Welcome
U.S. SENATE
UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT
FOR ANNUAL AND TERMINATION REPORTS
AFTER READING THE INSTRUCTIONS - ANSWER EACH OF THESE QUESTIONS AND ATTACH THE RELEVANT PART
PUBLIC FINANCIAL DISCLOSURE

US Senate Financial Disclosure Report
COMMITTEE MEMBERS
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California
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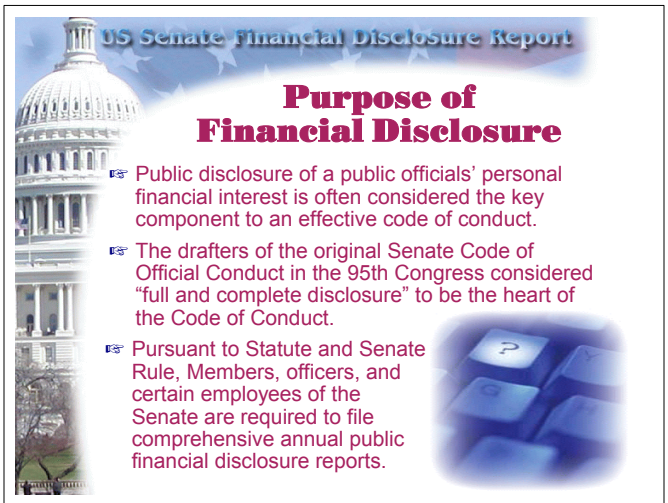
John Cornyn
Texas
Vice Chairman
Mark Pryor
Arkansas
Ken Salazar
Colorado
Pat Roberts
Kansas
Johnny Isakson
Georgia


US Senate Financial Disclosure Report
Purpose of Financial Disclosure
Public disclosure of a public officials' personal financial interest is often considered the key component to an effective code of conduct.
The drafters of the original Senate Code of Official Conduct in the 95th Congress considered "full and complete disclosure" to be the heart of the Code of Conduct.
Pursuant to Statute and Senate Rule, Members, officers, and certain employees of the Senate are required to file comprehensive annual public financial disclosure reports.

US Senate Financial Disclosure Report

WHO REVIEWS REPORTS?

- **ETHICS COMMITTEE**
  - The committee is required by Section 106 of the Ethics in Government Act of 1978. To review public financial disclosure reports in order to determine whether they are in compliance with applicable laws and regulations
- **STAFFER'S SUPERVISOR**
  - Persuant to Resolution 236, the Ethics Committee is required to provide the supervising Senator or designated staff member to receive on a confidential basis the public financial disclosure reports filed by senate employees to check for possible conflicts of interests.
- **PUBLIC**
  - Any report required to be filed by made May 15 will be made available for public inspection by the Secretary of the Senate Office of Public Records within 30 days after May 15 - June 14.

US Senate Financial Disclosure Report

WHERE TO FILE

File Reports and Amendments with the Secretary of the Senate,

OFFICE OF PUBLIC RECORDS,
232 HART

Or

OFFICE OF PUBLIC RECORDS,
P.O. Box 5109
Alexandria, VA 22301-0109

Reports will be made available for public inspection within 30 days of filing

US Senate Financial Disclosure Report

ON-LINE DISCLOSURE FORM

- 3 different versions to choose from
  - Adobe
  - WordPerfect
  - MS Word

US Senate Financial Disclosure Report

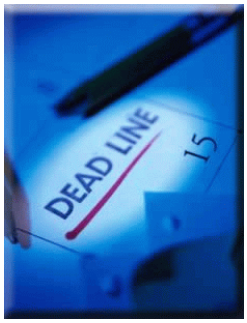
DUE DATE

Annual Reports Covering

CY 2007

are due

THURSDAY, MAY 15th, 2008



US Senate Financial Disclosure Report

EXTENSIONS

Requests for extensions of up to 90 days for filing reports may be submitted to the Ethics Committee

US Senate Financial Disclosure Report

PENALTIES

- **$200** late filing fee is imposed for filing a report 30 days after due date

REQUESTS TO ETHICS

Send requests for extensions and waivers of penalties and other general correspondence to the

ETHICS COMMITTEE
220 HART

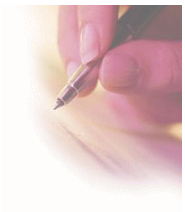
or

Fax: (202) 224-7416

WHO HAS TO FILE
Annual Reports?

