

## UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR NEW EMPLOYEE AND CANDIDATE REPORTS

|  |                                       |   |  |
|--|---------------------------------------|---|--|
| Last Name  | First Name and Middle Initial         | New Employee Report<br>Date of Employment (mm/dd/yy):     | Senate Office / Agency in Which Employed |
| Conlin   | Roxanne B.                            |   |  |
| Senate/Candidate Office Address (Number, Street, City, State, and ZIP) | Senate/Candidate Office Telephone No. | Candidate Report<br>Commencement of Candidacy (mm/dd/yy): | State in which you are a candidate       |
| P.O. Box 876<br>Des Moines, Iowa 50304                                 | (515) 243-3100                        | 10/29/09  | Iowa                                     |

### AFTER READING THE INSTRUCTIONS - ANSWER EACH OF THESE QUESTIONS

|  | YES                                 | NO                       |  | YES                                 | NO                                  |
|--|-------------------------------------|--------------------------|--|-------------------------------------|-------------------------------------|
| Did you or your spouse have earned income (e.g., salaries or fees) or non-investment income of more than \$200 from any reportable source in the reporting period?<br>If Yes, Complete and Attach PART II.   | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Did you hold any reportable positions during the reporting period?<br>If Yes, Complete and Attach PART VIII.                                 | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| Did you, your spouse, or dependent child hold any reportable asset worth more than \$1,000 at the end of the period or receive unearned or investment income of more than \$200 in the reporting period?<br>If Yes, Complete and Attach PART IIIA and/or IIIB. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Did you have any reportable agreement or arrangement with an outside entity on the filing date?<br>If Yes, Complete and Attach PART IX.      | <input type="checkbox"/>            | <input checked="" type="checkbox"/> |
| Did you, your spouse, or dependent child have any reportable liability (more than \$10,000) during the reporting period?<br>If Yes, Complete and Attach PART VII.  | <input checked="" type="checkbox"/> | <input type="checkbox"/> | Did you receive compensation of more than \$5,000 from a single source in the <u>two</u> prior years?<br>If Yes, Complete and Attach PART X. | <input type="checkbox"/>            | <input type="checkbox"/>            |

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

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

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The statement will be made available by the Office of the Secretary of the Senate to any requesting person upon written application and will be reviewed by the Select Committee on Ethics. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil and criminal sanctions. (See 5 U.S.C. app. 6, 104, and 18 U.S.C. 1001.)

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

|  |                                   |                         |
|--|-----------------------------------|-------------------------|
| Certification  | Signature of Reporting Individual | Date (Month, Day, Year) |
| I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief. |                                   | 6.28.10                 |

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

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

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

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

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

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

| Name of Income Source |   | Address (City, State) | Type of Income   | Amount       |
|-----------------------|---|-----------------------|------------------|--------------|
| Example:              | JP Computers                              | Wash., DC             | Salary           | \$15,000     |
|                       | MCI (Spouse)                              | Arlington, VA         | Salary           | Over \$1,000 |
| 1                     | Roxanne Conlin & Associates, PC           | Des Moines, IA        | Salary           | \$351,423    |
| 2                     | Canterbury Equities II, LLC               | Des Moines, IA        | Ordinary Bus Inc | \$9,156      |
| 3                     | Southern Hills Equities II, LLC           | Des Moines, IA        | Ordinary Bus Inc | \$6,190      |
| 4                     | Southern Hills Equities I, LLC            | Des Moines, IA        | Ordinary Bus Inc | \$6,262      |
| 5                     | Canterbury Equities I, LLC                | Des Moines, IA        | Ordinary Bus Inc | \$2,874      |
| 6                     | Conlin Development Company (Spouse)       | Des Moines, IA        | Developer Fees   | Over \$1,000 |
| 7                     | Growth Equities, LLC (Spouse)             | Des Moines, IA        | Ordinary Bus Inc | Over \$1,000 |
| 8                     | Conlin Construction Services, LC (Spouse) | Des Moines, IA        | Ordinary Bus Inc | Over \$1,000 |
| 9                     | Windfield Equities II, LLC (Spouse)       | Des Moines, IA        | Ordinary Bus Inc | Over \$1,000 |
| 10                    | Parkside Equities III, LLC (Spouse)       | Des Moines, IA        | Ordinary Bus Inc | Over \$1,000 |
| 11                    | Parkside Equities IV, LLC (Spouse)        | Des Moines, IA        | Ordinary Bus Inc | Over \$1,000 |
| 12                    | Windfield Equities III, LLC (Spouse)      | Des Moines, IA        | Ordinary Bus Inc | Over \$1,000 |
| 13                    | Canterbury Equities II, LLC (Spouse)      | Des Moines, IA        | Ordinary Bus Inc | Over \$1,000 |

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

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

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

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

| Name of Income Source |  | Address (City, State) |         | Type of Income   | Amount       |
|-----------------------|--|-----------------------|---------|------------------|--------------|
| Example:              | JP Computers                             | Wash., DC             | Example | Salary           | Example      |
|                       | MCI (Spouse)                             | Arlington, VA         | Example | Salary           | Example      |
| 1                     | Deer Ridge Equities IV, LLC (Spouse)     | Des Moines, IA        |         | Ordinary Bus Inc | Over \$1,000 |
| 2                     | Southern Hills Equities II, LLC (Spouse) | Des Moines, IA        |         | Ordinary Bus Inc | Over \$1,000 |
| 3                     | Southern Hills Equities I, LLC (Spouse)  | Des Moines, IA        |         | Ordinary Bus Inc | Over \$1,000 |
| 4                     | Canterbury Equities III, LLC (Spouse)    | Des Moines, IA        |         | Ordinary Bus Inc | Over \$1,000 |
| 5                     | Deer Ridge V Equities, LLC (Spouse)      | Des Moines, IA        |         | Ordinary Bus Inc | Over \$1,000 |
| 6                     | Canterbury Equities I, LLC               | Des Moines, IA        |         | Ordinary Bus Inc | Over \$1,000 |
| 7                     |  |                       |         |                  |              |
| 8                     |  |                       |         |                  |              |
| 9                     |  |                       |         |                  |              |
| 10                    |  |                       |         |                  |              |
| 11                    |  |                       |         |                  |              |
| 12                    |  |                       |         |                  |              |
| 13                    |  |                       |         |                  |              |

