### Stephen C. Siu, Financial Disclosure, 2013

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Stephen C. Siu 2013 Financial Disclosure, filed 4/02/2014. Dept. of Commerce Ethics	ide of the second	On On One	Sur	\$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$ \$		Mo Sep. 100. 10. 10. 10. 10. 10. 10. 10. 10. 1			And Some Some Some Some Some Some Some Some	To Control of the Con				digital state of the state of t	in the second		sed Sid	to de la constante de la const			Test to the sound of the sound	Selection (1971)		to the second se	Pic Mark Park Park Park Park Park Park Park P		4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4 4	**************************************	de la
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ncome and Value:																													
merican Beacon Lg Cap Value Inv	AAGPX		Х		X	x >	χ .		Х	Х		x	X	Х							Х	х		х	X		\$50,000		
delity Contrafund	FCNTX	х	Х	x x x >	(				Х	Х	Х	х					х	Х	x x					х х					\$250,000
elity Export & Multinational Fund	FEXPX		Х			)	χ .					x X	X						x x									\$100,000	
elity Low Price Stock Fund					x	)	χ .				Х	X	х			X			x x x									\$100,000	
elity Strategic Dividend & Income Fund	FLPSX FSDIX		Х		X						Х	x		Х	х									х	X			\$100,000	
arbor Capital Appreciation Inv	HCAIX	х		x x	X	х												Х						Х	<del>                                     </del>		\$50,000		
arbor International Fund	HIINX																										\$50,000		
hares Barclay (AGG) ETF	AGG		X	x	X	x >	x x		Х	Х	Х		х х	Х	х	Х							Х	х х	x		\$50,000		
nares MSCI ETF (EFA)	<u>EFA</u>		-			/	, A							X										^			\$50,000		
hares Russell 2000 ETF (IWM)	IWM													X				$\vdash$									\$50,000		
Manager PIMCO Bond	MBDFX	Х	x		x	X )	x	Х	Х	Х	Х	X		^	Х	Х		$\vdash$			хх	У	х	х			\$50,000		
Matthews Asian Growth and Income Fund	MACSX	^	^		^	^ /	`	^	^	^	^	^			^	^					^ ^	^	^	^			\$50,000		
ISCI AC WORLD INDEX	ACWI	х	х	X X X	Y	X )	·		Х		Х	X	x x	y y	Y	х х		Х	x x		Y	Х	Y	y y	X		<b>\$30,000</b>		
akmark I Fund	OAKMX		X	XXX			· κ		X	Х	X	X	X X	X X	X	^ ^		^	X X		^		^	^ ^			\$50,000		
AKMARK SELECT FUND	OAKLX		X		X		Υ .		X		X	X			X									х			<del>-</del>		
aknark International	OAKIX		X		^_	- /	X		^	^	^	^			^									^			\$100,00	10	
PERS	OAKIA		^				^																				3100,00		
	DIGIN															V				V					X		\$50,000		
owershares Buyback Achievers ETF (PKW)	PKW															Х				X					X				
oyce Pennsylvania Mutual Invmt	PENNX	V	v			V				х	V										V	V	V	V			\$50,000		
Russell 1000 Index	VRGWX	Х			X	Х				,,	X	X	X									Х	Х	Х					
RUSSELL 1000V VALUE INDEX	RLV		Х								Х										Х								
RUSSELL 3000 GROWTH INDEX	RAG	Х										X	X									Х							
PDR Russell 3000 ETF (THRK)	THRK	Х	Х	X X		X			Х	Х	Х	Х	X	х х		Х			Х						Х		\$50,000		
SPDR S&P 500 (SPY) EFT	SPY			X		X X	K				Х	Х		X X		Х			X			Х		Х	X		\$100,00	10	
Rowe Price Capital Appreciation	PRWCX		Х	X								Х	X							X X		Х		Х					\$250,000
. Rowe Price Health Sciences	PRHSX																			X							\$50,000		
. Rowe Price Small Cap Value	PRSVX																			Х							\$100,00	10	
anguard Bnd Index ETF (BLV)	BLV																		x							\$15,000			
anguard Diversified Growth Fund	VDIGX																		X								\$50,00	10	
anguard Ext Mkt Index Inst Plus	VEXMX			x x	Х							Х	X		Х	Х		Х	x x x					Х	Х				
anguard Strategic Equity Fund	<u>VSEQX</u>	Х										х							x x									\$100,000	
anguard Total Bond Market 1x 1st Pls	<u>VBMFX</u>																									\$15,000			
anguard Total Bond Market Index Fund	VBMFX				х														X							\$15,000			
anguard Total Stock Market Index	VTSMX	х	Х	X	Х	Х					Х	Х	х	х х	Х	Х			X				Х	Х	х х		\$50,00	10	
anguard Total Stock Mkt ETF (VTI)	<u>VTI</u>	Х	Х						Х	Х	Х	Х	Х		Х				X		Х	Х		х х			\$50,000		
anguard Wellington Fund	VWELX		Х	X					Х	Х	Х	Х	Х	Х								Х		Х	х		\$50,00	10	
/isdom Tree Midcap ETF (EZM)	<u>EZM</u>																										\$50,000		
acktman Fund	YACKX		х		х			Х	Х	Х	Х	х х			Х									Х	х	\$15,000			
																										\$60,000	\$400,000 \$450,00	\$100,000	\$250,000 \$1,260
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## Stephen C. Siu, Financial Disclosure, 2013

