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

Form Approved:
OMB No. 3209-0001

# Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

| | | | | |
|---|---|---|---|---|
| Date of Appointment, Candidacy, Election or Nomination (*Month, Day, Year*): 01/02/2007 | Reporting Status (*Check appropriate boxes*): [ ] Incumbent | Calendar Year Covered by Report: 2006 | [X] New Entrant, Nominee, or Candidate | [ ] Termination Filer; Termination Date (*If Applicable*) (*Month, Day, Year*): |
| Reporting Individual's Name | Last Name: Edwards | | First Name and Middle Initial: John R | |
| Position for Which Filing | Title of Position: President of the United States | | Department or Agency (*If Applicable*): | |
| Location of Present Office (or forwarding address) | Address (*Number, Street, City, State, and ZIP Code*): 410 Market Street, Suite 400, Chapel Hill, NC 27516 | | Telephone No. (*Include Area Code*): 919-636-3131 | |
| Position(s) Held with the Federal Government During the Preceding 12 Months (If Not Same as Above) | Title of Position(s) and Date(s) Held: | | | |
| **Presidential Nominees Subject to Senate Confirmation** | Name of Congressional Committee Considering Nomination: | | Do You Intend to Create a Qualified Diversified Trust? [ ] Yes [X] No | |
| **Certification** I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge. | Signature of Reporting Individual: [signature] | | Date (*Month, Day, Year*): 05/15/07 | |
| **Other Review (If desired by agency)** | Signature of Other Reviewer: [signature] | | Date (*Month, Day, Year*): 7/16/07 | |
| **Agency Ethics Official's Opinion** On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments in the box below). | Signature of Designated Agency Ethics Official/Reviewing Official: [signature] | | Date (*Month, Day, Year*): 7/17/07 | |
| Office of Government Ethics Use Only | Signature: [signature] | | Date (*Month, Day, Year*): 2/20/08 | |

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* ) [ ]

Supervisor's Certification. I have reviewed the interests reported on this form in light of the duties required by the reporting individual's positio I am satisfied that there is no actual or potential conflict of interest. (If remedial action is required or additional explanation is necessary, use reverse side

Supervisor's signature:

Reviewed for Apparent Compliance
With the Federal Election Campaign Act

2007 MAY 15 P 1:11
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OFFICE OF GENERAL COUNSEL
FEDERAL ELECTION COMMISSION
RECEIVED

(*Check box if comments are continued on the reverse side*) [ ]

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

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

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

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

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

**Schedule B**--Not applicable.

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

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

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

**Agency Use Only**
Received by FEC on 5/15/07

**OGE Use Only**
JUL 23 2007

Supersedes Prior Editions, Which Cannot Be Used. 278-112 Form Designed in Microsoft Excel 2000 NSN 7540-01-070-8444

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A



**Assets and Income** — BLOCK A

**Valuation of Assets** at close of reporting period — BLOCK B

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

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

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

None ☐

| # | Assets and Income (Block A) | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Examples | Central Airlines Common | | | | x | | | | | | | | | | | | x | | | | | | x | | | | | | | | | | |
| Examples | Doe Jones & Smith, Hometown, State | | | x | | | | | | | | | | | | | | | | | | | | | | | | | | | | Law Partnership Income $130,000 | |
| Examples | Kempstone Equity Fund | | | | | x | | | | | | | | x | | | | | | | | | | x | | | | | | | | | |
| Examples | IRA: Heartland 500 Index Fund | | | | | | | x | | | | | | x | | | | | | | | | | | x | | | | | | | | |
| 1 | HELD IN TRUST FOR DEPENDENT CHILDREN: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | (DC) Aim Liquid Assets Portfolio | X | | | | | | | | | | | | X | | | | | | | | X | | | | | | | | | | | |
| 3 | (DC) American Europacific Growth CL A | | | X | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | |
| 4 | (DC) Atlantic Trust Equity Income Fund | X | | | | | | | | | | | | X | | | | | | | | | | X | | | | | | | | | |
| 5 | (DC) Atlantic Trust Mid-Cap Growth Fund | X | | | | | | | | | | | | X | | | | | | | | | | | X | | | | | | | | |
| 6 | (DC) Atlantic Trust Multi-Cap Global Value Fund | X | | | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | |

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Prior Editions Cannot be Used.

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued
(Use only if needed)



**Assets and Income** — BLOCK A

**Valuation of Assets** at close of reporting period — BLOCK B

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

None ☐

| # | Assets and Income | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | HELD IN TRUST FOR DEPENDENT CHILDREN continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | (DC) Columbia Cash Reserves | | | | | | X | | | | | | | X | | | | | | | | | | | X | | | | | | | | |
| 3 | (DC) Dominion Resources Inc Va New | | X | | | | | | | | | | | | | | X | | | | X | | | | | | | | | | | | |
| 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 5 | (J) Cash - Wachovia Securities - Money Market Account | | | | | | X | | | | | | | | | | | | X | | | | | | X | | | | | | | | |
| 6 | (S) Cash - Wachovia Checking and Savings | | X | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 7 | (J) USAA Investment Management Company - Money Market Fund | | | X | | | | | | | | | | X | | | X | | | | | | X | | | | | | | | | | |
| 8 | (J) USAA Federal Savings Bank - Interest Bearing Checking Account | | | X | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 9 | (J) Mechanics & Farmer - CD | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued

(Use only if needed)



**Assets and Income** — BLOCK A

**Valuation of Assets** at close of reporting period — BLOCK B

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

None ☐

| # | Assets and Income | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | Mutual Community - CD | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 2 | Aim TFIT Cash Resrv Portfolio | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 3 | (S) Aim TFIT Cash Resrv Portfolio | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 4 | Evergreen US Govt Money Market Fd Cl A | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 5 | (S) Evergreen US Govt Money Market Fd Cl A | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 6 | Fidelity Investments - Cash - Money Market Fund | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 7 | Lehman Bank Cash Deposit Account | | | X | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | | |
| 8 | Atlantic Trust Stable Return Fund LLC | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 9 | Arden Institutional Advisors, LP | | | | | | | X | | | | | | X | | | | | | | | | | | | X | | | | | | | |

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

| # | Assets and Income (BLOCK A) None ☐ | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Dividends | Rent and Royalties | Interest | Capital Gains | None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | (S) Atlantic Trust Oak Hill CP Fund LLC | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | (S) Oak Hill Capital Partners II, LP also see note 1 | | | | X | | | | | | | | | | | | | | X | | | X | | | | | | | | | | Distributive Income $1281 | |
| 3 | Aircastle LTD SHS | | | | | | X | | | | | | | | | | X | | | | | | | | X | | | | | | | | |
| 4 | Brookdale Sr Living Inc | | | | | | | X | | | | | | | | | X | | | | | | | | | X | | | | | | | |
| 5 | GAGFAH S.A. | | | | | | | X | | | | | | | | | X | | | | | | | X | | | | | | | | | |
| 6 | (S) GAGFAH S.A. | | | | | | | X | | | | | | | | | X | | | | | | | X | | | | | | | | | |
| 7 | Gatehouse Media Inc | | | | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | |
| 8 | (S) Gatehouse Media Inc | | | | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | |
| 9 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

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# SCHEDULE A continued
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**Assets and Income** — BLOCK A

