind and will not participate in any way in any of the firm's future income.	Kaplan, Strangis and Kaplan, P.A., Minneapolis, MN	10/1978
3	As compensation for Board service, I received stock options, which vested at various times during my Board service. The options will expire over the next nine years, as described in Note 12.	Vyyo, Inc., Norcross, GA	07/08
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Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☐

	Organization (*Name and Address*)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Examples:	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	Kaplan, Strangis and Kaplan, P.A., Minneapolis, MN	Law firm	President	10/1978	Present
2	Davisco Foods International, Inc. Voting Trust	Trust	Trustee	11/2005	Present
3	Minneapolis Jewish Federation, Minneapolis, MN	Charity	Member, Advisory Board	1972	Present
4	Cambria Enterprises, Inc., Minneapolis, MN	Manufacturing company	Director	10/2003	Present
5	Piper Jaffray Companies, Minneapolis, MN	Investment banking firm	Director	11/2005	Present
6	The Last Cowboy, LLC, Minneapolis, MN	Restaurant	Officer	5/1998	Present

Part II: Compensation In Excess Of $5,000 Paid by One Source

Report sources of more than $5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than $5,000. You need not report the U.S. Government as a source.

Do not complete this part if you are an Incumbent, Termination Filer, or Vice Presidential or Presidential Candidate

None ☐

	Source (*Name and Address*)	Brief Description of Duties
Examples:	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1	Kaplan, Strangis and Kaplan, P.A. ("KSK")	Legal services
2	Davisco International, Inc. (client of KSK), Minneapolis, MN	Retainer for legal services
3	Cambria Enterprises, Inc. (client of KSK), Minneapolis, MN	Retainer for legal services
4	Maurice Filister (client of KSK), Minneapolis, MN	Legal services pertaining to mortgage financing and operational issues
5	Estate of Maurice Filister (client of KSK), Minneapolis, MN	Legal services for probate of estate
6	Minnesota Twins LLC (client of KSK), Minneapolis, MN	Legal services relating to stadium construction

Prior Editions Cannot Be Used.

Reporting Individual's Name	SCHEDULE D continued	Page Number
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Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☐

	Organization (*Name and Address*)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Examples:	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	Wellstone Action, Minneapolis, MN	501(c)(4) Organization	Director	2003	Present
2	Wellstone Action Fund, Minneapolis, MN	501(c)(3) Organization	Director	2003	Present
3	Vyyo, Inc.	Telecommunications technology company	Director	1999	7/2008
4	Estate of Paul Wellstone	Estate	Personal Representative	3/2003	1/2008
5	Estate of Sheila Wellstone	Estate	Personal Representative	8/2006	3/2008
6	Estate of Maurice Filister	Estate	Personal Representative	3/2009	Present

Part II: Compensation In Excess Of $5,000 Paid by One Source

Report sources of more than $5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than $5,000. You need not report the U.S. Government as a source.

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None ☐

	Source (*Name and Address*)	Brief Description of Duties
Examples:	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1	Sim Heller Trusts (client of KSK), Minneapolis, MN	Legal services re leasing of real estate owned by trust
2	Jacob Garber (client of KSK), Minneapolis, MN	Legal services re insurance trusts
3	Wilcox Paper Company (client of KSK), Champlin, MN	Legal services in connection with sale of business
4	Jolee Suskovic (client of KSK), Minneapolis, MN	Legal services in connection with sale of interest in retail jewelry business
5	Hennepin Theatre Trust (client of KSK), Minneapolis, MN	Legal services in connection with obtaining real estate tax exemption
6	Harvey MacKay (client of KSK), Minneapolis, MN	Legal services in general corporate matters

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Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☐

	Organization (*Name and Address*)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Examples:	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	Summit Avenue Partners	Minnesota Limited Liability Partnership	Partner	12/1992	Present
2	Driftwood Associates, LLP	Minnesota Limited Liability Partnership	Partner	1985	Present
3	Leonard Louis Healthcare, LLP	Minnesota Limited Liability Partnership	Partner	1989	Present
4	Park Gardens Apartments LLP	Minnesota Limited Liability Partnership	Partner	12/1992	Present
5	Windsor Community Foundation	Charity	Chairman of the Board	2001	Present
6	Airtel Wireless	Telecommunications	Director	12/1992	Present

Part II: Compensation In Excess Of $5,000 Paid by One Source

Report sources of more than $5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than $5,000. You need not report the U.S. Government as a source.

