GOVERNMENT ETHICS

Preventing Conflicts of Interest

in the Executive Branch

Executive Compensation and Public Financial Disclosure:

Exercise

. .

OGE Form 278 (Rev. 09/2010) 5 C.F.R. Part 2634 U.S. Office of Government Ethics

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Form Approved: OMB No. 3209 - 0001

	(CHECK DOX 11 COMMENTS STE COMMINGED ON THE TENESTS STOE)		
OGE Use Only	(Chart have if commands are continued on the version side)		
Agency Use Only			
of filing.	(Check box if filing extension granted & indicate number of days)		
Schedule D-The reporting period is the preceding two calendar years and the current calendar year up to the date	the reverse side of this sheet)	(If additional space is required, use	Comments of Reviewing Officials (
Arrangements)Show any agreements or arrangements as of the date of filing.			Use Only
Schedule C, Part II (Agreements or	Date (Month, Day, Year)	Signature	Office of Covernment 5thice
year and the current calendar year up to any date you choose that is within 31 days of the date of filing.			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).
Schedule C, Part I (Liabilities)The reporting period is the preceding calendar	Designated Agency Ethics Official/Reviewing Official Date (Month, Day, Year)	Signature of Designated Agency I	Agency Ethics Official's Opinion
Schedule BNot applicable.			agency)
as of any date you choose that is within 31 days of the date of filing.	Date (Month, Day, Year)	Signature of Other Reviewer	Other Review (If desired by
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			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.
Vice President:	Dāle (Month; Dāy; Year)	Signature of Reporting Individual	Certification.
Nominees, New Entrants and Candidates for President and	1C3 NW	Comment of Francis Stores	
Schedule D is not applicable.	ing Nomination Do You Intend to Create a Qualifi		Presidential Nominees Subject to Senate Confirmation
Termination Filers: The reporting period begins at the end of the period covered by your previous filing and ends	c.	Title of Position(s) and Date(s) Held	Position(s) Held with the Federal Government During the Preceding 12 Months (If Not Same as Above)
Il 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 Chedule D is not take.	1 Telephone No. (Include Area Code) 202-555-556	456 A St., SW., Washington, DC 20000	Location of Present Office (or forwarding address)
Reporting Periods Incumbents: The reporting period is	Federal Insurance Comm	Commissioner	
to a \$200 fee.	Department or Agency (If Applicable)	Title of Position	Position for Which
than 30 days after the last day of the filing extension period, shall be subject	James	Maxwell	Individual's Name
after the date the report is required to be filed, or, if an extension is granted, more	First Name and Middle Initial	Last Name	Renorting
Fee for Late Filing Any individual who is required to file this report and does so more than 30 days	Calendar Year New Entrant, Termination Termination.Date (If Applicovered by Report Nominee, or Kiler Zable) (Month, Day, Year) Candidate	Reporting Incumbent - Status (Check Appropriate Boxes)	Date of Appointment, Candidacy, Election, or Nomination (<i>Month, Day, Year</i>)

U.S. Office of Government Ethics

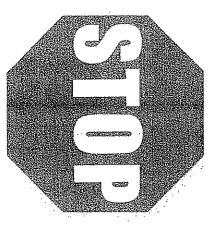
Assets and Income BLOCK A For you, your spouse, and dependent children, report each asset held for investment or the production of income which had a fair market value exceeding \$1,000 at the close of the reporting period, or which generated more than \$200 in income during the reporting period; together with such income. For yourself, also report the source and actual amount of earned income exceeding \$200 (other seport the source but not the amount of earned come of more than \$1,000 (except report the schual amount of any honoraria over \$200 of your spouse.) Central Airlines Common Central Airlines Common Central Airlines Common Tysons Financial Group, Inc. deferred compensation Tysons Financial Group, Inc. RSUs Tysons Financial Group, Inc. RSUs Tysons Financial Group, Inc. pension plan and 401(k) TFG Moderate Growth Fund TFG Moderate Growth Fund	Reporting In	Reporting Individual's Name
None (or less than \$1,001) \$1,001 - \$15,000 \$1,001 - \$15,000 \$15,001 - \$15,000 \$15,001 - \$100,000 \$100,000	Jam	98
Assets and Income Valuation of Assets	· ·	
BLOCK A BLOCK A	>	ssets and Income
Tysons Financial Group, Inc. RSUs Tysons Financial Group, Inc. Refer Fund (A) Tysons Financial Group, Inc. RSUs Tysons Financial G		BLOCK A
Tysons Financial Group, Inc. Tysons Financial Group, Inc. Scoke options	For you, you report each production o	r spouse, and dependent childrer asset held for investment or the fincome which had a fair marke no \$1,000 at the close of the report
Tysons Financial Group, Inc. RSUs Signon, Inc. RSUs	value exceeding period, o in income du with such inc	ing \$1,000 at the close of the report r which generated more than \$200 ring the reporting period; togethe ome.
Central Airlines Common	For yourself, amount of ear than from the report the so income of mo actual amou your spouse) None	also report the source and actual rised income exceeding \$200 (othe U.S. Government). For your spouse urce but not the amount of earned are than \$1,000 (except report than 1,000 and over \$200 one).
Xamples Doe Jones & Smith, Hometown, State	Cer	atral Airlines Common
Kempstone Equity Fund	1	e Jones & Smith, Hometown, State
Tysons Financial Group, Inc. Tysons Financial Group, Inc. deferred Compensation Tysons Financial Group, Inc. stock options X X Tysons Financial Group, Inc. RSUs Tysons Financial Group, Inc. RSUs X Tysons Financial Group, Inc. pension plan and A01(k) TFG Moderate Growth Fund X X X X X	Z Ke	mpstone Equity Fund
Tysons Financial Group, Inc. deferred compensation Tysons Financial Group, Inc. stock options X Tysons Financial Group, Inc. RSUs Tysons Financial Group, Inc. pension plan and 401(k) TFG Moderate Growth Fund X X X X X X X X X X X X X		ancial Group, Inc.
Tysons Financial Group, Inc. stock options Tysons Financial Group, Inc. RSUs Tysons Financial Group, Inc. pension plan and TFG Moderate Growth Fund X X X X X X X X X X X X X	Tysons Fine compensation	滋
Tysons Financial Group, Inc. RSUs Tysons Financial Group, Inc. pension plan and 401(k) TFG Moderate Growth Fund X	3 Tysons Fina	ancial Group, Inc. stock options
Tysons Financial Group, Inc. pension plan and 401(k) X TFG Moderate Growth Fund X	4 Tysons Fina	ancial Group, Inc. RSUs
TFG Moderate Growth Fund	S Tysons Fina 401(K)	กcial Group, Inc. pension plan and
	6 TFG Moden	ate Growth Fund

AND PROPERTY OF A COLOR OF THE								BERKETSTATION	of second		AMERICA POLICIES AND ADDRESS OF THE PERSON	SAME PORTERIOR SAMES	NAME OF TAXABLE PARTY.	Secretaria
Reporting Individual's Name	2	E LICHTON) I						حبيط	Page Number	umber			-
WIGAWGII, JGIIIGS	C (19	약		
Part I: Liabilities	a mortgage on your personal residence	None 🔀												
to any one creditor at any time	automobiles, household furniture	at a when we are regular and the sec-	manda de la companya del companya de la companya de la companya del companya de la companya de l				Category of Amount or Value	of Am	iount c	n Valu	.e (х)	CONT. TO SECURITY.	CONTRACTOR SCHOOL	
during the reporting period by you, your spouse, or dependent children.	or appliances; and liabilities owed to certain relatives listed in instructions.			4-19-X-1-1-1	······································					· · · · ·)	00,	00	00 .
Check the highest amount owed during the reporting period. Exclude	See instructions for revolving charge accounts.			,001 -	,000 ,001 - ,000	,001 - 0,000	0,001- 0,000	0,001	0,001 000,00	00,00	00,00	,000,0	,000,0 r	r ,000,0
Creditors (Name and Address)	Type of Liability	Date Incurred	Rate apr	applicable \$1	\$15 \$15	\$50	\$25	\$50	\$1,		\$5,0	\$25 \$25	\$50 Ove	
Examples First District Bank, Washington, DC	Mortgage on rental property, Delaware	1991		25 yrs.		×								
<u> </u>	Promissory note	1999	10% on o	demand				×			إ	 	.]	
				ZIÇ ARMI										
23														
3						1								
4-									. ,		.i.,			
5				27. 18.22		· ·		;.						
*This category applies only if the liability is so with the spouse or dependent children, mark	*This category applies only if the liability is solely that of the filer's spouse or dependent children. If the liability is that with the spouse or dependent children, mark the other higher categories, as appropriate.	ren. If the liab	ollity is that o	of the filer	filer or a joint liability of the filer	t liabilii	y of th	e filer	r commence of the contract of	CZECTORNE			u andreason	
Part II: Agreements or	Arrangements					dissinguina			NAME OF TAXABLE PARTY.	and the second	September 1	CHARLES AND		
Report your agreements or arrangements for: (1) continuing participation in an employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves	for: (1) continuing participation in an squared compensation); (2) continua- ncluding severance payments); (3) leaves	of absence; and (4) ing of negotiations		future employment. See instructions regarding the report- for any of these arrangements or benefits. Non	oloyme hese ar	nt. See Tangei	instru ments	ıction or be	is rega	ardinį }.	gthe	repor No	None	L_)
Status and Ter	Status and Terms of any Agreement or Arrangement						Parties		Description	***************************************			Date	e l
Example Pursuant to partnership agreement, w	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	rtnership shar		Doe Jones & S	& Smith, Hometown, State	netown,	State					***************************************	7/85	······································
Continued participation in Tysons Financial Group 40	Continued participation in Tysons Financial Group 401(k) and pension. No further contributions by employer.		Tys	Tysons Financial Group, Leeds, NJ	al Group,	Leeds, N	۲.						04/89	Φ
² TFG deferred compensation will be distributed after resignation	resignation.		Tys	Tysons Financial Group, Leeds, NJ	al Group,	Leeds, N	_				,		8/98	
3 Continued health insurance			Tys	Tysons Financial Group, Leeds, NJ	al Group,	Leeds, N	٣.						8/98	rante Manage
4							,							
C1														
							A STATE OF THE PERSON NAMED IN							