**Valuation of Assets** at close of reporting period — BLOCK B

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

None ☐

| # | Assets and Income (BLOCK A) | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | Drawbridge Global Macro Fund LP also see note 2 | | | | | | | X | | | | | | X | | | | | | | | | | | | | | X | | | | | |
| 2 | (S) Drawbridge Global Macro Fund LP also see note 2 | | | | | | | X | | | | | | X | | | | | | | | | | | | | | X | | | | | |
| 3 | Drawbridge Special Opportunities Fund LP, also see note 3 | | | | | | | X | | | | | | X | | | | | | | | | | | | | | X | | | | | |
| 4 | (S) Drawbridge Special Opportunities Fund LP, also see note 3 | | | | | | | X | | | | | | X | | | | | | | | | | | | | | X | | | | | |
| 5 | Fortress Fund III Ital Investment (Fund D) LP, also see note 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 6 | Fortezza Sisterco S.r.l. Italfondiario SpA Castello Finance SrL | | | | | | X | | | | | | | | | | X | | X | X | | | I D | | | | CG | | | | | Loan Servicing Co. Entity holding debt instr. | |
| 7 | (S) Fortress Fund III Ital Investment (Fund D) LP, also see note 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 8 | Fortezza Sisterco S.r.l. Italfondiario SpA Castello Finance SrL | | | | | | X | | | | | | | | | | X | | X | X | | | I D | | | | CG | | | | | Loan Servicing Co. Entity holding debt instr. | |
| 9 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

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

| # | Assets and Income (BLOCK A) None ☐ | Valuation of Assets at close of reporting period (BLOCK B): None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $ 5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | BLOCK C Type: Dividends | Rent and Royalties | Interest | Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | Fortress Investment Fund III (Fund D) LP, also see note 5 | | | | | | | | | | | | | | | | X | | X | X | | | | | I | D | CG | | | | | | |
| 2 | Aircastle | | | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | |
| 3 | BC Holdings LP | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | Business that rents TV sets | |
| 4 | Eurocastle Investment Limited | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | |
| 5 | FIF HE Holdings LLC | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | Holding company for airplanes | |
| 6 | FIF III Air AVT Holdco LLC | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Holding company for airplanes | |
| 7 | FIF III Air AVT Acquistion LLC | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Holding company for airplanes | |
| 8 | FIF III CLI Holdings Ltd | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | Holding company for container leasing business | |
| 9 | GAGAFH S.A. | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | |

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued
(Use only if needed)



| # | Assets and Income (BLOCK A) None ☐ | Valuation: None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Rent and Royalties | Interest | Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | Fortress Investment Fund III (Fund D) LP continued | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | Gatehouse Media Inc. | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | |
| 3 | (S) Fortress Investment Fund III (Fund D) LP, also see note 5 | | | | | | | | | | | | | | | | X | | X | X | | | | | I | D | CG | | | | | | |
| 4 | (S) Aircastle | | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | |
| 5 | (S) BC Holdings LP | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | | Business that rents TV sets | |
| 6 | (S) Eurocastle Investment Limited | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | |
| 7 | (S) FIF HE Holdings LLC | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | | Holding company for airplanes | |
| 8 | (S) FIF III Air AVT Holdco LLC | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Holding company for airplanes | |
| 9 | (S) FIF III Air AVT Acquistion LLC | X | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Holding company for airplanes | |

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

Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued
(Use only if needed)



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

| # | Assets and Income (BLOCK A) None ☐ | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | (S) Fortress Investment Fund III (Fund D) LP continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | (S) FIF III CLI Holdings Ltd | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | Holding company for container leasing business | |
| 3 | (S) GAGAFH S.A. | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | |
| 4 | (S) Gatehouse Media Inc | | | | | | | X | | | | | | | | | | | | | | | | | | | | | | | | | |
| 5 | Fortress Partners Fund LP also see note 6 | | | | | | | X | | | | | | X | | | | | | | | | | | X | | | | | | | | |
| 6 | (S) Fortress Partners Fund LP also see note 6 | | | | | | | X | | | | | | X | | | | | | | | | | | X | | | | | | | | |
| 7 | Fortress RIC Coinvestment Fund LP also see note 7 Brookdale Senior Living | | | | | X | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 8 | (S) Fortress RIC Coinvestment Fund LP, also see note 7 (S) Brookdale Senior Living | | | | | X | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 9 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

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SF278 (Rev. 03/2000)
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Reporting Individual's Name
Edwards, John R

# SCHEDULE A continued
(Use only if needed)



**Assets and Income** — BLOCK A
**Valuation of Assets** at close of reporting period — BLOCK B
**Income:** type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

| # | Assets and Income | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $ 5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | Amount: $201 - $1,000 | Amount: $1,001 - $2,500 | Amount: $2,501 - $5,000 | Amount: $5,001 - $15,000 | Amount: $15,001 - $50,000 | Amount: $50,001 - $100,000 | Amount: $100,001 - $1,000,000 | Amount: Over $1,000,000* | Amount: $1,000,001 - $5,000,000 | Amount: Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | ATLANTIC TRUST - CASH AND PUBLICLY TRADED STOCKS: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | AIM Liquid Assets Portfolio | X | | | | | | | | | | | | X | | | X | | | | | | | X | | | | | | | | | |
| 3 | 3M Company | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 4 | Aetna Inc New | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 5 | Affiliated Computer Svcs - A | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 6 | Aflac Inc | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 7 | American Express | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 8 | Amgen Corp | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 9 | Analog Devices Inc | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued
(Use only if needed)



Assets and Income — BLOCK A | Valuation of Assets at close of reporting period — BLOCK B | Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

| # | Assets and Income (BLOCK A) | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | ATLANTIC TRUST - PUBLICLY TRADED STOCKS continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | Apache Corp | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 3 | Apple Computer Inc | X | | | | | | | | | | | | | | | | | | X | | | | | | | X | | | | | | |
| 4 | BP P.L.C. | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 5 | Burlington Resources Inc | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 6 | Caremark Rx Inc | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 7 | Carnival Corp | X | | | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | |
| 8 | Cisco Systems Inc | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 9 | Citigroup Inc | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued

(Use only if needed)



**Assets and Income** — BLOCK A

**Valuation of Assets** at close of reporting period — BLOCK B

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

None ☐

| # | Assets and Income (Block A) | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | Amount: $201 - $1,000 | Amount: $1,001 - $2,500 | Amount: $2,501 - $5,000 | Amount: $5,001 - $15,000 | Amount: $15,001 - $50,000 | Amount: $50,001 - $100,000 | Amount: $100,001 - $1,000,000 | Amount: Over $1,000,000* | Amount: $1,000,001 - $5,000,000 | Amount: Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | ATLANTIC TRUST - PUBLICLY TRADED STOCKS continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | Dell Inc | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 3 | A G Edwards Inc | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 4 | Family Dlr Stores Inc | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 5 | First Data Corp | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 6 | First Citizens Bancshares NC Cl A | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 7 | General Electric Co | X | | | | | | | | | | | | | | | X | | | X | | D | | | | CG | | | | | | | |
| 8 | Goldman Sachs Group | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 9 | Home Depot Inc | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued
(Use only if needed)



| | Assets and Income (BLOCK A) | Valuation of Assets at close of reporting period (BLOCK B): None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Income (BLOCK C) Type: Dividends | Rent and Royalties | Interest | Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | None ☐ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 1 | ATLANTIC TRUST - PUBLICLY TRADED STOCKS continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | Intel Corp | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 3 | Liberty Media Corp Series A | X | | | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | |
| 4 | Medtronic Inc | X | | | | | | | | | | | | | | | | | | X | | | | | | | X | | | | | | |
| 5 | Microchip Technology Inc | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 6 | Microsoft Corp | X | | | | | | | | | | | | | | | | | | X | | X | | | | | | | | | | | |
| 7 | Novartis AG-ADR | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 8 | Pepsico Inc | X | | | | | | | | | | | | | | | X | | | X | | D | | | | CG | | | | | | | |
| 9 | Procter & Gamble Company | X | | | | | | | | | | | | | | | | | | X | | | | X | | | | | | | | | |