Do not complete this part if you are an Incumbent, Termination Filer, or Vice Presidential or Presidential Candidate

None ☐

	Source (*Name and Address*)	Brief Description of Duties
Examples:	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1	TCF Bank (client of KSK), Minneapolis, MN	Legal services in connection with naming rights for University of Minnesota stadium
2	Park Development Corp. (client of KSK), Minneapolis, MN	Legal services in connection with development of public park
3	James Lupient (client of KSK), Minneapolis, MN	Legal services
4	Minnesota Wine & Spirits Association (client of KSK), Minneapolis, MN	Retainer for legal services
5	Janice Hope (client of KSK), Minneapolis, MN	Legal services relating to sale of art collection
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Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☐

	Organization (*Name and Address*)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Examples:	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	Jacob M. Garber Trust 1	Trust	Trustee	11/1999	Present
2	Jacob M. Garber Trust 2	Trust	Trustee	11/1999	Present
3	Jacob M. Garber Trust 3	Trust	Trustee	11/1999	Present
4	Jacob M. Garber Trust 4	Trust	Trustee	11/1999	Present
5	Jacob M. Garber Trust 5	Trust	Trustee	11/1999	Present
6	Jacob M. Garber Trust 6	Trust	Trustee	11/1999	Present

Part II: Compensation In Excess Of $5,000 Paid by One Source

Report sources of more than $5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than $5,000. You need not report the U.S. Government as a source.

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None ☐

	Source (*Name and Address*)	Brief Description of Duties
Examples:	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
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Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE D continued

Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☐

	Organization (*Name and Address*)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Examples:	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	Jacob M. Garber Trust 7	Trust	Trustee	11/1999	Present
2	Jacob M. Garber Trust 8	Trust	Trustee	11/1999	Present
3	Jacob M. Garber Trust 9	Trust	Trustee	11/1999	Present
4	Jacob M. Garber Trust 10	Trust	Trustee	11/1999	Present
5	Jacob M. Garber Trust 11	Trust	Trustee	11/1999	Present
6	Jacob M. Garber Trust 12	Trust	Trustee	11/1999	Present

Part II: Compensation In Excess Of $5,000 Paid by One Source

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	Source (*Name and Address*)	Brief Description of Duties
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	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
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Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

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	Organization (*Name and Address*)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Examples:	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	Jacob M. Garber Trust 13	Trust	Trustee	11/1999	Present
2	Jacob M. Garber Trust 14	Trust	Trustee	11/1999	Present
3	Jacob M. Garber Trust 15	Trust	Trustee	11/1999	Present
4	Jacob M. Garber Trust 16	Trust	Trustee	11/1999	Present
5	Jacob M. Garber Trust 17	Trust	Trustee	11/1999	Present
6	Jacob M. Garber Trust 18	Trust	Trustee	11/1999	Present

Part II: Compensation In Excess Of $5,000 Paid by One Source

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	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
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Prior Editions Cannot Be Used.

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Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

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Examples:	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	Jacob M. Garber Trust 19	Trust	Trustee	11/1999	Present
2	Jacob M. Garber Trust 20	Trust	Trustee	11/1999	Present
3	Jacob M. Garber Trust 21	Trust	Trustee	11/1999	Present
4	Jacob M. Garber Trust 22	Trust	Trustee	11/1999	Present
5	Jacob M. Garber Trust 23	Trust	Trustee	7/1992	6/2009
6	Jacob M. Garber Trust 24	Trust	Trustee	7/1992	6/2009

Part II: Compensation In Excess Of $5,000 Paid by One Source

Report sources of more than $5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than $5,000. You need not report the U.S. Government as a source.