U.S. Office of Government Ethics					
Reporting Individual's Name Maxwell, James		SCHEDULE D	P	Page Number 20 of	
Part I: Positions Held Ou Report any positions held during the applications.	Positions Held Outside U.S. Government	4	notification Burlind's modifions (. J. L	
sated or not. Positions include but are not limited to those of an officer, director, sated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee or consultant of	nited to those of an officer, directive employee or consultant of		organization of educational institution. Excitate positions with religious social, fraternal, or political entities and those solely of an honorary nature	with religious,	
any corporation, firm, partnership, or other business enterprise or any non-profit	business enterprise or any non-p			No	None
Organization (Name and Address)	ldress)	Type of Organization	Position Held	(T.)	To (Mo., Yr.)
Nat'l Assn. of Rock Collectors, NY, NY		Non-profit education			Present
	Law	Law firm		7/85	00/1
1 Tysons Financial Group, Leeds, NJ	Согр	Corporation	Vice President	04/1989	Present
2					
3					
4					
					n-sadorestatos
55					
6					
Part II: Compensation in Excess of \$5,000 Paid by One Sou	Excess of \$5,000	Paid by One Source	Do not complete this part if you are an Incumbent Termination Filer or Vice	part if you a	are an
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	sation received by you or your ectly by you during any one year so of clients and customers of any ness enterprise, or any other		ayn	ential Candi ou No	ndidate.
Source (Name and Address)	255)	Brie	Brief Description of Dutles		
Examples Doe Jones & Smith, Hometovn, State Examples Metro Inversity (client of Doe Iones & Smith) Moneyrour State		Legal services		***************************************	
1 Tysons Financial Group, Leeds, NJ	Vic	Vice President for Global Opportunities			
2					
3					
6					=:

Public Financial Discosure:

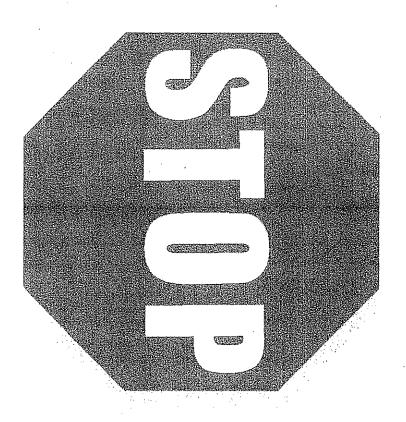
DISSORS



*	6	S	4	ω	2	1		Carrie Con	IT Xa		For and the control of the control o	rep			C7843	Max	AND THE SECOND	CHOCONE.
This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.					Tysons Financial Group, Inc bonus receivable for 2011	Tysons Financial Group, Inc.	IRA: Heartland 500 Index Fund	Kempstone Equity Fund	Examples Doe Jones & Smith, Hometown, State	Central Airlines Common	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 amount of any honoraria over \$200 of your spouse).	For you, your spouse, and dependent children, report each asset held for investment or the	BLOCK A	Assets and Income		Maxwell, James	Reporting Individual's Name	
me is hildi				an administration	ē				(Landard Saylor Say			EF,		,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,			ļ	
sole en, 1	<u> </u>						<u> </u>			<u>L</u>	None (or less than \$1,001)	-:						
dy d mari		ļ			<u> </u>			\sqcup	···	<u> </u>	\$1,001 - \$15,000			at				
nat o							ļ		×		\$15,001 - \$50,000 \$50,001 - \$100,000			Valuation of Assets at close of reporting period				
f th					· X/ ·					×	\$100,001 - \$250,000			ie o				
e file ler h								[×]		-	\$250,001 - \$500,000		BLO	fire				
ar's tighe							×				\$500,001 - \$1,000,000	· · · ·	BLOCK B	odi				
ar ca											Over \$1,000,000*		<u>.</u>	rtir.				
tego						-				H	\$1,000,001 - \$5,000,000	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,		1.83 SS			ļ	
or de										\vdash	\$5,000,001 - \$25,000,000			ets	- 1			
of 1											\$25,000,001 - \$50,000,000			bo				
den ⁄alu					· · · · · · · · · · · · · · · · · · ·						Over \$50,000,000					Č	5	
t chi e, as	*******		702 EXTRA 14		-	-	.×	×	-		Excepted Investment Fund	PROPERTY.				j.	4	
app											Excepted Trust	-			l	SCHEDULE]	
n. I				. ,					٠.		Qualified Trust			1		\sim	4	
If the asset/ priate.							TO ALCOHOLD	CF-314200 S	**********	×	Dividends	_	ana mana ana			 	4	
e ass		V						i			Rent and Royalties			che Cate) 		
	· · · · · ·	·						1			Interest	Тур		웃 입		للمحضوا		
nco								+			Capital Gains	r l		d,			1	
income is either that of the filer or jointly held	***************************************	05cm;///240mm			X	/40 W 94					None (or less than \$201)	-		망섳			l	
s eit		,						 			\$201 - \$1,000			oth				
her										×	\$1,001 - \$2,500			er ind		-	Ì	:
that		7.5						× I	l		\$2,501 - \$5,000		55	20.00				
of i			·				×	<u>-</u> }		-	\$5,001 - \$15,000		BLOCK C	ry i				
the t								ij			\$15,001 - \$50,000		K C	nt. s n			300	
ile								Ť	i	\neg	\$50,001 - \$100,000	A		eed If "			and the second	
or j				-			1	• 1			\$100,001 - \$1,000,000	on		e No				
oint						·		+			Over \$1,000,000*	Amount		in				
ly հ							_	-			\$1,000,001 - \$5,000,000				1			
eld											Over \$5,000,000			CF IS	ŀ			
	v					Salary & Bonus \$467,500	 		Law Partnership Income \$130,000		Other Income (Specify Type & Actual Amount)			Income: type and amount. If "None (or less than \$201)" ichecked, no other entry is needed in Block C for that item.		2 of	Page Number	
									 		Date (Mo., Day, Yr.) Only if Honoraria			L)" is em.				

Reporting individual's Name Maxwell, James 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.	9.8	SCHEDULE				Cat	म् ता भ	egory o	egory of Amo	egory of Amount of	Page No	ge Number 19	ge Number 19 of Value (x)	ge Number 19 of Value (x)
during the reporting period by you, your spouse, or dependent children. Check the highest amount owed during the reporting period. Exclude	or appliances; and liabilities owed to certain relatives listed in instructions. See instructions for revolving charge accounts.				0,001 - 5,000	0,001 - 5,000 5,001 - 0,000	0,001 - 5,000 5,001 - 0,000 0,001 -	0,001 - 5,000 5,001 - 0,000 0,001 -	0,001 - 5,000 5,001 - 0,000 0,001 -	0,001 - 5,000 5,001 - 0,000 0,001 - 00,000 50,001 - 00,000 00,001 - 00,000 er	0,001 - 5,000 5,001 - 0,000 0,001 - 00,000 00,001 - 00,000 00,001 - 00,000 00,001 - 000,000	0,001 - 5,000 5,001 - 0,000 0,001 - 00,000 50,001 - 000,000 er 000,000*	0,001 - 5,000 - 000,000 - 000,000 - 000,000 - 000,000 - 5,000,000 - 5,000,000 - 5,000,000 - 5,000,000 - 5,000,000 - 5,000,000 - 5,000,000	0,001 - 5,000 5,001 - 0,000 0,001 - 00,000 00,001 - 000,000 er 000,000*
Creditors (Name and Address)	Type of Liability	Incurred Rate	· io	applicable	applicable \$10	applicable \$10 \$15 \$15 \$50	applicable \$10 \$15 \$15 \$15 \$10	applicable \$100 \$100 \$100 \$100 \$100 \$100 \$100 \$10	applicable \$10 \$15 \$15 \$15 \$15 \$15 \$15 \$15 \$15	applicable \$100 \$150 \$150 \$150 \$150 \$150 \$150 \$150	applicable \$10 \$10 \$10 \$10 \$10 \$10 \$10 \$10 \$10 \$10	applicable \$100 \$150 \$150 \$150 \$150 \$150 \$150 \$150	\$10 \$10 \$10 \$10 \$10 \$10 \$10 \$10 \$10 \$10	applicable \$10.551.550.550.550.550.550.550.550.550.5
Framnles First District Bank, Washington, DC	Mortgage on rental property, Delaware	1991 8%		25 yrs.		25 yrs.		25 yrs.	25 yrs.	25 yrs.	25 yrs.	25 yrs.	25 yrs.	25 yrs.
L.,	Promissory note	1999 109	ο,	Q		on demand	on demand	on demand	on demand	on demand	on demand	on demand	on demand	on demand
1														
2														
٠														
4		12.												
On.														
*This category applies only if the liability with the spouse or dependent children, m	*This category applies only if the liability is solely that of the filer's spouse or dependent children. If the liability is that with the spouse or dependent children, mark the other higher categories, as appropriate.	m. If the liabili	ty is	of the	of the	of the	of the	of the filer or a joint liability of the	of the	of the filer or a joint liability of the	of the filer or a joint liability of the	of the filer or a joint liability of the	of the filer or a joint liability of the	of the filer or a joint liability of the
Part II: Agreements or	r Arrangements													
Report your agreements or arrangeme employee benefit plan (e.g. pension, 4 tion of payment by a former employer	Report your agreements or arrangements for: (1) continuing participation in an employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves	of absence; and (4) ing of negotiations	nd ati	–	–	–	–	–	–	–	–	–	future employment. See instructions regarding the repfor any of these arrangements or benefits.	
Status and	Status and Yerms of any Agreement or Arrangement					-	Pai	Parties	Parties	Parties	Parties	Parties	Parties	Parties Date
Example Pursuant to partnership agreement calculated on service performed t	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	mership share		Doe Jones &	Doe Jones & Smith,	Doe Jones & Smith, Hometo	Doe Jones & Smith, Hometown, Sta	Doe Jones & Smith, Hometown, State	Doe Jones & Smith, Hometown, State	Doe Jones & Smith, Hometown, State	Doe Jones & Smith, Hometown, State	Doe Jones & Smith, Hometown, State	Doe Jones & Smith, Hometown, State	Doe Jones & Smith, Hometown, State
Pursuant to company's compensation policy, I w resignation.	Pursuant to company's compensation policy, I will receive a performance-based bonus for services rendered in 2011 up the date of resignation.	2011 up the date c	34			Tysons Financial Group, Inc.,	Tysons Financial Group, Inc.,		Tysons Financial Group, Inc.,	Tysons Financial Group, Inc.,	Tysons Financial Group, Inc.,	Tysons Financial Group, Inc.,	Tysons Financial Group, Inc.,	Tysons Financial Group, Inc.,
2														
₹.		:					-							
A				***************************************										
								en dag den de			TOTAL OF THE PROPERTY OF THE P			