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued
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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | ATLANTIC TRUST - PUBLICLY TRADED STOCKS continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | Schlumberger Ltd | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 3 | SLM Corp | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 4 | Sysco Corp | X | | | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | |
| 5 | Target Corp | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 6 | Teva Pharmaceutical Inds Ltd Adr | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 7 | United Parcel Svc Inc Cl B | X | | | | | | | | | | | | | | | X | | | X | | D | | | CG | | | | | | | | |
| 8 | Unitedhealth Group Inc | X | | | | | | | | | | | | | | | | | | X | | | | | | | X | | | | | | |
| 9 | Vodafone Group PLC Sp Adr | X | | | | | | | | | | | | | | | X | | | X | | D | | CG | | | | | | | | | |

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# SCHEDULE A continued
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**Assets and Income** — BLOCK A

**Valuation of Assets** at close of reporting period — BLOCK B

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

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| # | Assets and Income | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | ATLANTIC TRUST - PUBLICLY TRADED STOCKS continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | Walgreen Co | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 3 | Wellpoint Inc | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 4 | Wells Fargo Co | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 5 | ATLANTIC TRUST - | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 6 | MUTUAL FUNDS: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 7 | Atlantic Trust Mid-Cap Growth Fund | X | | | | | | | | | | | | X | | | | | | | | | | | | | | X | | | | | |
| 8 | Atlantic Trust Equity Income Fund formerly Convertible Growth & Income Fund | X | | | | | | | | | | | | X | | | | | | | | | | | | | | X | | | | | |
| 9 | American Europacific Grth-A | X | | | | | | | | | | | | X | | | | | | | | | | | | | | X | | | | | |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | ATLANTIC TRUST - CASH AND PUBLICLY TRADED STOCKS: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | (S) AIM Liquid Assets Portfolio | X | | | | | | | | | | | | X | | | X | | | | | | | | X | | | | | | | | |
| 3 | (S) 3M Company | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 4 | (S) Aetna Inc New | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 5 | (S) Affiliated Computer Svcs - A | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 6 | (S) Aflac Inc | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 7 | (S) American Express | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 8 | (S) Amgen | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 9 | (S) Analog Devices Inc | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |

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# SCHEDULE A continued
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Assets and Income — BLOCK A | Valuation of Assets at close of reporting period — BLOCK B | Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

| # | Assets and Income (BLOCK A) | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | ATLANTIC TRUST - PUBLICLY TRADED STOCKS continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | (S) Apache Corp | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 3 | (S) Apple Computer Inc | X | | | | | | | | | | | | | | | | | | X | | | | | | | X | | | | | | |
| 4 | (S) BP P.L.C. | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 5 | (S) Burlington Resources Inc | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 6 | (S) Caremark Rx Inc | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 7 | (S) Carnival Corp | X | | | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | |
| 8 | (S) Cisco Systems Inc | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 9 | (S) Citigroup Inc | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |

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Reporting Individual's Name

Edwards, John R

# SCHEDULE A continued

(Use only if needed)



**Assets and Income** — BLOCK A

**Valuation of Assets** at close of reporting period — BLOCK B

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

None ☐

| # | Assets and Income | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | ATLANTIC TRUST - PUBLICLY TRADED STOCKS continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | (S) Dell Inc | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 3 | (S) A G Edwards Inc | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 4 | (S) Family Dlr Stores Inc | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 5 | (S) First Data Corp | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 6 | (S) First Citizens Bancshares NC Cl A | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 7 | (S) General Electric Co | X | | | | | | | | | | | | | | | X | | | X | | D | | | | CG | | | | | | | |
| 8 | (S) Goldman Sachs Group | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 9 | (S) Home Depot | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued
(Use only if needed)



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

| Assets and Income (BLOCK A) | Valuation of Assets at close of reporting period (BLOCK B): None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Income (BLOCK C) Type: Dividends | Rent and Royalties | Interest | Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| None ☐ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 1 ATLANTIC TRUST - PUBLICLY TRADED STOCKS continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 (S) Intel Corp | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 3 (S) Liberty Media Corp - Series A | X | | | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | |
| 4 (S) Medtronic Inc | X | | | | | | | | | | | | | | | | | | X | | | | | | | X | | | | | | |
| 5 (S) Microchip Technology Inc | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 6 (S) Microsoft Corp | X | | | | | | | | | | | | | | | | | | X | | X | | | | | | | | | | | |
| 7 (S) Novartis AG-ADR | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 8 (S) Pepsico | X | | | | | | | | | | | | | | | X | | | X | | D | | | | CG | | | | | | | |
| 9 (S) Procter & Gamble Company | X | | | | | | | | | | | | | | | | | | X | | | | X | | | | | | | | | |

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U.S. Office of Government Ethics

Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued
(Use only if needed)



Assets and Income — BLOCK A | Valuation of Assets at close of reporting period — BLOCK B

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

None ☐

| # | Assets and Income (BLOCK A) | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | ATLANTIC TRUST - PUBLICLY TRADED STOCKS continued: | | | | | | | | | | | | | | | |
| 2 | (S) Schlumberger Ltd | X | | | | | | | | | | | | | | |
| 3 | (S) SLM Corp | X | | | | | | | | | | | | | | |
| 4 | (S) Sysco Corp | X | | | | | | | | | | | | | | |
| 5 | (S) Target Corp | X | | | | | | | | | | | | | | |
| 6 | (S) Teva Pharmaceutical Inds Ltd Adr | X | | | | | | | | | | | | | | |
| 7 | (S) United Parcel Svc Inc Cl B | X | | | | | | | | | | | | | | |
| 8 | (S) Unitedhealth Group Inc | X | | | | | | | | | | | | | | |
| 9 | (S) Vodafone Group PLC Sp Adr | X | | | | | | | | | | | | | | |

| # | Assets and Income (BLOCK A) | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | ATLANTIC TRUST - PUBLICLY TRADED STOCKS continued: | | | | | | | | | | | | | | | | | |
| 2 | (S) Schlumberger Ltd | | | | X | | | | | | X | | | | | | | |
| 3 | (S) SLM Corp | | | | X | | | | | | X | | | | | | | |
| 4 | (S) Sysco Corp | | | | X | | | | X | | | | | | | | | |
| 5 | (S) Target Corp | | | | X | | | | | X | | | | | | | | |
| 6 | (S) Teva Pharmaceutical Inds Ltd Adr | | | | X | | | | | | X | | | | | | | |
| 7 | (S) United Parcel Svc Inc Cl B | X | | | X | | D | | | CG | | | | | | | | |
| 8 | (S) Unitedhealth Group Inc | | | | X | | | | | | | X | | | | | | |
| 9 | (S) Vodafone Group PLC Sp Adr | X | | | X | | D | | CG | | | | | | | | | |

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Prior Editions Cannot be Used.