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

| BLOCK A<br>Identity of Publicly Traded Assets<br>And Unearned Income Sources  |  | BLOCK B<br>Valuation of Assets   |                    |                     |                      |                       |                       |                         |                     |                           |                            | BLOCK C<br>Type and Amount of Income  |                   |      |           |      |          |                  |                          |                |                       |                            |                           |                 |                   |                   |                    |                     |                      |                         |                     |                           |                  |  |
|---|--|--|--------------------|---------------------|----------------------|-----------------------|-----------------------|-------------------------|---------------------|---------------------------|----------------------------|---|-------------------|------|-----------|------|----------|------------------|--------------------------|----------------|-----------------------|----------------------------|---------------------------|-----------------|-------------------|-------------------|--------------------|---------------------|----------------------|-------------------------|---------------------|---------------------------|------------------|--|
|   |  | At the close of reporting period.<br>If None, or less than \$1,001,<br>Check the first column. |                    |                     |                      |                       |                       |                         |                     |                           |                            | If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This<br>includes income received or accrued to the benefit of the individual. |                   |      |           |      |          |                  |                          |                |                       |                            |                           |                 |                   |                   |                    |                     |                      |                         |                     |                           |                  |  |
|   |  |  |                    |                     |                      |                       |                       |                         |                     |                           |                            | Type of Income  |                   |      |           |      |          | Amount of Income |                          |                |                       |                            |                           |                 |                   |                   |                    |                     |                      |                         |                     |                           |                  |  |
| Report the complete name of each publicly<br>traded asset held by you, your spouse, or<br>your dependent child, (See p.3,<br>CONTENTS OF REPORTS Part B of<br>Instructions) for production of income or<br>investment which:<br><br>(1) had a value exceeding \$1,000 at the<br>close of the reporting period; and/or<br>(2) generated over \$200 in "unearned"<br>income during the reporting period.<br><br>Include on this PART IIIA a complete<br>identification of each public bond, mutual<br>fund, publicly traded partnership interest,<br>excepted investment funds, bank<br>accounts, excepted and qualified blind<br>trusts, and publicly traded assets of a<br>retirement plan. |  | None (or less than \$1,001)  | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000   | Over \$50,000,000 | None | Dividends | Rent | Interest | Capital Gains    | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other<br>(Specify<br>Type) | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | Over \$5,000,000 | Actual<br>Amount<br>Required<br>if<br>"Other"<br>Specified |
|   |  | Example: S,<br>DC,<br>or J   | IBM Corp. (stock)  |                     |                      | X                     |                       |                         |                     |                           |                            |   |                   |      | X         |      |          |                  |                          |                |                       |                            | Example                   | X               |                   |                   |                    |                     |                      |                         |                     |                           |                  | Example  |
|   | (S) Keystone Fund                              |  |                    |                     | X                    |                       |                       |                         |                     |                           |                            |   |                   |      |           |      | X        |                  |                          |                | Example               | X                          |                           |                 |                   |                   |                    |                     |                      |                         |                     | Example                   |                  |  |
| 1   | J Northern Tax Exempt Portfolio (Money Market) |  |                    |                     | X                    |                       |                       |                         |                     |                           |                            |   | X                 |      |           |      |          |                  |                          |                |                       |                            |                           |                 |                   | X                 |                    |                     |                      |                         |                     |                           |                  |  |
| 2   | J Abbott Laboratories (stock)                  | X  |                    |                     |                      |                       |                       |                         |                     |                           |                            |   | X                 |      |           |      | X        |                  |                          |                |                       |                            | X                         |                 |                   |                   |                    |                     |                      |                         |                     |                           |                  |  |
| 3   | J Apple Common (stock)                         |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |   |                   |      |           |      | X        |                  |                          |                |                       |                            |                           | X               |                   |                   |                    |                     |                      |                         |                     |                           |                  |  |
| 4   | J Best Buy Inc. (stock)                        | X  |                    |                     |                      |                       |                       |                         |                     |                           |                            |   | X                 |      |           |      | X        |                  |                          |                |                       |                            | X                         |                 |                   |                   |                    |                     |                      |                         |                     |                           |                  |  |
| 5   | J Coach Inc (stock)                            | X  |                    |                     |                      |                       |                       |                         |                     |                           |                            |   | X                 |      |           |      | X        |                  |                          |                |                       |                            | X                         |                 |                   |                   |                    |                     |                      |                         |                     |                           |                  |  |
| 6   | J Cognizant Technology Solutions (stock)       | X  |                    |                     |                      |                       |                       |                         |                     |                           |                            |   |                   |      |           |      | X        |                  |                          |                |                       |                            |                           | X               |                   |                   |                    |                     |                      |                         |                     |                           |                  |  |
| 7   | J Conocophillips (stock)                       |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |   | X                 |      |           |      | X        |                  |                          |                |                       |                            | X                         |                 |                   |                   |                    |                     |                      |                         |                     |                           |                  |  |
| 8   | J Deere & Co (stock)                           | X  |                    |                     |                      |                       |                       |                         |                     |                           |                            |   | X                 |      |           |      | X        |                  |                          |                |                       |                            | X                         |                 |                   |                   |                    |                     |                      |                         |                     |                           |                  |  |
| 9   | J EMC Corp (stock)                             | X  |                    |                     |                      |                       |                       |                         |                     |                           |                            |   | X                 |      |           |      | X        |                  |                          |                |                       |                            | X                         |                 |                   |                   |                    |                     |                      |                         |                     |                           |                  |  |
| 10  | J AFLAC (stock)                                | X  |                    |                     |                      |                       |                       |                         |                     |                           |                            |   | X                 |      |           |      | X        |                  |                          |                |                       |                            | X                         |                 |                   |                   |                    |                     |                      |                         |                     |                           |                  |  |

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

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

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

| BLOCK A<br>Identity of Publicly Traded Assets<br>And Unearned Income Sources   |  | BLOCK B<br>Valuation of Assets   |                    |                     |                      |                       |                       |                         |                     |                           |                            | BLOCK C<br>Type and Amount of Income   |                   |      |           |      |          |                  |                          |                |                       |                      |   |                           |                 |                   |                   |                    |                     |                      |                         |                     |
|--|--|--|--------------------|---------------------|----------------------|-----------------------|-----------------------|-------------------------|---------------------|---------------------------|----------------------------|--|-------------------|------|-----------|------|----------|------------------|--------------------------|----------------|-----------------------|----------------------|---|---------------------------|-----------------|-------------------|-------------------|--------------------|---------------------|----------------------|-------------------------|---------------------|
| Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:<br>(1) had a value exceeding \$1,000 at the close of the reporting period; and/or<br>(2) generated over \$200 in "unearned" income during the reporting period.<br>Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan. |  | At the close of reporting period.<br>If None, or less than \$1,001,<br>Check the first column. |                    |                     |                      |                       |                       |                         |                     |                           |                            | If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual. |                   |      |           |      |          |                  |                          |                |                       |                      |   |                           |                 |                   |                   |                    |                     |                      |                         |                     |
|  |  |  |                    |                     |                      |                       |                       |                         |                     |                           |                            | Type of Income   |                   |      |           |      |          | Amount of Income |                          |                |                       |                      | Actual Amount Required if "Other" Specified |                           |                 |                   |                   |                    |                     |                      |                         |                     |
|  |  | None (or less than \$1,001)  | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000  | Over \$50,000,000 | None | Dividends | Rent | Interest | Capital Gains    | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other (Specify Type) |   | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 | Over \$1,000,000*** |
| S, IBM Corp. (stock)<br>Example: DC, or J (S) Keystone Fund  |  |  |                    | X                   |                      |                       |                       |                         |                     |                           |                            |  | X                 |      |           |      |          |                  |                          | Example        | X                     |                      |   |                           |                 |                   |                   |                    |                     |                      |                         | Example             |
| 1 J Express Scripts Inc (stock)  |  |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |  |                   |      |           | X    |          |                  |                          | Example        | X                     |                      |   |                           |                 |                   |                   |                    |                     |                      | Example                 |                     |
| 2 J Freeport McMoran Copper & Gold (stock)   |  | X  |                    |                     |                      |                       |                       |                         |                     |                           |                            |  | X                 |      |           | X    |          |                  |                          |                |                       | X                    |   |                           |                 |                   |                   |                    |                     |                      |                         |                     |
| 3 J Goldman Sachs Group Inc (stock)  |  | X  |                    |                     |                      |                       |                       |                         |                     |                           |                            |  | X                 |      |           | X    |          |                  |                          |                |                       |                      | X   |                           |                 |                   |                   |                    |                     |                      |                         |                     |
| 4 J Google Inc Cl A (stock)  |  |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |  | X                 |      |           |      |          |                  |                          |                |                       |                      | X   |                           |                 |                   |                   |                    |                     |                      |                         |                     |
| 5 J ISHARES MSCI EAFE Index Fd   |  |  |                    |                     | X                    |                       |                       |                         |                     |                           |                            |  |                   |      |           |      | X        |                  |                          |                |                       |                      | X   |                           |                 |                   |                   |                    |                     |                      |                         |                     |
| 6 J ISHARES Russell 2000 Index Fd  |  |  |                    |                     | X                    |                       |                       |                         |                     |                           |                            |  |                   |      |           |      | X        |                  |                          |                |                       |                      | X   |                           |                 |                   |                   |                    |                     |                      |                         |                     |
| 7 J SHARES Russell Midcap  |  |  |                    |                     |                      | X                     |                       |                         |                     |                           |                            |  |                   |      |           |      | X        |                  |                          |                |                       |                      |   | X                         |                 |                   |                   |                    |                     |                      |                         |                     |
| 8 J Ingersoll Rand Co CL A (stock)   |  |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |  | X                 |      |           | X    |          |                  |                          |                |                       |                      | X   |                           |                 |                   |                   |                    |                     |                      |                         |                     |
| 9 J Intel Corp (stock)   |  |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |  | X                 |      |           |      |          |                  |                          |                |                       |                      | X   |                           |                 |                   |                   |                    |                     |                      |                         |                     |
| 10 J Johnson & Johnson (stock)   |  |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |  | X                 |      |           | X    |          |                  |                          |                |                       |                      | X   |                           |                 |                   |                   |                    |                     |                      |                         |                     |