and the second of the second o

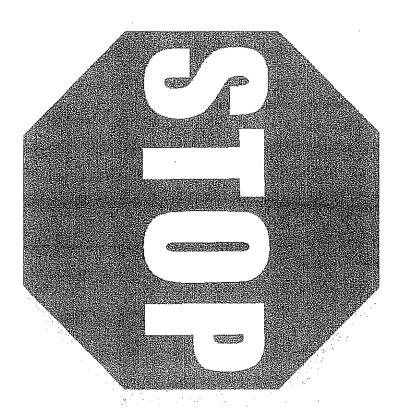


5 C.K.R. Part 2634 U.S. Office of Government Ethics

		1	2,	()	\$.	(J)	N	#30************************************	1		TTI TTI		Z Kenaden sandos	7 '71	1		79675138	7 2	1
CHARLES AND	* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. by the filer with the spouse or dependent children, mark the other higher categories of value, as appro					Tysons Financial Group, Inc. deferred compensation (tracks S&P 500)	Tysons Financial Group, Inc bonus receivable for 2011	Tysons Financial Group, Inc.	IRA: Heartland 500 Index Fund	Kempstone Equity Fund	Examples Doe Jones & Smith, Hometown, State	Central Airlines Common	report each asset head for investment of 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 amount of any honoraria over \$200 of your spouse).	For you, your spouse, and dependent children,	BLOCK A	Assets and Income		Maxwell, James	Reporting Individual's Name
	ne is hildr		_			THE SECOND CONTRACTOR OF THE SECOND CONTRACTOR	(Đ	ngaranasanasa			<u></u>			, ji					
	sole en, I		\dashv				,			L	<u> </u>	<u> </u>	None (or less than \$1,001)						
SECTION SECTION	ly th nark		\dashv	·					ļ	ļ	-×	<u></u>	\$1,001 - \$15,000			at (404
	at or		\dashv							[_^_ 	×	\$15,001 - \$50,000 \$50,001 - \$100,000	<u> </u>		Valuation of Assets at close of reporting period			of Others
	othe		\dashv				×		 	·×	<u> </u>		\$100,001 - \$250,000			u at e of			Chicalinguis
	file er hi		┪					······			· · · · ·		\$250,001 - \$500,000		BLOCK B	i rej			WASHINGTON .
	ghei ghei		7						×				\$500,001 - \$1,000,000		ЖB	rod			
	cat		十										Over \$1,000,000*			fiA:			
ı	egor egor		1			×							\$1,000,001 - \$5,000,000	٠.		sse sse			CONTRACTOR
	dep des		1							 		 	\$5,000,001 - \$25,000,000			ts			MACCON DEC
)end of va		1									 	\$25,000,001 - \$50,000,000			Ç.		S	
	ent i		1										Over \$50,000,000					CF	
	children. If the as appropriate								×	×			Excepted Investment Fund	THE SECRET	*****			SCHEDULE	
	ppro							·					Excepted Trust					ַ	į
			4		***************************************				-	ORDER 200	BANKS MARKATAN AND BE		Qualified Trust		er ancomité a		ļ		
	If the asset/income is either that of the filer or jointly held priate.		1				į					×	Dividends	. ,		유표			
	Isset	-	4							 				Тур		eck eck		\triangleright	CHECK
	/inc		_							 			Interest	e e		me (ed,			X COLUMN
	ome	a parameter and a	_	**************************************			TARREST MORNING		diameter and				Ćapital Gains			E C			
	ise		4			×	X					_	None (or less than \$201)			ot]			
	ithe		+										\$201 - \$1,000			anc			ATT
	r tha		╅									×	\$1,001 - \$2,500		_	i ar ent			CG September 1
	t of		\dashv					· · ·	×	×			\$2,501 - \$5,000 \$5,001 - \$15,000		BLOCK C	Ty nor			
	the	······································	+							- 1		-	\$15,001 - \$50,000) 	is n			
	filer		+					à	, ,		<u>-</u>			≥		eec If,			
	or j		十							-i	— j		\$100,001 - \$1,000,000	Amount		led 'No	-		
	oint		T										Over \$1,000,000*	E		ne in		•	300
0	ly h	,	十							-	!		\$1,000,001 - \$5,000,000	7		Bio G			
	eld		1								 		Over \$5,000,000	.		les:	ŀ		<u>_</u>
								Salary & Bonus \$467,500		 	Law Partnership Income \$130,000		Other Income (Specify Type & Actual Amount)			Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.		2 of	Page Number
							MAKE MOJEGITES E						Date (Mo., Day, Yr.) Only if Honoraria		en se constitución de la constit)" is		in and a second second	

ر د	S	4	(r)	10	-	l tr		ದೂಸ	 		Ć,	<u> </u>	ζ.	N	 [17]	1	2040		2 2	ď
						Example Pursuant to partnership agreement calculated on service performed th	Status and T	Report your agreements or arrangemen imployee benefit plan (e.g. pension, 40 ion of payment by a former employer (Part II: Agreements or	*This category applies only if the liability is with the spouse or dependent children, ma					Examples John Jones, Washington, DC	Creditors (Name and Address)	during the reporting period by you, your spouse, or dependent children. Check the highest amount owed during the reporting period. Exclude	Part I: Liabilities Report liabilities over \$10,000 owed to any one creditor at any time	Reporting Individual's Name Maxwell, James	U.S. Office of Government Ethics
A CONTRACTOR OF THE PROPERTY O				Pursuant to the TFG deferred compensation plan, the balance of my account will be distributed in 12 quarterly payments starting within 90 days of resignation.	Pursuant to company's compensation policy, I will receive a performance-based bonus for services rendered in 2011 up the date resignation.	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	Status and Terms of any Agreement or Arrangement	Report your agreements or arrangements for: (1) continuing participation in an employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves	r Arrangements	*This category applies only if the liability is solely that of the filer's spouse or dependent children. with the spouse or dependent children, mark the other higher categories, as appropriate.					Promissory note	Type of Liability	or appliances; and liabilities owed to certain relatives listed in instructions. See instructions for revolving charge accounts.	a mortgage on your personal residence unless it is rented out; loans secured by automobiles, household furniture	S	
				y payments starting within	in 2011 up the date of	partnership share		of absence; and (4) future employment. See instructions regaing of negotiations for any of these arrangements or benefits		dren. If the liability is		(1)			1999 10%	incurred Kate	Date Interest	None X	SCHEDULE	
		**************************************		Tysons Financial Group, Inc., Leeds, NJ	Tysons Financial Group, Inc.,	Doe Jones		(4) future employment. See instructions regarding the report- ons for any of these arrangements or benefits. Non		that of the fil		(on demand		Term if		С	adipo disease son topo despetor o
				incial Gro	incial Gro	& Smith, Hometown, State		mploys of these		filer or a joint liability of the filer						\$	10,001 - 15,000			. Andrews water
				up, Inc.,		Hometo		nent. S arran		oint lial					 	\$	15,001 - 50,000 50,001 -	CONTRACTOR		
				eeds, N	Leeds, NJ	wn, Stat	Parties	èee ins gemen		ility of		. '			 	\$	100,000 100,001- 250,000	Category		
					<u> </u>	e	ies	tructic		the file	1				 ×	\$	250,001 - 500,000	ory of A		
								ns reg enefit		ï						\$	500,001 - 1,000,000	of Amount		
								gardin; s.								\$	ver 1,000,000*	or Value	Page Number 19	
								g the 1				2.				\$	1,000,001- 5,000,000 5,000,001 -	e (x)		
_								report- None							 H	\$	25,000,000 25,000,001 -		of	
				8/98	08/98	7/85	Date	e D			1. 4.				 \vdash	10	50,000,000 ver 50,000,000			

•



U.S. Office of Government Ethics	FINITE II LETTES			DUADOM.	CHESTER AND						Control of the Contro								Section 1	ĺ								İ	ĺ				
Reporting Individual's Name Maxwell, James	vidual's Name											rΛ	SCHEDULE	imped .		ď		\triangleright													Рa	Page Number 2 of	
					l									- 1				-	1				1							1	ſ		
Ass	Assets and Income			at	Jos	иа	Valuation of Assets at close of reporting period	od	E A	SS.	ets	DG		K-2200F223V2-K			~ H	Inco check	o m	me: ked, r	type and amount. no other entry is n	e an	nd :	DE PE	oun y is	t. II ne	ede	If "None eeded in	n e ((or less Block C	k C	me: type and amount. If "None (or less than \$201)" is ked, no other entry is needed in Block C for that item.)"is
ALCONOMICS	BLOCK A	-					BLO	BLOCK B	w					************										BL	BLOCK C	Ô							
For you, your a report each as	For you, your spouse, and dependent children, report each asset held for investment or the production of income which had a fair market	197																뒣	apr	7		1	7	7		1. 1]\$	Amount	ן≅ֽן				
production of income which value exceeding \$1,000 at the ing period, or which generate in income during the reportir with such income.	production of infrome which had a fair market value exceeding \$1,000 at the close of the report- ing period, or which generated more than \$200 in income during the reporting period, together with such income.	*****	\$1,001)	· · · · · · · · · · · · · · · · · · ·					7,000	00 000		,000,000				· · · · · ·	and the second	3	****		\$201)						0	,000		00,000			Date Mo., <i>Day</i> ,
For yourself, a amount of earn than from the U report the sour	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 through of more than \$1.00 (average force than \$1.00 (average force than \$1.00 (average force than \$1.00).	TO THE OWNER OF THE OWNER OWN	r less than	\$15,000	- \$50,000 - \$100,00		1 - \$250,0 1 - \$500,0	1 - \$1,000	,000,000*	001 - \$5,0	001 - \$25,0		0,000,000	i Investme		······		i Royalties		Fains	r less than	1,000	\$2,500	\$5,000	\$15,000	- \$50,000	- \$100,00	1 - \$1,000	000,000*	01 - \$5,00	000,000		Yr.) Only if Honoraria
your spouse). None 🔄	None [7]													And the second second second	Excepted	Qualifie	Dividend		Interest	Capital (None (o	\$201 - \$	\$1,001 -	\$2,501 -	\$ 5,001 -		\$50,001	\$100,00	Over \$1,	\$1,000,0	Over \$5,		
Cent	Central Airlines Common				J	×				\dashv	\dashv	-	\dashv				×	十	\neg			\neg	×										
Examples DoeJ	Doe Jones & Smith, Hometown, State	one-e-cue			×									اسسد	! 						i I) 	<u>-</u>	Ī	I		- [Law Fartnership Income \$130,000	
Kemi	Kempstone Equity Fund	ليا		إسإ			×			-	 			×	 	<u>'</u> '								×		. [
IRA:	IRA: Ḥeartland 500 Index Fund	CONTRACTOR OF THE PERSON OF TH	<u> </u>		<u> </u>	 		×	- `					×											×								
1 Tysons Finar	Tysons Financial Group, Inc.						****	······································	<u> </u>					ka liin ya ka ka		1.								-								Safary & Bonus \$467,500	
² Tysons Finar for 2011	Tysons Financial Group, Inc bonus receivable for 2011					X				. :											Х												
3 Tysons Finar compensation	Tysons Financial Group, Inc. deferred compensation (tracks S&P 500)	THE STREET				· .				$\overline{\mathbf{x}}$				***************************************		· · · · · · · · · · · · · · · · · · ·				÷	X												
⁴ Tysons Finar (value not rea	Tysons Financial Group, Inc. stock options (value not readily ascertainable)	-					·									5		<u> </u>			X			• •									
-1800 vested shares: st	1800 vested shares: strike \$27, exp. 3/2013 2300 unvested shares:	****			···																***************************************												
6 strike \$28,	strike \$28, vest 7/2013, exp. 4/2014	***************************************												***************************************							(Angle and Angle and												
* This catego by the filer	This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.	ildi:	sole en, 1	ly t	(the	of th	e fil	er's nigh	sp re	ise c	r de ries	of v	dent	chi	ldre	n. I	f the	ass	et/ii	1001	t/income is either that of the filer or jointly held	eit!	ler t	hat	of th	ne fil	ler c	ır jo	inti	'hel	ď		