- **SENATORS**
- **CANDIDATES FOR THE SENATE**
- **POLITICAL FUND DESIGNEES**
- **FELLOWS / DETAILEES** who earned a rate of pay from an outside source equal to or in excess of $111,676
- **STAFFERS** who earned a rate of pay equal to or in excess of $111,676 for a period equal to or in excess of 60 days
  - Employees Who Received a Bonus: A report is required if:
    - Paid at a rate of pay in excess of the reporting threshold of $111,676

Completing Your Financial Disclosure Report....



UNITED STATES SENATE FINANCIAL DISCLOSU
FOR ANNUAL AND TERMINATION REP

Enter the Calendar Year (2007), not the Current Year (2008)

Last Name	First Name and Middle Initial	Annual Report Calendar Year Covered by Report:	
Filer	Joe	2007	Select Committee on Ethics
Senate Office Address (Number, Street, City, State, and ZIP Code)	Senate Office Telephone Number (include Area Code)	Termination Report Termination Date (mm/dd/yy):	Prior Office / Agency in Which Employed
220 Hart Washington, DC 20510	202-224-2981		

AFTER READING THE INSTRUCTIONS - ANSWER EACH OF THESE QUESTIONS AND ATTACH THE RELEVANT PART

	YES	NO		YES	NO
Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If Yes, Complete and Attach PART I.	X		Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel in the reporting period (i.e., worth more than $285 from one source)? If Yes, Complete and Attach PART VI.	X	
Did you or your spouse have earned income (e.g., salaries or fees) or non-investment income of more than $200 from any reportable source in the reporting period? If Yes, Complete and Attach PART II.	X		Did you, your spouse, or dependent child have any reportable liability (more than $10,000) during the reporting period? If Yes, Complete and Attach PART VII.	X	
Did you, your spouse, or dependent child receive unearned or investment income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If Yes, Complete & Attach PART IIIA and/or IIIB.	X		Did you hold any reportable positions on or before the date of filing in the current calendar year? If Yes, Complete and Attach PART VIII.	X	
Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? If Yes, Complete and Attach PART IV.	X		Do you have any reportable agreement or arrangement with an outside entity? If Yes, Complete and Attach PART IX.	X	
Did you, your spouse, or dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $285 and not otherwise exempt)? If Yes, Complete and Attach PART V.	X		If this is your FIRST Report: Did you receive compensation of more than $5,000 from a single source in the two prior years? If Yes, Complete and Attach PART X.	X	

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

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

FOR OFFICIAL USE ONLY
Do Not Write Below this Line

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Joe Filer	5/15/08

For Official Use Only - Do Not Write Below This Line

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

Reporting Individual's Name	PART I. PAYMENTS TO PAY CHARITABLE ORGANIZATIONS IN LIEU OF HONORARIA	Page Number
JOE FILER		1

Report the source (name and address), date, and amount of any payment from each source to a charitable organization made in lieu of honoraria to you during the reporting period. Identify the activity (speech, article, or appearance), which generated the payment. For further information, see Instructions.

Note: Travel expenses in excess of $335 related to activities giving rise to these payments must be reported in Part VI, Reimbursements.

	Date of Payment	Name of Source	Address (City, State)	Speech, Article, or Appearance	Amount
Example:	*3/26/0X*	*Association of American Associations*	*Wash., DC* EXAMPLE	*Speech* EXAMPLE	*$1,000*
	7/23/0X	*XYZ Magazine*	*NY, NY* EXAMPLE	*Article* EXAMPLE	*$500*
1	6/10/07	LET'S GO KNICKS, INC.	CHICAGO, ILLINOIS	SPEECH	$2000
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					

Remember to submit a confidential report directly to the Ethics Committee naming the charitable organization which received the payment

A separate, confidential report which names the charitable organization receiving such payments must be filed directly with the Select Committee on Ethics.

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

Last Name	First Name and Middle Initial	New Employee Report Date of Employment (mm/dd/yy):	Senate Office / Agency In Which Employed
Senate/Candidate Office Address (Number, Street, City, State, and ZIP)	Senate/Candidate Office Telephone No.	Candidate Report Commencement of Candidacy (mm/dd/yy):	State in which you are a candidate

AFTER READING THE INSTRUCTIONS - ANSWER EACH OF THESE QUESTIONS

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

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

File this report and a ... **Senate Office Building, U.S. Senat**

This Financial Disclos... made available by the ... reviewed by the Select ... fails to file this report m...