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None ☐

	Source (*Name and Address*)	Brief Description of Duties
Examples:	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
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Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☐

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Examples:	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	Jacob M. Garber Trust 25	Trust	Trustee	7/1992	6/2009
2	Jim Lupient Trust 1	Trust	Trustee	8/1986	Present
3	Jim Lupient Trust 2	Trust	Trustee	5/1990	Present
4	Jim Lupient Trust 3	Trust	Trustee	2/1991	Present
5	Jim Lupient Trust 4	Trust	Trustee	2/1991	2006
6	Jim Lupient Trust 5	Trust	Trustee	2/1991	Present

Part II: Compensation In Excess Of $5,000 Paid by One Source

Report sources of more than $5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than $5,000. You need not report the U.S. Government as a source.

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	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
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Prior Editions Cannot Be Used.

Reporting Individual's Name: Kaplan, Samuel L.

SCHEDULE D continued

Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. Exclude positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☐

	Organization (*Name and Address*)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Examples:	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	Jim Lupient Trust 6	Trust	Trustee	2/1991	Present
2	Jim Lupient Trust 7	Trust	Trustee	2/1991	Present
3	Jim Lupient Trust 8	Trust	Trustee	10/1997	Present
4	Jim Lupient Trust 9	Trust	Trustee	12/1997	Present
5	Jim Lupient Trust 10	Trust	Trustee	12/1997	Present
6	Jim Lupient Trust 11	Trust	Trustee	12/1997	Present

Part II: Compensation In Excess Of $5,000 Paid by One Source

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	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
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Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☐

	Organization (*Name and Address*)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Examples:	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	Jim Lupient Trust 12	Trust	Trustee	12/1997	Present
2	Jim Lupient Trust 13	Trust	Trustee	12/1997	Present
3	Jim Lupient Trust 14	Trust	Trustee	12/1998	Present
4	Jim Lupient Trust 15	Trust	Trustee	12/2001	Present
5	Jim Lupient Trust 16	Trust	Trustee	2/1999	Present
6	Jim Lupient Trust 17	Trust	Trustee	2/1999	Present

Part II: Compensation In Excess Of $5,000 Paid by One Source

Report sources of more than $5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than $5,000. You need not report the U.S. Government as a source.

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None ☐

	Source (*Name and Address*)	Brief Description of Duties
Examples:	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
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Prior Editions Cannot Be Used.

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Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. Exclude positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☐

	Organization (*Name and Address*)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Examples:	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	Sim E. Heller Trust 1	Trust	Trustee	5/1986	2/2009
2	Sim E. Heller Trust 2	Trust	Trustee	6/2003	Present
3	Filister Trust 1	Trust	Trustee	3/2005	Present
4	Filister Trust 2	Trust	Trustee	3/2005	Present
5	Davis Family Trust 1	Trust	Trustee	11/2001	Present
6	Davis Family Trust 2	Trust	Trustee	6/2001	Present

Part II: Compensation In Excess Of $5,000 Paid by One Source

Report sources of more than $5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than $5,000. You need not report the U.S. Government as a source.

Do not complete this part if you are an Incumbent, Termination Filer, or Vice Presidential or Presidential Candidate

None ☐

	Source (*Name and Address*)	Brief Description of Duties
Examples:	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1		
2		
3		
4		
5		
6		

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Reporting Individual's Name		Page Number
Kaplan, Samuel L.	**SCHEDULE D continued**	46

Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☐

	Organization (*Name and Address*)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Examples:	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	Melvin Spiegler Trust	Trust	Trustee	12/1995	Present
2	Richard Mast Life Insurance Trust	Trust	Trustee	7/1983	Present
3	Joshua Kerner Trust	Trust	Trustee	3/2003	Present
4					
5					
6					

Part II: Compensation In Excess Of $5,000 Paid by One Source

Report sources of more than $5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than $5,000. You need not report the U.S. Government as a source.

Do not complete this part if you are an Incumbent, Termination Filer, or Vice Presidential or Presidential Candidate

None ☐

	Source (*Name and Address*)	Brief Description of Duties
Examples:	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1		
2		
3		
4		
5		
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Prior Editions Cannot Be Used.