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.  
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**PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES**

| BLOCK A<br>Identity of Publicly Traded Assets<br>And Unearned Income Sources   |  | BLOCK B<br>Valuation of Assets   |                    |                     |                      |                       |                       |                         |                     |                           |                            | BLOCK C<br>Type and Amount of Income   |                   |      |           |      |          |                  |                          |                |                       |                      |                           |                 |                   |                   |                    |                     |                      |                         |                     |                           |
|--|--|--|--------------------|---------------------|----------------------|-----------------------|-----------------------|-------------------------|---------------------|---------------------------|----------------------------|--|-------------------|------|-----------|------|----------|------------------|--------------------------|----------------|-----------------------|----------------------|---------------------------|-----------------|-------------------|-------------------|--------------------|---------------------|----------------------|-------------------------|---------------------|---------------------------|
| Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:<br>(1) had a value exceeding \$1,000 at the close of the reporting period; and/or<br>(2) generated over \$200 in "unearned" income during the reporting period.<br>Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan. |  | At the close of reporting period.<br>If None, or less than \$1,001,<br>Check the first column. |                    |                     |                      |                       |                       |                         |                     |                           |                            | If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual. |                   |      |           |      |          |                  |                          |                |                       |                      |                           |                 |                   |                   |                    |                     |                      |                         |                     |                           |
|  |  |  |                    |                     |                      |                       |                       |                         |                     |                           |                            | Type of Income   |                   |      |           |      |          | Amount of Income |                          |                |                       |                      |                           |                 |                   |                   |                    |                     |                      |                         |                     |                           |
|  |  | None (or less than \$1,001)  | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000  | Over \$50,000,000 | None | Dividends | Rent | Interest | Capital Gains    | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other (Specify Type) | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 |
| Example: S, DC, or J   | IBM Corp. (stock)  |  |                    | X                   |                      |                       |                       |                         |                     |                           |                            | X  |                   |      |           |      |          |                  |                          | Example        | X                     |                      |                           |                 |                   |                   |                    |                     |                      |                         | Example             |                           |
|  | (S) Keystone Fund  |  |                    | X                   |                      |                       |                       |                         |                     |                           |                            |  |                   |      |           | X    |          |                  |                          | Example        | X                     |                      |                           |                 |                   |                   |                    |                     |                      |                         | Example             |                           |
| 1  | J East Moline, IL 3.625% Due 01/15/16 (Gen Obl Muni Bd)                        |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |  |                   |      | X         |      |          |                  |                          |                |                       |                      |                           | X               |                   |                   |                    |                     |                      |                         |                     |                           |
| 2  | J Edwardsburg, MI 4.00% Due 05/01/16 (Gen Obl Muni Bd)                         |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |  |                   |      | X         |      |          |                  |                          |                |                       |                      |                           | X               |                   |                   |                    |                     |                      |                         |                     |                           |
| 3  | J Elko Cnty NV 4.00% Due 01/01/15 (Gen Obl Muni Bd)                            |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |  |                   |      | X         |      |          |                  |                          |                |                       |                      |                           | X               |                   |                   |                    |                     |                      |                         |                     |                           |
| 4  | J Ewing Twp NJ Sch Dist 3.75% Due 09/15/15 (Gen Obl Muni Bd)                   |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |  |                   |      | X         |      |          |                  |                          |                |                       |                      |                           | X               |                   |                   |                    |                     |                      |                         |                     |                           |
| 5  | J Fox Point WI 3.50% Due 04/01/10 (Gen Obl Muni Bd)                            | X  |                    |                     |                      |                       |                       |                         |                     |                           |                            |  |                   |      | X         | X    |          |                  |                          |                |                       |                      |                           | X               |                   |                   |                    |                     |                      |                         |                     |                           |
| 6  | J Greece NY Cent School District 3.75% Due 12/15/10 (Gen Obl Muni Bd)          |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |  |                   |      | X         |      |          |                  |                          |                |                       |                      |                           | X               |                   |                   |                    |                     |                      |                         |                     |                           |
| 7  | J Illinois State First Ser 4.00% Due 02/01/09 (Gen Obl Muni Bd)                | X  |                    |                     |                      |                       |                       |                         |                     |                           |                            |  |                   |      | X         | X    |          |                  |                          |                |                       |                      |                           | X               |                   |                   |                    |                     |                      |                         |                     |                           |
| 8  | J Kent WA 4.00% Due 12/01/12 (Gen Obl Muni Bd)                                 |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |  |                   |      | X         |      |          |                  |                          |                |                       |                      |                           | X               |                   |                   |                    |                     |                      |                         |                     |                           |
| 9  | J Kingsport TN 3.50% Due 05/01/13 (Gen Obl Muni Bd)                            |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |  |                   |      | X         |      |          |                  |                          |                |                       |                      |                           | X               |                   |                   |                    |                     |                      |                         |                     |                           |
| 10   | J Lac Du Flambeau, Wis School District #1 4.00% Due 03/01/12 (Gen Obl Muni Bd) |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |  |                   |      | X         |      |          |                  |                          |                |                       |                      |                           | X               |                   |                   |                    |                     |                      |                         |                     |                           |

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.  
 \*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.