OFFICIAL USE ONLY
Write Below this Line

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

For Official Use Only - Do Not Write Below This Line

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

ANNUAL FILERS: DISREGARD this second cover page--used only by candidates and new employees

CONFIDENTIAL DISCLOSURE OF PAYMENTS TO CHARITABLE ORGANIZATIONS IN LIEU HONORARIA

Last Name	First Name and Middle Initial	Telephone Number (Include Area Code)	
FILER	JOE	202-224-2981	
	Calendar Year Covered by Annual Report	Office / Agency in which Employed (or formerly employed)	
[X] ANNUAL FILER	2007	US SENATE ETHICS COMMITTEE	
	Dates Covered by Termination Report	Office / Agency in which Formerly Employed	Termination Date (mm/dd/yy)
[ ] TERMINATION FILER			

Who Must File: Any reporting individual who files an annual or termination public financial disclosure report with the Senate Select Committee on Ethics must also file this confidential report if that individual writes, gives a speech, or makes an appearance (or a series of articles, speeches, or appearances which are directly related to official duties or the status of the individual within the government) for which the sponsoring organization makes a payment directly to a charitable organization in lieu of honoraria. To determine whether you are a reporting individual for purposes of this report, please refer to the instructions for the Senate Public Financial Disclosure Report or contact the U.S. Senate Select Committee on Ethics.

Where to File: File this report with the Select Committee on Ethics, Room 220, Hart Senate Office Building, U.S. Senate, Washington, DC 20510. (Please note: This is not the filing location for the public reports.)

When to File: Reporting individuals should file this report no later than May 15th, annually. In the event that May 15 or other filing date falls on a weekend, or other holiday, the filing deadline shall be on the next business day. If an individual terminates employment, the report must be filed no later than the 30th day after termination. Reasonable extensions may be granted if requested in writing, but the total of all such extensions may not exceed 90 days. These filing deadlines correspond with the filing dates of the Senate Public Financial Disclosure Report.

Contents of Reports: List the date of the payment (or, if unascertainable, the date of the activity giving rise to the payment), the name and address (city, state) of the source of the payment, the name and address (city, state) of the recipient charitable organization, and the amount of the payment. Include all payments which correspond to the reporting period of the annual or termination public financial disclosure form filed in conjunction with this report. Please sign your report certifying that your report is complete and correct, and that no payments were made to charitable organizations from which you or your parent, sibling, spouse, child, or dependent relative receives any financial benefit. If you attach additional pages, please number them.

Penalty Provisions: 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 penalty fee. Waivers of this fee may be granted by the Committee in extraordinary circumstances, if requested in writing. Falsifying or failing to file this report may result in the imposition of a civil and criminal sanctions. (See 2 U.S.C. 701 et seq. and 18 U.S.C. 1001.)

Review of Reports: These reports will be reviewed by the Committee along with the corresponding public reports within 60 days of the filing date. These reports will be kept confidential by the Committee in accordance with the Ethics in Government Act of 1978, as amended.

Date	Source of Payment (Name, Address)	Recipient Charitable Organization (Name, Address)	Amount
6/10/06	LETS GO KNICKS CHICAGO, IL	AMERICAN REDCROSS WASH, DC	$2,000

This particular page of the report should be filed with the US Senate Ethics Committee.

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief. No financial benefit is derived from any charitable organization listed by me, or a parent, sibling, spouse, child or dependent relative of mine.	Joe Filer	5/15/08

Reporting Individual's Name	PART II. EARNED AND NON-INVESTMENT INCOME	Page Number
JOE FILER		2

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

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

	Name of Income Source	Address (City, State)	Type of Income	Amount
Example:	*JP Computers*	*Wash., DC Example*	*Salary Example*	*$15,000*
	MCI (Spouse)	*Arlington, VA Example*	*Salary Example*	*Over $1,000*
1	DEWEY, CHEATEM REELECTION CMTE.	NEW YORK, NY	SALARY	$18,000
2	I BELIEVE SO, INC (SPOUSE)	NEW YORK, NY	SALARY	OVER $1,000
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				

If *"Over $1,000"* is indicated for the AMOUNT, please be sure to indicate that it is from your "*Spouse*".

US Senate Financial Disclosure Report

PART IIIA.
Publicly Traded Assets & Unearned Income

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child, for production of income or investment which:

- ☞ had a **value exceeding $1,000** at the close of the reporting period; and/or
- ☞ generated over **$200 in "unearned" income** during the reporting period

US Senate Financial Disclosure Report

PART IIIA.

YOU SHOULD REPORT ALL :

- Stocks
- Bonds
- Mutual Funds
- Pension Interests
- Annuities
- IRA assets
- 529 Plans

- Futures Contracts
- Excepted Trusts
- Qualified Blind Trusts
- Underlying personal trade accounts
  - (e*trade, Ameritrade, etc.),
- Personal Banking Accounts
  - Other bank accounts in excess of $5000, which include:
    - CD's & Money Market Accounts

US Senate Financial Disclosure Report

PART IIIA.