Cumulative Total	10 28	29	33	38 46	47	50	60 69	79	81 8	83 94	105	122	125 14	4 145	147	159	163	173	183 186	193	194	198	204 2	06 212	216	219	222	223	224 2	25	231 240	245	258	266	274 278
Interest Summary:																																			
1 Facebook	10	collabo	orator																																
2 JPMorgan	18	underv	writer																																
3 Wells Fargo Co.	17	underv	writer																																
4 Microsoft	19	collabo	orator																																
5 Goldman Sachs	10	under	writer																																
6 Bank of America	11	under	writer																																
7 Citigroup	11	under	writer																																
8 LinkedIn	5	collabo	orator																																
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\$60,000 \$460,000 \$910,000 \$1,010,000 \$1,260,000

# OGE Form 278 (Rev. 12/2011) 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

SAME OTHER OF COLUMN STREET				
Date of Appointment, Candidacy, Rection, or Nomination (Month, Day, Year)	Status Covered by Report	New Entrant, Nominec, or Candidate	Termination Termination Date (If Appli- Filer cable) (Month, Day, Year)	Any individual who is required to file this report and does so more than 30 days
Reporting	Last Name	First Name and M	fiddle [niția]	after the date the report is required to be filed, or, if an extension is granted, more
Individual's Name	Siy	Stephen (		than 30 days after the last day of the filing extension period, shall be subject to a \$200 fee.
Position for Which	Title of Position	Department or A	gency (If Applicable)	03 & \$200 Fee.
Filing	Administrative Patent Judge	Patent +	Trademark Offici	Reporting Periods Incumbents: The reporting period is
Location of	Address (Number, Street, City, State, and ZIP Code)		Telephone No. (Include Area Code)	the preceding calendar year except Part II of Schedule C and Part I of Schedule D
Present Office (or forwarding address)	600 Dulany St, Alexandria, VA 20	1314	571-272-3835	where you must also include the filing year up to the date you file. Part II of Schedule D is not applicable.
Position(s) Held with the Federal Government During the Preceding	Title of Position(s) and Date(s) Held			
2 Months (If Not Same as Above)		discression political de representabilità que se reconstituit de la constituit de la consti		Termination Filers: The reporting period begins at the end of the period covered by your previous filing and ends
	Name of Congressional Committee Considering Nominati	ion Do You Intend to	Create a Qualified Diversified Trust?	at the date of termination. Part II of Schedule D is not applicable.
Presidential Nominees Subject to Senate Confirmation		Yes	□ No	Nominees, New Entrants and
Certification	Signature of Reporting Individual		Date (Month, Day, Year)	Candidates for President and Vice President:
I CERTIFY that the statements I have	A signature of Reporting Individual		Date (Month, Day, Tear)	Schedule A-The reporting period
made on this form and all attached schedules are true, complete and correct to the best of my knowledge.	I.Ar. A		4/2/14	for income (BLOCK C) is the preceding calendar year and the current calendar year up to the date of filing. Value assets
Other Review	Signature of Other Reviewer		Date (Month, Day, Year)	as of any date you choose that is within
(if desired by				31 days of the date of filing.
agency)				Schedule BNot applicable.
Agency Ethics Official's Opinion	Signature of Designated Agency Ethics Official/Reviewing	g Official	Date (Month, Day, Year)	Schedule C, Part I (Liabilities)—The reporting period is the preceding calendar
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 follow).			6-13-14	year and the current calendar year up to any date you choose that is within 31 days of the date of filing.
	Signature		Date (Month, Day, Year)	Schedule C, Part II (Agreements or
Office of Government Ethics Use Only				Arrangements)—Show any agreements or arrangements as of the date of filing.
osc only				Schedule D-The reporting period is
Comments of Reviewing Officials (	If additional space is required, use the reverse side of this	s sheet)		the preceding two calendar years and the current calendar year up to the date
	(Check box if filing e	extension granted & ind	licate number of days)	of filing.
				Agency Use Only
				MAY - 5 2014
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Supersedes Prior Editions.

