

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Date of Appointment, Candidacy, Election or Nomination (Month, Day, Year)	Reporting Status (Check appropriate boxes) Incumbent ☐ New Entrant, Nominee, or Candidate ☒	Calendar Year Covered by Report	Termination ☐ Filer	Termination Date (If Applicable) (Month, Day, Year)	Fee for Late Filing Any individual who is required to file this report and does so more than 30 days after the date the report is required to be filed, or, if an extension is granted, more than 30 days after the last day of the filing extension period shall be subject to a \$200 fee.
Reporting Individual's Name	Last Name ALLISON	First Name and Middle Initial HERBERT M., JR.			
Position for Which Filing	Title of Position Assistant Secretary for Financial Stability	Department or Agency (If Applicable) Department of Treasury			
Location of Present Office (or forwarding address)	Address (Number, Street, City, State, and ZIP Code) 1500 Pennsylvania Ave NW Washington DC 20220		Telephone No. (Include Area Code) 202-752-4400		Reporting Periods Incumbents: The reporting period is the preceding calendar year except Part II of Schedule C and Part I of Schedule D where you must also include the filing year up to the date you file. Part II of Schedule D is not applicable.
Position(s) Held with the Federal Government During the Preceding 12 Months (If Not Same as Above)	Title of Position(s) and Date(s) Held none				
Presidential Nominees Subject to Senate Confirmation	Name of Congressional Committee Considering Nomination Banking, Housing, and Urban Affairs *	Do You Intend to Create a Qualified Diversified Trust? ☐ Yes ☒ No		Termination Filers: The reporting period begins at the end of the period covered by your previous filing and ends at the date of termination. Part II of Schedule D is not applicable.	
Certification 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.	Signature of Reporting Individual <i>Herbert M. Allison Jr.</i>		Date (Month, Day, Year) 04-28-2009		Nominees, New Entrants and Candidates for President and Vice President: Schedule A —The reporting period for income (BLOCK C) is the preceding calendar year and the current calendar year up to the date of filing. Value assets as of any date you choose that is within 31 days of the date of filing. Schedule B —Not applicable. Schedule C, Part I (Liabilities) —The reporting period is the preceding calendar year and the current calendar year up to any date you choose that is within 31 days of the date of filing. Schedule C, Part II (Agreements or Arrangements) —Show any agreements or arrangements as of the date of filing. Schedule D —The reporting period is the preceding two calendar years and the current calendar year up to the date of filing.
Other Review (If desired by agency)	Signature of Other Reviewer <i>Shirley R. Thompson</i>		Date (Month, Day, Year) 5/1/09		
Agency Ethics Official's Opinion On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments in box below).	Signature of Designated Agency Ethics Official/Reviewing Official <i>Danah J. Hinglish</i>		Date (Month, Day, Year) 5/1/09		
Office of Government Ethics Use Only	Signature <i>Theresa L. Smith</i>		Date (Month, Day, Year) 5/4/09		
Comments of Reviewing Officials (If additional space is required, use the reverse side of this sheet) * Change made by mls. (Check box if filing extension granted & indicate number of days _____) ☐					
					Agency Use Only OGE Use Only MAY 4 2009

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

Prior Editions Cannot be Used.

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

SCHEDULE A continued

(Use only if needed)

Page Number

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[illegible]

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(Use only if needed)

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None ☐

Prior Editions Cannot be Used

Assets and Income BLOCK A		Valuation of Assets at close of reporting period BLOCK B								Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																								
										BLOCK C																								
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type				Amount									Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria			
																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*			\$1,000,001 - \$5,000,000	Over \$5,000,000	
	None ☐																																	
1	Asset Name: VANGUARD DEVELOPED MKT IND-I #227 VDMIX									X				X			X																	
2	Asset Name: AMHERST NY 5.750% 8/01/25					X													X								X							
3	Asset Name: BALDWIN CNTY AL 5.000% 6/01/14						X												X								X							
4	Asset Name: BRIDGEPORT CT 4.500% 12/01/19									X									X								X							
5	Asset Name: BROADALBIN-PERTH NY 4.000% 6/15/15						X												X								X							
6	Asset Name: BROOKHAVEN NY 4.000% 5/01/14						X												X								X							
7	Asset Name: BUCKEYE OH TOB 4.250% 6/01/11				X														X							X								
8	Asset Name: BUFFALO NY 5.250% 12/01/12					X													X							X								
9	Asset Name: CALIFORNIA ST PUB WK 4.750% 9/01/10				X														X							X								

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SCHEDULE A continued

(Use only if needed)

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[illegible]

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Reporting Individual's Name Herbert M. Allison, Jr.	SCHEDULE A continued (Use only if needed)	Page Number 8
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Assets and Income		Valuation of Assets at close of reporting period												Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																	
BLOCK A		BLOCK B												BLOCK C																	
None ☐		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$ 5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type				Amount								Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria	
																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000			Over \$1,000,000*
1	Asset Name: CONNECTICUT ST 4.500% 5/01/24						X												X												
2	Asset Name: CONNECTICUT ST 4.750% 11/15/21					X													X				X								
3	Asset Name: CONNECTICUT ST 5.000% 3/15/12									X									X				X								
4	Asset Name: CONNECTICUT ST 5.000% 8/01/10					X													X				X								
5	Asset Name: CONNECTICUT ST 5.000% 12/01/16					X													X				X								
6	Asset Name: CONNECTICUT ST HLTH 4.500% 7/01/11 A			X															X			X									
7	Asset Name: CONNECTICUT ST HLTH 5.000% 7/01/32				X														X				X								
8	Asset Name: CONNECTICUT ST SPL 4.000% 8/01/10				X														X				X								
9	Asset Name: DEARBORN MI SCH DIST 5.000% 5/01/13						X												X				X								

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Herbert M. Allison, Jr.