PUBLICLY TRADED STOCKS & BONDS

- **Identify by complete name, and preferably the exchange upon which it's listed**

MUTUAL FUNDS

- **Identify by complete name,**
- **including name of investment institution offering the fund (Templeton, Vangard, etc.)**
- **and the specific identification of the fund (Total Return, Equity, etc.).**

MUNICIPAL BONDS

- **Identify by name of municipality offering the bond and complete name of the bond**

US Senate Financial Disclosure Report

PART IIIA.

PERSONAL SAVINGS ACCOUNTS

- Report the complete name of the financial institution where personal accounts are held
  - (This would include personal savings, checking, money market, certificates of deposit, and any other accounts at any institution)
- AGGREGATE MORE THAN **$5,000** at the end of the reporting period or which
- GENERATED MORE THAN **$200** in unearned income during the reporting period.

US Senate Financial Disclosure Report

PART IIIA.

EXCEPTED INVESTMENT FUND

A mutual fund, common trust fund of a bank, pension or deferred compensation plan, or any other investment fund which is:

- Widely held *(i.e. has more than 100 participants or investors)*; and
- Publicly traded *(or available)* or widely-diversified; and
- Held under circumstances where you don't have control over the financial interests held by the fund.

US Senate Financial Disclosure Report

PART IIIA.

INVESTMENT CLUBS OR OTHER HOLDING ARRANGEMENTS

Identify the investment club and also any underlying investment asset or property held by the club where

(i) you *(your spouse or dependent child's)* interest in the underlying asset exceeds $1,000 in value or

(ii) where the underlying asset generated more than $200 in income for you *(your spouse or dependent child)*

(iii) if the investment club or holding itself meets the definition of an excepted investment fund, the information regarding the underlying assets are not reportable

US Senate Financial Disclosure Report

PART IIIA.

RETIREMENT PLANS

- Identify each asset held by a self-directed retirement plan.
- A self-directed retirement plan is one which does not meet the definition of an excepted investment fund.
  - Widely held (i.e. has more than 100 participants or investors); and
  - Publicly traded (or available) or widely-diversified; and
  - Held under circumstances where you don't have control over the financial interests held by the fund.

US Senate Financial Disclosure Report

PART IIIA.

EXCEPTED TRUST

An excepted trust is one which:

- Was not created by you, your spouse, or your dependent child; and
- Has holdings or sources of income of which you, your spouse, and any dependent child have no knowledge.

US Senate Financial Disclosure Report

PART IIIA.

QUALIFIED BLIND TRUST

- A qualified blind trust is a trust which has been certified by the Senate Select Committee on Ethics, in accordance with Senate Rule 34.

Reporting Individual's Name: **JOE FILER**

PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

Page Number: 3

BLOCK A — **Identity of Publicly Traded Assets And Unearned Income Sources**

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child. *(See p.3, CONTENTS OF REPORTS Part B of Instructions)* for production of income or investment which:
(1) had a value exceeding $1,000 at the close of the reporting period; and/or
(2) generated over $200 in "unearned" income during the reporting period.
Include on this PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment funds, bank accounts, excepted and qualified blind trusts, and publicly traded assets of a retirement plan.

BLOCK B — **Valuation of Assets**

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

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

If "None (or less than $201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

	Block A	None (or less than $1,000)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000**	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Type of Income: None (or less than $201)	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	Amount of Income: None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000**	$1,000,000 - $5,000,000	Over $5,000,000	Actual Amount / Required if "Other" Specified
Example:	S IBM Corp. (stock)				X									X							Example		X										Example
Example:	DC, SP, J (S) Keystone Fund					X										X		X			Example				X								Example
1	MOOLAH, INC (NYSE)				X									X											X								
2	IPO, INC (NASDAQ)			X																		X											
3	LEI GROWTH & INCOME		X															X				X											
4	MICROSOFT	X															X									X							
5																																	
6																																	
7	HOME DEPOT			X																		X											
8	CISCO		X																					X									
9																																	
10																																	

Do not leave items (**Valuation of Assets** , **Type of Income** , **Amount of Income**) empty, unless **None (or less than $201)** is selected, because no income was received

OK

?

READ INSTRUCTIONS BEFORE MARKING BOX: Exemption Test Is Extremely Difficult To Meet

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

US Senate Financial Disclosure Report

EXEMPTION TEST

The reporting individual is not required to report assets, transactions, and/or liabilities which the reporting individual certifies:

- (1) represents the spouse's or dependent child's sole financial interest or responsibility and which the reporting individual has no knowledge of;
- (2) which are not in any way, past or present, derived from the income, assets, or activities of the reporting individual; and
- (3) which the reporting individual neither derives, nor expects to derive, any financial or economic benefit.

