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# Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Form Approved:  
OMB No. 3209-0001

Date of Appointment, Candidacy, Election, or Nomination (Month, Day, Year)	Reporting Status (Check Appropriate Boxes)	Incumbent <input type="checkbox"/>	Calendar Year Covered by Report	New Entrant, Nominee, or Candidate <input checked="" type="checkbox"/>	Termination Filer <input type="checkbox"/>	Termination Date (If Applicable) (Month, Day, Year)	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.
02/05/2007							
Reporting Individual's Name	Last Name		First Name and Middle Initial				
	Giuliani		Rudolph W				
Position for Which Filing	Title of Position		Department or Agency (If Applicable)				
	Candidate for President of the United States						
Location of Present Office (or forwarding address)	Address (Number, Street, City, State, and ZIP Code)				Telephone No. (Include Area Code)		
	5 Times Square, New York, NY 10036				(212) 931-7301		
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 None						
Presidential Nominees Subject to Senate Confirmation	Name of Congressional Committee Considering Nomination			Do You Intend to Create a Qualified Diversified Trust?			
				<input type="checkbox"/> Yes <input type="checkbox"/> No			
Certification	Signature of Reporting Individual				Date (Month, Day, Year)		
ICERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge.	<i>Rudolph W. Giuliani</i>				May 14, 2007		
Other Review (If desired by agency)	Signature of Other Reviewer				Date (Month, Day, Year)		
	<i>Lawrence A. ...</i>				7/16/07		
Agency Ethics Official's Opinion	Signature of Designated Agency Ethics Official/Reviewing Official				Date (Month, Day, Year)		
On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments in the box below).	<i>Thomas ...</i>				7/17/07		
Office of Government Ethics Use Only	Signature				Date (Month, Day, Year)		
	<i>[Signature]</i>				10/17/07		
Comments of Reviewing Officials (If additional space is required, use the reverse side of this sheet)							
<p>(Check box if filing extension granted &amp; indicate number of days _____) <input type="checkbox"/></p> <p><b>Reviewed for Apparent Compliance with the Federal Election Campaign Act</b></p> <p>Replacement pages 11 &amp; 12 inserted and changes made to several items in the "Notes" section. VJS, 10/2/07</p> <p>Replacement Annex "A" provided for minor clerical error made involving dates of speeches. VJS, 12/3/07</p> <p>(Check box if comments are continued on the reverse side) <input type="checkbox"/></p>							
Agency Use Only				Received by PEC on 5/15/07			
OGE Use Only				JUL 23 2007			



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

Page Number

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[illegible]

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

Reporting Individual's Name		SCHEDULE A continued (Use only if needed)															Page Number 4 of 18															
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																				
												Type				Amount						Date (Mo., Day, Yr.)  Only if Honoraria										
												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)				
		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	Bessemer Sweep Program IRA (6)			X															X													
2	Federal Home Loan Bank IRA						X												X													
3	U.S. Treasury Note IRA - 5/31/07			X															X													
4	Old Westbury Fixed Inc. Fund IRA					X							X																			
5	Old Westbury Large Cap Equity IRA				X								X																			
6	Old Westbury Mid Cap Equity Fund IRA			X									X																			
7	Old Westbury Global Small Cap Fund IRA		X										X																			
8	Old Westbury International IRA			X									X																			
9	Old Westbury Real Return Fund IRA		X										X																			

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Reporting Individual's Name		<b>SCHEDULE A continued</b> (Use only if needed)														Page Number																	
																5 of 18																	
Assets and Income		Valuation of Assets at close of reporting period												Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																			
BLOCK A		BLOCK B												BLOCK C																			
		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				Amount								Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.)  Only if Honoraria			
																Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*			\$1,000,001 - \$5,000,000	Over \$5,000,000	
1	Bessemer Sweep Program (6) (7)		X																X						X								
2	Federal Home Loan Bk Short Term Note (7)					X													X		X												
3	Federal Home Loan Bank Short Term Note (7)						X												X		X												
4	U.S. Treasury Note - 5/31/07 (7)				X														X		X												
5	Old Westbury Fixed Inc. Fund (7)						X						X								X												
6	Old Westbury Large Cap Equity Fund (7)					X							X								X												
7	Old Westbury Mid Cap Equity Fund (7)			X									X								X												
8	Old Westbury G.L. Small Cap Fund (7)		X										X								X												
9	Old Westbury International Fund (7)				X								X								X												

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Reporting Individual's Name		SCHEDULE A continued (Use only if needed)															Page Number 6 of 18																	
Assets and Income		Valuation of Assets at close of reporting period										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																						
BLOCK A		BLOCK B										BLOCK C																						
		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	Amount										Date (Mo., Day Yr.) Only if Honoraria						
																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000			
1	Old Westbury Real Return Fund (7)			X										X							X													
2	Bessemer Sweep Program IRA (S) (6)			X														X			X													
3	Bristol-Meyers Squibb Co. IRA (S)		X														X				X													
4	Zimmer Holdings Inc. IRA (S)		X														X				X													
5	Bessemer Sweep Program (S) (6)		X															X				X												
6	U.S. Treasury Note - 5/31/07 (S)				X													X			X													
7	Old Westbury Municipal Bond Fund (S)						X							X							X													
8	Bristol-Meyers Squibb Co. (S)		X														X				X													
9	Zimmer Holdings Inc. (S)	X															X				X													