SCHEDULE A continued

(Use only if needed)

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Assets and Income		Valuation of Assets at close of reporting period										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																							
BLOCK A		BLOCK B										BLOCK C																							
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount								Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria								
																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	Over \$5,000,000				
1	Asset Name: FLORIDA ST BRD OF ED 5.000% 6/01/15						X											X																	
2	Asset Name: FRANKLIN CNTY OHIO 5.250% 12/01/15							X										X																	
3	Asset Name: FRISCO TEXAS 5.000% 2/15/15								X									X																	
4	Asset Name: GRAND ISLAND NY 4.000% 10/15/14								X									X																	
5	Asset Name: GREATER NEW HAVEN CT 5.000% 11/15/16						X											X																	
6	Asset Name: HEMPSTEAD TOWN NY 5.000% 12/01/09							X										X							X										
7	Asset Name: INDIANAPOLIS IN 5.250% 2/01/15							X										X																	
8	Asset Name: KATY TX SCH PRE 5.125% 2/15/18								X									X																	
9	Asset Name: KINGS PARK NY 4.375% 8/01/17								X									X																	

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BLOCK A Assets and Income		BLOCK B Valuation of Assets at close of reporting period								BLOCK C Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																								
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount										Date (Mo., Day, Yr.) Only if Honoraria						
																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)		
1	Asset Name: LITTLE FALLS NY 5.125% 6/15/14				X													X						X										
2	Asset Name: LIVERPOOL NY SCH 3.250% 4/01/10						X											X								X								
3	Asset Name: LONG ISLAND NY 5.000% 4/01/09				X													X						X										
4	Asset Name: LONG ISLAND NY 5.250% 4/01/10					X												X						X										
5	Asset Name: MASSACHUSETTS ST 5.000% 5/01/11					X												X						X										
6	Asset Name: MASSACHUSETTS ST WTR 5.250% 2/01/17						X											X							X									
7	Asset Name: METRO TRAN NY PRE 5.125% 7/01/13			X														X					X											
8	Asset Name: METRO TRANSN AUTH NY 5.125% 7/01/14				X													X						X										
9	Asset Name: METRO TRANSN NY 5.500% 11/15/13								X									X								X								

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Herbert M. Allison, Jr.

SCHEDULE A continued

(Use only if needed)

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Assets and Income BLOCK A		Valuation of Assets at close of reporting period BLOCK B										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item. BLOCK C										Date (Mo., Day, Yr.) Only if Honoraria												
												None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount						
None ☐																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)		
1	Asset Name: NEW HAMPSHIRE ST TPK 4.750% 4/01/12					X													X							X								
2	Asset Name: NEW HAVEN CT 3.750% 2/01/12					X													X						X									
3	Asset Name: NEW HAVEN CT 4.000% 2/01/10					X													X						X									
4	Asset Name: NEW YORK NY 4.625% 8/01/11						X												X								X							
5	Asset Name: NEW YORK NY 5.000% 3/01/36				X														X						X									
6	Asset Name: NEW YORK NY 5.000% 6/15/30			X															X						X									
7	Asset Name: NEW YORK NY 5.000% 8/01/09				X														X						X									
8	Asset Name: NEW YORK NY 5.000% 8/01/14				X														X						X									
9	Asset Name: NEW YORK NY 5.000% 8/01/30					X													X							X								

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SCHEDULE A continued

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Assets and Income BLOCK A		Valuation of Assets at close of reporting period BLOCK B												Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.	BLOCK C										Date (Mo., Day, Yr.) Only if Honoraria									
												None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount						
																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)		
1	Asset Name: NEW YORK NY 5.000% 11/01/13							X											X							X								
2	Asset Name: NEW YORK NY 5.050% 8/01/12					X												X						X										
3	Asset Name: NEW YORK NY 5.125% 8/01/11				X													X						X										
4	Asset Name: NEW YORK NY ETM 5.250% 6/15/10						X											X							X									
5	Asset Name: NEW YORK ST 5.000% 1/01/17					X												X						X										
6	Asset Name: NEW YORK ST 5.000% 3/15/15									X								X							X									
7	Asset Name: NEW YORK ST 5.000% 4/01/16					X												X						X										
8	Asset Name: NEW YORK ST 5.000% 11/15/35				X													X						X										
9	Asset Name: NEW YORK ST 5.125% 1/01/27						X											X							X									

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Assets and Income		Valuation of Assets at close of reporting period								Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																							
BLOCK A		BLOCK B								BLOCK C																							
											Type	Amount																					
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$ 5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	Asset Name: NEW YORK ST 5.250% 7/01/12				X													X						X									
2	Asset Name: NEW YORK ST DORM 4.000% 7/01/14						X											X								X							
3	Asset Name: NEW YORK ST DORM 4.900% 7/01/10				X													X					X										
4	Asset Name: NEW YORK ST DORM 5.125% 1/15/12				X													X						X									
5	Asset Name: NEW YORK ST DORM 5.125% 8/15/11				X													X						X									
6	Asset Name: NEW YORK ST DORM 5.250% 7/01/13				X													X						X									
7	Asset Name: NEW YORK ST DORM 5.500% 5/15/13			X														X					X										
8	Asset Name: NEW YORK ST DORM 5.500% 7/01/30			X														X					X										
9	Asset Name: NEW YORK ST DORM 5.750% 7/01/14					X												X							X								

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Herbert M. Allison, Jr.

