

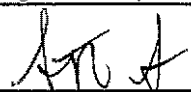


## Stephen C. Siu, Financial Disclosure, 2013

Cumulative Total	10	28	29	33	38	46	47	50	60	69	79	81	83	94	105	122	125	144	145	147	159	163	173	183	186	193	194	198	204	206	212	216	219	222	223	224	225	231	240	245	258	266	274	278
<b>Interest Summary:</b>																																												
1 Facebook	10	collaborator																																										
2 JPMorgan	18	underwriter																																										
3 Wells Fargo Co.	17	underwriter																																										
4 Microsoft	19	collaborator																																										
5 Goldman Sachs	10	underwriter																																										
6 Bank of America	11	underwriter																																										
7 Citigroup	11	underwriter																																										
8 LinkedIn	5	collaborator																																										
	<b>101</b>																																											

\$60,000    \$460,000    \$910,000    \$1,010,000    \$1,260,000

## Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Date of Appointment, Candidacy, Election, or Nomination (Month, Day, Year) <b>10/1/2007</b>	Reporting Status (Check Appropriate Boxes) <input checked="" type="checkbox"/> Incumbent	Calendar Year Covered by Report	New Entrant, Nominee, or Candidate <input type="checkbox"/>	Termination Filer <input type="checkbox"/>	Termination Date (If Applicable) (Month, Day, Year)	<p style="text-align: center;"><b>Fee for Late Filing</b></p> <p>Any individual who is required to file this report and does so more than 30 days after the date the report is required to be filed, or, if an extension is granted, more than 30 days after the last day of the filing extension period, shall be subject to a \$200 fee.</p>
Reporting Individual's Name	Last Name <b>Siu</b>		First Name and Middle Initial <b>Stephen C</b>			
Position for Which Filing	Title of Position <b>Administrative Patent Judge</b>		Department or Agency (If Applicable) <b>Patent &amp; Trademark Office</b>			<p style="text-align: center;"><b>Reporting Periods</b></p> <p><b>Incumbents:</b> The reporting period is the preceding calendar year except Part II of Schedule C and Part I of Schedule D where you must also include the filing year up to the date you file. Part II of Schedule D is not applicable.</p> <p><b>Termination Filers:</b> The reporting period begins at the end of the period covered by your previous filing and ends at the date of termination. Part II of Schedule D is not applicable.</p>
Location of Present Office (or forwarding address)	Address (Number, Street, City, State, and ZIP Code) <b>600 Dulany St, Alexandria, VA 22314</b>		Telephone No. (Include Area Code) <b>571-272-3835</b>			
Position(s) Held with the Federal Government During the Preceding 12 Months (If Not Same as Above)	Title of Position(s) and Date(s) Held					<p><b>Nominees, New Entrants and Candidates for President and Vice President:</b></p> <p><b>Schedule A--</b>The reporting period for income (BLOCK C) is the preceding calendar year and the current calendar year up to the date of filing. Value assets as of any date you choose that is within 31 days of the date of filing.</p> <p><b>Schedule B--</b>Not applicable.</p> <p><b>Schedule C, Part I (Liabilities)--</b>The reporting period is the preceding calendar year and the current calendar year up to any date you choose that is within 31 days of the date of filing.</p> <p><b>Schedule C, Part II (Agreements or Arrangements)--</b>Show any agreements or arrangements as of the date of filing.</p> <p><b>Schedule D--</b>The reporting period is the preceding two calendar years and the current calendar year up to the date of filing.</p>
Presidential Nominees Subject to Senate Confirmation	Name of Congressional Committee Considering Nomination	Do You Intend to Create a Qualified Diversified Trust? <input type="checkbox"/> Yes <input type="checkbox"/> No				
<b>Certification</b>	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.				<b>4/2/14</b>		
<b>Other Review (If desired by agency)</b>	Signature of Other Reviewer			Date (Month, Day, Year)		
<b>Agency Ethics Official's Opinion</b>	Signature of Designated Agency Ethics Official/Reviewing Official			Date (Month, Day, Year)		
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).	<b>Kathleen Stephern</b>			<b>6-13-14</b>		
<b>Office of Government Ethics Use Only</b>	Signature			Date (Month, Day, Year)		
Comments of Reviewing Officials (If additional space is required, use the reverse side of this sheet)						
(Check box if filing extension granted & indicate number of days _____) <input type="checkbox"/>						
(Check box if comments are continued on the reverse side) <input type="checkbox"/>						
<b>Agency Use Only</b>						
<b>MAY - 5 2014</b>						
<b>OGE Use Only</b>						