	ng Individual's Name										S	CI	ΙE	DŲ	JL	E	A												Pag	ge Number	
51-	MAK ON																														
:	Assets and Income		a	V it cl	alu ose				ig p	ets eric	od					In ch	cor eck	ne: ed, 1	typ 10 (	e ai	nd a er ei	ntry	/ is	nee	"N ede	lone d ir	e (o n Bl	r le locl	ess k C	than \$201 for that it	)" is em.
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production value exception in period in income with such		crket cort- 2200 cther	11.01.10		000	000	000	, 0,000 *	000 000	- \$25,000,000	- \$50,000,000	0	nent Fund				Syp	e	n \$201)	/						00000		000,000		Other Income (Specify	Date (Mo., Day, Yr.)
income of	self, also report the source and act fearned income exceeding \$200 (or the U.S. Government). For your spote source but not the amount of ear f more than \$1,000 (except report nount of any honoraria over \$200 use).	ouse, med	\$1,001 - \$15,000	\$15,001 - \$50,000	_ <del>  €9</del>	\$100,001 - \$250,000	\$250,001 - \$500,000	\$300,001 - \$1,000,000	\$1 000 001 - \$5 000 000	\$5,000,001 - \$25	1	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Capital Gains	None (or less than	\$201 - \$1,000	\$1,001 - \$2,500	٠,	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,00	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000	Type & Actual Amount)	Only if Honoraria
	Central Airlines Common			$\prod$	х											x			Ι.		x			$\Box$			$\Box$				
Examples	Doe Jones & Smith, Hometown, State	_1		×	]_		L		$\perp$									$\perp$	L										l	Law Partnership Income \$130,000	
	Kempstone Equity Fund	$\Box \mathbb{I}$	]_	]_		×	$\Box \Box$		I	I	$ brack egin{smallmatrix} egi$	$\prod$	×				${\mathbb I}{\mathbb I}$	Ι	$\mathbf{I}$	$I_{-}$		×					LΙ				
	IRA: Heartland 500 Index Fund	L			Ш			×				Ш	х					$\perp$		$\perp$			x				Ш				·
1 Adeli	rty Export + Multirutherial Fund	١ ١			X											<b>x</b>							X							ı	
2 holds	ty bowfoce Stick Find				χ											X					X										
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4 Varev	rand Welleyton Fund nad Strategic Egusty Fu ward Total Stock MIT and			X											Ž	χ					χ										:
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6 Vary	vard Total Ank Mit Ond	lex		X											<b>)</b>					X											
* This o	category applies only if the asset/inc ae filer with the spouse or dependent	ome is : t childre	solely n, m	y tha iark i	it of t	the f	iler's high	spoi er ca	use o	or de ories	pend of va	lent due,	chile as a	iren. ppro	If topria	he a	sset/	/inco	me i	is eit	her t	hat	of th	ıe file	er o	r joi	intly	hel	ld	-	

Reporting Individual's Name Stephen Siy								· ·	SC —			Se o							ue	d 										Pag	ge Number 7	
Assets and Income	T		V:	alu	ıat	ioı	noi	fA:	sse	ts			Γ			I:	nco	om	e: t	ype	e ar	nd a	mo	our	ıt. I	f"l	Non	ie (d	or l	ess	than \$20 for that	)1)" is
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	$\top$	T		$\Box$													Ту	pe							A	m	our	ıt				
	None (or less than \$1,001)		\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.) Only if Honoraria
1 Varguard Divident Growth Fund 2 Varguard Total bord MKT Endex 3 The Capital Appreciation 4 The Divident Growth 5 The Health Screnes 6 The Small Cap Value 7 Mathews Azianh Gouth & Drivne			1													X					×											
2 Varyund Total bord MKT Index		χ																		X												
3 The Capital Appreciation					X											χ							X									
The Dwide & Growth				X												X					*											
5 TH Health Scraves	T		X										Γ			X					X				Г			Г				
TRP Small Cap Value				γ									Г							*												
Mathens Azional gouth + Drione		T	X					<u> </u>												X								Г				
8 Fidelity Catafund					X								X																			
8 Fidelity Catafind 9 Oatmork Governational		-		4									K												-				Г			
* This category applies only if the asset/incor by the filer with the spouse or dependent c	me is so	olely n, m	/ tha	it of	the othe	file: er hi	r's si ghei	pous r cat	se or	der	pend of va	lent alue,	chil , as :	drer appr	ı. If	the	ass	et/ii	ncon	ie is	eith	ier t	hat	of tl	he fi	iler (	or jo	intly	y he	ld		