Reporting Individual's Name: **JOE FILER**

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

Page Number: **4**

BLOCK A — **Identity of Non-Publicly Traded Assets and Unearned Income Sources**

Report the name, address (city, state and description) of each interest held by you, your spouse, or your dependent child (See p.3, CONTENTS OF REPORTS Part B of Instructions) for the production of income or investment in a non-public trade or business which:
(1) had a value exceeding $1,000 at the close of the reporting period; and/or
(2) generated over $200 in "unearned" income during the reporting period.
Include the above report for each underlying asset, which is not incidental to the trade or business. Publicly traded assets held by non-public entity may be listed on Part IIIA.

BLOCK B — **Valuation of Assets**

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

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

If "None (or less than $201)" is Checked, no other entry is needed in Block C for that item. This includes income received or accrued to the benefit of the individual.

	Identity of Non-Publicly Traded Assets and Unearned Income Sources	None (or less than $1,000)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000**	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than $201)	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	Over $1,000,000**	$1,000,001 - $5,000,000	Over $5,000,000	Actual Amount Required if "Other" Specified
Example: S, DC, or J	JP Computer, Wash DC				X									X							Example		X										Example
Example: S, DC, or J	Undeveloped land, Dubuque, Iowa					X															Example	X											Example
1	VOINOVICH AND REID				X																DISTRIBUTION												$6,345
2	ETHICS VIDEOS																																
3	LTD. PARTNERSHIP WASHINGTON, D.C.																																
4	(MAKING AND DISTRIBUTION OF ETHICS VIDEOS)																																
5																																	
6	Liquid Brick LLP, Holding Co., Richmond, VA																																
7	Undeveloped Land, LaPlata, MD				X																	X											
8	SF Home Rental, Wash, DC						X								X											X							
9	SF Home Rental, Severn, MD					X									X										X								
10																																	

If the type of income is "Other", the actual amount must be disclosed

List underlying assets for Holding Companies.

EXEMPTION TEST: ... y asset because it meets the three-part test for exemption described in the instructions, please check box to the right.
** This category app... spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Reporting Individual's Name: **JOE FILER**

PART IV. TRANSACTIONS

Page Number: **5**

Report any purchase, sale, or exchange by you, your spouse, or dependent child (See p.3 CONTENTS OF REPORTS Part B of Instructions) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded $1,000.
Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two properties are involved in any reportable exchange.

	Identification of Assets	Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Example: S, DC, or J	IBM Corp. (stock) NYSE	X			2 / 1 / 0X		X			E	X	A	M	P	L	E
Example: S, DC, or J	Microsoft (stock) NASDAQ/OTC		X		1 / 27 / 0X				X	E	X	A	M	P	L	E
1	MOOLAH, INC (NYSE)	X			4/9/07	X										
2	MICROSOFT		X		8/5/07		X									
3																
4																
5	Target *(stock)*	X			10/07	X										
6	Walmart *(stock)*		X					X								
7																
8																
9																
10																
11																
12																

Do not leave the **Transaction Date** Empty.
The full date must be entered ***mm/dd/yr***, ***mm/yr*** is not acceptable .

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

Reporting Individual's Name	PART V. GIFTS	Page Number
JOE FILER		6

Report the source, brief description and value of all gifts aggregating more than $335 in value received by you, your spouse, or your dependent child, (See p.3 CONTENTS OF REPORTS Part B of Instructions), from each source. Gifts with a value of $134 or less need not be aggregated towards the disclosure threshold. "Gift" is defined in the Instructions.

Exclude: (1) Bequests and other forms of inheritance; (2) Political campaign contributions; (3) Communications to your offices including subscriptions to newspapers and periodicals; (4) Consumable products provided by home state businesses to your offices, if those products are intended for consumption by persons other than yourself; (5) Gifts received prior to your Federal employment; (6) Gifts to your spouse or dependent child totally independent of his or her relationship to you; (7) Gifts from relatives; (8) Personal hospitality of any individual (see instructions); (9) meals and beverages unless consumed in connection with a gift of overnight lodging; and (10) Food, lodging, transportation, and entertainment provided by a foreign government within a foreign country, or by federal, state, D.C., or local governments.

	Name of Income Source	Address of Source	Dates and Brief Description	Gift Value
Example:	*Mr. John Q. Smith*	*Anytown, VA* *Example*	*August 12, 200X, Silver platter - Ethics Committee waiver granted*	*$400*
1	CHARLES GENEROUS	WASH, D.C.	JULY 9, 2007- MARBLE STATUE	$500
2			(ETHICS COMMITTEE WAIVER GRANTED)	
3				
4				
5				
6				
7	JOHN GERTZ	(?)	July 8, 2007, Marble Statue - waiver granted	$500
8	LONGO ASSOCIATES	NAPLES, FL	Royal Palm Tree - waiver granted (? - Date)	$300
9				
10				
11				
12				

Note: The Senate Gift Rule prohibits most gifts in excess of $49.99.