| BLOCK A<br>Identity of Publicly Traded Assets<br>And Unearned Income Sources   |                                 | BLOCK B<br>Valuation of Assets<br>At the close of reporting period.<br>If None, or less than \$1,001,<br>Check the first column. |                    |                     |                      |                       |                       |                         |                     |                           |                            | BLOCK C<br>Type and Amount of Income |                   |      |           |               |                          |                |                          |                         |                           |                         |  |                   |                   |                    |                     |                      |                         |                         |                           |                           |                  |  |  |
|--|---------------------------------|--|--------------------|---------------------|----------------------|-----------------------|-----------------------|-------------------------|---------------------|---------------------------|----------------------------|--------------------------------------|-------------------|------|-----------|---------------|--------------------------|----------------|--------------------------|-------------------------|---------------------------|-------------------------|--|-------------------|-------------------|--------------------|---------------------|----------------------|-------------------------|-------------------------|---------------------------|---------------------------|------------------|--|--|
|  |                                 |  |                    |                     |                      |                       |                       |                         |                     |                           |                            | Type of Income                       |                   |      |           |               |                          |                | Amount of Income         |                         |                           |                         | Actual Amount<br>Required if<br>"Other"<br>Specified |                   |                   |                    |                     |                      |                         |                         |                           |                           |                  |  |  |
|  |                                 |  |                    |                     |                      |                       |                       |                         |                     |                           |                            | None                                 | Dividends         | Rent | Interest  | Capital Gains | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust    | Other<br>(Specify Type) | None (or less than \$201) | \$201 - \$1,000         |  | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 | Over \$1,000,000***     | \$1,000,001 - \$5,000,000 | Over \$5,000,000          |                  |  |  |
| Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, (See p.3, CONTENTS OF REPORTS Part B of Instructions) for production of income or investment which:<br>(1) had a value exceeding \$1,000 at the close of the reporting period; and/or<br>(2) generated over \$200 in "unearned" income during the reporting period.<br>Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan. |                                 | None (or less than \$1,001)  | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000          | Over \$50,000,000 | None | Dividends | Rent          | Interest                 | Capital Gains  | Excepted Investment Fund | Excepted Trust          | Qualified Blind Trust     | Other<br>(Specify Type) | None (or less than \$201)                            | \$201 - \$1,000   | \$1,001 - \$2,500 | \$2,501 - \$5,000  | \$5,001 - \$15,000  | \$15,001 - \$50,000  | \$50,001 - \$100,000    | \$100,001 - \$1,000,000 | Over \$1,000,000***       | \$1,000,001 - \$5,000,000 | Over \$5,000,000 | Actual Amount<br>Required if<br>"Other"<br>Specified |  |
| Example: S, DC, or J   | IBM Corp. (stock)               |  |                    |                     | X                    |                       |                       |                         |                     |                           |                            |                                      |                   | X    |           |               |                          |                |                          |                         | Example                   |                         | X  |                   |                   |                    |                     |                      |                         |                         |                           |                           | Example          |  |  |
|  | (S) Keystone Fund               |  |                    |                     |                      | X                     |                       |                         |                     |                           |                            |                                      |                   |      |           |               |                          | X              |                          |                         | Example                   | X                       |  |                   |                   |                    |                     |                      |                         |                         |                           |                           | Example          |  |  |
| 1  | West Bank Money Market          | X  |                    |                     |                      |                       |                       |                         |                     |                           |                            |                                      |                   |      |           | X             |                          |                |                          |                         |                           |                         | X  |                   |                   |                    |                     |                      |                         |                         |                           |                           |                  |  |  |
| 2  | ISHARES MSCI EAFE Index Fund    |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |                                      |                   |      |           |               |                          | X              |                          |                         |                           |                         | X  |                   |                   |                    |                     |                      |                         |                         |                           |                           |                  |  |  |
| 3  | ISHARES Russell 2000 Index Fund |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |                                      |                   |      |           |               |                          | X              |                          |                         |                           |                         | X  |                   |                   |                    |                     |                      |                         |                         |                           |                           |                  |  |  |
| 4  | ISHARES Russell Midcap          |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |                                      |                   |      |           |               |                          | X              |                          |                         |                           |                         | X  |                   |                   |                    |                     |                      |                         |                         |                           |                           |                  |  |  |
| 5  | ISHARES S&P 500 Index Fund      |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |                                      |                   |      |           |               |                          | X              |                          |                         |                           |                         | X  |                   |                   |                    |                     |                      |                         |                         |                           |                           |                  |  |  |
| 6  | ISHARES Barclays Bond Fund      |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |                                      |                   |      |           |               |                          | X              |                          |                         |                           |                         | X  |                   |                   |                    |                     |                      |                         |                         |                           |                           |                  |  |  |
| 7  | Vanguard Total Bond Market      |  | X                  |                     |                      |                       |                       |                         |                     |                           |                            |                                      |                   |      |           |               |                          | X              |                          |                         |                           |                         | X  |                   |                   |                    |                     |                      |                         |                         |                           |                           |                  |  |  |
| 8  |                                 |  |                    |                     |                      |                       |                       |                         |                     |                           |                            |                                      |                   |      |           |               |                          |                |                          |                         |                           |                         |  |                   |                   |                    |                     |                      |                         |                         |                           |                           |                  |  |  |
| 9  |                                 |  |                    |                     |                      |                       |                       |                         |                     |                           |                            |                                      |                   |      |           |               |                          |                |                          |                         |                           |                         |  |                   |                   |                    |                     |                      |                         |                         |                           |                           |                  |  |  |
| 10   |                                 |  |                    |                     |                      |                       |                       |                         |                     |                           |                            |                                      |                   |      |           |               |                          |                |                          |                         |                           |                         |  |                   |                   |                    |                     |                      |                         |                         |                           |                           |                  |  |  |

EXEMPTION TEST (see instructions before marking box): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right.  
 \*\*\* This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