dual's Name			Page Number	
Maxwell, James CLT	SCHEDULE C		19 of	
a mortgage on your personal residence	None X			
to any one creditor at a ny time automobiles, household furniture	anga kana dang pangangan manangan kanangan dangan manan manangan m	Category of Amount or Value	it or Value (x)	
ou,		77.78.20.70.7)	
Check the highest amount owed Guring the reporting period. Exclude accounts.	A CONTRACTOR OF THE CONTRACTOR	001 - 000 001 - 000 001 - 0,000 0,001 - 0,000 0,001 - 0,000	00,000* 00,001- 00,001 00,001 000,000	
Creditors (Name and Address) . Type of Liability incu	Date Interest Term if Incurred Rate applicable	\$10 \$15 \$15 \$50 \$10 \$25 \$25 \$50 \$50	\$1,0 \$5,0 \$5,0 \$25,	Ove
Frannies First District Bank, Washington, DC Mortgage on rental property, Delaware 19		rs. x		
John Jones, Washington, DC Promissory note	1999 10% on demand			
2		2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2 2		
3				
4				
O				
*This category applies only if the liability is solely that of the filer's spouse or dependent children. If the liability is th with the spouse or dependent children, mark the other higher categories, as appropriate.	the liability is that of t	at of the filer or a joint liability of the filer		
Part II: Agreements or Arrangements				
Report your agreements or arrangements for: (1) continuing participation in an of employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves	of absence; and (4) futuing of negotiations for a	of absence; and (4) future employment. See instructions regarding the reporting of negotiations for any of these arrangements or benefits. Non	garding the report- its. 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
Pursuant to company's compensation policy, I will receive a performance-based bonus for services rendered in 2011 up the date of resignation.		Tysons Financial Group, Inc., Leeds, NJ	0.0	08/80
Pursuant to the TFG deferred compensation plan, the balance of my account will be distributed in 12 quarterly payments starting within 90 days of resignation.		Tysons Financial Group, Inc., Leeds, NJ	8,	8/98
Vested stock options will be exercised or forfeited within 90 days of confirmation. If I divest the options by exercising them, I will divest resulting stock within 90 days of confirmation. Unvested options will be forfeited at resignation.	ļ	Tysons Financial Group, Inc., Leeds, NJ	8/	8/98
4	******************************			
		,		
6				
	CONTRACTOR OF THE PROPERTY OF		WATER AND DESIGNATION OF THE PROPERTY OF THE P	The second second

e grant de formation de la company de la com

INCENTIVE STOCK OPTION

- Definition

An incentive stock option is a contract between an employer and an employee that provides the employee with an option to purchase a specified number of shares of the employer's stock at a specified price (the "strike price"). An incentive stock option is a type of "call" option because it provides the right to purchase stock. Unlike some other types of "call" options, however, an incentive stock option is not traded on the open market. Instead, it is part of an employee's compensation.

Incentive stock options can be an attractive form of compensation. Depending on whether an incentive stock option plan satisfies certain requirements of the tax code, the options may qualify for preferential tax treatment. Qualifying incentive stock option plans allow employees to defer taxation until they have exercised the options and subsequently sold the resulting stock. Incentive stock options can also serve the employer's purpose of retaining employees because they often have vesting requirements, and employees typically forfeit such options if they terminate their employment before the options vest.

Financial Disclosure Requirements

A filer who has an incentive stock option should report the following information about an incentive stock option that has a value over \$1,000 on Schedule A:

- the name of the underlying stock and an indication that the asset is an option;
- a category of asset value; and
- the category of amount of income, which is "none" in most cases.

The option normally will not produce income. Any income is normally associated with the sale of the underlying stock, not with the option.

The value of an option may not be readily ascertainable if the strike price exceeds the market value of the stock. In this situation, where the filer would lose money by exercising the option, the option is said to be "underwater." When an option is underwater, the filer may write "value not readily ascertainable" across the columns in **Block B of Schedule A**. Instead of reporting a category of asset value in Block B, the filer should report the following in **Block A of Schedule A**:

- the name of the underlying stock and an indication that the asset is an option;
- the number of shares that the filer has an option to purchase;
- the strike price;
- the expiration date;
- an indication as to whether the option is vested; and
- for an unvested option, the date on which the unvested option will vest.

If a filer has exercised an option and received stock through an incentive stock option plan, the filer should also report the stock on **Schedule A**, as a separate line item. Specifically, the filer should report on **Schedule A** the following information about any stock that has a value over \$1,000 or that produced income over \$200 during the reporting period:

- the name of the stock;
- the category of asset value; and
- the type and the category of amount of income.

For transactions over \$1,000 that involve stock acquired through an incentive stock option plan, a filer should report the following information on **Schedule B**, **Part I**:

- the name of the stock;
- the type of transaction;
- the date of the transaction; and
- the category of amount of the transaction.

The filer should report both the purchase of stock and any subsequent sale of the stock as separate line items. However, the filer should not report the grant of an incentive stock option on Schedule B, Part I, because the grant of an option is not a reportable "transaction" for purposes of Schedule B, Part I.

If the filer is continuing to participate in an incentive stock option plan or if the filer has retained an incentive stock option that the filer has not yet exercised, the filer should report the following information on Schedule C, Part II:

- the name of the employer;
- an indication that the plan is an "incentive stock option plan";
- the terms of the plan, including an indication as to whether the filer will forfeit any unvested options and an indication as to whether the filer will receive any additional grant of options in the future; and
- the date on which the filer entered the plan.

The filer should similarly report a spouse's incentive stock options on **Schedule A** and any transactions involving the underlying stock on **Schedule B**, **Part I**. However, the filer should not report a spouse's continued participation in an incentive stock option plan on **Schedule C**, **Part II**.

Conflicts Analysis

The conflicts analysis for an incentive stock option is the same as the conflicts analysis for the underlying stock. While the filer holds either an option or the underlying stock, the filer may not participate personally and substantially in a particular matter that will have a direct and predictable effect on the financial interests of the issuer of the underlying stock. The conflict arises when the filer first has an option to purchase the stock, even if the filer has not yet exercised that option.

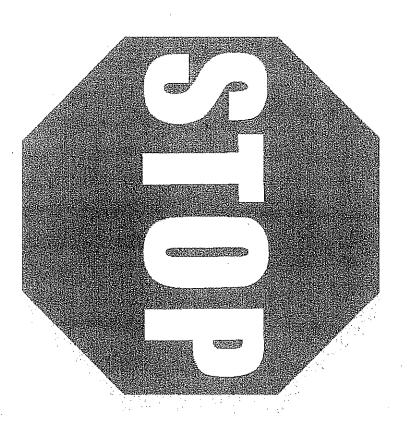
If the stock is publicly traded, the filer may qualify for a *de minimis* exemption under 5 C.F.R. § 2640.202 after the filer has purchased the stock. However, the filer may not rely on a *de minimis* exemption if the filer continues to have any option to purchase stock that the filer has not yet purchased. The exemptions at 5 C.F.R. part 2640 do not cover a financial interest in a stock option.

In some cases, filers who are new entrants or Presidential nominees may have negotiated with their former employer regarding the disposition of unvested incentive stock options. If the employer has agreed to accelerate the vesting schedule in order to enable the employee to exercise the option before entering government service, it is likely that any acceleration will constitute an "extraordinary payment" under 5 C.F.R. § 2635.503 if the value of either the stock or the option is greater than \$10,000. If an accelerated vesting occurs after the filer enters government service, the reviewer will need to consider the applicability of 18 U.S.C. § 209.

Special Consideration for Certificates of Divestiture

Some reviewers may be aware of an issue involving requests for Certificates of Divestiture for stock acquired under an incentive stock option plan. The issue arose because Certificates of Divestiture are intended for sales of property that produce capital gains, rather than those that produce only ordinary income. However, taxpayers sometimes needed to hold stock acquired under incentive stock option plans for a period of time before the Internal Revenue Service (IRS) would tax the proceeds of a sale of that stock as capital gains, rather than solely as ordinary income.

This holding period raised a question about the availability of a Certificate of Divestiture whenever an employee needed to divest stock acquired under an incentive stock option plan before expiration of the holding period. As a result, Congress amended the tax code to accelerate the holding period when stock is sold pursuant to a Certificate of Divestiture. However, provisions of the tax code affect the extent to which an individual may rely upon a Certificate of Divestiture depending on the factual circumstances of a sale. Filers should consult their own tax advisors or the IRS to resolve questions about the applicability of the exception and to determine whether a sale would produce capital gains or only ordinary income.



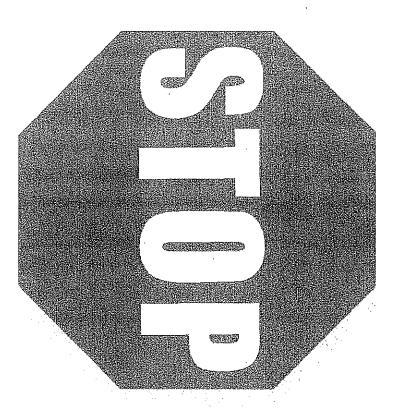
......

