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

Form Approved:
OMB No. 3209-0001

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Date of Appointment, Candidacy, Election or Nomination *(Month, Day, Year)*	Reporting Status *(Check appropriate boxes)*: ☐ Incumbent; Calendar Year Covered by Report:	☒ New Entrant, Nominee, or Candidate	☐ Termination Filer; Termination Date *(If Applicable) (Month, Day, Year)*
Reporting Individual's Name	Last Name: Holder, Jr.	First Name and Middle Initial: Eric H.	
Position for Which Filing	Title of Position: Attorney General	Department or Agency *(If Applicable)*: Department of Justice	
Location of Present Office (or forwarding address)	Address *(Number, Street, City, State, and ZIP Code)*: 1201 Pennsylvania Ave. NW, Washington, DC 20004-2401	Telephone No. *(Include Area Code)*: (202) 662-6000	
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		
Presidential Nominees Subject to Senate Confirmation	Name of Congressional Committee Considering Nomination: Judiciary	Do You Intend to Create a Qualified Diversified Trust? ☐ Yes ☒ No	
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: [signature]	Date *(Month, Day, Year)*: 1-12-08	
Other Review (If desired by agency)	Signature of Other Reviewer: [signature]	Date *(Month, Day, Year)*: 1/12/08	
Agency Ethics Official's Opinion On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments in the box below).	Signature of Designated Agency Ethics Official/Reviewing Official: [signature]	Date *(Month, Day, Year)*: 1/12/09	
Office of Government Ethics Use Only	Signature: [signature]	Date *(Month, Day, Year)*: 1/12/09	

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

(Check box if filing extension granted & indicate number of days ________) ☐

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

Fee for Late Filing

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

Reporting Periods

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

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

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

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

Schedule B--Not applicable.

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

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

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

Agency Use Only

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Reporting Individual's Name: Eric H. Holder, Jr.

SCHEDULE A

Page Number 2

Assets and Income — BLOCK A

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

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

None ☐

Valuation of Assets at close of reporting period — BLOCK B

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

Assets and Income (BLOCK A)	Valuation of Assets (BLOCK B)															Income: Type (BLOCK C)				Income: Amount (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	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
Examples: Central Airlines Common				x												x						x										
Examples: Doe Jones & Smith, Hometown, State			x																												Law Partnership Income $130,000	
Examples: Kempstone Equity Fund					x								x										x									
Examples: IRA: Heartland 500 Index Fund							x						x											x								
1 Covington & Burling LLP																															$3,319,256 includes deferred comp	
2 Foxhall OB/GYN Associates P.C.																															spouse's P.C. income	
3 Smith Barney IRA -- Cash		X																X		X												
4 PNC Bank (7 accounts, all cash)									X									X							X							
5 Verizon stock					X											X								X								
6 Fidelity Contrafund (FCNTX)		X											X							X												

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

Prior Editions Cannot be Used.

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Reporting Individual's Name: Eric H. Holder, Jr.

SCHEDULE A continued
(Use only if needed)

Page Number 3

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

Assets and Income (BLOCK A) None ☐	Valuation of Assets at close of reporting period (BLOCK B): 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	Income (BLOCK C) Type: Dividends	Rent and Royalties	Interest	Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 Fidelity Equity Income II (FEQTX)			X										X								X											
2 Fidelity Magellan (FMAGX)		X											X								X											
3 Fedelity Puritan (FPURX)			X										X								X											
4 Fidelity Blue Chip Growth (FBGRX)		X											X							X												
5 Fidelity Value (FDVLX)			X										X							X												
6 Fidelity Municipal Money Market (FTEXX)				X									X								X											
7 Foxhall OB/GYN Employee Benefit Plan (see Note 1)							X													X												
8 Covington & Burling LLP Defined Benefit Plan (cash balance plan)									X											X												
9 Covington & Burling LLP Retirement Savings Plan -- Dodge & Cox Stock Fund (DODGX)						X							X												X							

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

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Reporting Individual's Name: Eric H. Holder, Jr.