SCHEDULE A continued

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Assets and Income BLOCK A		Valuation of Assets at close of reporting period BLOCK B								Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item. BLOCK C																									
										None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount									
																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	Over \$5,000,000				
1	Asset Name: NEW YORK ST DORM 6.000% 7/01/19					X													X							X									
2	Asset Name: NEW YORK ST DORM AU 4.000% 11/01/11					X													X					X											
3	Asset Name: NEW YORK ST ENV PRE 5.500% 4/15/13			X															X			X													
4	Asset Name: NEW YORK ST ENVIRON 3.500% 1/01/10					X													X					X											
5	Asset Name: NEW YORK ST ENVIRON 5.000% 6/15/34				X														X					X											
6	Asset Name: NEW YORK ST ENVIRON 5.500% 4/15/13				X														X					X											
7	Asset Name: NEW YORK ST ETM 5.000% 4/01/09				X														X			X													
8	Asset Name: NEW YORK ST MTG AGY 3.750% 10/01/13					X													X						X										
9	Asset Name: NEW YORK ST POWER 5.000% 11/15/13					X													X						X										

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BLOCK A		BLOCK B								BLOCK C																							
Assets and Income		Valuation of Assets at close of reporting period								Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																							
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount															
																Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria	
1	Asset Name: NEW YORK ST PRE 5.125% 4/01/14				X													X							X								
2	Asset Name: NEW YORK ST PRE 5.500% 7/01/30		X															X				X											
3	Asset Name: NEW YORK ST V-A 3.245% 4/01/34						X											X							X								
4	Asset Name: NEW YORK ST V-A 5.250% 7/01/32				X													X						X									
5	Asset Name: NEW YORK ST V-A 5.250% 11/15/29									X								X									X						
6	Asset Name: NORTHWEST WTR IL 5.000% 5/01/11				X													X						X									
7	Asset Name: OLEAN NY 4.000% 6/15/09				X													X							X								
8	Asset Name: ONEIDA-HERKIMER NY 5.500% 4/01/11				X													X							X								
9	Asset Name: ONEIDA-HERKIMER NY 5.500% 4/01/12				X													X							X								

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Herbert M. Allison, Jr.

SCHEDULE A continued

(Use only if needed)

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Assets and Income BLOCK A		Valuation of Assets at close of reporting period BLOCK B										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item. BLOCK C										Date (Mo. Day. Yr.) Only if Honoraria													
												None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount							
None ☐																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)			
1	Asset Name: OWEGO APALACHIN NY 4.000% 6/15/12							X											X																
2	Asset Name: PINE BUSH NY 6.350% 6/15/10				X														X					X											
3	Asset Name: PORT AUTH N Y & N J 5.000% 3/15/39						X												X							X									
4	Asset Name: PORT AUTH NY & NJ 5.125% 9/15/11					X													X						X										
5	Asset Name: PUERTO RICO 4.500% 8/01/12						X												X						X										
6	Asset Name: PUERTO RICO 5.500% 7/01/14						X												X						X										
7	Asset Name: PUERTO RICO CMWL PRE 4.700% 7/01/14			X															X				X												
8	Asset Name: PUERTO RICO COMWLTH 4.700% 7/01/14		X																X			X													
9	Asset Name: PUERTO RICO ELEC 5.000% 7/01/19								X										X								X								

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[illegible]

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[illegible]

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SCHEDULE A continued

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Page Number

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Assets and Income		Valuation of Assets at close of reporting period										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																					
BLOCK A		BLOCK B										BLOCK C																					
None ☐		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type				Amount										Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria	
																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000			Over \$5,000,000
1	Strategic Fixed income Fund VI - GFITX									x				x							x												
2	Bank of America personal account checking account					x														x													
3	Bank of America disbursement acct checking account			x																x													
4	Metlife (formerly Travelers) life insurance Face value \$15,000,000 Universal Life									x				x							x												
5	TIAA-CREF Personal Annuity Select After tax annuity							x													x												
6	Blank																																
7	TIAA-CREF Supplemental Retirement Plan - monthly annuity																													\$94,709 a month			
8	TIAA-CREF Deferred Compensation 3 fixed installments											x										x											
9	Merrill Lynch Annuity Managed by Metlife																													\$3627.15 a month			

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Reporting Individual's Name

Herbert M. Allison, Jr.