Notes to Standard Form 278

Note 1.

Can-Am Partners Partnership Interest – Can-Am Partners is a real estate partnership owning apartments in Minnesota. The reported distribution is likely offset in part by other costs incurred by the partnership and does not accurately reflect my income income from the partnership. I have not yet received from the partnership a statement of taxable income for the year 2008.

Note 2.

Grandchildren 1-13 Minnesota College Savings Plans (TIIA-CREF) – For each of the college saving plans, the "Managed Allocation" investment option has been selected. Under this option, plan monies are invested in the ten TIIA-CREF mutual funds listed below, with a varying allocation among the following ten mutual funds based on the age of the beneficiary.

Fund 1. TIIA-CREF Large-Cap Growth Index Fund
Fund 2. TIIA-CREF S&P 500 Index Fund
Fund 3. TIIA-CREF Equity Index Fund
Fund 4. TIIA-CREF Small-Cap Blend Index Fund
Fund 5. TIIA-CREF Large-Cap Value Index Fund
Fund 6. TIIA-CREF Real Estate Securities Fund
Fund 7. TIIA-CREF International Equity Fund
Fund 8. TIIA-CREF Bond Fund
Fund 9. TIIA-CREF Inflation-Linked Bond Fund
Fund 10. TIIA-CREF Money Market Fund

Age Band	Age of Beneficiary	Fund 1	Fund 2	Fund 3	Fund 4	Fund 5	Fund 6	Fund 7	Fund 8	Fund 9	Fund 10
1	0-3	4.80%	16.80%	24.80%	4.00%	5.60%	8.00%	16.00%	15.00%	5.00%	0.00%
2	4-7	3.90%	13.65%	20.15%	3.25%	4.55%	6.50%	13.00%	26.25%	8.75%	0.00%
3	8-11	3.00%	10.50%	15.50%	2.50%	3.50%	5.00%	10.00%	37.50%	12.50%	0.00%
4	12-14	2.40%	8.40%	12.40%	2.00%	2.80%	4.00%	8.00%	45.00%	15.00%	0.00%
5	15-17	1.50%	5.25%	7.75%	1.25%	1.75%	2.50%	5.00%	37.50%	12.50%	25.00%
6	18 or over	0.90%	3.15%	4.65%	0.75%	1.05%	1.50%	3.00%	30.00%	10.00%	45.00%

The grandchildren are presently in the following age bands:

Grandchild 1. 15 - 17 (age band 5)
Grandchild 2. 12 - 14 (age band 4)
Grandchild 3. 18 and older (age band 6)
Grandchild 4. 12 - 14 (age band 4)
Grandchild 5. 8 - 11 (age band 3)
Grandchild 6. 18 and older (age band 6)
Grandchild 7. 8 - 11 (age band 3)
Grandchild 8. 4 - 7 (age band 2)
Grandchild 9. 4 - 7 (age band 2)
Grandchild 10. 4 - 7 (age band 2)
Grandchild 11. 8 - 11 (age band 3)
Grandchild 12. 12 - 14 (age band 4)
Grandchild 13. 15 - 17 (age band 5)

Note 3.

Driftwood Associates Partnership Interest – Driftwood Associates is a real estate partnership owning apartments in Minnesota. The bulk of the reported distribution, $267,500, is from funds loaned to the partnership as a result of its refinancing of real estate properties and is not income. Additionally, this distribution is likely offset in part by other costs incurred by the partnership and does not accurately reflect my income from the partnership. I have not yet received from the partnership a statement of taxable income for the year 2008.

Note 4.

KSK of Avon LLC, Equity Interest – KSK of Avon, LLC is a limited liability company owning apartments in Minnesota. The reported distribution is likely offset in part by other costs incurred by the partnership and does not accurately reflect my income from the partnership. I have not yet received from the company a statement of taxable income for the year 2008.

Note 5.