SCHEDULE A continued
(Use only if needed)

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

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

None ☐

#	Assets and Income (BLOCK A)	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000 *	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	LEFT INTENTIONALLY BLANK																																
2	Fidelity Traditional IRA -- Fidelity Growth Discovery Fund (FDSVX)		X											X							X												
3	Fidelity Traditional IRA -- Fidelity Blue Chip Growth (FBGRX)		X											X							X												
4	Fidelity Traditional IRA -- Fidelity Value (FDVLX)		X											X							X												
5	Fidelity Traditional IRA -- Fidelity Cash Reserves Money Market (FDRXX)	X												X							X												
6	T. Rowe Price IRA (spouse) -- Equity Income		X											X							X												
7	T. Rowe Price IRA (spouse) -- Value		X											X							X												
8	T. Rowe Price IRA (spouse) -- Corporate Income		X											X							X												
9	T. Rowe Price IRA (spouse) -- U.S. Bond Index		X											X							X												

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Reporting Individual's Name: Eric H. Holder, Jr.

SCHEDULE A continued
(Use only if needed)

Page Number: 5

Assets and Income — BLOCK A

Valuation of Assets at close of reporting period — BLOCK B

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

None [ ]

#	Assets and Income	None (or less than $1,001)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000 *	$1,000,001 - $ 5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type: Dividends	Type: Rent and Royalties	Type: Interest	Type: Capital Gains	Amount: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	Over $5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1	T. Rowe Price IRA (spouse) -- Blue Chip Growth		X											x							X												
2	Foxhall OB-GYN Associates P.C. -- capital account (spouse)					X															X												
3	Covington & Burling LLP -- partner separation payment									X											X												
4	Covington & Burling LLP -- partner capital account							X													X												
5																																	
6																																	
7																																	
8																																	
9																																	

* 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.

Prior Editions Cannot be Used.

Reporting Individual's Name: Eric H. Holder, Jr.

SCHEDULE C

Part I: Liabilities

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

None [X]

	Creditors (Name and Address)	Type of Liability	Date Incurred	Interest Rate	Term if applicable	$10,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Examples:	First District Bank, Washington, DC	Mortgage on rental property, Delaware	1991	8%	25 yrs.			x								
	John Jones, 123 J St., Washington, DC	Promissory note	1999	10 %	on demand					x						
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	Pursuant to firm partnership agreement, will receive (i) repayment of capital account, (ii) payment of deferred compensation from prior fiscal year, (iii) share of firm profits from current fiscal year (based on work performed through date of separation), and (iv) separation payment, calculated based on standard methodology applicable to departing partners.	Covington & Burling LLP, Washington, DC	7/2001
2	Continued participation in Covington & Burling Retirement Savings Plan; no additional contributions.	Covington & Burling LLP, Washington, DC	7/2001
3	Continued participation in Covington & Burling Defined Benefit Plan; no additional contributions.	Covington & Burling LLP, Washington, DC	7/2001
4			
5			

Reporting Individual's Name: Eric H. Holder, Jr.

SCHEDULE D

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	Covington & Burling LLP, Washington, DC	Law firm	Partner	2001	present
2	American Constitution Society, Washington, DC	Non-profit	Board member	2003	present
3	Columbia University	Non-profit	Trustee	2007	present
4	Georgetown Day School	Non-profit	Trustee	2006	present
5	Meyer Foundation	Non-profit	Board member	2001	present
6	Morehouse School of Medicine	Non-profit	Trustee	2005	present
7	Save the Children Foundation	Non-profit	Board member	2004	present
8	Turnaround for Children	Non-profit	Board member	2004	present
9	Washington, DC Police Foundation	Non-profit	Chairman	2006	present

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

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

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

None ☐

	Source (*Name and Address*)	Brief Description of Duties
Examples:	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1	Covington & Burling LLP	Legal services
2	Abbott Laboratories	Legal services
3	Bank of America	Legal services
4	Chiquita Brands International, Inc.	Legal services
5	Entertainment Software Rating Board	Legal services
6	Hewlett Packard Co. Special Litigation Committee	Legal Services

Reporting Individual's Name: Eric H. Holder, Jr.