SCHEDULE A continued

(Use only if needed)

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Assets and Income BLOCK A		Valuation of Assets at close of reporting period BLOCK B										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item. BLOCK C																							
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$ 5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount										Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria						
																Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000			Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000			
1																																			
2	Merrill Lynch Deferred Comp to be paid in ML stock options					X															X														
3	Time Warner Stock options Vest 5/1/2009				X																X													8000 stock options vests 5/1/09	
4	Fannie Mae																																	Relocation reimbursement \$73,200	
5	Merrill Lynch Deferred Comp tracks the following:																																		
6	- BlackRock International Value Fund			X									X								X														
7	- BlackRock S&P 500 Index Fund			X									X								X														
8	- Black Rock Value Opportunity Fund			X									X								X														
9	- BlackRock Global Allocation Fund			X									X								X														

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SCHEDULE A continued

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SCHEDULE A continued
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Assets and Income BLOCK A		Valuation of Assets at close of reporting period BLOCK B										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item. BLOCK C										Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria														
												None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount									
	None ☐																Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000						
1	CREF Inflation-linked Bond TIKRX		X											X							X																
2	CREF International Equity TRERX					X								X							X																
3	Time Warner																																			Director's fees \$78,180	
4	Fannie Mae Life Insurance Universal Life									X											X																
5	Blank																																				
6	Blank																																				
7	Blank																																				
8	Blank																																				
9	Blank																																				

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Reporting Individual's Name

Herbert M. Allison, Jr.

SCHEDULE A continued

(Use only if needed)

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Assets and Income BLOCK A		Valuation of Assets at close of reporting period BLOCK B										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item. BLOCK C										Date (Mo., Day, Yr.) Only if Honoraria											
												None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount					
None ☐																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)	
1	OXY OCCIDENTAL PETE CORP	x															x			x								x					
2	RTN RAYTHEON COMPANY	x															x			x								x					
3	BLACKROCK BASIC VALUE FD INC MABAX	x															x			x								x					
4	AFL AFLAC INC	x															x				x							x					
5	LMT LOCKHEED MARTIN CORP	x															x			x								x					
6	JEC JACOBS ENGR GROUP INC	x															x			x								x					
7	COP CONOCOPHILLIPS	x															x				x							x					
8	FASTENAL CO FAST	x															x			x								x					
9	ENR ENERGIZER HLDGS INC	x															x			x								x					

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Herbert M. Allison, Jr.

SCHEDULE A continued

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Assets and Income BLOCK A		Valuation of Assets at close of reporting period BLOCK B										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.										BLOCK C									
												None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount			
																	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000				
1	EXPRESS SCRIPTS INC CL A ESRX	x															x							x							
2	CVX CHEVRON CORP	x															x							x							
3	BLACKROCK GLOBAL ALLOC MALOX	x															x							x							
4	CVS CVS CAREMARK CORP	x															x							x							
5	PETROLEO BRASILEIRO SPO PBR/A	x															x							x							
6	EXC EXELON CORP	x															x							x							
7	FLS FLOWSERVE CORP	x															x							x							
8	DVN DEVON ENERGY CORPORAT	x															x							x							
9	XOM EXXON MOBIL CORP	x															x							x							

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Reporting Individual's Name

Herbert M. Allison, Jr.

SCHEDULE A continued

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29

Assets and Income		Valuation of Assets at close of reporting period											Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																									
BLOCK A		BLOCK B											BLOCK C																									
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount										Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria									
																Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000			Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000						
1	GILD GILEAD SCIENCES INC	x															x			x																		
2	ABT ABBOTT LABS	x															x																					
3	FLO FLOWERS FOODS INC	x															x																					
4	XTO XTO ENERGY INC	x															x																					
5	EMR EMERSON ELEC CO	x															x																					
6	IBM INTERNATIONAL BUSINESS M	x															x																					
7	CHUNGHWA TELECOM SPONS ADR CUSIP 17133Q304	x															x																					
8	SU SUNCOR ENERGY INC	x															x																					
9	TMO THERMO FISHER SCIENTIFIC	x															x																					

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Herbert M. Allison, Jr.

SCHEDULE A continued

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Assets and Income BLOCK A		Valuation of Assets at close of reporting period BLOCK B										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item. BLOCK C										Date (Mo., Day, Yr.) Only if Honoraria												
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None ☐																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)		
1	HPQ HEWLETT PACKARD CO	x															x										x							
2	BBG BILL BARRETT CORP	x															x										x							
3	KTC KT CORP-SP ADR	x															x										x							
4	TDG TRANSDIGM GROUP INC	x															x										x							
5	KEX KIRBY CORP COM	x															x										x							
6	BLACKROCK PACIFIC FUND- MPCX	x															x										x							
7	ABX BARRICK GOLD CORP	x															x										x							
8	RYJU RYDEX SERIES INV GOV LON	x															x										x							
9	WR WESTAR ENERGY INC	x															x										x							

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Assets and Income		Valuation of Assets at close of reporting period								Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																
BLOCK A		BLOCK B								BLOCK C																
										Type	Amount															
		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 *	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	ACL ALCON INC	x								x			x					x								
2	MRO MARATHON OIL CORP	x								x			x					x								
3	AME AMETEK INC NEW	x								x			x					x								
4	VIVENDI SA VIVEF	x								x			x					x								
5	GROUPE DANONE ADR GDNNY	x								x			x					x								
6	ORACLE CORPORATION ORCL	x								x			x					x								
7	INTC INTEL CORP	x								x			x					x								
8	NEWCREST MINING LTD SPC NCMGY	x								x			x					x								
9	VLO VALERO ENERGY CORP NEW	x								x			x					x								