Reporting Individual's Name

Edwards, John R

# SCHEDULE A continued

(Use only if needed)



**Assets and Income** — BLOCK A

**Valuation of Assets** at close of reporting period — BLOCK B

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

None ☐

| # | Assets and Income (Block A) | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | ATLANTIC TRUST - PUBLICLY TRADED STOCKS continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | (S) Walgreen Co | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 3 | (S) Wellpoint Inc | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 4 | (S) Wells Fargo Co | X | | | | | | | | | | | | | | | | | | X | | | | | | X | | | | | | | |
| 5 | ATLANTIC TRUST - | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 6 | MUTUAL FUNDS: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 7 | (S) Atlantic Trust Mid-Cap Growth Fund | X | | | | | | | | | | | | X | | | | | | | | | | | | | | X | | | | | |
| 8 | (S) Convertible Growth & Income Fund | X | | | | | | | | | | | | X | | | | | | | | | | | | | | X | | | | | |
| 9 | (S) American Europacific Grth-A | X | | | | | | | | | | | | X | | | | | | | | | | | | | | X | | | | | |

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued

(Use only if needed)



**Assets and Income** BLOCK A | **Valuation of Assets** at close of reporting period BLOCK B | **Income:** type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. BLOCK C

None ☐

| # | Assets and Income | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | BANC OF AMERICA INVESTMENT SERVICES TRUST ACCOUNT - CASH & BONDS: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | Columbia Cash Reserves Daily | | | | | | | | | | X | | | X | | | | | | | | | | | | | | X | | | | | |
| 3 | Bladen Cnty NC GO Bds Ser 2000 5.6% due 05/01/2009 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 4 | Charlotte NC GO Ref Bds Ser 1998 5.250% due 02/01/2009 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 5 | Charlotte NC GO CTFS Partn Cops 0.0% due 12/01/2007 | | | X | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 6 | Cumberland Cnty NC GO School Bds Ser 5.500% due 03/01/2008 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 7 | Durham Cnty NC GO Ref Ser 2001 5.50% 04/01/2011 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 8 | Forsyth Cnty NC GO Public Improvement 5% 03/01/2011 | | | | | X | | | | | | | | | | | | | X | | | | | | X | | | | | | | | |
| 9 | Guildford Cnty NC Pub Impt Ser B 5.00% due 10/01/02006 | X | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |

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Prior Editions Cannot be Used.

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued

(Use only if needed)



Assets and Income — BLOCK A | Valuation of Assets at close of reporting period — BLOCK B | Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

| # | Assets and Income (BLOCK A) | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $ 5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | Amount: $201 - $1,000 | Amount: $1,001 - $2,500 | Amount: $2,501 - $5,000 | Amount: $5,001 - $15,000 | Amount: $15,001 - $50,000 | Amount: $50,001 - $100,000 | Amount: $100,001 - $1,000,000 | Amount: Over $1,000,000* | Amount: $1,000,001 - $5,000,000 | Amount: Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | BANC OF AMERICA INVESTMENT SERVICES TRUST ACCOUNT - BONDS continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | High Point NC Pub Impt Bds Ser 2000 B 5.400% due 06/01/2009 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 3 | Mecklenburg Cnty NC Pub Impt Bds Ser 5% 04/01/2013 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 4 | Mecklenburg Cnty NC GO Pub Impt-Ser B 5.000% due 02/01/2010 | | | X | | | | | | | | | | | | | | | X | | | | X | | | | | | | | | | |
| 5 | Mecklenburg Cnty NC GO Ref Bds Ser 2003 C 5.00% due 04/01/2008 | | | | X | | | | | | | | | | | | | | X | | | | X | | | | | | | | | | |
| 6 | Mooresville NC Enterprise Sys Rev 5% 05/01/2009 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 7 | North Carolina Infrastructure Fin 5% 10/01/2011 | | | | | X | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 8 | North Carolina St GO Pub Impt Bds 5.250% due 03/01/2012 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 9 | North Carolina St Pub Impt Bds Ser 5.50% due 03/01/2010 | | | | | X | | | | | | | | | | | | | X | | | | | | X | | | | | | | | |

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Prior Editions Cannot be Used.

Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued

(Use only if needed)



| # | Assets and Income (BLOCK A) None [ ] | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Dividends | Rent and Royalties | Interest | Capital Gains | None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | BANC OF AMERICA INVESTMENT SERVICES TRUST ACCOUNT - BONDS continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | North Carolina State Med Care Comm Health 5.0% 10/01/2007 Care Facs | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 3 | University NC Ashville Rev Ref Bds 5% 06/01/2014 | | | | | X | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 4 | University NC Chapel Hill Rev Gen 5% 12/01/2010 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 5 | University NC Chapel Hill Rev Gen 5.00% due 12/01/2008 | | | | | X | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 6 | University NC Sys Pool Rev Bds 4% 10/01/2008 | | | X | | | | | | | | | | | | | | | X | | | | X | | | | | | | | | | |
| 7 | University NC Chapel Hill Rev Std 5.125% due 06/01/2013 | | | X | | | | | | | | | | | | | | | X | | | | X | | | | | | | | | | |
| 8 | Winston-Salem NC Wtr & Swr Sys Rev 5.0% 06/01/2013 | | | | X | | | | | | | | | | | | | | X | | | | X | | | | | | | | | | |
| 9 | Winston-Salem NC Wtr & Swr Sys Rev 5.125% 06/01/2028 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued

(Use only if needed)



**Assets and Income** — BLOCK A

**Valuation of Assets** at close of reporting period — BLOCK B

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

None ☐

| # | Assets and Income | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | BANC OF AMERICA INVESTMENT SERVICES TRUST ACCOUNT - CASH & BONDS: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | (S) Columbia Cash Reserves Daily | | | | | X | | | | | | | | X | | | | | | | | | | | | | X | | | | | | |
| 3 | (S) Bladen Cnty NC GO Bds Ser 2000 5.600% due 05/01/2009 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 4 | (S) Charlotte NC CTFS Partn Cops 0.0% 12/01/2007 Convention Facility | | | X | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 5 | (S) Charlotte NC GO Ref Bds Ser 1998 5.250% due 02/01/2009 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 6 | (S) Cumberland Cnty NC GO School Bds Ser 5.500% due 03/01/2008 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 7 | (S) Durham Cnty NC GO Ref Ser 2001 5.5% 04/01/2011 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 8 | (S) Fayetteville NC Pub Wks Comm Rev 5.250% due 03/01/2006 | X | | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | | |
| 9 | (S) Forsyth Cnty NC GO Public Improvement 5% 03/01/2011 Bds Ser | | | | | X | | | | | | | | | | | | | X | | | | | | X | | | | | | | | |

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued

(Use only if needed)