**SCHEDULE A continued**  
 (Use only if needed)

Page Number

3

Reporting Individual's Name  
 Stephen Siu

Assets and Income  BLOCK A		Valuation of Assets at close of reporting period  BLOCK B											Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.											Date (Mo., Day, Yr.)  Only if Honoraria											
													Type					Amount																	
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)			
1	Vanguard Dividend Growth Fund		X													X				X															
2	Vanguard Total Bond MKT Index	X																		X															
3	TRP Capital Appreciation				X											X						X													
4	TRP Dividend Growth			X												X					X														
5	TRP Health Sciences		X													X					X														
6	TRP Small Cap Value			X																X															
7	Matthews Aziandi Growth & Income		X																	X															
8	Fidelity Contrafund				X								X																						
9	Datamark International		X										X																						

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

Reporting Individual's Name

Stephen Siu

**SCHEDULE A continued**

(Use only if needed)

Page Number

4

BLOCK A Assets and Income		BLOCK B Valuation of Assets at close of reporting period										BLOCK C Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.										Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria									
												Type				Amount																
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000	
1	Yachtman Fund		X											X							X											
2	Powershares Buyback Achievers ETF (PKW)			X																	X											
3	WisdomTree Midcap ETF (EZM)			X																	X											
4	SPDR Russell 3000 ETF (THRK)			X																	X											
5	Vanguard Total Stock Mkt ETF (VTI)			X																	X											
6	Oakmark I Fund			X													X					X										
7	Royce Pennsylvania Mutual Invmt (PENNX)			X													X					X										
8	Harbor Capital Appreciation Inv (HCAIX)			X													X					X										
9	American Beacon Lg Cap Value Inv (AAGPX)			X													X					X										

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



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

Reporting Individual's Name <b>Stephen Silu</b>	<b>SCHEDULE B</b>	Page Number <b>6</b>
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**Part I: Transactions**

Report any purchase, sale, or exchange by you, your spouse, or dependent children during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss.

Do not report a transaction involving property used solely as your personal residence, or a transaction solely between you, your spouse, or dependent child. Check the "Certificate of divestiture" block to indicate sales made pursuant to a certificate of divestiture from OGE.

None

	Identification of Assets		Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)												
			Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Certificate of divestiture	
	Example	Central Airlines Common	x			2/1/99			x										
✓ 1		Permanent Portfolio (Fidelity)		X		6/10/13		X											
2		TRP Emerging Mkts		X		6/17/13		X											
✓ 3		TRP Tax Free Income		X		6/17/13	X												
4		TripAdvisor Inc. (TRIP)	X			1/7/13	X												
✓ 5		PowerShares Buyback Achievers (PBW)		X		1/7/13	X												

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

**Part II: Gifts, Reimbursements, and Travel Expenses**

For you, your spouse and dependent children, report the source, a brief description, and the value of: (1) gifts (such as tangible items, transportation, lodging, food, or entertainment) received from one source totaling more than \$350 and (2) travel-related cash reimbursements received from one source totaling more than \$350. For conflicts analysis, it is helpful to indicate a basis for receipt, such as personal friend, agency approval under 5 U.S.C. § 4111 or other statutory authority, etc. For travel-related gifts and reimbursements, include travel itinerary, dates, and the nature of expenses provided.

the U.S. Government; given to your agency in connection with official travel; received from relatives; received by your spouse or dependent child totally independent of their relationship to you; or provided as personal hospitality at the donor's residence. Also, for purposes of aggregating gifts to determine the total value from one source, exclude items worth \$140 or less. See instructions for other exclusions.

None

	Source (Name and Address)	Brief Description	Value
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Airline ticket, hotel room & meals incident to national conference 6/15/99 (personal activity unrelated to duty)	\$500
	Frank Jones, San Francisco, CA	Leather briefcase (personal friend)	\$385
1			
2			
3			
4			
5			