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SCHEDULE A continued

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Assets and Income BLOCK A		Valuation of Assets at close of reporting period BLOCK B										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.										BLOCK C															
												None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount								Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000						
1	CIR CIRCOR INTL INC	x															x			x																	
2	CNH CNH GLOBAL N.V.	x															x			x																	
3	LMDI/ LIBERTY MEDIA CORP CL A	x															x			x																	
4	POT POTASH CORP SASK INC	x															x			x																	
5	GE GENERAL ELEC CO	x															x			x																	
6	FO FORTUNE BRANDS INC	x															x			x																	
7	BERKSHIRE HATHAWAY INC- BRK/B	x															x			x																	
8	VCA ANTECH INC WOOF	x															x			x																	
9	MEDCO HEALTH SOLUTIONS MHS	x															x			x																	

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1	LUK LEUCADIA NATL	x															x			x					x										
2	JNJ JOHNSON & JOHNSON	x															x			x					x										
3	O REILLY AUTOMOTIVE INC ONLY	x															x			x					x										
4	CLP HOLDINGS LTD ADR CLPHY	x															x			x					x										
5	VARIAN MEDICAL SYSTEMS I VAR	x															x			x					x										
6	KGC KINROSS GOLD CORP	x															x			x					x										
7	NEM NEWMONT MNG CORP	x															x			x					x										
8	NASDAQ OMX GROUP, INC. NDAQ	x															x			x					x										
9	E ON AGSPONSD ADR EONGY	x															x			x					x										

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Assets and Income		Valuation of Assets at close of reporting period									Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																	
BLOCK A		BLOCK B								BLOCK C																		
		☐ None	None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount							Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria	
																		Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000			\$5,001 - \$15,000
1	VOD VODAFONE GROUP ADR	x																X		X								
2	ACN ACCENTURE LTD-CL A	x																X		X								
3	FELE FRANKLIN ELECTRIC CO INC	x																X		X								
4	EE EL PASO ELEC CO	x																X		X								
5	IMPU' IMPALA PLATINUM-SPONS AD	x																X		X								
6	MO ALTRIA GROUP INC	x																X		X								
7	TIF TIFFANY & CO	x																X		X								
8	LNM\ LONMIN PLC-SPON ADR	x																X		X								
9	CUISIP DISCOVERY H-A WI 25468Y107	x																X		X								

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Prior Editions Cannot be Used.

Reporting Individual's Name

Herbert M. Allison, Jr.

SCHEDULE A continued

(Use only if needed)

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Assets and Income BLOCK A		Valuation of Assets at close of reporting period BLOCK B										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item. BLOCK C																							
												None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount							
	None ☐																Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000				
1																			x	x						x									
2																	x			x						x									
3																	x			x						x									
4																	x			x						x									
5																	x			x						x									
6																	x			x						x									
7																	x			x						x									
8																	x			x					x										
9																	x			x					x										

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Reporting Individual's Name

Herbert M. Allison, Jr.

SCHEDULE A continued

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Assets and Income BLOCK A		Valuation of Assets at close of reporting period BLOCK B										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item. BLOCK C										Date (Mo., Day, Yr.) Only if Honoraria											
												None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount					
	None ☐															Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)		
1		NEW YORK ST DORM 5.125% 7/01/03 64983WRP3	x															x	x					x									
2		DE DEERE & CO	x													x			x					x									
3		BMI BADGER METER INC	x													x			x					x									
4		KIRIN HOLDINGS COMPANY S KNBWY	x													x			x					x									
5		AMP AMERIPRISE FINANCIAL INC.	x													x			x					x									
6		NEW YORK NY 5.000% 8/01/14 64966ANN1	x															x	x					x									
7		HES HESS CORPORATION	x													x			x					x									
8		AP AMPCO-PITTSBURG CORP	x													x			x					x									
9		CF CF INDUSTRIES HOLDINGS INC	x													x			x					x									

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Herbert M. Allison, Jr.

SCHEDULE A continued

(Use only if needed)

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Assets and Income BLOCK A		Valuation of Assets at close of reporting period BLOCK B										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item. BLOCK C										Date (Mo., Day, Yr.) Only if Honoraria											
												None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount					
1	2																Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)	
		None ☐																															
1	DNR	DENBURY RES INC	x														x			x					x								
2	FX	CURRENCYSHS JAPANESE Y	x														x			x					x								
3	ONEIDA CNTY NY	5.000% 3/15/0	x																x	x					x								
		682454XG3																															
4	TDS	TELEPHONE & DATA SYSTEM	x														x			x					x								
5	CSX	CSX CORP	x														x			x					x								
6	TNB	THOMAS & BETTS CORP	x														x			x					x								
7	LCBM	LIFECORE BIOMEDICAL	x														x			x					x								
8	METROPOLITAN NY ETM	5.500% 7	x																x	x					x								
		592598YT7																															
9	FLIR	FLIR SYSTEMS INC	x														x			x					x								

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Reporting Individual's Name

Herbert M. Allison, Jr.