**Assets and Income** — BLOCK A

**Valuation of Assets** at close of reporting period — BLOCK B

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

None ☐

| # | Assets and Income (Block A) | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | BANC OF AMERICA INVESTMENT SERVICES TRUST ACCOUNT - BONDS continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | (S) Guildford Cnty NC Pub Impt-Ser B 5.000% due 10/01/2006 | X | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 3 | (S) High Point NC Pub Impt Bds Ser 2000 B 5.400% due 06/01/2009 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 4 | (S) Mecklenburg Cnty NC GO Pub Improv Ser 5.00% due 02/01/2010 B | | | X | | | | | | | | | | | | | | | X | | | | X | | | | | | | | | |
| 5 | (S) Mecklenburg Cnty NC Pub Impt Bds Ser 5.0% 04/01/2013 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 6 | (S) Mecklenburg Cnty NC GO Ref Bds Ser 2003 C 5.00% due 04/01/2008 | | | | X | | | | | | | | | | | | | | X | | | | X | | | | | | | | | |
| 7 | (S) Mooresville NC Enterprise Sys Rev 5.0% 05/01/2009 Rev Bds Ser 2003 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 8 | (S) North Carolina Infrastructure Fin 5.0% 10/01/2011 Corp | | | | | X | | | | | | | | | | | | | X | | | | | X | | | | | | | | |
| 9 | (S) North Carolina Med Care Comm Health 5.0% due 10/01/2007 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued

(Use only if needed)



**Assets and Income** — BLOCK A

**Valuation of Assets** at close of reporting period — BLOCK B

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

None ☐

| # | Assets and Income | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | BANC OF AMERICA INVESTMENT SERVICES TRUST ACCOUNT - BONDS continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | (S) North Carolina St GO Pub Impt Bds 5.250% due 03/01/2012 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 3 | (S) North Carolina St Pub Impt Bds Ser 5.50% due 03/01/2010 2002 A | | | | | X | | | | | | | | | | | | | X | | | | | | X | | | | | | | | |
| 4 | (S) University NC Ashville Rev Ref Bds 5.0% 06/01/2014 | | | | | X | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 5 | (S) University NC Chapel Hill Rev Gen 5.0% 12/01/2010 | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 6 | (S) University NC Chapel Hill Rev Gen 5.000% 12/01/2008 | | | | | X | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 7 | (S) University NC Chapel Hill Rev Std 5.125% 06/01/2013 Fee Rev Bds Ser | | | X | | | | | | | | | | | | | | | X | | | | X | | | | | | | | | | |
| 8 | (S) University NC Sys Pool Rev Bds 4.0% 10/01/2008 | | | X | | | | | | | | | | | | | | | X | | | | X | | | | | | | | | | |
| 9 | (S) Winston-Salem NC Wtr & Swr Sys Rev 5.00% 06/01/2013 Rev and Ref | | | | X | | | | | | | | | | | | | | X | | | | X | | | | | | | | | | |

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued
(Use only if needed)



| # | Assets and Income (BLOCK A) None ☐ | Valuation of Assets at close of reporting period (BLOCK B): None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Income (BLOCK C) Type: Dividends | Rent and Royalties | Interest | Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | BANC OF AMERICA INVESTMENT SERVICES TRUST ACCOUNT - BONDS continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | (S) Winston-Salem NC Wtr & Swr Sys Rev 5.125% 06/01/2028 Rev Bds | | | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | |
| 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 4 | RETIREMENT PLANS: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 5 | Evergreen Equity Income Fd Cl A (IRA) | | | X | | | | | | | | | | X | | | X | | | | | | | X | | | | | | | | | |
| 6 | Wachovia Securities - Money Market Fund (IRA) | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 7 | (S) Bank of America Fixed Term (IRA) CD | | | X | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | | |
| 8 | Columbia Cash Reserves Daily (SEP Account) | | | X | | | | | | | | | | X | | | X | | | | | X | | | | | | | | | | | |
| 9 | (S) Columbia Cash Reserves Daily (SEP Account) | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |

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

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| Reporting Individual's Name | | Page Number |
|---|---|---|
| Edwards, John R | **SCHEDULE A continued** (Use only if needed) |  |

**Assets and Income** — BLOCK A (None ☐)

**Valuation of Assets** at close of reporting period — BLOCK B

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

| # | Assets and Income | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $ 5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | RETIREMENT PLANS continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | (S) North State Bank Money Market Account - Nicholls and Crampton 401(k) | | X | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 4 | FORTRESS INVESTMENT GROUP LLC 401(k) PROFIT SHARING PLAN & TRUST: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 5 | MainStay Small Cap Opportunity Fund | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 6 | Goldman Sachs High Yield Fund | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 7 | Third Avenue Value Fund | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 8 | Vanguard Wellington Fund | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 9 | Vanguard 500 Index Fund | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued
(Use only if needed)



Assets and Income — BLOCK A | Valuation of Assets at close of reporting period — BLOCK B | Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

| # | Assets and Income (BLOCK A) | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $ 5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | RETIREMENT PLANS continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | KIRBY & HOLT 401(k) PLAN, held at Morgan Keegan - also see note 8: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 3 | Cash - Morgan Keegan | X | | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 4 | Regions FDIC - Money Market Fund | | | | X | | | | | | | | | X | | | | | X | | | | X | | | | | | | | | | |
| 5 | American Funds Europacific Growth F | | | X | | | | | | | | | | X | | | | | | | | | | X | | | | | | | | | |
| 6 | Calvert Income Portfolio Cl C | | X | | | | | | | | | | | X | | | X | | | | | X | | | | | | | | | | | |
| 7 | Columbia Acorn Fund Class A | | | X | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | |
| 8 | Davis NY Venture A | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 9 | Davis NY Venture C | | | | | X | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued

(Use only if needed)



**Assets and Income** — BLOCK A

**Valuation of Assets** at close of reporting period — BLOCK B

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

None ☐

| # | Assets and Income (Block A) | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | Amount: $201 - $1,000 | Amount: $1,001 - $2,500 | Amount: $2,501 - $5,000 | Amount: $5,001 - $15,000 | Amount: $15,001 - $50,000 | Amount: $50,001 - $100,000 | Amount: $100,001 - $1,000,000 | Amount: Over $1,000,000* | Amount: $1,000,001 - $5,000,000 | Amount: Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | KIRBY & HOLT 401(k) PLAN continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | Dividend Capital Realty Income Allocation Fund | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 3 | Dodge and Cox International Stock Fund | | | X | | | | | | | | | | X | | | X | | | X | | CG | D | | | | | | | | | | |
| 4 | Dreyfus Money Market Instruments Inc MM fund | X | | | | | | | | | | | | X | | | X | | | | | X | | | | | | | | | | | |
| 5 | Eaton Vance Limited Duration Income Fund | | X | | | | | | | | | | | X | | | X | | | | | X | | | | | | | | | | | |
| 6 | Fidelity Advisor New Insights Fund Class-A | | | X | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 7 | First Trust Strategic High Income Fund II | | X | | | | | | | | | | | X | | | X | | | | | X | | | | | | | | | | | |
| 8 | First Trust / FIDAC Mortgage Income Trust | | X | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | | | |
| 9 | Hartford Mid Cap Fund Class A | | X | | | | | | | | | | | X | | | | | | X | | | X | | | | | | | | | | |