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	Assets and Income			at		uation e of re									]	Inc no c	ome other	e: typ	oe a y is	nd a nee	mot ded	ont. in B	If "N	Vone C f	or th	less at it	than em.	n \$2	01)"	is cł	necked,	
	BLOCK A		a	Recogni	<del></del>	BLC	CK E	3	Feerdood		023000		0000001		000000												ск с				<del></del>	 
		None (or less than \$1,101)	\$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		Capital Caults	None (or less than \$201)	\$201 : \$4,000 \$1.001 \$2.500	\$1,001 - \$2,500 \$2.50) - \$5.000	\$5,001 - \$15,000	\$15,001 \$50,000	\$50,001 - \$100,000	100	Over \$1,000,000*	0,000	Over \$5,000,000		Other Income (Specify Type & Actual Amount)	Date Mo., Day, Yr.) Only if Honoraria
1	Yachtman Fund		х										×							X												
2	Powershares Buyback Achievers ETF (PKW)			х																×												
3	WisdomTree Midcap ETF (EZM)			×																×												
, 4	SPDR Russell 3000 ETF (THRK)			х																×												
-   	l Vanguard Total Stock Mkt ETF (VTI)			X																×												
6	Oakmark I Fund			×												х					ĸ											
7	Royce Pennsylvania Mutual Invmt (PENNX)			X												x					X											
. 8	Harbor Capital Appreciation Inv (HCAIX)			×												×					x											
9	American Beacon Lg Cap Value Inv (AAGPX)			×												х					×											
* b	This category applies only if the asset/income is y the filer with the spouse or dependent children,													he as	sset/i	ncor	ne is	eithe	r th	at of	the 1	filer	or joi	ntly l	held							

1 '	oorting Individual's Name ephen Siu							ì	SC:		DI Usc				ontin	iue	d										Page Number		
	Assets and Income		a		uation se of re										ome: t										\$20	1)" i	is checked,		
	BLOCK A	0.00000	1 199000	00 <b>1 F</b>	BLC	CK B	loccoo	ed .	Isodeco I		0000004	Bac	-000										BLOC						
		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	\$5(H),001 - \$1,000,000	SI,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	Challified Trust		Type Interest Ty	Capital Gatus	None (or less than \$201)	\$200 - \$1.000 e1.001 - \$2.500	\$1,001 * \$2,000 \$2 \$01 : \$5 000	\$5,001 - \$15,000	\$15,001 - \$50,000	0	Am 000'000'18 - 100'0018	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)		Date (Mo., Day, Yr.) Only if Honoraria
Var. 1	Managers PIMCO Bond (MBDFX)		×											×				X											
2 الم	Harbor International Fund		×										:	×				x											
3	iShares Barclay (AGG) ETF		×										;	×				x											
4	Vanguard Bnd Index ETF (BLV)		X										;	×				x										ŀ	
1	iShares MSCI ETF (EFA)		×										:	×				x											
6	iShares Russell 2000 ETF (IWM)		×											x				×											
7	SPDR S&P 500 (SPY) ETF			×										x				Х											
8																													
9																													
э by	This category applies only if the asset/incon the filer with the spouse or dependent child	ne is solely ren, mark	that of the othe	the fil r high	er's spo er cates	use or cories c	depen of valu	ident ie, as	chik appi	lren. ropri	lf th ate.	ie ass	et/in	com	ne is cit	her t	hat of	the	filer	or joi	ntly l	neld							