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

**SCHEDULE B continued**  
 (Use only if needed)

Page Number  
 7

Reporting Individual's Name  
 Stephen Sun

**Part I: Transactions**

	Identification of Assets	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)												
		Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Certificate of divestiture	
1	Hertz Global Holdings, Inc (HTZ)		X		1/7/13	X												
2	Claymore CEF GS Connect ETN (GCE)	X			1/7/13	X												
3	WisdomTree MidCap Earnings (EEM)	X			1/7/13	X												
4	TripAdvisor Inc (TRIP)	X			1/4/13	X												
5	ProShares Ultra S+P 500 (SSO)		X		1/4/13	X												
6	CPNO (Copa Energy)		X		1/4/13	X												
7	Conversant Inc (UCLK)		X		1/3/13	X												
8	Stewart Information Services Corp (STC)		X		1/3/13	X												
9	Hertz Global Holdings Inc (HTZ)	X			1/3/13	X												
10	Genuine Parts Co. (GPC)		X		1/3/13	X												
11	The Blackstone Group LP (BX)		X		1/3/13	X												
12	Select Comfort Corp. (SCSS)	X			1/2/13	X												
13	One Assignment Inc (ASGN)		X		1/2/13	X												
14	Penske Automotive Group Inc (PAG)		X		1/2/13	X												
15	Paradigm Corp (PLDM)		X		1/2/13	X												
16	SPDR S+P 500 (SPY)		X		2/25/13	X												

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

Reporting Individual's Name Stephen Siu	<b>SCHEDULE B</b> continued (Use only if needed)	Page Number 8
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**Part I: Transactions**

#	Identification of Assets	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)											
		Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Certificate of divestiture
1	iShares Core Total Aggregate US Bond (AGG)	X			2/25/13	X											
2	Oakmark I (OAKMX)	X			1/8/13	X											
3	SPDR S&P Pharmaceuticals ETF (XPH)		X		1/8/13	X											
4	The Allstate Corporation (ALL)	X			1/10/13	X											
5	General Motors Company (GM)	X			1/10/13	X											
6	Herbalife Ltd. (HLF)	X			1/10/13	X											
7	Oshkosh Corporation (OSK)	X			1/10/13	X											
8	Select Comfort Corporation (SCSS)		X		1/10/13	X											
9	Apple Inc.		X		1/14/13	X											
10	Lennar Corp. (LEN)	X			1/14/13	X											
11	ConAgra Foods, Inc. (CAG)	X			1/15/13	X											
12	Herbalife Ltd. (HLF)		X		1/15/13	X											
13	Lennar Corp. (LEN)		X		1/15/13	X											
14	Oshkosh Corporation (OSK)		X		1/16/13	X											
15	PrivateBancorp, Inc. (PVTB)		X		1/16/13	X											
16	Teucrium Corn (CORN)		X		1/16/13	X											

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

Reporting Individual's Name Stephen Siu	<b>SCHEDULE B</b> continued (Use only if needed)	Page Number 9
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**Part I: Transactions**

	Identification of Assets	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)													
		Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over	\$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over	\$50,000,000	Certificate of divestiture
1	The Allstate Corporation (ALL)		X		1/17/13	X													
2	Kirby Corporation (KEX)	X			1/17/13	X													
3	Lions Gate Entertainment Corp. (LGF)	X			1/17/13	X													
4	Mattel, Inc. (MAT)		X		1/17/13	X													
5	Primero Mining Corp. (PPP)		X		1/17/13	X													
6	Harbor Capital Appreciation Inv (HCAIX)	X			1/18/13	X													
7	Royce Pennsylvania Mutual Invmt (PENNX)	X			1/18/13		X												
8	Apple Inc.		X		1/18/13	X													
9	ConAgra Foods, Inc. (CAG)		X		1/18/13	X													
10	PowerShares S&P 500 BuyWrite (PBP)		X		1/18/13	X													
11	Dollar Tree, Inc. (DLTR)		X		1/22/13	X													
12	International Game Technology (IGT)	X			1/22/13	X													
13	Kirby Corporation (KEX)		X		1/22/13	X													
14	Weyerhaeuser Co. (WY)	X			1/22/13	X													
15	AutoNation Inc. (AN)	X			1/23/13	X													
16	Weyerhaeuser Co. (WY)		X		1/23/13	X													

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

Reporting Individual's Name <b>Stephen Siu</b>	<b>SCHEDULE B continued</b> (Use only if needed)	Page Number <b>10</b>
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**Part I: Transactions**

	Identification of Assets	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)													
		Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,000 - \$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	Certificate of divestiture
1	American Beacon Lg Cap Value Inv (AAGPX)	X			1/24/13	X													
2	Apple Inc.		X		1/24/13	X													
3	International Game Technology (IGT)		X		1/24/13	X													
4	Capital Senior Living Corp. (CSU)	X			1/25/13	X													
5	AutoNation Inc. (AN)		X		1/28/13	X													
6	American Vanguard Corp. (AVD)		X		1/28/13	X													
7	Avnet, Inc. (AVT)	X			1/29/13	X													
8	Capital Senior Living Corp. (CSU)		X		1/19/13	X													
9	Lions Gate Entertainment Corp. (LGF)		X		1/29/13	X													
10	Ingredion Incorporated (INGR)	X			1/30/13	X													
11	Robert Half International Inc. (RHI)	X			1/30/13	X													
12	Ryder System, Inc. ®	X			1/31/13	X													
13	Tyson Foods, Inc. (TSN)	X			1/31/13	X													
14	Evercore Partners inc. (EVR)	X			2/1/13	X													
15	Tesla Motors, Inc. (TSLA)	X			2/1/13	X													
16	Tyson Foods, Inc. (TSN)		X		2/1/13	X													