Disclosure of gifts does not authorize their acceptance which may otherwise be a violation of Senate Rule 35

Include the **Address of Source**
Include the *Date* in the **Dates and Brief Description**

US Senate Financial Disclosure Report

NO GIFTS FROM LOBBYISTS

Members, officers, and employees of the Senate may no longer accept any gift from a registered lobbyist or foreign agent, or an entity that employs or retains the same, unless a specific exception to the Gifts Rule applies.

US Senate Financial Disclosure Report

GENERAL RULE

☞ If not a lobbyist or foreign agent, or entity that employs or retains a lobbyist or foreign agent.

1. One time limit - $49.99
2. Yearly aggregate limit - $99.99
3. "no limit" - $9.99 or less

Reporting Individual's Name: **JOE FILER**

PART V. GIFTS

Page Number: 6

Report the source, brief description and value of all gifts aggregating more than $335 in value received by you, your spouse, or your dependent child, (See p.3 CONTENTS OF REPORTS Part B of Instructions), from each source. Gifts with a value of $134 or less need not be aggregated towards the disclosure threshold. "Gift" is defined in the Instructions.

Exclude: (1) Bequests and other forms of inheritance; (2) Political campaign contributions; (3) Communications to your offices including subscriptions to newspapers and periodicals; (4) Consumable products provided by home state businesses to your offices, if those products are intended for consumption by persons other than yourself; (5) Gifts received prior to your Federal employment; (6) Gifts to your spouse or dependent child totally independent of his or her relationship to you; (7) Gifts from relatives; (8) Personal hospitality of any individual (see instructions); (9) meals and beverages unless consumed in connection with a gift of overnight lodging; and (10) Food, lodging, transportation, and entertainment provided by a foreign government within a foreign country, or by federal, state, D.C., or local governments.

	Name of Income Source	Address of Source	Dates and Brief Description	Gift Value
Example:	*Mr. John Q. Smith*	*Anytown, VA* *Example*	*August 12, 200X, Silver platter - Ethics Committee waiver granted*	*$400*
1	CHARLES GENEROUS	WASH, D.C.	JULY 9, 2007- MARBLE STATUE	$500
2			(ETHICS COMMITTEE WAIVER GRANTED)	
3				
4				
5				
6				
7	JOHN GERTZ	(?)	July 8, 2007, Marble Statue - waiver granted	$500
8	LONGO ASSOCIATES	NAPLES, FL	Royal Palm Tree - waiver granted (? - Date)	$300
9				
10				
11				
12				

Note: The Senate Gift Rule prohibits most gifts in excess of $49.99.

Disclosure of gifts does not authorize their acceptance which may otherwise be a violation of Senate Rule 35

Include the **Address of Source**
Include the *Date* in the **Dates and Brief Description**

File Form With:
Secretary of the Senate
Office of Public Records
232 Hart Building
Washington, DC 20510

EMPLOYEE ADVANCE AUTHORIZATION AND DISCLOSURE OF TRAVEL REIMBURSEMENT

Part I: [Complete this section in advance of the travel.] ☐ *Amended Version*

I, Z. Senator (Please print name of Member or Officer) hereby authorize, Joe Filer (Please print name of Individual) a staff member under my direct supervision, to accept reimbursement for necessary transportation, lodging, and related expenses for travel to the event described below. I have determined that this travel is in connection with his/her duties as a Senate employee of an officeholder, and will not create the appearance that he/she is using public office for private gain.

Reimbursement, or payment of necessary expenses, to be made by: Factfind Exotica, Inc.

Dates of the reimbursed travel: March 15-17, 2007

Place of travel: Peoria, Illinois

Purpose of travel: Speaking engagement

3/12/07 — Date

Z. Senator — *Signature of Member or Officer*

Part II: [Complete this section after the travel is completed.] ☐ *Amended Version*

In compliance with Rule 35.2(a) and (c), I make the following disclosures with respect to travel expenses that have been or will be reimbursed to me, as set out above:

PLEASE FILL IN THE APPROPRIATE BOXES: *(Please include any expenses reimbursed for an accompanying spouse or dependent)*

(Check One) METHOD	TOTAL TRANSPORTATION EXPENSES	TOTAL LODGING EXPENSES	TOTAL MEAL EXPENSES	OTHER EXPENSES (Total)
☑ GOOD FAITH ESTIMATE ☐ ACTUAL REIMBURSEMENT	$625	$275	$150	

8/12/07 — Date

Joe Filer — *Signature of Employee*

I have made a determination, that the expenses set out in Part II, in connection with travel described in Part I, are necessary transportation, lodging, and related expenses as defined in Rule 35.