SCHEDULE A continued

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Assets and Income		Valuation of Assets at close of reporting period										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																						
BLOCK A		BLOCK B										BLOCK C																						
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount								Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria							
																Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000			\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000		
1	HAL HALLIBURTON CO	x															x			x					x									
2	PKX POSCO SPONS ADR x	x															x			x					x									
3	NASSAU CNTY NY 5.125% 63165NYK8	x																x		x					x									
4	AUO AU OPTRONICS CORP SPON	x															x			x					x									
5	LONG ISLAND NY PRE 5.125% 4/0 542690ZY1	x															x			x					x									
6	LONG ISLAND NY 5.000% 4/01/0 542690JB9	x																x	x						x									
7	TOT TOTAL S.A. SPON ADR	x															x			x					x									
8	KONINKLIJKE AHOLD SPONS AHONY	x															x			x					x									
9	NEW YORK ST ETM 5.750% 6/15 649851D15	x																x	x						x									

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SCHEDULE A continued

(Use only if needed)

Page Number

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Assets and Income		Valuation of Assets at close of reporting period										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																				
BLOCK A		BLOCK B										BLOCK C																				
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount								Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria					
																Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000			\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000
1	NORTHPORT-EAST NY 5.400% 6/666641DL6	x																x	x					x								
2	CLEVELAND HILL NY 5.375% 10/186167BS0	x																x	x					x								
3	SYT SYNGENTA AG ADR	x															x		x					x								
4	SYRACUSE NY 5.250% 10/01/0871701Z84	x																x	x					x								
5	WTS WATTS WATER TECHNOLOG	x															x		x					x								
6	HON HONEYWELL INTERNATIONAL	x															x		x					x								
7	FUJI FUJIFILM HOLDINGS CORP-A	x															x		x					x								
8	ADM ARCHER DANIELS MIDLAND	x															x		x					x								
9	BBL BHP BILLITON PLC SPONS AD	x															x		x					x								

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Herbert M. Allison, Jr.

SCHEDULE A continued

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Assets and Income BLOCK A		Valuation of Assets at close of reporting period BLOCK B										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item. BLOCK C										Date (Mo., Day, Yr.) Only if Honoraria												
												None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount						
None ☐																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)		
1	MIL MILLIPORE CORP	x															x			x					x									
2	TKPP TECHNIP SPONS ADR	x															x			x					x									
3	MAINE-ENDWELL NY 5.375% 6/15 560415BL4	x																	x	x					x									
4	CVD COVANCE INC	x															x			x					x									
5	NEW YORK NY 5.125% 8/01/11 64966ACT0	x																	x	x					x									
6	LONG ISLAND NY PRE 5.125% 4/0 542690JH6	x																	x	x					x									
7	STL STERLING BANCORP	x															x			x					x									
8	METRO TRANSN NY 5.000% 7/0 592597V39	x																	x	x					x									
9	NEW YORK ST DORM 5.000% 7/0 649839ZG5	x																	x	x					x									

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SCHEDULE A continued

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[illegible]

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SCHEDULE A continued

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44

Assets and Income		Valuation of Assets at close of reporting period										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																					
BLOCK A		BLOCK B										BLOCK C																					
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type				Amount								Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria			
																Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*			\$1,000,001 - \$5,000,000	Over \$5,000,000	
1	TIME WARNER INC NEW 887317105	x															x			x				x									
2	LCAP. LIBERTY-CAP A	x															x			x				x									
3	MSIG' MITSUI SUMITOMO UNSPONS	x															x			x				x									
4	NEW YORK NY 5.250% 8/01/06 649669AF5	x																	x	x				x									
5	SNY SANOFI-SYNTHELABO SA SP	x															x			x				x									
6	CLC CLARCOR INC	x															x			x				x									
7	PHARMACEUTICAL PROD DEV INC 717124101	x															x			x				x									
8	NEW YORK NY 3.750% 2/15/09 649674DD7	x																	x	x				x									
9	CMI CUMMINS INC	x															x			x				x									

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Herbert M. Allison, Jr.

SCHEDULE A continued

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Assets and Income BLOCK A		Valuation of Assets at close of reporting period BLOCK B										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item. BLOCK C										Date (Mo., Day, Yr.) Only if Honoraria												
												None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$ 5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount						
None ☐																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)		
1	ALO ALPHARMA INC CLASS A	x															x			x				x										
2	U.S. TREASURY NOTES 5.750% 8/9128276J6	x																	x	x				x										
3	ROLLS ROYCE GROUP PLC RYCEF	x															x			x				x										
4	FMAA FEDERATED MARKET OPPOR	x															x			x				x										
5	NEW YORK ST TWY AUT 5.000% 4/650013Y82	x															x	x	x					x										
6	SHISEIDO LTD SPONS ADR SSDOY	x															x			x				x										
7	KELLOGG CO 4.250% 3/06/13 487836BA5	x																	x	x					x									
8	BCR BARD CR INC	x															x			x				x										
9	GS GOLDMAN SACHS GROUP IN	x															x			x					x									

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Reporting Individual's Name

Herbert M. Allison, Jr.

SCHEDULE A continued

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Assets and Income		Valuation of Assets at close of reporting period											Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																			
BLOCK A		BLOCK B											BLOCK C																			
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type				Amount							Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria			
																Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000			Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000
1	MITSUBISHI CORP SPNS ADR MSBHY	x														x			x				x									
2	NFX NEWFIELD EXPLORATION CO	x														x			x				x									
3	CHK CHESAPEAKE ENERGY CORP	x														x			x				x									
4	UTX UNITED TECHNOLOGIES CORP	x														x			x				x									
5	AMT AMERICAN TOWER CORP	x														x			x				x									
6	IEX IDEX CORP	x														x			x				x									
7	NVIDIA CORP NVDA	x														x			x				x									
8	WACOAL CORP ADR WACLY	x														x			x				x									
9	CN CHINA NETCOM SPONS ADR	x														x			x				x									

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Herbert M. Allison, Jr.