Leonard Louis Healthcare Properties Partnership Interest – Leonard Louis Healthcare Properties is a real estate partnership owning nursing home and assisted living properties in Minnesota. The bulk of the reported distribution, $4,077,880, is from funds loaned to the partnership as a result of its refinancing of real estate properties and is not income. Additionally, this distribution is likely offset in part by other costs incurred by the partnership and does not accurately reflect my income from the partnership. I have not yet received from the partnership a statement of taxable income for the year 2008.

Note 6.

Park Gardens Apartment Partnership Interest – Park Gardens Apartment Partnership is a real estate partnership owning nursing home, assisted living, and independent living facilities in Minnesota. The bulk of the reported distribution, $1,564,529, is from funds loaned to the partnership as a result of its refinancing of real estate properties and is not income. Additionally, this distribution is likely offset in part by other costs incurred by the partnership and does not accurately reflect my income from the partnership. I have not yet received from the partnership a statement of taxable income for the year 2008.

Note 7.

Park Gardens of Fergus Falls – Park Gardens of Fergus Falls is a real estate partnership owning nursing home, assisted living, and independent living facilities in Minnesota. The reported distribution is likely offset in part by other costs incurred by the partnership and does not accurately reflect my income from the partnership. I have not yet received from the partnership a statement of taxable income for the year 2008.

Note 8.

Piper Jaffray Co. Stock – This stock is compensation by Piper Jaffray for my services as a member of its Board of Directors, as described in Schedule C, Part II. Receipt of the stock is deferred until the my position as Director ends.

Note 9.

Programmed Management Investment Partnership, Partnership Interest – Programmed Management Investment Partnership is a small investment partnership whose only current asset is cash held in a bank account at TD Ameritrade.

Note 10.

Silvercrest Apartments LLC, Equity Interest – Silvercrest Aparments LLC is a limited liability company owning apartments in Minnesota. The reported distribution is likely offset in part by other costs incurred by the partnership and does not accurately reflect my income from the partnership. I have not yet received from the company a statement of taxable income for the year 2008.

Note 11.

Summit Avenue Partners, Partnership Interest – Summit Avenue Partners is a real estate partnership owning apartments in Minnesota. The bulk of the reported distribution, $349,000, is from funds loaned to the partnership as a result of its refinancing of real estate properties and is not income. Additionally, this distribution is likely offset in part by other costs incurred by the partnership and does not accurately reflect my income from the partnership. I have not yet received from the partnership a statement of taxable income for the year 2008.

Note 12.

Vyyo, Inc. Stock Options – As compensation for board service, I received stock options in Vyyo, Inc. My unexpired stock option rights are as follows:

Vested Options	Strike Price	Vesting Schedule	Notes
7,500	$3.21	Vested 05/08/2002	Options expire on 05/08/2012.
1,667	$2.40	Vested 02/13/2003	Options expired on 02/13/2008.
7,500	$2.90	Vested 05/13/2003	Options expire on 05/13/2013.
3,125	$2.90	Vested 05/13/2003	Options expired on 05/13/2008.
3,125	$3.40	Vested 07/29/2003	Options expired on 07/29/2008.
3,125	$4.30	Vested 10/27/2003	Options expired on 10/27/2008.
3,125	$9.60	Vested 01/22/2004	Options expired on 01/22/2009.
3,125	$6.98	Vested 04/22/2004	Options expired on 04/22/2009.
7,500	$6.75	Vested 04/23/2004	Options expire on 04/23/2014.
3,125	$5.06	Vested 07/26/2004	Options expire on 07/26/2009.
3,125	$5.86	Vested 10/27/2004	Options expire on 10/27/2004.
3,125	$7.50	Vested 01/20/2005	Options expire on 01/20/2010.
7,500	$7.31	Vested 03/15/2005	Options expire on 03/15/2015.
3,125	$7.34	Vested 04/18/2005	Options expire on 04/18/2010.
3,125	$6.75	Vested 08/10/2005	Options expire on 08/10/2015.
3,125	$4.82	Vested 11/10/2005	Options expire on 11/10/2015.
3,125	$7.30	Vested 03/09/2006	Options expire on 03/08/2016.
7,500	$6.36	Vested 05/09/2006	Options expire on 05/08/2016.
3,125	$4.44	Vested 08/14/2006	Options expire on 08/13/2016.
3,125	$3.35	Vested 11/09/2006	Options expire on 11/08/2016.
3,125	$4.32	Vested 03/15/2007	Options expire on 03/14/2017.
7,500	$6.92	Vested 05/10/2007	Options expire on 05/08/2017.
3,125	$6.92	Vested 05/10/2007	Options expire on 05/09/2017.
3,125	$6.91	Vested 08/09/2007	Options expire on 08/08/2017.
3,125	$4.55	Vested 11/15/2007	Options expire on 11/14/2017.
3,125	$1.31	Vested 02/19/2008	Options expire on 02/18/2018.