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued

(Use only if needed)



| # | Assets and Income (BLOCK A) None ☐ | Valuation of Assets at close of reporting period (BLOCK B): None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $ 5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Income Type (BLOCK C): Dividends | Rent and Royalties | Interest | Capital Gains | Income Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | KIRBY & HOLT 401(k) PLAN continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | Heritage Mid Cap Stock Fund Cl-A | | | X | | | | | | | | | | X | | | | | | | | | | X | | | | | | | | | |
| 3 | Heritage Mid Cap Stock Fund Cl-C | | X | | | | | | | | | | | X | | | | | | | | X | | | | | | | | | | | |
| 4 | JPC US Nuveen Pfd & Cvrt Income Fd | | X | | | | | | | | | | | X | | | X | | | | | X | | | | | | | | | | | |
| 5 | Neuberger Berman Real Estate Securities Income Fund | X | | | | | | | | | | | | X | | | X | | | X | | | CG D | | | | | | | | | | |
| 6 | Selected American Shs Inc | | | X | | | | | | | | | | X | | | X | | | | | X | | | | | | | | | | | |
| 7 | T Rowe Price Midcap Value Fd | | | X | | | | | | | | | | X | | | X | | | X | | D | CG | | | | | | | | | | |
| 8 | Thornburg International Value Fund Class A | | | X | | | | | | | | | | X | | | X | | | X | | CG D | | | | | | | | | | | |
| 9 | Thornburg International Value Fund Class C | X | | | | | | | | | | | | X | | | | | | X | | | | X | | | | | | | | | |

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Reporting Individual's Name

Edwards, John R

## SCHEDULE A continued

(Use only if needed)



| # | Assets and Income (BLOCK A) None ☐ | Valuation of Assets at close of reporting period (BLOCK B): None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $ 5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. (BLOCK C) Type: Dividends | Rent and Royalties | Interest | Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | KIRBY & HOLT 401(k) PLAN | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 3 | Vanguard Selected Value Fund | | | X | | | | | | | | | | X | | | X | | | X | | D | CG | | | | | | | | | | |
| 4 | American International Group | | X | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 5 | Bank of America Corp | | | X | | | | | | | | | | | | | X | | | | | | X | | | | | | | | | | |
| 6 | Brandywine Realty Trust New | | | X | | | | | | | | | | | | | X | | | | | X | | | | | | | | | | | |
| 7 | Camden Property Trust | | | X | | | | | | | | | | | | | X | | | X | | D | | | CG | | | | | | | | |
| 8 | Capital One Financial Corp | | X | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 9 | Caterpillar Inc | | X | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |

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Prior Editions Cannot be Used.

Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued
(Use only if needed)



| # | Assets and Income (BLOCK A) None ☐ | Valuation: None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Rent and Royalties | Interest | Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | KIRBY & HOLT 401(k) PLAN continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | Chevron Corporation | | | X | | | | | | | | | | | | | X | | | | | X | | | | | | | | | | | |
| 3 | Cisco Systems Inc | | | X | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 4 | Citizens Communications Co | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | | | |
| 5 | Coca Cola Co | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | | | |
| 6 | Colonial Bancgroup Inc | | X | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 7 | Exxon Mobil Corp | | | X | | | | | | | | | | | | | X | | | | | X | | | | | | | | | | | |
| 8 | FedEx Corporation | | X | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 9 | Freeport McMoran Copper & Gold Cl B | X | | | | | | | | | | | | | | | | | | X | | | | | X | | | | | | | | |

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

Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued
(Use only if needed)



**Assets and Income** — BLOCK A

**Valuation of Assets** at close of reporting period — BLOCK B

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

None ☐

| # | Assets and Income (BLOCK A) | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $ 5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | KIRBY & HOLT 401(k) PLAN continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | General Electric Co | | | X | | | | | | | | | | | | | X | | | | | X | | | | | | | | | | | |
| 3 | Hershey Foods Corp | | X | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 4 | Home Depot Inc | X | | | | | | | | | | | | | | | X | | | X | | D | CG | | | | | | | | | | |
| 5 | Intel Corp | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | | | |
| 6 | Johnson & Johnson | | | X | | | | | | | | | | | | | X | | | | | X | | | | | | | | | | | |
| 7 | Lowes Companies Inc | | X | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 8 | National Retail Properties Inc | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | | | |
| 9 | Nuveen Preferred & Convertible Income Fd | X | | | | | | | | | | | | X | | | X | | | | | X | | | | | | | | | | | |

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5 C.F.R. Part 2634
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Reporting Individual's Name
Edwards, John R

# SCHEDULE A continued
(Use only if needed)



**Assets and Income** — BLOCK A

**Valuation of Assets** at close of reporting period — BLOCK B

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

None ☐

| # | Assets and Income | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | KIRBY & HOLT 401(k) PLAN continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | Pepsico Inc | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | | | |
| 3 | Raytheon Company | X | | | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | |
| 4 | Simon Property Group Inc | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | | | |
| 5 | Tanger Factory Outlet Centers Inc | | X | | | | | | | | | | | | | | X | | | | | X | | | | | | | | | | | |
| 6 | Tiffany & Co | | X | | | | | | | | | | | | | | | | | X | | X | | | | | | | | | | | |
| 7 | United Healthcare Group | X | | | | | | | | | | | | | | | | | | X | | X | | | | | | | | | | | |
| 8 | Verizon Communications | | | X | | | | | | | | | | | | | X | | | | | X | | | | | | | | | | | |
| 9 | Wachovia Corp | | | X | | | | | | | | | | | | | X | | | | | X | | | | | | | | | | | |

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Prior Editions Cannot be Used.

Reporting Individual's Name
Edwards, John R

# SCHEDULE A continued
(Use only if needed)



| # | Assets and Income (BLOCK A) None ☐ | Valuation of Assets at close of reporting period (BLOCK B): None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $ 5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Income (BLOCK C) Type: Dividends | Rent and Royalties | Interest | Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | KIRBY & HOLT 401 (k) PLAN | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 3 | Walgreen Co | | | X | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 4 | Wellpoint Inc | | X | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 5 | KIRBY & HOLT 401 (k) PLAN | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 6 | BONDS & FUNDS: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 7 | Alliance Bernstein Income Fund formerly ACM Govt Income Fund Inc | | X | | | | | | | | | | | X | | | X | | | | | X | | | | | | | | | | | |
| 8 | Dodge & Cox Income | | | X | | | | | | | | | | X | | | X | | | | | X | | | | | | | | | | | |
| 9 | Mainstay High Yield Corporate Bond Fund A | | X | | | | | | | | | | | X | | | X | | | | | X | | | | | | | | | | | |

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Reporting Individual's Name
Edwards, John R

# SCHEDULE A continued
(Use only if needed)



**Assets and Income** BLOCK A | **Valuation of Assets** at close of reporting period BLOCK B | **Income:** type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. BLOCK C

None ☐

| # | Assets and Income | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | KIRBY & HOLT 401(k) PLAN continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | United States Treasury Bill 0.00% 06/07/2007 | | X | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 3 | Federal Farm Credit Bank 3.290% 10/12/2007 | | X | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | | |
| 4 | Federal Home Loan Bank 4.280% 10/06/2008 | | X | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | | |
| 5 | Federal Home Loan Bank 3.800% 10/20/2008 | | X | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | | |
| 6 | Cit Group Inc 3.375% 04/01/2009 | | X | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | | |
| 7 | Daimler Chrysler North Amer Hldg Corp dated 5/15/01 due 5/15/06 6.4% | X | | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | | |
| 8 | Ford Motor Credit Co Global Land-mark Securities 6.500% 01/25/2007 | X | | | | | | | | | | | | | | | | | X | X | | I CG | | | | | | | | | | | |
| 9 | General Elec Cap Corp Series Mina 3.125% 04/01/2009 | | X | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | | |

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued
(Use only if needed)



| | Assets and Income (BLOCK A) | Valuation of Assets at close of reporting period (BLOCK B): None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. (BLOCK C) Type: Dividends | Rent and Royalties | Interest | Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | None ☐ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 1 | KIRBY & HOLT 401(k) PLAN continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | GMAC LLC 6.125% 01/22/2008 | | X | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | |
| 3 | Merrill Lynch & Co Series C 4.250% 02/08/2010 | | X | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | |
| 4 | Morgan Stanley Dean Witter Global Bd 5.800% 04/01/2007 | | X | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | |
| 5 | Wrigley Jr Co 4.300% 07/15/2010 | | X | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | |
| 6 | BAC Capital Trust X 6.25% 03/29/55 Series Cuml Pfd/Qrtly Pay | | X | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | |
| 7 | Enbridge Energy Partners LP | | X | | | | | | | | | | | | | | | | | | X | | | | | | | | | | | |
| 8 | FCB/NC Cap Trust II 8.4% Pfd Secs due 10/31/2031 | X | | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | |
| 9 | GMAC LLC 7.25% 02/07/33 BA1/BB Unsecured Notes Qrtly Pay | | X | | | | | | | | | | | | | | | | X | | | | X | | | | | | | | | |

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Reporting Individual's Name

Edwards, John R

# SCHEDULE A continued

(Use only if needed)



**Assets and Income** — BLOCK A

**Valuation of Assets** at close of reporting period — BLOCK B

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

None [ ]

| # | Assets and Income (BLOCK A) | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | KIRBY & HOLT 401(k) PLAN continued: | | | | | | | | | | | | | | | |
| 2 | Lehman Cap Tr V 6.00% 04/22/53 Series Cuml Pfd/Qrtly Pay | | X | | | | | | | | | | | | | |
| 3 | | | | | | | | | | | | | | | | |
| 4 | INSURANCE: | | | | | | | | | | | | | | | |
| 5 | Penn Mutual (Whole Life) | | X | | | | | | | | | | | | | |
| 6 | Northwestern Mutual Insurance - Yearly Renewable Term | X | | | | | | | | | | | | | | |
| 7 | | | | | | | | | | | | | | | | |
| 8 | | | | | | | | | | | | | | | | |
| 9 | | | | | | | | | | | | | | | | |

| # | Assets and Income (BLOCK A) | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | KIRBY & HOLT 401(k) PLAN continued: | | | | | | | | | | | | | | | | | |
| 2 | Lehman Cap Tr V 6.00% 04/22/53 Series Cuml Pfd/Qrtly Pay | | | X | | | X | | | | | | | | | | | |
| 3 | | | | | | | | | | | | | | | | | | |
| 4 | INSURANCE: | | | | | | | | | | | | | | | | | |
| 5 | Penn Mutual (Whole Life) | | | | | X | | | | | | | | | | | | |
| 6 | Northwestern Mutual Insurance - Yearly Renewable Term | X | | | | | X | | | | | | | | | | | |
| 7 | | | | | | | | | | | | | | | | | | |
| 8 | | | | | | | | | | | | | | | | | | |
| 9 | | | | | | | | | | | | | | | | | | |

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Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued
(Use only if needed)



**Assets and Income** — BLOCK A

**Valuation of Assets** at close of reporting period — BLOCK B

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

None ☐

| # | Assets and Income (BLOCK A) | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | EARNED INCOME: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | Harper Collins Publishers, LLC, Scranton, PA (proceeds to charity) | Future Value Unascertainable | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Royalties $333,334 | |
| 3 | University of North Carolina at Chapel Hill - Center on Poverty, Work and Opportunity | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Salary $40,000 | |
| 4 | Fortress Investment Group LLC, New York, NY | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Salary $479,512 | |
| 5 | The Hunter College Foundation Inc, City University of New York, New York, NY | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Speaker $35,000 | 05/11/06 |
| 6 | The Harry Walker Agency, Inc, New York, NY - Speaking Engagements: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 7 | Economic Club of Southwestern Michigan, Benton Harbor, MI | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Speaker $32,000 | 03/08/06 |
| 8 | Gonzaga University Law School, Seattle, WA | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Speaker $12,000 | 01/10/06 |
| 9 | International Housewares Assn, Chicago, IL | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Speaker $32,000 | 03/14/06 |

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

Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued
(Use only if needed)



| # | Assets and Income (BLOCK A) | Valuation of Assets at close of reporting period (BLOCK B): None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Income (BLOCK C) Type: Dividends | Rent and Royalties | Interest | Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | None ☐ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 1 | The Harry Walker Agency, Inc, New York, NY - Speaking Engagements continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | Mount Union College, Alliance, OH | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Speaker $16,000 | 01/26/06 |
| 3 | Regberg & Associates, Inc, Los Angeles, CA | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Speaker $32,000 | 09/20/06 |
| 4 | Stanford in Government - Public Policy Forum, Stanford, CA | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Speaker $40,000 | 04/26/06 |
| 5 | Stanford Washington Research Group, Washington, DC | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Speaker $32,000 | 11/08/06 |
| 6 | University of California - Mondavi Center, Davis, CA | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Speaker $44,000 | 01/09/06 |
| 7 | University of Judaism, Universal City, CA | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Speaker $40,000 | 01/30/06 |
| 8 | University of Texas - Pan American Foundation, Edinburg, TX | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Speaker $40,000 | 05/22/06 |
| 9 | Vanderbilt University - Impact Series, Nashville, TN | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Speaker $40,000 | 03/21/06 |

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Prior Editions Cannot be Used.

Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued

(Use only if needed)



Assets and Income — BLOCK A | Valuation of Assets at close of reporting period — BLOCK B | Income: type and amount. If "None (or less than $201)" is checked, no other entry is needed in Block C for that item. — BLOCK C

None ☐

| # | Assets and Income | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $ 5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | The Harry Walker Agency, Inc, New York, NY - Speaking Engagements continued: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | (S) Simmons School of Management Leadership Conference Boston, MA | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | Speaker $20,000 | 04/22/06 |
| 3 | (S) Random House, Inc. | Future Value Unascertainable | | | | | | | | | | | | | | | | X | | | | | | | | | | X | | | | Royalties | |
| 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 5 | Simon & Schuster, Inc | Future Value Unascertainable | | | | | | | | | | | | | | | | X | | | X | | | | | | | | | | | Royalties 0.00 | |
| 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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SF278 (Rev. 03/2000)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

Reporting Individual's Name: Edwards, John R

# SCHEDULE A continued
(Use only if needed)



**Assets and Income** — BLOCK A

**Valuation of Assets** at close of reporting period — BLOCK B

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

None [ ]

| # | Assets and Income (BLOCK A) | None (or less than $1,001) | $1,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000 * | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 | Excepted Investment Fund | Excepted Trust | Qualified Trust | Type: Dividends | Type: Rent and Royalties | Type: Interest | Type: Capital Gains | Amount: None (or less than $201) | $201 - $1,000 | $1,001 - $2,500 | $2,501 - $5,000 | $5,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | Over $5,000,000 | Other Income (Specify Type & Actual Amount) | Date (Mo., Day, Yr.) Only if Honoraria |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 1 | OWNERSHIP OF PROPERTY: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| 2 | (J) Building, 714 St. Mary's St., LLC, Raleigh, NC | | | | | | | X | | | | | | | | | | X | | | | | | | | X | | | | | | | |
| 3 | Raw Land, Auburn Associates, Partnership, Raleigh, NC | | | | X | | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 4 | (J) House, Fuquay Varina, NC | | | | | X | | | | | | | | | | | | | | | X | | | | | | | | | | | | |
| 5 | Building, TS&H Investors, Partnership, Raleigh, NC | | | | | X | | | | | | | | | | | | X | | | | | | | | X | | | | | | | |
| 6 | (J) Building, W&KE, LLC, Raleigh, NC | | | | | | | X | | | | | | | | | | X | | | | | | | | X | | | | | | | |
| 7 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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* 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 childre mark the other higher categ

Prior Editions Cannot be Used.