SCHEDULE A continued

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Assets and Income		Valuation of Assets at close of reporting period										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																							
BLOCK A		BLOCK B										BLOCK C																							
None ☐		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type				Amount								Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria					
																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000			Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000		
1	IMMUCOR INC BLUD	x															x				x														
2	ZEP ZEP INC	x																x			x														
3	RDC ROWAN COS INC	x																x			x														
4	APA APACHE CORP	x																x			x														
5	EOG EOG RES INC	x																x			x														
6	SNP CHINA PETE & CHEM CORP A	x																x			x														
7	WMS WMS INDUSTRIES INC	x																x			x														
8	GIS GENERAL MLS INC	x																x			x														
9	EMN EASTMAN CHEMICAL CO	x																x			x														

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None ☐

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(Use only if needed)

Assets and Income BLOCK A		Valuation of Assets at close of reporting period BLOCK B											BLOCK C																		
None ☐		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type				Amount								Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria	
																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000			Over \$1,000,000 *
1	RSG REPUBLIC SERVICES INC CL	x															x			x			x								
2	NFG NATIONAL FUEL GAS CO	x															x			x			x								
3	MSFT MICROSOFT CORP	x															x			x			x								
4	IGT INTERNATIONAL GAME TECH	x															x			x			x								
5	NEW YORK NY PRE 4.600% 5/15 64966DUM9	x																x	x				x								
6	BF/A BROWN FORMAN CORP CL A	x															x			x			x								
7	PNOF PUTNAM NEW OPPORTUNITI	x															x			x			x								
8	HRS HARRIS CORP DEL	x															x			x			x								
9	OKE ONEOK INC NEW	x															x			x			x								

Prior Editions Cannot be Used.

[illegible]

Prior Editions Cannot be Used.

Reporting Individual's Name

Herbert M. Allison, Jr.

SCHEDULE A continued

(Use only if needed)

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Assets and Income		Valuation of Assets at close of reporting period										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																						
BLOCK A		BLOCK B										BLOCK C																						
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount								Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria							
																Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000			\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000		
1	QCOM QUALCOMM INC	x															x		x															
2	CPS CHOICEPOINT INC.	x															x		x		x													
3	U.S. TREASURY NOTES 4.875% 7/3 912828FN5	x																x	x		x													
4	MC MATSUSHITA ELEC INDL LTD	x															x		x		x													
5	UL UNILEVER PLC	x															x		x		xx													
6	ABC AMERISOURCEBERGEN COR	x															x		x		x													
7	DCI DONALDSON INC	x															x		x		x													
8	KIRIN BREWERY CO SPONS KNBWY	x															x		x		x													
9	T AT & T INC	x															x		x		x													

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

Prior Editions Cannot be Used.

Reporting Individual's Name

Herbert M. Allison, Jr.

SCHEDULE A continued

(Use only if needed)

Page Number

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Assets and Income BLOCK A		Valuation of Assets at close of reporting period BLOCK B										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item. BLOCK C										Date (Mo., Day, Yr.) Only if Honoraria												
												None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount						
	None ☐																Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)		
1																	x			x		x												
2																			x	x		x												
3																	x			x		x												
4																	x			x		x												
5																	x			x		x												
6																	x			x		x												
7																	x			x		x												
8																	x			x		x												
9																	x			x		x												

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

Reporting Individual's Name

Herbert M. Allison, Jr.

SCHEDULE A continued

(Use only if needed)

Page Number

54

Assets and Income		Valuation of Assets at close of reporting period										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																							
BLOCK A		BLOCK B										BLOCK C																							
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000 *	\$1,000,001 - \$ 5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type	Amount								Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria								
																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000				
1	GMO Multi Strategy Fund E	x												x			x			x															
2	Brandywine Fund	x												x			x			x															
3	Blank																																		
4	Blank																																		
5	Blank																																		
6	Blank																																		
7	Blank																																		
8	Blank																																		
9	Blank																																		

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

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

Reporting Individual's Name

Herbert M. Allison, Jr.

SCHEDULE B

Page Number

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Part I: TransactionsNone ☐

Report any purchase, sale, or exchange by you, your spouse, or dependent children during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not

report a transaction involving property used solely as your personal residence, or a transaction solely between you, your spouse, or dependent child. Check the "Certificate of divestiture" block to indicate sales made pursuant to a certificate of divestiture from OGE.

	Identification of Assets	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)											Certificate of divestiture
		Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	
	Example: Central Airlines Common	x			2/1/99			x									
1																	
2																	
3																	
4																	
5																	

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

Part II: Gifts, Reimbursements, and Travel Expenses

For you, your spouse and dependent children, report the source, a brief description, and the value of: (1) gifts (such as tangible items, transportation, lodging, food, or entertainment) received from one source totaling more than \$260; and (2) travel-related cash reimbursements received from one source totaling more than \$260. For conflicts analysis, it is helpful to indicate a basis for receipt, such as personal friend, agency approval under 5 U.S.C. § 4111, or other statutory authority, etc. For travel-related gifts and reimbursements, include travel itinerary, dates, and the nature of expenses provided. Exclude anything given to you by

the U.S. Government; given to your agency in connection with official travel; received from relatives; received by your spouse or dependent child totally independent of their relationship to you; or provided as personal hospitality at the donor's residence. Also, for purposes of aggregating gifts to determine the total value from one source, exclude items worth \$104 or less. See instructions for other exclusions.