SCHEDULE D continued

Part I: Positions Held Outside U.S. Government

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

None ☐

	Organization (*Name and Address*)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Examples:	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	Common Good, New York, NY	Non-profit	Advisory board member	2002	2008
2	National Center for Victims of Crime, Washington, DC	Non-profit	Board member	2003	2007
3	District of Columbia Education Compact, Washington, DC	Non-profit	Board member	2006	2007
4	District of Columbia Commission on Judicial Disabilities and Tenure, Washington, DC	Government agency	Commissioner	2002	2008
5					
6					

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

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

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

None ☐

	Source (*Name and Address*)	Brief Description of Duties
Examples:	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1	Humana Inc.	Legal services
2	Merck & Co.	Legal services
3	Merck/Schering-Plough Pharmaceuticals	Legal services
4	National Football League	Legal services
5	Pfizer, Inc.	Legal services
6	Public Services Enterprise Group Incorporated	Legal services

Reporting Individual's Name		Page Number
Eric H. Holder, Jr.	**SCHEDULE D continued**	9

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					
2					
3					
4					
5					
6					

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

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

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

None ☐

	Source (*Name and Address*)	Brief Description of Duties
Examples:	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1	The National Geographic Society	Legal services
2	UBS Financial Services Inc.	Legal services
3	Yahoo Corporation	Legal services
4		
5		
6		

Note 1 to SF-278 of Eric H. Holder Jr.

The "Foxhall OB/GYN Employee Benefit Plan" disclosed on Page 3, Line 7, of Schedule A, has two components. Through the first component of the plan, the participant selects individual investment options for contributions. The selected investments of the filer's spouse are disclosed in Schedule A on Page 4, Lines 6 through 9 and on Page 5, Line 1. Through the second component of the plan, the participating members of the filer's spouse's medical practice pool their contributions. These pooled contributions are invested by the fund trustees through a TD Ameritrade investment account. Filer's spouse holds a 10.9% interest in the pooled component of the plan. The assets held in the TD Ameritrade Account as of December 31, 2008, are listed below. The values listed are those for the total pooled investment in each holding; income amounts for each asset are not readily ascertainable. The notation "(EIF)" indicates that a reported asset qualifies as an excepted investment fund. The plan is currently being reviewed with the intent to eliminate the pooled component and instead place all investments in an individual investment component of the plan, which will permit participating employees to select their own options.

Stock – Cash	Value	Symbol/CUSIP
AEGON N V PFD 6.375% PERP/CALL	15 – 50 K	AEH
BAC CAPITAL TRUST VIII GTD COM	15 – 50 K	BAC PRZ
BANK OF AMERICA CORP COM	1 – 15 K	BAC
CITIGROUP CAPITAL XIV CALLABLE PFD 6.875%	50 – 100 K	C PRO
CITIGROUP CAPVII PFD 7.125% 7/31/31 CALLABLE	15 – 50 K	C PRV
CITIGROUP INC COM	1 – 15 K	C
DIAMONDS TRUST SERIES I COM (EIF)	50 – 100 K	DIA
GENERAL ELECTRIC CO COM	15 – 50 K	GE
ISHARES RUSSELL 1000 GROWTH FUND (EIF)	100 – 250 K	IWF
ISHARES MSCI EMERGING MKTS (EIF)	50 – 100 K	EEM
ISHARES RUSSELL MIDCAP INDEX (EIF)	50 – 100 K	IWR
JPMORGAN CHASE CAP XXIV PFD SER X 6.875% CALLABLE	50 – 100 K	JPM PRW
MERRILL LYNCH CAP TRUST III 7.375% CALLABLE (EIF)	50 – 100 K	MER PRP
NUVEEN EQTY PRE & GROWTH FUND CLOSED END FUND (EIF)	15 – 50 K	JPG
POWERSHARES QQQ (EIF)	50 – 100 K	QQQQ
PUBLIC STORAGE PFD 7.25% SER I	50 – 100 K	PSA PRI
ROYCE VALUE TR INC COM (EIF)	15 – 50 K	RVT
S&P 400 MID-CAP DEP RECPT COM (EIF)	50 – 100 K	MDY
SPDR TR UNIT SER 1 (EIF)	100 – 250 K	SPY
TDX INDEPENDENCE 2010 ETF (EIF)	100 – 250 K	TDD
TDX INDEPENDENCE 2020 ETF (EIF)	50 – 100 K	TDH
U.S. CELLULAR CORP COM	1 – 15 K	UZV
VANGUARD TOTAL STOCK MARKET ETF (EIF)	100 – 250 K	VTI
VANGUARD FUNDS EMERGING MARKETS VIPERS (EIF)	15 – 50 K	VWO