| BLOCK A<br>Identity of Publicly Traded Assets<br>And Unearned Income Sources |             | BLOCK B<br>Valuation of Assets<br>At the close of reporting period.<br>If None, or less than \$1,001,<br>Check the first column. |   |   |   |   |   |  |  |  |  | BLOCK C<br>Type and Amount of Income |           |      |          |               |                          |                |                       |                         |                           |                 |                   |                   |                    |                     |                      |                         |
|--|-------------|--|---|---|---|---|---|--|--|--|--|--------------------------------------|-----------|------|----------|---------------|--------------------------|----------------|-----------------------|-------------------------|---------------------------|-----------------|-------------------|-------------------|--------------------|---------------------|----------------------|-------------------------|
|  |             |  |   |   |   |   |   |  |  |  |  | Type of Income                       |           |      |          |               |                          |                | Amount of Income      |                         |                           |                 |                   |                   |                    |                     |                      |                         |
|  |             |  |   |   |   |   |   |  |  |  |  | None                                 | Dividends | Rent | Interest | Capital Gains | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other<br>(Specify Type) | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 |
| Example:   | S, DC, or J | IBM Corp. (stock)  |   |   |   | X |   |  |  |  |  |                                      |           |      |          |               |                          |                |                       |                         |                           |                 |                   |                   |                    | Example             |                      |                         |
|  | (S)         | Keystone Fund  |   |   |   |   | X |  |  |  |  |                                      |           |      |          |               |                          |                |                       |                         |                           |                 |                   |                   |                    | Example             |                      |                         |
| 1  |             |  |   |   |   |   |   |  |  |  |  |                                      |           |      |          |               |                          |                |                       |                         |                           |                 |                   |                   |                    |                     |                      |                         |
| 2  | S           | West Bank Money Market   | X |   |   |   |   |  |  |  |  |                                      |           |      |          |               |                          |                |                       |                         |                           |                 |                   |                   |                    |                     |                      |                         |
| 3  | S           | SHARES MSCI EAFE Index Fund  |   | X |   |   |   |  |  |  |  |                                      |           |      |          |               |                          |                |                       |                         |                           |                 |                   |                   |                    |                     |                      |                         |
| 4  | S           | ISHARES Russell 2000 Index Fund  |   | X |   |   |   |  |  |  |  |                                      |           |      |          |               |                          |                |                       |                         |                           |                 |                   |                   |                    |                     |                      |                         |
| 5  | S           | ISHARES Russell Midcap   |   | X |   |   |   |  |  |  |  |                                      |           |      |          |               |                          |                |                       |                         |                           |                 |                   |                   |                    |                     |                      |                         |
| 6  | S           | ISHARES S&P 500 Index Fund   |   |   | X |   |   |  |  |  |  |                                      |           |      |          |               |                          |                |                       |                         |                           |                 |                   |                   |                    |                     |                      |                         |
| 7  | S           | ISHARES Barclays Bond Fund   |   | X |   |   |   |  |  |  |  |                                      |           |      |          |               |                          |                |                       |                         |                           |                 |                   |                   |                    |                     |                      |                         |
| 8  | S           | Vanguard Total Bond Market   |   | X |   |   |   |  |  |  |  |                                      |           |      |          |               |                          |                |                       |                         |                           |                 |                   |                   |                    |                     |                      |                         |
| 9  | S           | ISHARES Barclays Aggregate Bond Fund   |   | X |   |   |   |  |  |  |  |                                      |           |      |          |               |                          |                |                       |                         |                           |                 |                   |                   |                    |                     |                      |                         |
| 10   |             |  |   |   |   |   |   |  |  |  |  |                                      |           |      |          |               |                          |                |                       |                         |                           |                 |                   |                   |                    |                     |                      |                         |

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

| BLOCK A<br>Identity of Publicly Traded Assets<br>And Unearned Income Sources |   | BLOCK B<br>Valuation of Assets   |                    |                     |                      |                       |                       |                         |                     |                           |                            | BLOCK C<br>Type and Amount of Income  |                   |      |           |      |          |                  |                          |                |                       |                         |  |                           |                 |                   |                   |                    |                     |                      |                         |                     |                           |
|--|---|--|--------------------|---------------------|----------------------|-----------------------|-----------------------|-------------------------|---------------------|---------------------------|----------------------------|---|-------------------|------|-----------|------|----------|------------------|--------------------------|----------------|-----------------------|-------------------------|--|---------------------------|-----------------|-------------------|-------------------|--------------------|---------------------|----------------------|-------------------------|---------------------|---------------------------|
|  |   | At the close of reporting period.<br>If None, or less than \$1,001,<br>Check the first column. |                    |                     |                      |                       |                       |                         |                     |                           |                            | If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This<br>includes income received or accrued to the benefit of the individual. |                   |      |           |      |          |                  |                          |                |                       |                         |  |                           |                 |                   |                   |                    |                     |                      |                         |                     |                           |
|  |   |  |                    |                     |                      |                       |                       |                         |                     |                           |                            | Type of Income  |                   |      |           |      |          | Amount of Income |                          |                |                       |                         | Actual<br>Amount<br>Required<br>if<br>"Other"<br>Specified |                           |                 |                   |                   |                    |                     |                      |                         |                     |                           |
|  |   | None (or less than \$1,001)  | \$1,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000   | Over \$50,000,000 | None | Dividends | Rent | Interest | Capital Gains    | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other<br>(Specify Type) |  | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 |
| S, IBM Corp. (stock)   |   |  |                    |                     | X                    |                       |                       |                         |                     |                           |                            |   |                   | X    |           |      |          |                  |                          |                | Example               |                         | X  |                           |                 |                   |                   |                    |                     |                      |                         |                     | Example                   |
| DC, or J (S) Keystone Fund   |   |  |                    |                     |                      | X                     |                       |                         |                     |                           |                            |   |                   |      |           |      |          | X                |                          |                | Example               | X                       |  |                           |                 |                   |                   |                    |                     |                      |                         | Example             |                           |
| 1  |   | West Bank Checking Accounts  |                    |                     | X                    |                       |                       |                         |                     |                           |                            |   |                   |      |           |      | X        |                  |                          |                |                       |                         | X  |                           |                 |                   |                   |                    |                     |                      |                         |                     |                           |
| 2  | S | West Bank Checking Accounts  |                    |                     | X                    |                       |                       |                         |                     |                           |                            |   |                   |      |           |      | X        |                  |                          |                |                       |                         |  | X                         |                 |                   |                   |                    |                     |                      |                         |                     |                           |
| 3  |   |  |                    |                     |                      |                       |                       |                         |                     |                           |                            |   |                   |      |           |      |          |                  |                          |                |                       |                         |  |                           |                 |                   |                   |                    |                     |                      |                         |                     |                           |
| 4  | S | Dreyfus Standish Global FX (SDGIX)   |                    |                     | X                    |                       |                       |                         |                     |                           |                            |   |                   |      |           |      | X        |                  |                          |                |                       |                         | X  |                           |                 |                   |                   |                    |                     |                      |                         |                     |                           |
| 5  | S | Templeton Global Bond Fund (TGBAX)   |                    |                     | X                    |                       |                       |                         |                     |                           |                            |   |                   |      |           |      | X        |                  |                          |                |                       |                         | X  |                           |                 |                   |                   |                    |                     |                      |                         |                     |                           |
| 6  | S | Vanguard Short Term Fed (VSGBX)  |                    |                     | X                    |                       |                       |                         |                     |                           |                            |   |                   |      |           |      | X        |                  |                          |                |                       |                         | X  |                           |                 |                   |                   |                    |                     |                      |                         |                     |                           |
| 7  | S | Dreyfus Standish Global FX (SDGIX)   |                    |                     | X                    |                       |                       |                         |                     |                           |                            |   |                   |      |           |      | X        |                  |                          |                |                       |                         | X  |                           |                 |                   |                   |                    |                     |                      |                         |                     |                           |
| 8  | S | Templeton Global Bond Fund (TGBAX)   | X                  |                     |                      |                       |                       |                         |                     |                           |                            |   |                   |      |           |      | X        |                  |                          |                |                       |                         | X  |                           |                 |                   |                   |                    |                     |                      |                         |                     |                           |
| 9  | S | Vanguard Short Term Fed (VSGBX)  |                    |                     | X                    |                       |                       |                         |                     |                           |                            |   |                   |      |           |      | X        |                  |                          |                |                       |                         | X  |                           |                 |                   |                   |                    |                     |                      |                         |                     |                           |
| 10   | S |  |                    |                     |                      |                       |                       |                         |                     |                           |                            |   |                   |      |           |      |          |                  |                          |                |                       |                         |  |                           |                 |                   |                   |                    |                     |                      |                         |                     |                           |