Reporting Individual's Name	SCHED	UL.	E B	}								1/	Num	ber			
Stephen Siu												0					
Part I: Transactions			$\Box$														
	Oo not report a transaction involving property used solely as your personal	None	ـــا ؛														
children during the reporting period of any	esidence, or a transaction solely between	Tra	nsact ype (x	ion					A	moun	t of T	ransa	ction	(x)			
futures, and other securities when the	ou, your spouse, or dependent child. Theck the "Certificate of divestiture" block		,,,,,	-7	Da	ıte				Τ.	1.0	*	· 0	100	- 22	8	of
	o indicate sales made pursuant to a ertificate of divestiture from OGE.	ase		eđu	(N Da	10., 1y, Yr.)	30,	- 00	<u> </u>	3 58	100	00'0	000	0,00	000	0,00	iture
		Purchase	Sale	Exchange			\$1,001 - \$15,000	15,0	\$50,001 - \$100,000 \$100,001 -	500	88	ver 1,00	\$1,000,001 - \$5,000,000	5,00	25,0	70,0 50,0	Certificate of divestiture
Identification of Example Central Airlines Common	Assets	x	(J)		2	/1/99	4949	59.69	X X	9 69 69	53.63	0\$	**	<del>69</del> 69	60.60	>->-	OB
1 Permanent Portfolio (Fidelity)	· · · · · · · · · · · · · · · · · · ·	Ë	乂			10 D	$\vdash$	X		+	<del>                                     </del>						$\dashv$
7		<del>                                     </del>	<u>/</u>		1.7	7/1/2	-	Ŷ	-	╁	╁				$\dashv$		$\dashv$
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3 TH Tax Fred Income		_	Х		ارا	11/13	X		-	┷	<u> </u>						
1 Triphdusor Inc. (TMP)		X			Ц,	1115	く										
5 Powlishares Burback Achievers (PK	W)		X		1/	1/13	X			l							
*This category applies only if the underlying asset is so	slate that of the filer's spouse or dependent children	If +b	0 1100	iorliv	ing a	rrot is oi	ithar l	sold									
by the filer or jointly held by the filer with the spouse	or dependent children, use the other higher catego	ries o	f valu	ie, as	app	ropriate.	Inter	leid									
Part II: Gifts, Reimburseme	ents, and Travel Expense	S															
For you, your spouse and dependent children, rep	ort the source, a brief descripthe U.S	. Gov	ernn	nent;	giv	en to yo	ur ag	ency	in con	necti	on wi	th of	ficial	trav	el;		
tion, and the value of: (1) gifts (such as tangible i food, or entertainment) received from one source	tems, transportation, lodging, receive totaling more than \$350 and indeper	d from	n rel: of th	ative eir r	s; re	ceived	by yo	ur sp	ouse o	r dep	ender	nt chi	ld to	tally tality	ot .		
(2) travel-related cash reimbursements received f	om one source totaling more the don	or's r	eside	nce.	Als	o, for pu	irpos	es of	aggreg	ating	gifts	to de	eterm	ine t	he		
than \$350. For conflicts analysis, it is helpful to it as personal friend, agency approval under 5 U.S.	ndicate a basis for receipt, such total va C. § 4111 or other statutory for other				ourc	e, exclu	ıde it	ems v	worth \$	140	or les	s. Se	e inst	ructi	ons		
authority, etc. For travel-related gifts and reimbur	sements, include travel itinerary,	ı one	14310	11.5.										No	ne [	Χŀ	
dates, and the nature of expenses provided.	anything given to you by													- 11		الإك	I
Source (Name and Address)		Br	ief Do	escrip	ption										Va	lue	
Examples Nat'l Assn. of Rock Collectors, NY, NY	Airline ticket, hotel room & meals incident to nationa	confe	rence	6/15	/99	(personal	activi	ty unr	elated t	duty	)				\$5	00	_
Frank Jones, San Francisco, CA	Leather briefcase (personal friend)														\$3	85	
1																	ľ
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3														-			_
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														_			_
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Reporting Individual's Name	SCHEDULE B (Use only if r	C( nee	ont ded	inı	1ec	i							Page	Numi	ber			
Part I: Transactions				·····								***************************************	1-{			***************************************	······	
	·	Tra T	insact	ion x)						Am	ount	of T	ransa	ction	(x)			
	Ţ.	Ì	7,5	Ì	Da					,	,	ν̈́O	ţ,	-18	-8 -2	<u>\$</u> 8	8	e o
		Purchase	Sale	Exchange	(N. De	(o., iy, Yr.)	\$1,001 -	5,000	00000	\$100,001 -	50,001	,00,001 ,000,00	,0000,0C	0000,	5,000,0	\$25,000,001 \$50,000,000	/er (0,000,0	Certificate of divestiture
I		4		Ŋ	)	7_	₩ V	÷4 5%	€6.69	S 53	\$52	\$5	Q P	28 S	\$35	38	Š₩	3e
Hertz global Holdrys, Onc (HT	(7)		Х		47	<u>[3</u>	X									_		ļ
Mayners Ctt 65 Connect ETI		メ			1/	13	X											
13 Missomirce MidCap Earning	, (Ezm)	X			I]	<i>l</i> 13	K											İ
13 hysbornines MidCap Earnings 4 TripAdvisor Inc (TRIP)		X			ıħ		X											
5 RoShares Ultra Stf500 (S	550)		Κ_		i/	4/13	Х		·									
6 CPNO (Corano tragy)			メ		1/4	H3	K											
6 CPNO (Corpano Degy) 7 Conversant Inc (VCLK)			X	-	1/3	/13	X											
" Stewart Onformation Scruce	ies (urp (STC)		X		1/3	133	X											
" Herte Global Holdup Inc 1		X				· P	X											
10 Gernine Parts Co. (GPC)			X		1)	3/13	χ											
"The Blackston group LP (	(fx)		X		ı	(/)3	X											
Select Countary Coup. (SC	css)	K			1/2	/13	メ											i 
B (M. Assymment Suc (136)			Χ		i)	13	Χ											
Perske Attachine Errorp )	1 2 10.		×		1	1/1)	1											
15 Fludigm (exp (FLDM)			X		止	13	Χ											
"SPDR STP500 (SPY)			X		<u>小</u>	<u> </u>	X											
*This category applies only if the underlyin	ing asset is solely that of the filer's spouse or dependent children th the spouse or dependent children, use the other higher categor	ı. If t ories	the u	nderi due, :	lymg as ap	åsset is propriat	eithei e.	r held	1									