8/14/07 — Date

Z. Senator — *Signature of Member or Officer*

FILE THIS FORM WITH THE OFFICE OF PUBLIC RECORDS WITHIN 30 AFTER COMPLETION OF TRAVEL

REVISED 11/98

Form RE-1/2

RE - 1 / 2
Travel Form

- All Staffers fill out RE -1 / 2
- Forms should be filed with OPR within 30 days after completion of travel.
- Make sure all signatures and dates are filled in before form is turned in to OPR.
- Available on-line

★ **Travel reported more than 30 days after completion of travel should be reported on Part VI -Reimbursements of your Public Financial Disclosure Form.**

File Form With:
Secretary of the Senate
Office of Public Records
232 Hart Building
Washington, DC 20510

DISCLOSURE OF MEMBER OR OFFICER'S REIMBURSED TRAVEL EXPENSES

[THIS DISCLOSURE MUST BE PROVIDED TO THE SECRETARY OF THE SENATE WITHIN (30) DAYS AFTER THE TRAVEL IS COMPLETED.]

In compliance with Rule 35.2(a) and (c), I Z. Senator, make the following disclosures with respect to travel expenses that have been or will be reimbursed to me.

☐ *Amended Version*

Reimbursement, or payment of necessary expenses, to be made by: Factfind Exotica, Inc.

Dates of the reimbursed travel: March 15-17, 2007

Place of travel: Peoria, Illinois

Purpose of travel: Speaking engagement

PLEASE FILL IN THE APPROPRIATE BOXES: *(Please include any expenses reimbursed for an accompanying spouse or dependent)*

(Check One) METHOD	TOTAL TRANSPORTATION EXPENSES	TOTAL LODGING EXPENSES	TOTAL MEAL EXPENSES	OTHER EXPENSES (Total)
☑ GOOD FAITH ESTIMATE ☐ ACTUAL REIMBURSEMENT	$625	$275	$150	

I have made a determination, that the travel described above was in connection with my duties as an officeholder, and did not create the appearance that I was using public office for private gain.

Z. Senator — *Signature of Member or Officer*

3/20/07 — *Date*

REVISED 11/98

Form RE-3

RE - 3
Travel Form

- Only Members & Officers of the Senate fill out RE-3.
- Forms should be filed with OPR within 30 days after completion of travel.
- Make sure the form is signed and dated, before it is turned in to OPR.
- Available on-line

★ **Travel reported more than 30 days after completion of travel should be reported on Part VI - Reimbursements of your Public Financial Disclosure Form.**

Reporting Individual's Name: **JOE FILER**

PART VI. REIMBURSEMENTS

Page Number: **7**

Report necessary travel related expenses from each source aggregating more than $339 in value during the reporting period received by you, your spouse and/or dependent child in connection with your provision of services at a speaking engagement, fact-finding event, or other event (personal campaign, or otherwise). Disclosure is required regardless of whether those expenses were **reimbursed** to the individual or **paid directly** by the sponsoring organization. A description of the itinerary, including date(s) and the nature of expenses is required. If you are reimbursed for more than one trip from the same sponsor (and the trips added together are worth more than : $335), then you must report each trip individually, even if the reimbursement for each separate trip does not equal more than ! $335 Report Gifts of travel in Part V.

Exclude: Travel related expenses provided by federal, state, D.C., and local governments; or by a foreign government; reimbursements from campaign funds which are reported to the FEC; reimbursements to a spouse or dependent child totally independent of his or her relationship to you; and reimbursements reported to the Office of Public Records pursuant to Senate Rule 35. For further information, see Instructions.

	Name of Income Source	Address of Source	Dates and Brief Description
Example:	*All States Company*	*Maintown, TX* **EXAMPLE**	*Roundtrip air travel from Washington, D.C. to Maintown, TX and lunch for self and spouse for speaking engagement: May 1-3, 200X* **EXAMPLE**
1	**FACTFIND EXOTICA, INC.**	**ORLANDO, FL.**	**ROUNDTRIP AIR, LODGING, AND MEALS FROM WASH, ~~DC TO PEORIA, ILL FOR SPEAKING ENGAGEMENT,~~ MARCH 15-17, 2007**
2			
3			
4			
5			
6			
7			
8			
9			
10	**RUSSELL COMPANY**	**(?)**	**Roundtrip air from DC to San Diego, CA, lodging and meals** **(?)**
11			
12			
13			