SF 278 (Rev. 03/2000)
5 C.F.R Part 2634
U.S. Office of Government Ethics

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

| Reporting Individual's Name | | Page Number |
|---|---|---|
| | SCHEDULE B | 45 of 48 |

## Part I: Transactions

None ☐

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.

| | 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 | | | | | | | | | | | | | | | | | |
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| 5 | | | | | | | | | | | | | | | | | |

* 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 $260; and (2) travel-related cash reimbursements received from one source totaling more than $260. 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. **Exclude** anything given to you by 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 $104 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) | $300 |
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SF 278 (Rev. 03/2000)
5 C.F.R. Part 2634
U.S. Office of Government Ethics

| Reporting Individual's Name | SCHEDULE C | Page Number |
|---|---|---|
| Edwards, John R | |  |

## 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 ☐

Category of Amount or Value (x)

| | Creditors (Name and Address) | Type of Liability | Date Incurred | Interest Rate | Term if applicable | $10,001 - $15,000 | $15,001 - $50,000 | $50,001 - $100,000 | $100,001 - $250,000 | $250,001 - $500,000 | $500,001 - $1,000,000 | Over $1,000,000* | $1,000,001 - $5,000,000 | $5,000,001 - $25,000,000 | $25,000,001 - $50,000,000 | Over $50,000,000 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Examples: | First District Bank, Washington, DC | Mortgage on rental property, Delaware | 1991 | 8% | 25 yrs. | | | x | | | | | | | | |
| | John Jones, 123 J St., Washington, DC | Promissory note | 1999 | 10 % | on demand | | | | | x | | | | | | |
| 1 | Bank of America, Charlotte, NC | Line of Credit | 2006 | variable | 1 yr renewable | | | | | | X | | | | | |
| 2 | Quco Associates, Raleigh, NC | Mortgage on building (714 St. Mary's St, Raleigh) | 1996 | 8.5% | 10 yrs | | X | | | | | | | | | |
| 3 | | | | | | | | | | | | | | | | |
| 4 | | | | | | | | | | | | | | | | |
| 5 | | | | | | | | | | | | | | | | |

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

## Part II: Agreements or Arrangements

Report your agreements or arrangements for: continuing participation in an employee benefit plan (e.g. 401k, deferred compensation; (2) continuation payment by a former employer (including severance payments); (3) leaves of absence; and (4) future employment. See instructions regarding the reporting of negotiations for any of these arrangements or benefits

None ☐

| | Status and Terms of any Agreement or Arrangement | Parties | Date |
|---|---|---|---|
| Example: | Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00. | Doe Jones & Smith, Hometown, State | 7/85 |
| 1 | 401(k) Plan from Former Employer | Kirby & Holt LLP (formerly Edwards & Kirby LLP), Raleigh, NC | 01/93 |
| 2 | 401(k) Plan from Former Employer | Fortress Investment Group LLC, New York, NY | 01/06 |
| 3 | Book and audio contract to publish Four Trials (proceeds to charity) | Simon & Schuster, Inc. | 07/02 |
| 4 | Book and audio contract to publish Home (proceeds to charity) | Harper Collins Publishers, LLC, Scranton, PA | 11/05 |
| 5 | | | |
| 6 | | | |

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

| Reporting Individual's Name | | Page Number |
|---|---|---|
| Edwards, John R | SCHEDULE D |  |

## Part I: Positions Held Outside U.S. Government

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

None ☐

| | Organization (*Name and Address*) | Type of Organization | Position Held | From (Mo., Yr.) | To (Mo., Yr.) |
|---|---|---|---|---|---|
| Examples: | Nat'l Assn. of Rock Collectors, NY, NY | Non-profit education | President | 6/92 | Present |
| | Doe Jones & Smith, Hometown, State | Law firm | Partner | 7/85 | 1/00 |
| 1 | Wade Edwards Foundation, Raleigh, NC | Non-profit | Chairman | 05/1996 | present |
| 2 | Lucius Wade Edwards Private Foundation Inc., Raleigh, NC | Non-profit | Board Member | 04/1997 | present |
| 3 | University of North Carolina at Chapel Hill, NC | Non-profit education | Director Center on Poverty, Work & Opportunity | 01/2005 | 12/2006 |
| 4 | Fortress Investment Group LLC, New York, NY | Asset-based investment management firm | Senior Advisor | 09/2005 | 12/2006 |
| 5 | Executive Leadership Board of the Frank Porter Graham Child Development Institute at UNC, Chapel Hill, NC | Non-profit education | Board Member | 05/2001 | 12/2006 |
| 6 | American Rights at Work | Non-profit | Board Member | 03/2005 | present |

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

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

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

None ☐

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

Prior Editions Cannot Be Used.

Executive Branch Personnel Public Financial Disclosure Report
Name: Edwards, John R Calendar Year: 2006
Title of Position: President of the United States

Notes

1) Atlantic Trust Oak Hill CP Fund LLC: Policy of fund managers is to not reveal identity of current assets.

2) Drawbridge Global Macro Fund LP: The fund allocates capital across a range of global strategies, markets and instruments as opportunities change, and are designed to take advantage of a variety of sources of market, economic and pricing data to generate trading ideas.

3) Drawbridge Special Opportunities Fund LP: A fund which acquires a diversified portfolio of investments primarily throughout the United States, Western Europe and the Pacific region. The funds' investment program incorporates three investment strategies, focusing on asset-based transactions, loans and corporate securities.

4) Fortress Fund III Ital Investment (Fund D) LP: A private equity fund that holds only one underlying investment, Fortezza Sisterco S.r.L.

5) Fortress Investment Fund III (Fund D) LP: A private equity fund focused on making investments in asset-based businesses and asset portfolios in the US and Western Europe. Information regarding Type and Amount category of Income (Block C) for underlying investments is not available from fund manager. Also, the combined total value of the Fortress Investment Fund III (Fund D) LP for both the filer and spouse is between $1,000,001 and $5,000,000.

6) Fortress Partners Fund LP: A fund which invests both in Fortress Funds and in funds managed by other managers, and in direct investments that are sourced either by Fortress personnel or by third party fund managers with whom the fund has relationships.

7) Fortress RIC Coinvestment Fund LP: The fund was formed to invest, through the RIC, in Brookdale (NYSE: BKD), which currently is majority owned in part by two other private equity funds and a coinvestment fund managed by Fortress.

8) Kirby & Holt 401(k) Plan – 401(k) disclosed at Edwards's 2005 ownership percentage, which was the most recent information available. Amended pages to be filed if amounts vary.