Reporting Individual's Name Stephen Siu	SCF				continue (	ed						Page N	Number				
Part I: Transactions				<del>-</del>						<del></del>		<u></u>		<u></u>	<del></del>		
			ansact Type (x							Amo	ount of T	Fransac	tion (x)				
		Purchase	Sale	Exchange	Date (Mo., Day, Yr.)	\$1,001 -	\$15,00 <b>1</b> - \$50,000	\$50,001 -	20,001 - 50,000	50,0 <b>0</b> 1 -	\$500,000 - \$1,000,000	er 000,000*	\$1,000,000 - \$5,000,000	- 100,000	- 1000,000,	Over \$50,000,000	Certificate of divestiture
Identifica  1 iShares Core Total Aggregate US Bo	ation of Assets	X	S.	鱼	0/05/10	1	\$15 \$5(	\$50	\$10	\$25	\$50	\$1,0	\$1,	\$5,0	\$225	0vc \$5t	div.
3	mu (AGG)			$\square$	2/25/13	×	<del>                                     </del>	<del>                                     </del>	-	—	-	-	<del> </del>	<del> </del>	<u></u>	-	
Oakmark I (OAKMX)		X		$\coprod$	1/8/13	X	<u> </u>	<u> </u>		<del> </del>		<del></del>	<u> </u> '	<u> </u>	<del> </del>	<u> </u>	<u> </u>
SPDR S&P Pharmaceuticals ETF (X	PH)	<u> </u>	X		1/8/13	×		<u> </u>	ļ <u>.</u>	<u> </u>	<u> </u>		<u> </u>	<u> </u>			
The Alistate Corporation (ALL)		Х			1/10/13	×					'		'				
<sup>5</sup> General Motors Company (GM)		Х			1/10/13	X							,				
Herbalife Ltd. (HLF)		Х			1/10/13	X											
Oshkosh Corporation (OSK)		X			1/10/13	X											
8 Select Comfort Corporation (SCSS)			х		1/10/13	х											
Apple Inc.			Х		1/14/13	×											
10 Lennar Corp. (LEN)		×			1/14/13	×							<del></del>				
11 ConAgra Foods, Inc. (CAG)		×			1/15/13	×											
Herbalife Ltd. (HLF)			Х		1/15/13	х								ĺ			
Lennar Corp. (LEN)			Х		1/15/13	×											
Oshkosh Corporation (OSK)			Х		1/16/13	х											
PrivateBancorp, Inc. (PVTB)			Х		1/16/13	X								1			
Teucrium Corn (CORN)			Х		1/16/13	X											

	porting Individual's Name	SCI	IEI	UL	ΕE	3 continu	ed						Page	Number				
St	ephen Siu		(U	se on	ly if 1	needed)							19					
P	art I: Transactions																	
			8	ansact Type (							Amo	unt of	Transac	ction (x)				
			Purchase		Exchange	Date (Mo., Day, Yr.)	\$1,001 -	\$15,001 -	\$50,001 -	0,000	0,001 -	\$500,001 -	41,000,000 Over \$1,000,000*	\$1,000,000 -	\$5,000,001 -	\$25,000,001 -	1000,000	Certificate of
1	<u> </u>	atification of Assets	Pu	Sale	Ex		\$1,0	\$15	\$50	\$10	\$25	\$50	,   Š ;	\$1,0	\$5,1	\$25	\$50	diversity of
L	The Allstate Corporation (ALL)			Х		1/17/13	×							<u> </u>				
2	Kirby Corporation (KEX)		X			1/17/13	×											
1 3	Lions Gate Entertainment Corp.	(LGF)	Х			1/17/13	×											
4	Mattel, Inc. (MAT)			Х		1/17/13	x											
5	Primero Mining Corp. (PPP)			Х		1/17/13	×											
6	Harbor Capital Appreciation Inv	(HCAIX)	Х			1/18/13	х											
7	Royce Pennsylvania Mutual Invr	nt (PENNX)	Х			1/18/13		Х										
8	Apple Inc.			Х		1/18/13	×						1			1		
9	ConAgra Foods, Inc. (CAG)			х		1/18/13	х											•
10	PowerShares S&P 500 BuyWrite	e (PBP)		Х		1/18/13	×											
11	Dollar Tree, Inc. (DLTR)			х		1/22/13	×											
12	International Game Technology	(IGT)	Х			1/22/13	×											
13	Kirby Corporation (KEX)			Х		1/22/13	Х											
14	Weyerhaeuser Co. (WY)		Х			1/22/13	X											
15	AutoNation Inc. (AN)		Х			1/23/13	×											
16	Weyerhaeuser Co. (WY)			х		1/23/13	×											
* bv	This category applies only if the under the filer or jointly held by the filer w	lying asset is solely that of the filer's spouse or dith the spouse or dependent children, use the other	lepend er higl	ent ch	nildren tegori	i. If the under es of value, as	lying a	sset is	either	held	-	<del>' _ , , , ,</del>						