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





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

| BLOCK A<br>Identity of Publicly Traded Assets<br>And Unearned Income Sources |   | BLOCK B<br>Valuation of Assets   |  |  |  |  |  |  |  |      |           | BLOCK C<br>Type and Amount of Income  |          |               |                          |                |                       |                            |                           |                 |                   |                   |  |                    |                     |                      |                         |                     |                           |                  |  |         |         |
|--|---|--|--|--|--|--|--|--|--|------|-----------|---|----------|---------------|--------------------------|----------------|-----------------------|----------------------------|---------------------------|-----------------|-------------------|-------------------|--|--------------------|---------------------|----------------------|-------------------------|---------------------|---------------------------|------------------|--|---------|---------|
|  |   | At the close of reporting period.<br>If None, or less than \$1,001,<br>Check the first column. |  |  |  |  |  |  |  |      |           | If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This<br>includes income received or accrued to the benefit of the individual. |          |               |                          |                |                       |                            |                           |                 |                   |                   |  |                    |                     |                      |                         |                     |                           |                  |  |         |         |
|  |   |  |  |  |  |  |  |  |  |      |           | Type of Income  |          |               |                          |                |                       | Amount of Income           |                           |                 |                   |                   | Actual<br>Amount<br>Required<br>if<br>"Other"<br>Specified |                    |                     |                      |                         |                     |                           |                  |  |         |         |
|  |   |  |  |  |  |  |  |  |  | None | Dividends | Rent  | Interest | Capital Gains | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other<br>(Specify<br>Type) | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000 |  | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | Over \$5,000,000 |  |         |         |
| Example: S,<br>DC,<br>or J   | IBM Corp. (stock)                             |  |  |  |  |  |  |  |  |      |           |   | X        |               |                          |                |                       | Example                    | X                         |                 |                   |                   |  |                    |                     |                      |                         |                     |                           |                  |  |         | Example |
|  | (S) Keystone Fund                             |  |  |  |  |  |  |  |  | X    |           |   |          |               |                          | X              |                       | Example                    | X                         |                 |                   |                   |  |                    |                     |                      |                         |                     |                           |                  |  | Example |         |
| 1  | Vanguard Total Bond Fund (WBMFX)              |  |  |  |  |  |  |  |  | X    |           |   |          |               |                          | X              |                       |                            |                           | X               |                   |                   |  |                    |                     |                      |                         |                     |                           |                  |  |         |         |
| 2  | Westport Fund (WPFIX)                         | X  |  |  |  |  |  |  |  |      |           |   |          |               |                          | X              |                       |                            |                           | X               |                   |                   |  |                    |                     |                      |                         |                     |                           |                  |  |         |         |
| 3  | Columbia Acorn Int'l (ACINX)                  | X  |  |  |  |  |  |  |  |      |           |   |          |               |                          | X              |                       |                            |                           | X               |                   |                   |  |                    |                     |                      |                         |                     |                           |                  |  |         |         |
| 4  | Ell Int'l Property (EIIPX)                    | X  |  |  |  |  |  |  |  |      |           |   |          |               |                          | X              |                       |                            |                           | X               |                   |                   |  |                    |                     |                      |                         |                     |                           |                  |  |         |         |
| 5  | First American Real Estate (FARCX)            | X  |  |  |  |  |  |  |  |      |           |   |          |               |                          | X              |                       |                            |                           | X               |                   |                   |  |                    |                     |                      |                         |                     |                           |                  |  |         |         |
| 6  | Fidelity Advisor Emerging Markets (FIMKX)     | X  |  |  |  |  |  |  |  |      |           |   |          |               |                          | X              |                       |                            |                           | X               |                   |                   |  |                    |                     |                      |                         |                     |                           |                  |  |         |         |
| 7  | Goldman Sachs Commodity Strategy Fund (GCCIX) | X  |  |  |  |  |  |  |  |      |           |   |          |               |                          | X              |                       |                            |                           | X               |                   |                   |  |                    |                     |                      |                         |                     |                           |                  |  |         |         |
| 8  | Pimco Commodity Real Return (PCRIX)           | X  |  |  |  |  |  |  |  |      |           |   |          |               |                          | X              |                       |                            |                           | X               |                   |                   |  |                    |                     |                      |                         |                     |                           |                  |  |         |         |
| 9  | Goldman Sachs Short Duration Govt (GSTGX)     |  |  |  |  |  |  |  |  | X    |           |   |          |               |                          | X              |                       |                            |                           | X               |                   |                   |  |                    |                     |                      |                         |                     |                           |                  |  |         |         |
| 10   | Loomis Sayles Global Bond (LSGLX)             | X  |  |  |  |  |  |  |  |      |           |   |          |               |                          | X              |                       |                            |                           | X               |                   |                   |  |                    |                     |                      |                         |                     |                           |                  |  |         |         |

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

| BLOCK A<br>Identity of Non-Publicly Traded Assets and Unearned Income Sources |           | BLOCK B<br>Valuation of Assets<br>At the close of reporting period.<br>If None, or less than \$1,001,<br>Check the first column. |          |               |                          |                |                       |                      |                           |                 |                   | BLOCK C<br>Type and Amount of Income   |                    |                     |                      |                         |                     |                           |                  |  |  |         |
|---|-----------|--|----------|---------------|--------------------------|----------------|-----------------------|----------------------|---------------------------|-----------------|-------------------|--|--------------------|---------------------|----------------------|-------------------------|---------------------|---------------------------|------------------|--|--|---------|
|   |           |  |          |               |                          |                |                       |                      |                           |                 |                   | If "None (or less than \$201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual. |                    |                     |                      |                         |                     |                           |                  |  |  |         |
|   |           |  |          |               |                          |                |                       |                      |                           |                 |                   | Type of Income   |                    |                     |                      |                         |                     |                           | Amount of Income |  |  |         |
| None  | Dividends | Rent   | Interest | Capital Gains | Excepted Investment Fund | Excepted Trust | Qualified Blind Trust | Other (Specify Type) | None (or less than \$201) | \$201 - \$1,000 | \$1,001 - \$2,500 | \$2,501 - \$5,000  | \$5,001 - \$15,000 | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | Over \$5,000,000 |  |  |         |
| <b>Example:</b> S, JP Computer, Software Design, Wash DC                      |           |  |          |               |                          |                |                       |                      |                           |                 |                   |  |                    |                     |                      |                         |                     |                           |                  |  |  | Example |
| or J Undeveloped land, Dubuque, Iowa  |           |  |          |               |                          |                |                       |                      |                           |                 |                   |  |                    |                     |                      |                         |                     |                           |                  |  |  | Example |
| 1   | J         | Parkside Equities II, partner in Parkside East II, LP, Des Moines, IA *  | X        |               |                          |                |                       |                      |                           |                 |                   |  |                    |                     |                      |                         |                     |                           |                  |  |  |         |
| 2   | J         | Parkside Equities III, partner in Parkside East III, LP, Des Moines, IA *  |          | X             |                          |                |                       |                      |                           |                 |                   |  |                    |                     |                      |                         |                     |                           |                  |  |  |         |
| 3   | J         | Parkside Equities IV, partner in Parkside East IV, LP, Des Moines, IA *  |          | X             |                          |                |                       |                      |                           |                 |                   |  |                    |                     |                      |                         |                     |                           |                  |  |  |         |
| 4   | J         | Canterbury Equities, partner in Canterbury Park Apts, LP, Pleasant Hill, IA *  | X        |               |                          |                |                       |                      |                           |                 |                   |  |                    |                     |                      |                         |                     |                           |                  |  |  |         |
| 5   | J         | Canterbury Equities II, partner in Canterbury Park II, LP, Pleasant Hill, IA *   |          | X             |                          |                |                       |                      |                           |                 |                   |  |                    |                     |                      |                         |                     |                           |                  |  |  |         |
| 6   | J         | Windfield Equities, partner in Windfield West Apts, LP, Waukee, IA *   | X        |               |                          |                |                       |                      |                           |                 |                   |  |                    |                     |                      |                         |                     |                           |                  |  |  |         |
| 7   | J         | Windfield Equities II, partner in Windfield West II, LP, Waukee, IA *  |          | X             |                          |                |                       |                      |                           |                 |                   |  |                    |                     |                      |                         |                     |                           |                  |  |  |         |
| 8   | J         | Windfield Equities III, partner in Windfield West II, LP, Waukee, IA *   |          | X             |                          |                |                       |                      |                           |                 |                   |  |                    |                     |                      |                         |                     |                           |                  |  |  |         |
| 9   | J         | Deer Ridge Equities V, partner in Deer Ridge V, LP, Des Moines, IA *   | X        |               |                          |                |                       |                      |                           |                 |                   |  |                    |                     |                      |                         |                     |                           |                  |  |  |         |
| 10  | J         | Deer Ridge Equities VI, partner in Deer Ridge VI, LP, Des Moines, IA *   | X        |               |                          |                |                       |                      |                           |                 |                   |  |                    |                     |                      |                         |                     |                           |                  |  |  |         |