5 C.F.R. Part 2634 U.S. Office of Government Ethics

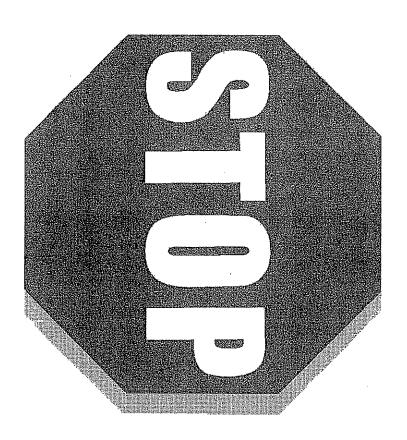
	0	Co	7	57	5	4	ω	<i>t</i> √1	h	CONTROL MARIE POR PORTO E REPORTE DE LA CONTROL DE LA CONT		*********		T		של
* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. by the filer with the spouse or dependent children, mark the other higher categories of value, as appro								Tysons Financial Group, Inc. stock	Tysons Financial Group, Inc. RSUs			BLOCK A	Assets and Income		Maxwell, James	Reporting Individual's Name
me is childr				320020mon.mm					-							account of
sole en, :					ļ					None (or less than \$1,001)			l			
ily ti mar:					<u> </u>	<u> </u>	ļ	:(,)		\$1,001 - \$15,000		1	at a			Sections
hat o k th						ļ	<u> </u>	×	×	\$15,001 - \$50,000			Valuation of Assets at close of reporting period			2
of the					ļ	ļ				\$50,001 - \$100,000		ł	tua Se c			anne de
he fil	-					ļ				\$100,001 - \$250,000		IB	of the			500
ller's spouse or de higher categories					<u> </u>	ļ				\$250,001 - \$500,000		BLOCK B	gg I			
spc										\$500,001 - \$1,000,000	+ 5	ξB	Ď.			
use ate										Over \$1,000,000*	····		ng	-	۲	0
or o		····				<u> </u>				\$1,000,001 - \$5,000,000			per	1	(2
depe es o										\$\$,000,001 - \$25,000,000			ioc		<u> </u>	
ende f va										\$25,000,001 - \$50,000,000			1		S	5
ent dent de		***************************************		***************************************						Over \$50,000,000	******			- 1	e c	
pendent children. If the of value, as appropriate										Excepted Investment Fund					(Use only if needed)	
iddi glet		·								Excepted Trust					¥ '	- 8
opr 1. If	,		٠.							Qualified Trust		1				>
If the asse priate.			ALCONOMIC PROPERTY.		SEASTINE THE PROPERTY OF			Х		Dividends	THE COLUMN		2.1		reeded)	
ass										Rent and Royalties	Туре		Inco		led	7
et/i										Interest	рe		E B) [3
t) CO				:		· ,		1.2		Capital Gains	1		1, e		7	בנוסל
me i	aniana ana	***************************************	***********		**************************************	2000000000	**************************************	00100 / O'A 1016	X	None (or less than \$201)		1	[S		t	<i>ي</i> آ
s eit										\$201 - \$1,000			e a	- 1		
her								×		\$1,001 - \$2,500	1		H Bd			
tha										\$2,501 - \$5,000		8	n an l			
t/income is either that of the filer or jointly held										\$5,001 - \$15,000	1	BLOCK C	me: type and amount. If "None ted, no other entry is needed in			
the	7.			 -		· ·				\$15,001 - \$50,000		K C	ot.			2000
fileı						· · · · · · · · · · · · · · · · · · ·				\$50,001 - \$100,000	IÉ.		eec If			Total Control
ror ,										\$100,001 - \$1,000,000	Amount	1	e g			
join			<u> </u>								Į į		in te			
ıtiy			ļ	<u> </u>		ļ			,	Over \$1,000,000*	1		B(Q)			
helc		. ;	<u> 17 - 17 - 1</u>							\$1,000,001 - \$5,000,000	-		(or less Block,C	L		
										Over \$5,000,000	4		.C.I			Page
										Other Income (Specify Type & Actual Amount)			Income: type and amount. If "None (or less than \$201)" ichecked, no other entry is needed in Block C for that item.		3 of	Page Number
										Date (Mo., Day, Yr.) Only if Honoraria)1)" is Item.			

None X Category of Amount or Value (x) Date Interest Rate applicable of Signature Applicable of Sign		⁴ Pursuant to the company's compensation plan, my unvested restricted stock units will be forfeited at resignation.	Vested stock options will be exercised or forfeited within 90 days of confirmation. If I divest the options by exercising them, I will divest resulting stock within 90 days of confirmation. Universited options will be forfeited at resignation.	Pursuant to the TFG deferred compensation plan, the balance of my account will be distributed in 12 quarterly payments starting within 90 days of resignation.	1 Pursuant to company's compensation policy, I will receive a performance-based bonus for services rendered in 2011 up the date of resignation.	Example Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	Status and Terms of any Agreement or Arra	Part II: Agreements or Arrangements Report your agreements or arrangements for: (1) continuing participation in an employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves	*This category applies only if the liability is solely that of the filer's spouse or dependent children. If the liability is that with the spouse or dependent children, mark the other higher categories, as appropriate.	5	4	2	John Jones, Washington, DC	First District Bank, Washington, DC Montgage on rental property,	Creditors (Name and Address) Type of Lie	ou, 'en. lude	Part I: Liabilities Report liabilities over \$10,000 owed unless it is rented out; lo any one creditor at any time	
None X Interest T Incurred Rate at 1991 896 or 1999 1096 or 1999 logs or lidren. If the hability is that lidren. If the hability is that lidren of absence; and (4) ing of negotiations of absence; and (4) of absence; and		oensation plan, my unvested restricted stock units will be forfeited at re	roised or forfeited within 90 days of confirmation. If I divest the options confirmation. Unvested options will be forfeited at resignation.	example sation plan, the balance of my account will be distributed in 12 q	salion policy, I will receive a performance-based bonus for services rer	rship agreement, will receive lump sum payment of capital accouce performed through 1/00.	Status and Terms of any Agreement or Arrangement	nents or Arrangements r arrangements for: (1) continuing participation in a r, pension, 401k, deferred compensation); (2) contin er employer (including severance payments); (3) lea	f the liability is solely that of the filer's spouse or depender at children, mark the other higher categories, as appropriat					shington, DC Mortgage on rental property. Delaware	Address) Type of Liability		.es a mortgage on your personal residence ,000 owed unless it is rented out; loans secured by time automobiles, household furniture	
Category of Amount or Value (x) \$10,001 - \$15,000 \$15,000 \$15,000 \$15,000 \$15,000 \$150,000 \$100,000 \$100,000 \$100,000 \$25	 MANAGEMENT AND		_	 				of absence; and (4) ing of negotiations					10%	8%	red Rate	7) 1111011111111111111111111111111111111		
	rationshare are remaint analytic are sidential states for an advantage of the area are states and the side of the area of the	Financial Group, Inc., Leeds, NJ	Financial Group, Inc., Leeds, NJ	Financial Group, Inc., Leeds, NJ	Financial Group, Inc., Leeds, NJ	nes & Smith, Hometown, State	Parties	re employment. See instructions regarding the reny of these arrangements or benefits.	e filer or a joint liability of the filer					- - 	\$11 \$11 \$15 \$55 \$11 \$12 \$22 \$25 \$55 \$11 Ov \$11 \$55	0,001 - 5,000 5,001 - 0,000 0,001 - 00,000 00,001 - 00,000 00,001 - 00,000 00,001 - 0,000,000 er 0,000,000*	Category of Amount or Value (x)	

and the second s

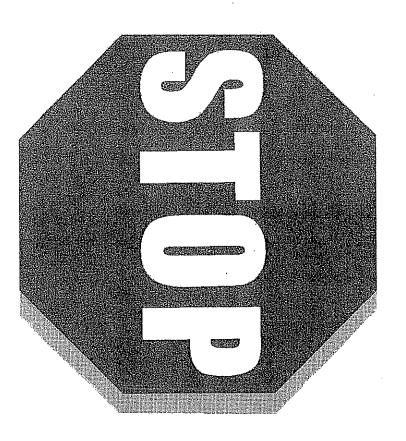
w to the state of


	ی	83	7	0	21	4	ယ	2	-	'				ŀ	Ma	Re
* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.							Tysons Financial Group defined benefit pension plan (value not readily ascertainable)	Tysons Financial Group, Inc. stock	Tysons Financial Group, Inc. RSUs			BLOCK A	Assets and Income		Maxwell, James	Reporting Individual's Name
me i hild							ž				****	STATE OF THE PARTY	***************************************			
s sol ren,			ļ		ļ	ļ			<u> </u>	None (or less than \$1,001)						
mau				<u> </u>	<u> </u>				<u> </u>	\$1,001 - \$15,000			at			
hat k th			<u> </u>	ļ	ļ			<u> </u>	 	\$15,001 - \$50,000			Valuation of Assets at close of reporting period			
of t				ļ	ļ	<u> </u>	ļ	<u> </u>	×	\$50,001 - \$100,000			lua se c			
ne fi her						<u> </u>	<u> </u>		ļ	\$100,001 - \$250,000	·	盟)fric			
ler's			<u> </u>	ļ	ļ	 		ļ	 -	\$250,001 - \$500,000		BLOCK E	epc	- 1		
er o			ļ	ļ	ļ		ļ	<u> </u>		\$500,001 - \$1,000,000		B	of./	1	-	
ouse ate		ļ			ļ	<u> </u>	<u></u>	ļ	ļ	Over \$1,000,000*			gng		Ç	0
or o		<u> </u>	ļ	<u> </u>	<u> </u>		<u> </u>	<u> </u>	<u> </u>	\$1,000,001 - \$5,000,000	•	ļ	per per	ļ	(2
depe es o					<u> </u>		<u> </u>	<u> </u>	<u> </u>	\$5,000,001 - \$25,000,000			ioc		(
ande f val		<u> </u>			<u> </u>				<u> </u>	\$25,000,001 - \$50,000,000			_		Us	5
int (ļ				Over \$50,000,000	74-54-1400)				80	=
hild as a					ļ		<u> </u>			Excepted Investment Fund					(Use only if needed)	HIICHEUS
ren.		<u> </u>				<u> </u>	<u> </u>	<u> </u>	<u> </u>	Excepted Trust					if i	>
. If										Qualified Trust	epoint or				ne	
the ate.				<u> </u>			<u> </u>	×		Dividends	١.,		CH II		ed	Contin
asse							<u> </u>		<u> </u>	Rent and Royalties	Туре		Income: type and amount. If "None checked, no other entry is needed in		ed)	1
t/in				<u> </u>					<u> </u>	Interest	ĕ		me			3
CON										Capital Gains			, ii		j	חשל
income is either that of the filer or jointly held									×	None (or less than \$201)		Ì) pe		 	-^-
eith										\$201 - \$1,000	1		hei			
ler t								×]	\$1,001 - \$2,500	J		er er			
hat								<u> </u>		\$2,501 - \$5,000]	BL	THO THO			
of t									<u> </u>	\$5,001 - \$15,000		BLOCK C	si /			
he fi					<u> </u>					\$15,001 - \$50,000	ح	0	nec	•		
ler c										\$50;001 - \$100,000	Amount		de "N			
)r jo				1						\$100,001 - \$1,000,000	H	1	di			
intl;										Over \$1,000,000*]=					
y he					·					\$1,000,001 - \$5,000,000			loc I			
lď				1						Over \$5,000,000	1		ess k C			Pa
							Will receive \$2,000/month at age 62			Other Income (Specify Type & Actual Amount)			Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.		3 of	Page Number
										Date (Mo., Day, Yr.) Only if Honoraria)1)" is ltem.			