WELLS FARGO COMPANY COM	15 – 50 K	WFC
Fixed Income – Cash	**Value**	**Symbol/CUSIP**
AMERICAN EXPRESS CR CORP INTE SR UNSECURED SERIES NOT1 (5.7% 09/15/2001)	50 – 100 K	02586JAF3
BANK OF AMERICA CORP CALL STEP 081523 (4.5% 08/15/2023)	15 – 50 K	06050XMG5
BEAR STEARNS COMPANIES INC SUB GLBL 5.55% 17 (5.55% 01/22/2017)	50 – 100 K	073902PN2
FANNIE MAE CALL STEP 040626 (5.5% 04/06/2026)	100 – 250 K	3135AOSV2
GNMA PASS-THRU M SINGLE FAMILY (7% 11/20/2027)	1 – 15 K	36202CYF4
GOLDMAN SACHS GROUP INC NT 6.875% 11 (6.875% 01/15/2011)	100 – 250 K	38141GAZ7
HERTZ CORP SR NT 6.25% 10 (6.35% 06/15/2010)	15 – 50 K	428040BU2
HSBC FINANCE CORP FR 5.6%061511 (5.6% 06/15/2011)	50 – 100 K	40429XLN4
HSBC USA INC REVRS CV LKD 09 (10% 1/30/2009)	15 – 50 K	4042KORK3
JP MORGAN CHASE BANK CD IDX ZERO 10 (0% 01/29/2010)	50 – 100 K	48121CQ41
JPMORGAN CHASE & CO GLOBAL MT REVRS EXCH LKD09 (10.75% 07/31/2009)	15 – 50 K	48123LFD1
JPMORGAN CHASE & CO GLOBAL MT RERVRS CV LKD 09 (13% 07/31/2009)	15 – 50 K	481236LFF6
NEW YORK TELCO DEB 6.125% 10 (6.125% 01/15/2010)	50 – 100 K	650094CD5
SUNTRUST BANK CD IDX ZERO 11 (4.93693% 09/29/2011)	50 – 100 K	86789VFJ1
Mutual Funds – Cash	**Value**	**Symbol/CUSIP**
AIM GROWTH SER SMALL COMPANY GROWTH FD INV (EIF)	15 – 50 K	GTSIX
CALAMOS INVT TR GROWTH FD CL C (EIF)	15 – 50 K	CVGCX
EATON VANCE MUT FDS TR HIGH INCOME FD CL C (EIF)	50 – 100 K	ECHIX
FIRST EAGLE SOGEN FDS INC GLOBAL FD CL C (EIF)	100 – 250 K	FESGX
HIGHLAND FUNDS CAPITAL FLOATING RATE ADV CL C (EIF)	50 – 100 K	XLACX
MATTHEWS INTL FDS MATTHEWS INDIA FD (EIF)	15 – 50 K	MINDX
MATTHEWS INTL FDS JAPAN FD (EIF)	15 – 50 K	MJFOX
PIONEER FUNDS GLOBAL HIGH YIELD CL C (EIF)	15 – 50 K	PGYCX
ROWE T PRICE SMALL CAP STK FD COM (EIF)	50 – 100 K	OTCFX
TIAA-CREF FUNDS INTERNATIONAL EQUITY INSTL (EIF)	50 – 100 K	886315779
UMB SCOUT FDS INTL FD (EIF)	100 – 250 K	UMBWX
VANGUARD SMALL CAPTZTIN (EIF)	50 – 100 K	NAESX
Other – Cash	**Value**	**Symbol/CUSIP**
ADVISORS DISCIPLINED PFD DIV INC PORT SER TDA1	50 – 100 K	00766N27
FIRST TRUST UIT 1048 (EIF)	15 – 50 K	30270A313