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

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

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**PART VII. LIABILITIES**

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

|    | Name of Creditor                                       | Address        | Type of Liability                       | Date Incurred | Interest Rate | Term if Applicable | Category of Amount of Value (x) |                     |                      |                       |                       |                         |                     |                           |                            |                             |                   |
|----|--|----------------|---|---------------|---------------|--------------------|---------------------------------|---------------------|----------------------|-----------------------|-----------------------|-------------------------|---------------------|---------------------------|----------------------------|-----------------------------|-------------------|
|    |  |                |   |               |               |                    | \$10,001 - \$15,000             | \$15,001 - \$50,000 | \$50,001 - \$100,000 | \$100,001 - \$250,000 | \$250,001 - \$500,000 | \$500,001 - \$1,000,000 | Over \$1,000,000*** | \$1,000,001 - \$5,000,000 | \$5,000,001 - \$25,000,000 | \$25,000,001 - \$50,000,000 | Over \$50,000,000 |
|    | Example: S, First District Bank<br>or J (J) John Jones | Wash., DC      | Mortgage on undeveloped land            | 1991          | 13%           | 25yrs              |                                 |                     | X                    |                       | E                     | X                       | A                   | M                         | P                          | L                           | E                 |
|    |  | Wash., DC      | Promissory Note                         | 1999          | 10%           | On dmd             |                                 |                     |                      | X                     | E                     | X                       | A                   | M                         | P                          | L                           | E                 |
| 1  | <input type="checkbox"/> S West Bank                   | Des Moines, IA | Line of Credit                          | 1994          | 3.25%         | On Dmd             |                                 |                     |                      |                       |                       |                         | X                   |                           |                            |                             |                   |
| 2  | <input type="checkbox"/> J West Bank                   | Des Moines, IA | Note Payable - Pinnacle Real Estate, LC | 2008          | 5.5%          | Due 2010           |                                 |                     |                      |                       |                       |                         | X                   |                           |                            |                             |                   |
| 3  | <input type="checkbox"/>                               |                |   |               |               |                    |                                 |                     |                      |                       |                       |                         |                     |                           |                            |                             |                   |
| 4  | <input type="checkbox"/>                               |                |   |               |               |                    |                                 |                     |                      |                       |                       |                         |                     |                           |                            |                             |                   |
| 5  | <input type="checkbox"/>                               |                |   |               |               |                    |                                 |                     |                      |                       |                       |                         |                     |                           |                            |                             |                   |
| 6  | <input type="checkbox"/>                               |                |   |               |               |                    |                                 |                     |                      |                       |                       |                         |                     |                           |                            |                             |                   |
| 7  | <input type="checkbox"/>                               |                |   |               |               |                    |                                 |                     |                      |                       |                       |                         |                     |                           |                            |                             |                   |
| 8  | <input type="checkbox"/>                               |                |   |               |               |                    |                                 |                     |                      |                       |                       |                         |                     |                           |                            |                             |                   |
| 9  | <input type="checkbox"/>                               |                |   |               |               |                    |                                 |                     |                      |                       |                       |                         |                     |                           |                            |                             |                   |
| 10 | <input type="checkbox"/>                               |                |   |               |               |                    |                                 |                     |                      |                       |                       |                         |                     |                           |                            |                             |                   |
| 11 | <input type="checkbox"/>                               |                |   |               |               |                    |                                 |                     |                      |                       |                       |                         |                     |                           |                            |                             |                   |
| 12 | <input type="checkbox"/>                               |                |   |               |               |                    |                                 |                     |                      |                       |                       |                         |                     |                           |                            |                             |                   |

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

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

Report any positions held by you 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. Both the year and month must be reported for the period of time that the position was held.

**Exclude:** Positions with federal government, religious, social, fraternal, or political entities, and those solely of an honorary nature.

| Name of Organization |   | Address (City, State) | Type of Organization     | Position Held                              | From (Mo/Yr) | To (Mo/Yr) |         |
|----------------------|---|-----------------------|--------------------------|--|--------------|------------|---------|
| Example:             | National Assn. of Rock Collectors                             | NY, NY                | EXAMPLE                  | Non-profit education                       | President    | 6 / 90     | Present |
|                      | Jones & Smith   | Hometown, USA         | EXAMPLE                  | Law Firm                                   | Partner      | 7 / 95     | 11 / 0X |
| 1                    | American Association for Justice:                             |                       |                          |  |              |            |         |
| 2                    | Committee for Ethical Conduct                                 | Washington, DC        | Legal Advocacy           | Member                                     | 08/07        | Present    |         |
| 3                    | Diversity Task Force  | Washington, DC        | Legal Advocacy           | Member                                     | 08/09        | Present    |         |
| 4                    | Organization Review Committee                                 | Washington, DC        | Legal Advocacy           | Member                                     | 07/08        | Present    |         |
| 5                    | Pound Civil Justice Institute                                 | Washington, DC        | Legal Advocacy           | Honorary Trustee                           | 08/02        | 07/08      |         |
| 6                    | Stalwarts/Hall of Fame Committee                              | Washington, DC        | Legal Advocacy           | Member                                     | 08/08        | Present    |         |
| 7                    | The AAJ Robert L Habush Endowment Board of Directors          | Washington, DC        | Legal Advocacy           | Vice President                             | 08/07        | Present    |         |
| 8                    | Iowa Legal Aid's Equal Justice Project, Advisory Council      | Des Moines, IA        | Legal Assistance         | Member                                     | 01/06        | Present    |         |
| 9                    | Roxanne & James Conlin Fund, Advisory Committee               | Des Moines, IA        | Charitable Giving Fund   | Founder/Member/Fund Advisor                | 12/07        | Present    |         |
| 10                   | Conlin Family Iowa Charitable Giving Fund, Advisory Committee | Des Moines, IA        | Charitable Giving Fund   | Founder/Member/Fund Advisor                | 12/07        | Present    |         |
| 11                   | Roxanne Conlin & Associates, PC                               | Des Moines, IA        | Law Firm                 | Director (President, Secretary, Treasurer) | 11/90        | Present    |         |
| 12                   | Conlin Properties, Inc  | Des Moines, IA        | Property Management Firm | Director (Secretary & Treasurer)           | 04/86        | Present    |         |
| 13                   | Conlin Reserve Specialists, Inc.                              | Des Moines, IA        | Real Estate Firm         | Director (Secretary)                       | 05/07        | Present    |         |

Compensation in excess of \$200 from any position must be reported in Part II.