* This category applies only if the asset/income is solely that of the filer's spouse or dependent children. If the asset/ by the filer with the spouse or dependent children, mark the other higher categories of value, as appropriate.			7	6	5TFG Fidelity Moderate Growth Fund	Tysons Financial Group, Inc. 401(k):	Tysons Financial Group defined benefit pension plan (value not readily ascertainable)	² Tysons Financial Group, Inc. stock	1 Tysons Financial Group, Inc. RSUs			BLOCK A	Assets and Income		Maxwell, James	Reporting Individual's Name
is sol	***************************************				ADERCYLLKA III.	CONTRACTOR				None (or less than \$1,001)	*********	eneur moune				THE STATE OF THE STATE OF
lely i										\$1,001 - \$15,000	~~~~		at			
hat k th		<u> </u>						×		\$15,001 - \$50,000			Clo			NAC N
of th					×				×	\$50,001 - \$100,000	··		lua se c			TANKE TAN
le filo 1er h		······································	 							\$100,001 - \$250,000 \$250,001 - \$500,000		ŒΙ	Valuation of Assets at close of reporting peri			
er's tighe		1	1.7						4.4	\$500,001 - \$1,000,000		BLOCK B	odic			
ar ca										Over \$1,000,000*		В	f A	1	-	-
lse o: tego										\$1,000,001 - \$5,000,000			d 8	١	9	2
r dej ries		 								\$5,000,001 - \$25,000,000			sets period		Use only	777
pend of va		<u> </u>								\$25,000,001 - \$50,000,000			ă			1
ent due,										Oyer \$50,000,000					Se C	777
chile as a					×					Excepted Investment Fund .					Use only	†
íren. ppro										Excepted Trust				١	٠,	#
If t		turnoum.	THE PERSONNEL PROPERTY.	07% X.W. X.W. X.W.	HORETPSO/ZE:	-	***************************************			Qualified Trust		September 1			ne ne	A
he a Ite.								×		Dividends	} -}		윤티		if needed)	
sset/	<u> </u>									Rent and Royalties Interest	Тур		eck Co		9 1	
mcc				11.	100	gere.				Capital Gains	6		Income: type and amount. If "None (or less checked, no other entry is needed in Block C		111	
)me				THE SWIELDER	COLUMN TOWN				×	None (or less than \$201)			noty		1 08	<u>.</u>
is eit									_^_	\$201 - \$1,000			oth			
ther					×			×		\$1,001 - \$2,500			ere			
that										\$2,501 - \$5,000		18	am	•		
income is either that of the filer or jointly heid										\$5,001 - \$15,000		BLOCK C	y is			Topological Control of the Control o
he fi									٠.	\$15,001 - \$50,000	A	Ĉ	nt. II			- SAMES
ler o										\$5,0,001 - \$100,000	Amount		ede			ŀ
r joi										\$100,001 - \$1,000,000	un		d in		•	ı
ntly										Over \$1,000,000*	Ť		1 BE (6			
helo										\$1,000,001 - \$5,000,000			ock			
بلسؤ										Over \$5,000,000			C f			Page
							Will receive \$2,000/month at age 62			Other Income (Specify Type & Actual Amount)			than \$201)" i for that item.		3 <u>of</u>	Page Number
	HOLD SECTION OF THE S			-						Date (Mo., Day, Yr.) Only if Honoraria			1)" is tem.			

U.S. Office of Government Ethics											7
Reporting Individual's Name Maxwell, James	SC	SCHEDULE (, ' '	Page Number 19	ber 19 of		Oraconii e sotionia
Part I: Liabilities	a mortgage on your personal residence	None X									********
Report liabilities over \$10,000 owed to any one creditor at any time	unless it is rented out; loans secured by				Cate	Category of Amount or	iount or	Value	(X)	HARMANIAN SETTING	
during the reporting period by you, your spouse, or dependent children.	or appliances; and liabilities owed to certain relatives listed in instructions.						0	1-	1	01 -	00
Check the highest amount owed during the reporting period. Exclude	See instructions for revolving charge accounts.		}	5,001 - 5,000 5,001 - 0,000	0,001 ~ 00,000 00,001-	50,000 50,001 50,000	00,001 000,000	000,000 000,000 000,000	00,000	5,000,00 5,000,00	er 0,000,00
Creditors (Name and Address)	Type of Liability	Incurred Rate	applicable	\$15 \$15	\$50 \$10 \$10	\$23 \$50	\$1, Òve	\$1,	\$5,	\$25 \$50	950 \$50
First District Bank, Washington, DC	Mortgage on rental property, Delaware	1991 8%	25 yrs.	-	×		_	-			
John Jones, Washington, DC	Promissory note	1999 10%	on demand			×					
}				- temmtee				•			
2				·							
U.		,									
P											
· ·							·········				
*This category applies only if the liability is s with the spouse or dependent children, mark	*This category applies only if the liability is solely that of the filer's spouse or dependent children. If the liability is that with the spouse or dependent children, mark the other higher categories, as appropriate.	en. If the liability is t	of the	filer or a join	a joint liability of the	of the filer					
Part II: Agreements or	or Arrangements)	,		;			economic
Report your agreements or arrangements for: (1) continuing participation in an employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves	Report your agreements or arrangements for: (1) continuing participation in an employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves	of absence; and (4) ing of negotiations		future employment. See instructions regarding the report- for any of these arrangements or benefits. Non	nt, See ir Tangeme	struction ents or be	is rega enefits.	rding t	he rej	Port- None	
Status and Te	Status and Terms of any Agreement or Arrangement				рą	Parties				JD;	Date
Example Pursuant to partnership agreement, calculated on service performed thro	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	tnership share	Doe Jones	Doe Jones & Smith, Hometown, State	metown, St	ate				7/85	85
Pursuant to company's compensation policy, I will resignation.	Pursuant to company's compensation policy, I will receive a performance-based bonus for services rendered in 2011 up the date of resignation.	2011 up the date of	Tysons Fina	ysons Financial Group,	inc., Leeds, NJ	Ξ				08/98	86
Pursuant to the TFG deferred compensation plan, the property of the propert	Pursuant to the TFG deferred compensation plan, the balance of my account will be distributed in 12 quarterly payments starting within 90 days of resignation.	ayments starting within	Tysons Financial Group, Inc., Leeds, NJ	ncial Group,	Inc., Leeds,	S				8/98	œ
Vested stock options will be exercised or forfeited w resulting stock within 90 days of confirmation. Unve	Vested stock options will be exercised or forfeited within 90 days of confirmation. If I divest the options by exercising them, I will divest resulting stock within 90 days of confirmation. Univested options will be forfeited at resignation.	ising them, I will divest	Tysons Financial Group, Inc., Leeds, NJ	ncial Group,	Inc., Leeds,	₹				8/98	
Pursuant to the company's compensation plan, my	Pursuant to the company's compensation plan, my unvested restricted stock units will be forfeited at resignation	r	Tysons Financial Group, Inc., Leeds, NJ	ncial Group,	inc., Leeds,	S.				10/08	8
S Continued participation in Tysons Financial Group 401(k). No further contributions by employer. benefit plan.		Continued participation in defined	Tysons Fina	Financial Group,	Inc., Leeds, NJ	E				4/89	
6 Pursuant to company's compensation policy, my sp	Pursuant to company's compensation policy, my spouse and I will continue to receive free health insurance.		Tysons Financial Group, Inc., Leeds, NJ	ncial Group,	Inc., Leeds,	Ę				8/98	



OGE Form 278 (Rev. 09/2010) 5 C.F.R. Part 2634 U.S. Office of Government Ethics

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Form Approved; OMB No. 3209 - 0001

OGE Use Only	(Check box if comments are continued on the reverse side)	(Check box if comments are			
Agency Use Only					
of filing.	cate number of days)	(Check box if filing extension granted & indicate number of days	(Check box if fil		
the current calendar year up to the date		this sheet)	ace is required, use the reverse side of	(If additional space	Comments of Reviewing Officials (
arrangements as of the date of filing.					
Schedule C, Part II (Agreements or Arrangements)Chow any agreements or	Date (Month, Day, Year)			Signature	Office of Government Ethics
year and the current calendar year up to any date you choose that is within 31 days of the date of filing.					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).
schedule C, Part I (Liabilities)-The reporting period is the preceding calendar	Date (Month, Day, Year)	ewing Official	of Designated Agency Ethics Official/Reviewing	Signature of De	Agency Ethics Official's Opinion
Schedule BNot applicable.					agency)
as of any date you choose that is within 31 days of the date of filing.	Date (Month, Day, Year)		ther Reviewer	Signature of Other Reviewer	Other Review
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					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.
Vice President:	Date (Month; Day; Year)		Signature of Reporting Individual	Signature of Re	Certification:
Candidates for President and					
Schedule D is not applicable. Nominees. New Entrants and	Create a Qualified Diversified Trust?	Nomination Do You Intend to Create a Yes	Name of Congressional Committee Considering Nom Committee on Banking, Housing and Urban Affairs	Name of Congr Committee on Ba	Presidential Nominees Subject to Senate Confirmation
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					Government During the Preceding 12 Months (If Not Same as Above)
Schedule D is not applicable.			Title of Position(s) and Date(s) Held	Title of Positio	Position(s) Held with the Federal
where you must also include the filing year up to the date you file. Part II of	202-555-5556		456 A St., SW., Washington, DC 20000	456 A St., SW.,	Present Office (or forwarding address)
the preceding calendar year except Part	Telephone No. (Include Area Code)		Address (Number, Street, City, State, and ZIP Code)	Address (Numi	Location of
Reporting Periods Incumbents: The reporting period is	: Commission	Federal Insurance Commission		Commissioner	Fosition for Which
to a \$200 fee.	gency (If Applicable)	Department or Agency	n	Title of Position	٠,
than 30 days after the last day of the filing extension period, shall be subject		James		Maxwell	Individual's Name
after the date the report is required to be filed, or, if an extension is granted, more	iddle Initial	First Name and Middle		Last Name	Panorting
Fee for Late Filing Any individual who is required to file this report and does so more than 30 days	Termination Termination Date (If Appli- Filer	New Entrant, Nominee, or X Candidate	incumbent Calendar Year Covered by Report	Reporting Status (Check Appropriate Boxes)	Date of Appointment, Candidacy, Election, or Nomination (Month, Day, Year)