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

Reporting Individual's Name Stephen Siu	<b>SCHEDULE B</b> continued (Use only if needed)	Page Number 11
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**Part I: Transactions**

	Identification of Assets	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)												
		Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Certificate of divestiture	
1	SeaChange International Inc. (SEAC)	X			2/4/13	X												
2	Tesla Motors, Inc. (TSLA)		X		2/4/13	X												
3	Avnet, Inc. (AVT)		X		2/5/13	X												
4	Robert Half International Inc. (RHI)		X		2/5/13	X												
5	Ryder System, Inc. ®		X		2/5/13	X												
6	Managers PIMCO Bond (MBDFX)	X			2/12/13		X											
7	Evercore Partners Inc. (EVR)		X		2/12/13	X												
8	Ingredion Incorporated (INGR)		X		2/12/13	X												
9	SeaChange International Inc. (SEAC)		X		2/12/13	X												
10	General Motors Company (GM)		X		2/19/13	X												
11	Teucrium Corn (CORN)		X		2/20/13	X												
12	Harbor International Investor (HIINX)	X			2/21/13	X												
13	Primero Mining Corp. (PPP)		X		2/21/13	X												
14	SPDR Russell 3000 ETF (THRK)	X			3/22/13	X												
15	Claymore CEF GS Connect ETN (GCE)		X		6/17/13	X												
16	Vanguard Total Stock Market ETF (VTI)	X			6/18/13	X												

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

Reporting Individual's Name Stephen Siu	<b>SCHEDULE B</b> continued (Use only if needed)	Page Number 12
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**Part I: Transactions**

	Identification of Assets	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)											
		Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Certificate of divestiture
1	SPDR Russell 3000 ETF (THRK)	X			6/18/13	X											
2	SPDR Russell 3000 ETF (THRK)	X			6/25/13	X											
3	PowerShares Buyback Achievers (PKW)	X			6/25/13	X											
4	WisdomTree MidCap Earnings (EZM)	X			7/1/13		X										
5	PowerShares Buyback Achievers (PKW)	X			7/8/13	X											
6	Harbor Capital Appreciation Inv (HCAIX)	X			10/1/13	X											
7	Oakmark I (OAKMX)	X			10/1/13	X											
8	Harbor International Investor (HIINX)	X			10/1/13	X											
9	Royce Pennsylvania Mutual Invmt (PENNX)	X			10/1/13	X											
10	American Beacon Lg Cap Value Inv (AAGPX)	X			10/2/13	X											
11	Fidelity Export & Multinational (FEXPX)	X			1/2/13	X											
12	Vanguard Tot Intl Stock Ix Admiral		X		6/17/13	X											
13	Vanguard Dividend Growth Fund	X			12/2/13		X										
14	Vanguard Total Bond Mkt Index Adm	X			12/9/13	X											
15	Vanguard Dividend Growth Fund	X			1/7/13	X											
16	Vanguard Total Stock Mkt Idx Adm	X			1/7/13		X										

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

## SCHEDULE C

Page Number

13

Reporting Individual's Name  
**Stephen Siu**

### Part I: Liabilities

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

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

None

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

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

### Part II: Agreements or Arrangements

Report your agreements or arrangements for: (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) future employment. See instructions regarding the reporting of negotiations for any of these arrangements or benefits.

None

Status and Terms of any Agreement or Arrangement		Parties	Date
Example	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	Doe Jones & Smith, Hometown, State	7/85
1			
2			
3			
4			
5			
6			

Reporting Individual's Name <i>Stephen Su</i>	<b>SCHEDULE D</b>	Page Number <i>14</i>
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**Part I: Positions Held Outside U.S. Government**

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit

organization or educational institution. Exclude positions with religious, social, fraternal, or political entities and those solely of an honorary nature.

None

	Organization (Name and Address)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1					
2					
3					
4					
5					
6					

**Part II: Compensation in Excess of \$5,000 Paid by One Source**

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

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

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

None

	Source (Name and Address)	Brief Description of Duties
Examples	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1		
2		
3		
4		
5		
6		