Travel reported on Rule 35 Forms (RE-1/2, RE-3) pursuant to Rule 35 (within 30 days of travel) does not have to be disclosed again on Part VI

Include the **Address of Source**
Include the *Date* in the **Dates and Brief Description**

Reporting Individual's Name: **JOE FILER**

PART VII. LIABILITIES

Page Number: **8**

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

	Name of Creditor	Address	Type of Liability	Date Incurred	Interest Rate	Term if Applicable	$10,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000***	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000
Example:	S, DC, or J *First District Bank*	*Wash., DC*	*Mortgage on undeveloped land*	*1981*	*13%*	*25yrs*			X		E	X	A	M	P	L	E
	(J) John Jones	*Wash., DC*	*Promissory Note*	*1989*	*10%*	*On dmd*				X	E	X	A	M	P	L	E
1	**LEGBREAKER BANK**	**NY, NY**	**UNSECURED LOAN**	**2007**	**100%**	**On dmd**		✘									
2																	
3																	
4																	
5																	
6																	
7	**First US Bank**	**First US Bank**	**Unsecured Loan**	**2005**	**(?)**	**(?)**			✘								
8																	
9																	
10																	
11																	
12																	

Category of Amount of Value (x)

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

Do not Leave the items (**Interest Rate** , **Term if Applicable**) empty

Reporting Individual's Name: **JOE FILER**

PART VIII. POSITIONS HELD OUTSIDE U.S. GOVERNMENT

Page Number: **9**

Report any positions held by you during the applicable reporting period whether compensated or not. Positions include, but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. Both the year and month must be reported for the period of time that the position was held.

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

	Name of Organization	Address (City, State)	Type of Organization	Position Held	From (Mo/Yr)	To (Mo/Yr)
Example:	*National Assn. of Rock Collectors*	*NY,NY* **EXAMPLE**	*Non-profit education*	*President*	*6 / 90*	*Present*
	Jones & Smith	*Hometown, USA* **EXAMPLE**	*Law Firm*	*Partner*	*7 / 85*	*11 / 90*
1	DEWEY, CHEATEM & HOWE	NEW YORK, NY	Non-Profit Education	DIRECTOR	5/05	Present
2	GOOD SAMARITAN CHARITY	WASHINGTON, DC	CHARITY	BOARD MEMBER	1/06	2/07
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						

Remember that compensation in excess of $200 from any position must be reported on Part II (Earned and Non-Investment Income)

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

Reporting Individual's Name	PART IX. AGREEMENTS OR ARRANGEMENTS	Page Number
JOE FILER		10

Report your agreements or arrangements for future employment (including agreements with a publisher for writing a book or sale of other intellectual property), leaves of absence, continuation of payment by a former employer (including severance payments), or continuing participation in an employee benefit plan. See Instructions regarding the reporting of negotiations for any of these arrangements or benefits.

	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 services performed through 11/0X and retained pension benefits (diversified, independently managed, fully funded, defined contribution plan)*	*Jones & Smith, Hometown, USA* **Example**	*1/0X*
	Employment agreement with XYZ Co. to become Vice President of Government Relations. Terms of agreement include salary between $50,001-$100,000, signing bonus between $2,501-$5,000 and stock options	*XYZ Co., Bethesda, MD* **Example**	*1/0X*
1	PURSUANT TO PARTNERSHIP AGREEMENT, WILL	DEWEY, CHEATEM & HOWE	1/07
2	REMAIN IN PARTNERSHIP 401K PLAN (NO FURTHER CONTRIBUTIONS TO PLAN FROM		
3	PARTNERSHIP OR SELF)		
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			

Reporting Individual's Name	PART X. COMPENSATION IN EXCESS OF $5,000 PAID BY ONE SOURCE	Page Number
JOE FILER		11

FIRST TIME FILERS ONLY:

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

	Name of Source	Address of Source	Brief Description of Duties
Example:	*Jones & Smith*	*Hometown, TX*	*Legal Services* EXAMPLE
	Metro University (client of Jones & Smith)	*Moneytown, USA*	*Legal Services in connection with university construction* EXAMPLE
1	DEWEY, CHEATEM & HOWE	NY, NY	LEGAL SERVICES
2			
3	SUPER LANDLORD, INC	NY, NY	LEGAL SERVICES IN CONNECTION WITH HOUSING MATTER
4			
5			
6			
7			
8			
9			
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14			
15			

US Senate Financial Disclosure Report

IF YOU HAVE ANY QUESTIONS, PLEASE CALL

The Senate Select Committee on Ethics

224-2981 (main)
224-7416 *(fax)*

☞ *All Advice is Confidential*