Note 13.

WF Opportunity Fund, Equity Interest – The WF Opportunity Fund is a small investment fund located in Minneapolis, MN and holds the following assets:

Redstone American Grill, Inc. (Restaurant Chain in MN, IL, NJ, PA, and MD) Stock
OceanAire, Inc. (Airconditioning Company in IL) Stock
Lumen Biomedical, Inc. (Biotechnology Company in MN) Stock
Kuhlman Company, Inc. (Clothing Company in MN) Stock

Note 14.

Airtel Wireless Debt and Equity Interests – Airtel Wireless is a telecommunications company that previously provided cellular telephone services in Montana.

Note 15.

Bondhawk II LP, Limited Partnership Interest – Bondhawk is a small investment fund that invests in mostly in fixed income securities as well as exchange-traded products. It cannot, as a matter of policy, disclose its holdings to me. Bondhawk has submitted a letter to the State Department's Designated Agency Ethics Official confirming that it cannot disclose its assets to me. It has provided a breakdown of the types of securities in invests in with the remainder of the fund being in cash or cash equivalents:
Fixed Income
Asset Backed (40%)
Municipal Bonds (27%)
Corporate Bonds (21%)
Exchange-Traded Products
Commodities (5%)

Note 16.

Castle Creek Capital Partners Fund III LP, Limited Partnership Interest – Castle Creek Capital Partners III, LP located in Rancho Santa Fe, CA and holds the following assets:

Atlanta Bancorporation, Inc. (Commercial Bank in GA) Stock and Warrants
Guaranty Bancorp (GBNK) Stock
First Chicago Bancorp. (LDFI) Stock
The BANKshares, Inc. (Bank Holding Company in FL) Stock

Note 17.

Castle Creek Capital Partners Fund IIb LP, Limited Partnership Interest – Castle Creek Capital Partners IIb, LP located in Rancho Santa Fe, CA and holds the following assets:

First Community Bancorp (FCBP) Stock
White River Capital (RVR) Stock

Note 18.

Rancho Partners I, LLC Equity Interest – Rancho Partners is a small venture capital investment fund located in Minneapolis, MN and holds the following assets, all of which are excepted investment funds:

Crescendo IV, LP (Venture Capital Fund in Palo Alto, CA), Limited Partnership Interest

RWI Ventures I, LP (Venture Capital Fund in Menlo Park, CA), Limited Partnership Interest Innocal II, LP (Venture Capital Fund in Costa Mesa, CA), Limited Partnership Interest TL Ventures V, LP (Venture Capital Fund in San Francisco, CA), Limited Partnership Interest Sapient Capital, LP (Venture Capital Fund in Wilson, WY), Limited Partnership Interest

Note 19.

Rich 'R Us Investment Club Equity Interest – The underlying assets of the club are as follows:

Adobe Systems, Inc. Stock	Ford Motor Co. Stock	PepsiCo Inc. Stock
Apple, Inc. Stock	Harris (HRS) Stock	Target Corp. Stock
Cisco Systems, Inc. Stock	Jacobs Engineering Group Inc. Stock	Teva Pharm. Indus. Ltd. Stock
Citigroup, Inc. Stock	Johnson & Johnson Stock	Trinity Industries Inc. Stock
Costco Wholesale Corp. Stock	Nice Systems Ltd. Stock	Waste Management Inc. Stock
Ecolab Inc. Stock	Oceaneering Intl. Inc. Stock	