None ☐

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

Reporting Individual's Name Herbert M. Allison, Jr.	SCHEDULE C	Page Number 56
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Part I: Liabilities

Report liabilities over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent children. Check the highest amount owed during the reporting period. Exclude a mortgage on your

personal residence unless it is rented out; loans secured by automobiles, household furniture or appliances; and liabilities owed to certain relatives listed in instructions. See instructions for revolving charge accounts.

None ☒

Category of Amount or Value (x)

	Creditors (Name and Address)	Type of Liability	Date Incurred	Interest Rate	Term if applicable	\$10,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
Examples:	First District Bank, Washington, DC	Mortgage on rental property, Delaware	1991	8%	25 yrs			x								
	John Jones, 123 J St., Washington, DC	Promissory note	1999	10%	on demand				x							
1																
2																
3																
4																
5																

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

Part II: Agreements or Arrangements

Report your agreements or arrangements for: continuing participation in an employee benefit plan (e.g. 401k, deferred compensation); (2) continuation payment by a former employer (including severance payments); (3) leaves

of absence; and (4) future employment. See instructions regarding the reporting of negotiations for any of these arrangements or benefits

None ☐

	Status and Terms of any Agreement or Arrangement	Parties	Date
Example:	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	Doe Jones & Smith, Hometown, State	7/85
1	Under the TIAA-CREF Supplemental Executive Retirement Plan (SERP) a monthly annuity of \$ 94,709 is being paid over the joint lives of Herbert M. Allison, Jr. and spouse, Simin N. Allison	TIAA-CREF	5/1/08
2	Continued participation in TIAA-CREF 401(b) - no further contributions will be made	TIAA-CREF	2005
3	Continued participation in TIAA-CREF deferred compensation receiving fixed payments \$5.9MM Feb 2010; \$9.8 MM Feb. 2011; and \$2.15 MM Feb. 2012.	TIAA-CREF	2005
4	Merrill Lynch Deferred Compensation - benchmarked to private equity fund, mutual funds and stock options will forfeit upon confirmation	Merrill Lynch	1999
5	Under Merrill Lynch Group Annuity contract; \$3,627.15 monthly annuity payments are payable over the joint lives of Herbert M. Allison, Jr and spouse, Simin N. Allison	Merrill Lynch	1999
6	Time Warner Stock Options vest in May 2009, I will forfeit these upon my resignation from the board	Time Warner	2008

Reporting Individual's Name Herbert M. Allison, Jr.	SCHEDULE C	Page Number 57
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Part I: Liabilities

Report liabilities over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent children. Check the highest amount owed during the reporting period. Exclude a mortgage on your

personal residence unless it is rented out; loans secured by automobiles, household furniture or appliances; and liabilities owed to certain relatives listed in instructions. See instructions for revolving charge accounts.

None ☐

Report liabilities over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent children. Check the highest amount owed during the reporting period. Exclude a mortgage on your			personal residence unless it is rented out; loans secured by automobiles, household furniture or appliances; and liabilities owed to certain relatives listed in instructions. See instructions for revolving charge accounts.			None ☐		Category of Amount or Value (x)											
Creditors (Name and Address)			Type of Liability			Date Incurred	Interest Rate	Term if applicable	\$10,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
Examples:	First District Bank, Washington, DC		Mortgage on rental property, Delaware			1991	8%	25 yrs.			x								
	John Jones, 123 J St., Washington, DC		Promissory note			1999	10 %	on demand				x							
1																			
2																			
3																			
4																			
5																			

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

Part II: Agreements or Arrangements

Report your agreements or arrangements for: continuing participation in an employee benefit plan (e.g. 401k, deferred compensation); (2) continuation payment by a former employer (including severance payments); (3) leaves

of absence; and (4) future employment. See instructions regarding the reporting of negotiations for any of these arrangements or benefits

None ☐

Status and Terms of any Agreement or Arrangement		Parties	Date
Example:	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	Doe Jones & Smith, Hometown, State	7/85
1	Fannie Mae Executive Life Insurance - Fannie Mae to pay premiums for four more years	Fannie Mae	5/1/08
2			
3			
4			
5			
6			

Reporting Individual's Name Herbert M. Allison, Jr.	SCHEDULE D	Page Number 58
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Part I: Positions Held Outside U.S. Government

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or

consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. **Exclude** positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None ☐

	Organization (Name and Address)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Examples:	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	Fannie Mae	GSE in mortgage and housing maket	President and CEO	9/2008	present
2	Time Warner Board of Directors	Media and entertainment company	Director	7/2008	present
3	Allison Foundation	not for profit	Treasury and Secretary	1998	present
4	The Economic Club of NY	not for profit	Board Member	2003	2008
5	Partnership for the City of NY	not for profit	Board Member	2003	2008
6					

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

Report sources of more than \$5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any

corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than \$5,000. You need not report the U.S. Government as a source.

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

None ☐

	Source (Name and Address)	Brief Description of Duties
Examples:	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1	Time Warner	Director's fees
2	Fannie Mae	President and CEO of Fannie Mae
3		
4		
5		
6		