	6 strike	5 -1800 -2300	4 Tysons (value)	3 Tysons	² Tysons for 2011	1 Tysons			Examples		production of inc. value exceeding 3; ing period, or whit in income during t with such income. For yourself, also amount of earned i than from the U.S. (report the source income of more th actual amount of your spouse). None []	For you, report ea				Maxwell, James	Reportin
	strike \$28, vest 7/2013, exp. 4/2014	1800 vested shares: strike \$27, exp. 3/2013	Tysons Financial Group, Inc. stock options (value not readily ascertainable)	Tysons Financial Group, Inc. deferred compensation (tracks S&P 500)	Tysons Financial Group, Inc bonus receivable for 2011	Tysons Financial Group, Inc.	IRA: Heartland 500 Index Fund	Kempstone Equity Fund	Doe Jones & Smith, Hometown, State	Central Airlines Common	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 amount of any honoraria over \$200 of your spouse).	For you, your spouse, and dependent children, report each asset held for investment or the	BLOCK A	Assets and Income		James	Reporting Individual's Name
		and the same of th	******	-	0			!				F)					
-					<u> </u>			<u> </u>	<u></u>		None (or less than \$1,001)						
-									<u> </u>		\$1,001 - \$15,000	-		at (
-								<u> </u>	×	×	\$15,001 - \$50,000 \$50,001 - \$100,000			/al los			
					×		-	×	<u> </u>		\$100,001 - \$250,000			ua:			
-			············		1 7						\$250,001 - \$500,000		BLOCK B	Te Citio			
-							×				\$500,001 - \$1,000,000		ЖВ	Valuation of Assets at close of reporting period			
											Over \$1,000,000*			fAs			
				×					-		\$1,000,001 - \$5,000,000			sse pe			
								<u>-</u>			\$5,000,001 - \$25,000,000			ts			
											\$25,000,001 - \$50,000,000	• • •		₽.		V	כ
											Over \$50,000,000)
							×	×			Excepted Investment Fund					CHEDULE	1
-											Excepted Trust						7
		ACCOUNTED LANGE	MARINE HAVE COMES	***	74. HW.C.1126.			12520000	EXPRINTE	AND KOMPANY SALE	Qualified Trust	o ganica					7
L										×	Dividends To the last of the l	 		Inco check			
-					<u> </u>		<u> </u>				Rent and Royalties Interest	Туре		eCk.		\supset	>
-										\vdash	Capital Gains	P		ne ed,			
NEWS			×	×	×		erintrut			\vdash	None (or less than \$201)	-		nog			
-											\$201 - \$1,000			me: type and ked, no other o			
-				-				اِستندا ا	 	×	\$1,001 - \$2,500			nd er e			
-								×		-	\$2,501 - \$5,000	1	ᄧ	amount, entry is n		•	
H							×				\$5,001 - \$15,000	1	BLOCK C	y is			
					7						\$15,001 - \$50,000	1	Ĉ	nt. I			
											\$50,001 - \$100,000,			ede			
		<i>t</i>									\$100,001 - \$1,000,000	Amount		If "None eeded in			
											Over \$1,000,000*]#		n B		•	
											\$1,000,001 - \$5,000,000			(or less Block C			
								ļ			Över \$5,000,000			SSS ess	ĺ	- 1, 1, 1, 1, 1	}e4
						Salary & Bonus \$467,500			Law Partnership Income \$130,000		Other Income (Specify Type & Actual Amount)			me: type and amount, If "None (or less than \$201)" is ked, no other entry is needed in Block C for that item.		2 of	Page Number
											Date (Mo., Day, Yr.) Only if Honoraria			l)" is em.			

OGE Form 278 (Rev. 09/2010)
5 C.F.R. Part 2634
U.S. Office of Government Ethics
Reporting Individual

Assets and Income BLOCK A BLOCK A Stock Tysons Financial Group, Inc. RSUs Tysons Financial Group, Inc. stock Tysons Financial Group, Inc. 401(k): Tysons Financial Group, Inc. 401(k): Tysons Financial Group, Inc. 401(k):	Assets and Income at close of rep Reporting Individual's Name Maxwell, James									SC	SCHI	SCHED (Us	SCHEDU (Use o	SCHEDULE (Use only	SCHEDULE A (Use only if	if I	π A	A cont	A cont	A cont	η A Α	A cont	A cont	A cont	A cont	A cont	A cont	A cont	A cont	A cont	
Assets and Income Assets and Income at close of J BLOCK A BLOCK A Tysons Financial Group, Inc. RSUs Tysons Financial Group, Inc. stock Tysons Financial Group, Inc. stock X \$15,001 - \$15,000 X \$50,001 - \$100,000 X \$100,001 - \$250,000 X \$100,001 - \$250,000	Assets and Income BLOCK A BLOCK A BLOCK A STysons Financial Group, Inc. RSUs Tysons Financial Group defined benefit pension plan (value not readily ascertalnable) Tysons Financial Group, Inc. 401(k): Tysons Financial Group, Inc. 401(k): This category applies only if the asset/income is sole by the filer with the spouse or dependent children, 1																***************************************														
Tyeons Financial Group, Inc. 100 None (or less than \$1,001)		and	<i>5</i> 2	₽ %	niiu 1111	ati of 1	də. uo	of jo	As	set per	Si CC					enteksiya a Tabulkaya ya															Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.
Tysons Financial Group, Inc. RSUs None (or less than \$1,001) None (or less than \$1,001) None (or less than \$1,001) S1,001 - \$15,000 X \$15,001 - \$50,000 X \$50,001 - \$100,000 \$100,001 - \$250,000 \$250,001 - \$100,000 \$250,001 - \$100,000 \$100,001 - \$500,000 \$250,001 - \$100,000 \$100,001 - \$500,000 \$250,001 - \$100,000 \$100,001 - \$100,000 \$100,001 - \$100,000 \$100,001 - \$100,000 \$100,001 - \$100,000 \$100,001 - \$100,000 \$100,001 - \$100,000 \$100,001 - \$100,000 \$100,001 - \$100,000		BLOCK A				pc .	DO.	K B							.	·									BLOC	BLOCK C	BLOCK C	BLOCK C	BLOCK C	BLOCK C	BLOCK C
Tysons Financial Group, Inc. stock None (or less than \$1,001)				<u>.</u>	,									**********					Ty		Ty	Ty	Ty	Ty	Ty	Туре	Туре	Туре	Ty	Type Amoun	Type Amoun
Tysons Financial Group, Inc. RSUs Tysons Financial Group, Inc. stock Tysons Financial Group defined benefit pension Plan (value not readily ascertainable) None (or leadily ascertainable) None (or leadily ascertainable) X \$15,001 - \$1 X \$50,001 - \$1 \$100,001 - \$250,001 - \$250,001 - \$250,001 - \$31,000,001					~		~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~	~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~			- \$25,000,000		1 - \$50,000,000	00,000	00,000 vestment Fund	00,000 vestment Fund ust	00,000 vestment Fund ust	00,000 vestment Fund ust rust	00,000 vestment Fund ust rust	vestment Fund ust rust pyalties	vestment Fund ust ust vyalties	vestment Fund rust rust pyalties as than \$201)	vestment Fund ust rust pyalties as ss than \$201)	vestment Fund ust vust pyalties ss than \$201) 00 ,500	oo,000 vestment Fund rust rust oyalties as ss than \$201) 00 ,500 000	oo,000 vestment Fund ust rust oyalties as as than \$201) 00 ,500 000 5,000	00,000 vestment Fund rust pyalties ss than \$201) 00 ,500 000 5,000	00,000 vestment Fund rust rust pyalties as ss than \$201) 00 ,500 000 5,000 50,000 100,000	00,000 vestment Fund rust pyalties ss than \$201) 00 5,500 000 5,000 100,000 \$1,000,000	00,000 vestment Fund rust rust pyalties as ss than \$201) 00 5,000 50,000 100,000 \$1,000,000	00,000 vestment Fund rust pyalties ss than \$201) 00 5,500 000 5,000 100,000 81,000,000 1,000,000 -\$5,000,000
Tysons Financial Group, Inc. RSUs Tysons Financial Group, Inc. stock Tysons Financial Group defined benefit pension plan (value not readily ascertainable) Tysons Financial Group, Inc. 401(k): TFG Fidelity Moderate Growth Fund						~~~~~	~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~~	,		***************************************	\$5,000,001			Over \$50,0	Over \$50,0 Excepted In	Over \$50,0 Excepted In Excepted T	Over \$50,0 Excepted In Excepted T Qualified T	Over \$50,0 Excepted In Excepted T Qualified T Dividends	Over \$50,0 Excepted In Excepted T Qualified T Dividends Rent and R	Over \$50,0 Excepted In Excepted T Qualified T Dividends Rent and R Interest	Over \$50,0 Excepted In Excepted T Qualified T Dividends Rent and R Interest Capital Gai	Over \$50,0 Excepted In Excepted T Qualified T Dividends Rent and R Interest Capital Gai None (or le	Over \$50,0 Excepted In Excepted T Qualified T Dividends Rent and R Interest Capital Gai None (or le	Over \$50,0 Excepted In Excepted T Qualified T Dividends Rent and R Interest Capital Gai None (or le \$201 - \$1,0	Over \$50,0 Excepted In Excepted T Qualified T Dividends Rent and R Interest Capital Gai None (or le \$201 - \$1,0 \$1,001 - \$2 \$2,501 - \$5	Over \$50,0 Excepted In Excepted T Qualified T Dividends Rent and R Interest Capital Gai None (or le \$201 - \$1,0 \$1,001 - \$2 \$2,501 - \$5 \$5,001 - \$1	Over \$50,0 Excepted In Excepted T Qualified T Dividends Rent and R Interest Capital Gai None (or le \$201 - \$1,0 \$1,001 - \$2 \$2,501 - \$1 \$15,001 - \$1	Over \$50,0 Excepted In Excepted T Qualified T Dividends Rent and R Interest Capital Gai None (or le \$201 - \$1,0 \$1,001 - \$2 \$2,501 - \$5 \$5,001 - \$1 \$15,001 - \$ \$50,001 - \$	Over \$50,0 Excepted In Excepted To Qualified To Dividends Rent and R Interest Capital Gai None (or le \$201 - \$1,001 - \$2 \$2,501 - \$1 \$15,001 - \$1 \$15,001 - \$1 \$15,001 - \$1 \$100,001 - \$1	Over \$50,0 Excepted In Excepted T Qualified T Dividends Rent and R Interest Capital Gai None (or le \$201 - \$1,0 \$1,001 - \$2 \$2,501 - \$5 \$5,001 - \$1 \$15,001 - \$ \$100,001 - \$ \$100,001 - \$2 \$100,001 - \$2	Over \$50,0 Excepted In Excepted T Qualified T Dividends Rent and R Interest Capital Gai None (or le \$201 - \$1,0 \$1,001 - \$2 \$2,501 - \$5 \$5,001 - \$1 \$15,001 - \$ \$100,001 - \$ \$100,001 - \$2 \$100,001 - \$2
Tysons Financial Group, Inc. stock Tysons Financial Group defined benefit pension plan (value not readily ascertainable) Tysons Financial Group, Inc. 401(k): TFG Fidelity Moderate Growth Fund		Tysons Financial Group, Inc. RSUs			<u>×</u> _																	X	X	20172410000 X							
Tysons Financial Group defined benefit pension plan (value not readily ascertainable) Tysons Financial Group, Inc. 401(k): TFG Fidelity Moderate Growth Fund				×										***************************************				×	×	×	×	X		×							
Tysons Financial Group, Inc. 401(k):TFG Fidelity Moderate Growth Fund		Tysons Financial Group defined benefit pension plan (value not readily ascertainable)	-			<u> </u>														6174 XIII (1837 1827 1											
TFG Fidelity Moderate Growth Fund		Tysons Financial Group, Inc. 401(k):						<u>.</u>			1																				
		STFG Fidelity Moderate Growth Fund			×									*************	×	X	×	X	X	X	X	X		×							
		6						· · · · · · · · · · · · · · · · · · ·																							
		,										· · · · · · · · · · · · · · · · · · ·																			
		φ. 	201102-20-20-20-20-20-20-20-20-20-20-20-20-2											200 OLDIGAS 200 SEAN	PRO DESIGNATION A	PROCESSES PROSESSES	SPECUALISM CONFERENCE OF THE SPECIAL	SPECIALIZAÇÃO CONTRACTOR	PROUNTERS CONTRACTOR	PECANUSCA DALLARIA	POUR SERVICE DE CONTRACTOR DE	90000139000000000	90000196096090	9600513940061849	PRODUCTION OF THE PROD	900001290000000000000000000000000000000					