Reporting Individual's Name	5	SCHED	UL	EB	continu	ed						1	Vumber				
Stephen Siu		(Ui	se on	ly if π	ieeded)		<b>W</b> Annahinikinidan				***********	70					
Part I: Transactions																	
			ansacti Type (x							Amo	unt of T	ransac	tion (x)				
		чисьяя	Sale	Exchange	Date (Mo., Day, Yr.)	.,001 - 100,2	5,001 - 0,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	. I (MI, OMD),	- 100,000,	\$25,000,001 -	Over \$50,000,000	Certificate of divestiture
American Beacon Lg Cap Value Inv	tion of Assets (AAGPX)	X	80	(2.1	1/24/13	X	55 SA	8 3	12 25	22. 52.	8.8	0 %	<u> </u>	8 8	<u> </u>	9 8	<u>6</u> 5
Apple Inc.		· <u>************************************</u>	X		1/24/13	×				ļ							
International Game Technology (IGT	)		Х		1/24/13	×				,					<u> </u>	<u> </u>	
4 Capital Senior Living Corp. (CSU)		×			1/25/13	X					***************************************						
5 AutoNation Inc. (AN)			Х		1/28/13	Х											
<sup>6</sup> American Vanguard Corp. (AVD)			Х		1/28/13	Х		<u> </u>	************************************								
Avnet, Inc. (AVT)		х			1/29/13	X											
8 Capital Senior Living Corp. (CSU)			Х		1/19/13	Х											
Lions Gate Entertainment Corp. (LGF	F)		Х		1/29/13	×											
Ingredion Incorporated (INGR)		Х			1/30/13	x											
Robert Half International Inc. (RHI)		Х			1/30/13	x											
<sup>12</sup> Ryder System, Inc. ®		Х			1/31/13	Х											
Tyson Foods, Inc. (TSN)		Х			1/31/13	Х											
Evercore Partners Inc. (EVR)		×			2/1/13	Х									***************************************		
Tesla Motors, Inc. (TSLA)		×			2/1/13	Х	·										
Tyson Foods, Inc. (TSN)			Х		2/1/13	X											

Reporting Individual's Name  SCHEDULE B continued  Page No.							Vumber	ζ.			,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,								
Stephe	phen Siu (Use only if needed)																		
Part	I: Transactions															•			
			•	ansact Type ()							Amount of Transaction (x)								
				l yps.(/		Date (Mo			ľ	,			å		1. 00	Ta a	T g	Jo a	
			Purchase	Sale	Exchange	Day, Yr.)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$100,000	00,001	6,000	100,000 000,000	er 000,00	\$1,000,001	000,000	\$25,000,001 \$50,000,000	Over \$50,000,000	Certificate of divestitare	
1 0		on of Assets	-	- 15 m		5/4//5		31;	\$3(	\$10 \$25	85	\$5.	<u>3 6</u>	\$1,	82.58	<del>                                    </del>	1 <u>6 8</u>	di Ce	
-	aChange International Inc. (SEAC)		X	<u> </u>		2/4/13	X		<u> </u>				<u> </u>	<b>_</b>	-	<u> </u>	<u> </u>		
	sla Motore, Inc. (TSLA)	,	<u> </u>	×		2/4/13	X		<u> </u>			ļ		<u> </u>			<u> </u>		
3 Av	net, Inc. (AVT)			Х		2/5/13	Х												
<sup>4</sup> Ro	bert Haif International Inc. (RHI)			Х		2/5/13	X												
<sup>5</sup> Ry	der System, Inc. ®			Х	***	2/5/13	Х												
6 Ma	Managers PIMCO Bond (MBDFX)		Х			2/12/13		Х											
7 Ev	ercore Partners Inc. (EVR)			Х		2/12/13	x												
8 Ing	redion Incorporated (INGR)	,	ļ	Х		2/12/13	X												
9 Se	aChange International Inc. (SEAC)			Х		2/12/13	Х												
1 1	neral Motors Company (GM)			Х		2/19/13	Х												
<sup>11</sup> Te	ucrium Corn (CORN)	<u> </u>		X		2/20/13	х												
12 Ha	rbor International investor (HIINX)		X			2/21/13	×												
<sup>13</sup> Pri	mero Mining Corp. (PPP)			х		2/21/13	Х												
<sup>14</sup> SF	DR Russell 3000 ETF (THRK)		X			3/22/13	×			***************************************							And the state of t		
15 Clá	aymore CEF GS Connect ETN (GC	E)		Х		6/17/13	Х												
<sup>16</sup> Va	nguard Total Stock Market ETF (VT	ſl)	Х			6/18/13	×												
		asset is solely that of the filer's spouse or o							either	held	-	•	·	<del>1</del>	-	***************************************	· <del>democe · · · · · · · · · · · · · · · · · · ·</del>		