**PART VIII. POSITIONS HELD OUTSIDE U.S. GOVERNMENT**

Report any positions held by you 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. Both the year and month must be reported for the period of time that the position was held.

**Exclude:** Positions with federal government, religious, social, fraternal, or political entities, and those solely of an honorary nature.

| Name of Organization |                                   | Address (City, State)        | Type of Organization | Position Held                    | From (Mo/Yr) | To (Mo/Yr) |
|----------------------|-----------------------------------|------------------------------|----------------------|----------------------------------|--------------|------------|
| Example:             | National Assn. of Rock Collectors | NY,NY <b>EXAMPLE</b>         | Non-profit education | President                        | 6 / 90       | Present    |
|                      | Jones & Smith                     | Hometown, USA <b>EXAMPLE</b> | Law Firm             | Partner                          | 7 / 95       | 11 / 0X    |
| 1                    | Conlin Brokers, Inc               | Des Moines, IA               | Real Estate Firm     | Director (Secretary & Treasurer) | 04/86        | Present    |
| 2                    |                                   |                              |                      |                                  |              |            |
| 3                    |                                   |                              |                      |                                  |              |            |
| 4                    |                                   |                              |                      |                                  |              |            |
| 5                    |                                   |                              |                      |                                  |              |            |
| 6                    |                                   |                              |                      |                                  |              |            |
| 7                    |                                   |                              |                      |                                  |              |            |
| 8                    |                                   |                              |                      |                                  |              |            |
| 9                    |                                   |                              |                      |                                  |              |            |
| 10                   |                                   |                              |                      |                                  |              |            |
| 11                   |                                   |                              |                      |                                  |              |            |
| 12                   |                                   |                              |                      |                                  |              |            |
| 13                   |                                   |                              |                      |                                  |              |            |

Compensation in excess of \$200 from any position must be reported in Part II.

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\* Investment is a limited liability company invested in a limited partnership holding rental real estate, Jim and Roxanne Conlin are general partners jointly owning from .01% to 1% of the limited partnership.

\*\* Investment is a limited liability company invested in a limited partnership holding rental real estate, Jim and Roxanne Conlin are general partners jointly owning 10% of the limited partnership.

\*\*\* Investment is a limited partnership holding rental real estate, Jim and Roxanne Conlin are general partners jointly owning from .5% to 1%.

Reporting Individual's Name

Roxanne Conlin

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

Clarification and additional information for Financial Disclosure Report filed June 30, 2010

| Clarification Item   | Nature of business  | Underlying assets or property   | Book Value of Assets or Property    |
|--|---|---|-------------------------------------|
| Page 29, line item #2<br>Conlin Properties, Inc, Des Moines, IA          | Property Management Company. Does not hold property assets.                   | N/A   | Category<br>\$1,000,001-\$5,000,000 |
| Page 29, line item #3<br>Roxanne Conlin & Associates, PC, Des Moines, IA | Professional Law Firm. Does not hold property assets.                         | N/A   | Category<br>\$250,001-\$500,000     |
| Page 29, line item #9<br>Pinnacle Real Estate Co, Des Moines, IA         | Property Development Company of Condos, Townhomes; Holds Land for Development | Undeveloped Lots + Land<br>14184,14186,14188,14190 Pinnacle Pointe Dr, Clive, IA (4 Townhomes lots)<br>14120 + 14110 Pinnacle Pointe Dr, Clive, IA (48 Unit Condo Lots) | Category<br>\$1,000,001-\$5,000,000 |
| Page 29, line item #7<br>138 Partnership, Des Moines, IA                 | Limited partnership owning apartment building                                 | Grand Colony<br>2824 Grand Ave, Des Moines, IA (53 Units)   | Category<br>\$15,001-\$50,000       |

  
Roxanne B. Conlin

6.28.10  
Date

Reporting Individual's Name

Roxanne Conlin

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

## Clarification and additional information for Financial Disclosure Report filed June 30, 2010

| Clarification Item  | Nature of business  | Underlying assets or property   | General Partner Ownership Percentage in LP | Book Value of General Partner Ownership |
|---|---|---|--|---|
| Page 24, line item #9<br>Deer Ridge Equities IV, partner in Deer Ridge IV, LP, Des Moines, IA         | Limited liability company invested in limited partnership | Deer Ridge IV<br>6009 SW Creston Bldgs C+D, Des Moines, IA (60 Units)           | 0.01%                                      | Category<br>\$1,001-\$15,000            |
| Page 25, line item #2<br>Parkside Equities III, partner in Parkside East III, LP, Des Moines, IA      | Limited liability company invested in limited partnership | Parkside East III<br>3560 E. Douglas Ave Bldgs E+F, Des Moines, IA (54 Units)   | 0.01%                                      | Category<br>\$1,001-\$15,000            |
| Page 25, line item #3<br>Parkside Equities IV, partner in Parkside East IV, LP, Des Moines, IA        | Limited liability company invested in limited partnership | Parkside East IV<br>3560 E. Douglas Ave Bldg E, Des Moines, IA (30 Units)       | 0.01%                                      | Category<br>\$1,001-\$15,000            |
| Page 25, line item #5<br>Canterbury Equities II, partner in Canterbury Park II, LP, Pleasant Hill, IA | Limited liability company invested in limited partnership | Canterbury Park II<br>955,925,935 Sherrylynn Blvd, Pleasant Hill, IA (48 Units) | 0.01%                                      | Category<br>\$1,001-\$15,000            |
| Page 25, line item #7<br>Windfield Equities II, partner in Windfield West II, LP, Waukee, IA          | Limited liability company invested in limited partnership | Windfield West II<br>25,75,105 Windfield Pkwy, Waukee, IA (48 Units)            | 0.01%                                      | Category<br>\$1,001-\$15,000            |
| Page 25, line item #8<br>Windfield Equities III, partner in Windfield West III, LP, Waukee, IA        | Limited liability company invested in limited partnership | Windfield West III<br>125 Windfield Pkwy, Waukee, IA (24 Units)                 | 0.01%                                      | Category<br>\$1,001-\$15,000            |
| Page 26, line item #1<br>Harrington Equities, partner in Harrington, LP, Des Moines, IA               | Limited liability company invested in limited partnership | Harrington<br>677 16th St, Des Moines, IA (36 Units)                            | 0.01%                                      | Category<br>\$50,001-\$100,000          |
| Page 26, line item #9<br>Alpha Partners, partner in Sunburst Apts, LP, Des Moines, IA                 | Limited liability company invested in limited partnership | Sunburst Apts<br>5015 SW 9th St, Des Moines, IA (102 Units)                     | 10.00%                                     | Category<br>\$50,001-\$100,000          |

Roxanne B. Conlin

Date

6.28.10