8/98	^		9, 740)., Leed	oup, iik	<u> </u>						AND SECTION SECTIONS	noperi kristović me se se se kolonija i podajanja kolonija kolonija kolonija kolonija kolonija kolonija koloni	2262000000000000000	
			2	200	15 15	rial Gr	Tysons Emancial Group Inc. I pade NI	T ₀			Pursuant to company's compensation policy, my spouse and I will continue to receive free health insurance	spouse an	to company's compensation policy, my	Pursuar	6
4/89			S Z	Leed	oup, inc	cial Gr	Tysons Financial Group, Inc., Leeds, NJ		Continued participation in defined	participat		p 401(k). I	Continued participation in Tysons Financial Group 401(k). No further contributions by employer, benefit plan.	Continued p benefit plan	Ú
10/08			S, Z)., Leed	oup, inc	cial Gr	Tysons Financial Group, Inc., Leeds, NJ	Ţ		ation.	Pursuant to the company's compensation plan, my unvested restricted stock units will be forfeited at resignation	ny unveste	t to the company's compensation plan, n	Pursuar	-}
8/98			s, NJ	c, Leed	oup, inc	ପ୍ଟଣ ଦୁନ	Tysons Financial Group, Inc., Leeds, NJ		nem, i will di	ercising th	Vested stock options will be exercised or forfetted within 90 days of confirmation. If I divest the options by exercising them, I will divest resulting stock within 90 days of confirmation. Unvested options will be forfetted at resignation.	d within 90 Ivested opt	tock options will be exercised or forfeited stock within 90 days of confirmation. Un	Vested resulting	2 4
8/98			, Z	c., Leec	oup, inc	icial Gr	Tysons Financial Group, Inc., Leeds, NJ		nts starting	riy paymeı	Pursuant to the TFG deferred compensation plan, the balance of my account will be distributed in 12 quarterly payments starting within 90 days of resignation.	۰, the balar	Pursuant to the TFG deferred compensation plar 90 days of resignation.	Pursuar 90 days	
08/98			s, Z	c., Leec	oup, inc	idal Gr	Tysons Financial Group, Inc., Leeds, NJ	다	up the date	d in 2011 ı	Pursuant to company's compensation policy, I will receive a performance-based bonus for services rendered in 2011 up the date resignation.	ill receive a	t to company's compensation policy, I wi	Pursuant to resignation	
7/85			State	town,	& Smith, Hometown, State	Smith	Doe Jones &	ם	hip share	: partners	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through $1/00$.	nt, will rec hrough 1/	Pursuant to partnership agreemer calculated on service performed t	Example	Exa
Date			Parties								Status and Terms of any Agreement or Arrangement	Terms of	Status and		
oort- None	of absence; and (4) future employment. See instructions regarding the reporting of negotiations for any of these arrangements or benefits.	of absence; and (4) future employment. See instructions regaing of negotiations for any of these arrangements or benefits.	instru nents (. See anger	/ment še arr/	nploy f the	future er for any o	and (4): tiations f	absence; of nego		Part II: Agreements or Arrangements Report your agreements or arrangements for: (1) continuing participation in an employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continua- tion of payment by a former employer (including severance payments); (3) leaves	or Ar nents for: 401k, def er (includ	II: Agreements oour agreements or arrangemene benefit plan (e.g. pension, 40 ayment by a former employer	Part II: Report your employee be tion of paym	tio en
		the filer	y of the	liabilit	a joint liability of	filer or a	at of the file	lty is that	If the liability is th	ildren, If	" Inis category applies only if the liability is solely that of the filer's spouse or dependent children, with the spouse or dependent children, mark the other higher categories, as appropriate.	is solely t ark the o	legory applies only if the liability is spouse or dependent children, m	with th	,
	nin idi												oping the control of		
				***									,		u t
											истивной учети температический приментический приментический приментический приментический приментический прим		ONE SECRETARY PROPERTY WAS TO SECRETARY CONTRACTORY OF SECRETARY CONTRACTORY OF SECRETARY OF SEC		.] .
										** ********					, ,
				-			3-0-0-1-00		,	***) i-
 		× i	j			Ĺ	on demand		1999	15	Promissory note	FP	John Jones, Washington, DC]
				×			25 yrs.	<u> </u>		1	Moitgage on rental property, Delaware	 	First District Bank, Washington, DC	Examples	E.
\$50, Over	\$1,0 \$5,0 \$5,0 \$5,0 \$25,	\$50	\$25	\$50 \$10	\$50	\$10 \$15	applicable	Rate a	red	Date Incur	Type of Liability		Creditors (Name and Address)		
000,000	00,000* 00,001- 00,001 - 000,000 - 000,001 -	0,001 ~ 0,000 0,001 ~ 00,000	0,001 0,000	,001 - 0,000	,001 - ,000	,001 - ,000					or appliances; and liabilities owed to certain relatives listed in instructions. See instructions for revolving charge accounts.		during the reporting period by you, your spouse, or dependent children. Check the highest amount owed during the reporting period. Exclude	luring to our spour spou	동민지 만
	r Value (x)	Category of Amount or Value (x)	ategory	Ó					None 🛚	9	a mortgage on your personal residence unless it is rented out; loans secured by automobiles, household furniture	a n unl	Part I: Liabilities Report liabilities over \$10,000 owed to any one creditor at any time	Part Report II to any o	· 5 중 ' 년
	Page Number 19 o'f	ط						EC	SCHEDULE	SCH			Reporting Individual's Name Maxwell, James	Reporting Indivi	≥ ≥
												and the contraction of the contr	5 C.F.R. Part 2634 U.S. Office of Government Ethics	C.F.R. P.	U.5

·					
					C.J.
					2
			Vice President for Global Opportunities		Tysons Financial Group, Inc., Leeds, NJ
		uction	Legal services in connection with university construction	mith), Moneytown, State	Metro University (client of Doe Jones & Smith), Moneytown, State
			Legalservices		
		Brief Description of Duties	Biic	d Address)	Source (Name and Address)
u are an or Vice adidate.	part if you on Filer, or ential Cand	ITCE Incumbent, Termination Filer, or Vice tion when Presidential or Presidential Candidate. ed the a fee or payment of more than \$5,000. You U.S. Government as a source. None	nid by One Sou non-profit organiza you directly provid services generating need not report the	mpensation received by you or you didirectly by you during any one y names of clients and customers of r business enterprise, or any other	Part II: Compensation in Excess of \$5,000 Paid 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
					ADMINISTRATOR AND ANALYSIS AND
					\$
					w
					2
Present	04/1989	Vice President	Corporation .		1 Tysons Financial Group, Inc., Leeds, NJ
1/00	7/85	Partner:	Law firm		Doe Jones & Smith, Hometown, State
Present		President	Non-profit education		Nat'l Assn. of Roc
To (Ma. Yr.)	From (Mo., Yr.)	Position Held	Type of Organization	and Address)	Organization (Name and Address)
ıs,	gior	organization or educational institution. E xclude positions with religious social, fraternal, or political entities and those solely of an honorary nature.	٦	Outside U.S. Government pplicable reporting period, whether compennot limited to those of an officer, director, presentative, employee, or consultant of other business enterprise or any non-profit	Part I: Positions Held Outside U.S. Governmen 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
na vendens	. 20 of		SCHEDULE D		Maxwell, James
	Page Number	, , , , , , , , , , , , , , , , , , ,			Reporting Individual's Name
	-				U.S. Office of Government Ethics

August 24, 2011

Danielle E. Olsen General Counsel Federal Insurance Commission 456 A St. SW., Washington, DC 20000

Dear Ms. Olsen:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Commissioner, Federal Insurance Commission.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Upon confirmation, I will resign from my position with Tysons Financial Group, Inc. ("TFG"). Pursuant to TFG's compensation policy for departing executives, I am entitled to receive an annual bonus for calendar year 2011 following my resignation. TFG will calculate this bonus using an objective formula that is based solely on the company's earnings for the period from January 1, 2011 through the date of my resignation. If I begin my service as Commissioner prior to receiving this payment, I will not participate personally and substantially in any particular matter that has a direct and predictable effect on the ability or willingness of TFG to make this payment, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1).

I currently hold the following equity interests in TFG: common stock; unvested and vested stock options; and unvested restricted stock units. I will forfeit all TFG stock options and restricted stock units that are unvested at the time of my resignation. Within 90 days of my confirmation, I will divest all of my common stock and all of my vested stock options in TFG. If I divest the stock options by exercising them, I will divest the resulting stock within 90 days of my confirmation. Until I have divested all of these financial interests, I will not participate personally and substantially in any particular matter that has a direct and predictable effect on the financial interests of TFG unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). In addition, for a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which TFG is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I am a participant in the TFG Executive Deferred Compensation Plan. The balance of my deferred compensation account will be distributed in 12 quarterly payments, beginning within 90 days of my resignation. I will not participate personally and substantially in any particular matter that has a direct and predictable effect on the ability or willingness of TFG to make these payments, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1).

Under the TFG Executive Health Plan, my spouse and I will continue to receive free health insurance, consistent with the corporation's practice for departing executives. TFG will continue making all payments to the health provider under this plan for as long as either I or my spouse is living. I will not participate personally and substantially in any particular matter that has a direct and predictable effect on the ability or willingness of TFG to make these payments, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1).

...[other ethics commitments]

Finally, I understand that as an appointee I am required to sign the Ethics Pledge (Exec. Order No. 13490) and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this and any other ethics agreement.

Sincerely,

James Maxwell