Reporting Individual's Name	SC	SCHEDULE B continued Page Number																	
Stephen Siu					reeded)							12							
Part I: Transactions							•												
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		Pirchase		Exchange	Date (Mo., Day, Yr.)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	0,000 t	\$250,001 - \$300,000	\$500,001 - \$1,000,000	r 00,000*	00,001	. 100,000	\$25,000,0001 -	Over \$50,000,000	Certificate of divestiture		
4	fication of Assets		Sale	Ĕ		\$1,0	\$15 \$50	<u> </u>	\$10	\$25 \$50	\$50 \$1,0	0 ver \$1,000	\$1.¢	\$25	\$25	\$ 0ve	13 #		
SPOR Russell 3000 ETF (THRK)		×			6/18/13	Х				,									
SPDR Russell 3000 ETF (THRK)		Х			6/25/13	×													
<sup>3</sup> PowerShares Buyback Achievers	(PKW)	х			6/25/13	х													
WisdomTree MidCap Earnings (E.	ZM)	Х			7/1/13		Х												
<sup>5</sup> PowerShares Buyback Achievers	(PKW)	Х			7/8/13	х						<del> </del>				-			
<sup>6</sup> Harbor Capital Appreciation Inv (H	-icaix)	×			10/1/13	x													
Oakmark I (OAKMX)		Х			10/1/13	×													
B Harbor International Investor (HIII)	VX)	Х			10/1/13	×													
<sup>9</sup> Royce Pennsylvania Mutual Invmt	(PENNX)	X			10/1/13	×		A-A-A-A-A-A-A-A-A-A-A-A-A-A-A-A-A-A-A-											
American Beacon Lg Cap Value Ir	nv (AAGPX)	×			10/2/13	X													
Fidelity Export & Multinational (FE	XPX)	Х			1/2/13	×													
Vanguard Tot Intl Stock Ix Admiral			X.		6/17/13	X													
<sup>13</sup> Vanguard Dividend Growth Fund		X.			12/2/13		Х					<b>*</b>							
<sup>14</sup> Vanguard Total Bond Mkt Index A	dm	×			12/9/13	×													
<sup>15</sup> Vanguard Dividend Growth Fund		X			1/7/13	Х													
<sup>16</sup> Vanguard Total Stock Mkt Idx Adn	π	×			1/7/13		Х												
* This category applies only if the underly	ying asset is solely that of the filer's spouse or	depend	ent ch	ildrer	. If the under	lying a	sset is	either	held	•	•	•				<u>}</u>	***************************************		

during the reporting period by you, your spouse, or dependent children. Thek the highest amount owed during the reporting period. Exclude    Creditors (Name and Address)   Type of Liability   Date   Interest   Term if applicable   Term if a	
Examples   First District Bank, Washington, DC   Mortgage on rental property, Delaware   1991   8%   25 yrs.   x   x   x   x   x   x   x   x   x	Over \$50,000,000
John Jones, Washington, DC  Promissory note  1999  10%  on demand  x    1999   10%   on demand   x	98
*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  Status and Terms of any Agreement or Arrangement  Parties  Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share  Doe Jones & Smith, Hometown, State	
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employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves  Status and Terms of any Agreement or Arrangement  Parties  Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share  Doe Jones & Smith, Hometown, State	
Fxample Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share Doe Jones & Smith, Hometown, State	<b>☑</b>
Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share  Doe Jones & Smith, Hometown, State  1	ate
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Reporting Individual's Name		Page Number										
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 a	nd Address)		Type of Organization	Position Held	From (Mo., Yr.)	To (Mo.,Yr.)						
Nat'l Assn. of Rock Collectors, NY, NY		Non-profit educ	ation	President	6/92	Present						
Examples Doe Jones & Smith, Hometown, State		Law firm		Partner	7/85	1/00						
3												
5												
6												
Part II: Compensation Report sources of more than \$5,000 con business affiliation for services provided the reporting period. This includes the corporation, firm, partnership, or other	npensation received by you or yo i directly by you during any one names of clients and customers of	our year of f any	non-profit organization wh	payment of more than \$5,000	ation Filer, or idential Cand ). You	Vice						
Source (Name and Address)			Br	ief Description of Duties								
Doe Jones & Smith, Hometown, State		Legal services										
Examples Metro University (client of Doe Jones & Sm	nith), Moneytown, State	Legal services in connection with university construction										
3												
5												
6												