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Reporting Individual's Name		SCHEDULE A continued (Use only if needed)															Page Number 7 of 18																
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 (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	Amount										Date (Mo., Day, Yr.)  Only if Honoraria					
																Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000		Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)	
1	Old Westbury Mid-Cap Equity Fund (S)				X									X						X													
2	Old Westbury Large Cap Equity Fund (S)					X								X						X													
3	Old Westbury G.L. Small Cap Fund (S)			X										X						X													
4	Old Westbury International Fund (S)				X									X						X													
5	Old Westbury Real Return Fund (S)				X									X						X													
6	Bessemer Sweep Program (S) (6)				X													X			X												
7	Federal Home Loan Bank Short Term Note (S)					X												X		X													
8	U.S. Treasury Note - 5/31/07 (S)				X													X		X													
9	Old Westbury Municipal Bond Fund (S)					X								X						X													

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Reporting Individual's Name		SCHEDULE A continued (Use only if needed)															Page Number 8 of 18															
Assets and Income		Valuation of Assets at close of reporting period										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																				
BLOCK A		BLOCK B										BLOCK C																				
		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				Amount										Other Income (Specify Type & Actual Amount)	Date (Mo., Day, Yr.)  Only if Honoraria
																Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000		
1	Old Westbury Large Cap Equity Fund (S)				X								X								X											
2	Old Westbury Mid Cap Equity Fund (S)				X								X								X											
3	Old Westbury G.L. Small Cap Fund (S)			X									X								X											
4	Old Westbury International Fund (S)				X								X								X											
5	Old Westbury Real Return Fund (S)			X									X								X											
6	Merrill Lynch (8):																															
7	ML Bank Deposit (S) (6)	X																	X		X											
8	Bristol-Meyers Squibb (S)	X															X				X											
9	Zimmer Holdings, Inc. (S)	X															X				X											

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## SCHEDULE A continued

(Use only if needed)

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[illegible]

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

Page Number

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Assets and Income		Valuation of Assets at close of reporting period												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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		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	Amount												Other Income (Specify Type & Actual Amount)	Date (Mo., Day Yr.)  Only if Honoraria																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																																						
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Giuliani, Rudolph W

(Use only if needed)

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[illegible]

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

Page Number

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[illegible]

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Reporting Individual's Name Giuliani, Rudolph W		SCHEDULE A continued (Use only if needed)																Page Number 14 of 18																
Assets and Income		Valuation of Assets at close of reporting period							Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																									
BLOCK A		BLOCK B							BLOCK C																									
		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	Amount									Date (Mo., Day, Yr.)  Only if Honoraria							
																	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)		
1	Schwab (20) Defined Benefit Plan	X																			X													
2																																		
3																																		
4																																		
5																																		
6																																		
7																																		
8																																		
9																																		

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Reporting Individual's Name Giuliani, Rudolph W	<b>SCHEDULE C</b>	Page Number 15 of 18
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## Part I: Liabilities

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

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

None ☒

Creditors (Name and Address)		Type of Liability	Date Incurred	Interest Rate	Term if applicable	Category of Amount or Value (x)									
						\$10,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	Over \$25,000,000
Examples	First District Bank, Washington, DC	Mortgage on rental property, Delaware	1991	8%	25 yrs.			x							
	John Jones, 123 JSt., Washington, DC	Promissory note	1999	10%	on demand					x					
1															
2															
3															
4															
5															

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## Part II: Agreements or Arrangements

Report your agreements or arrangements for: (1) continuing participation in an employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves

of absence; and (4) future employment. See instructions regarding the reporting of negotiations for any of these arrangements or benefits.

None ☐

Status and Terms of any Agreement or Arrangement		Parties	Date
Example	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	Doe Jones & Smith, Hometown, State	7/85
1	Fidelity - Giuliani Partners 401K Freedom 2010 Blended Fund (21)	Giuliani Partners, New York, NY	01/02
2	Pursuant to book contract, filer will continue to receive royalties on book sales. (4)	Disney Worldwide Services, Hyperion/Miramax Books, New York	7/02
3	Partnership Agreement continues to exist (1) (22)	Giuliani & Company, LLC, New York, NY	1/02
4	Partnership Agreement continues to exist (2) (23)	Bracewell & Giuliani, Austin, TX	4/05
5	457 Deferred Compensation Socially Responsible Fund (no contributions allowed post-12/01)	City of New York Deferred Compensation Plan, New York, NY	9/94
6	Pursuant to standard theatrical contract, royalties will be paid for repeat showings of performances. (Various dates)	SPE Corporation, Culver City, CA (Paying Agent)	

## SCHEDULE C

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### Part I: Liabilities

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

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

None ☒

Creditors (Name and Address)		Type of Liability	Date Incurred	Interest Rate	Term if applicable	Category of Amount or Value (x)									
						\$10,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000
Examples	First District Bank, Washington, DC John Jones, 123 J St., Washington, DC	Mortgage on rental property, Delaware Promissory note	1991 1999	8% 10%	25 yrs. on demand			x		x					
1															
2															
3															
4															
5															

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### Part II: Agreements or Arrangements

Report your agreements or arrangements for: (1) continuing participation in an employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves

of absence; and (4) future employment. See instructions regarding the reporting of negotiations for any of these arrangements or benefits.

None ☐

Status and Terms of any Agreement or Arrangement		Parties	Date
Example	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	Doe Jones & Smith, Hometown, State	7/85
1	Chairman of the Board (17)	Leeds Equity Fund IV, Board of Advisors, New York, NY	06/02
2	Entitlement to Health Insurance Coverage from City of New York (24)	City of New York	5/06
3			
4			
5			
6			

Reporting Individual's Name Giuliani, Rudolph W	<b>SCHEDULE D</b>	Page Number 17 of 18
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### Part I: Positions Held Outside U.S. Government

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

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

None ☐

	Organization (Name and Address)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	Giuliani & Company LLC, New York, NY (1) (25)	Holding Company	Chairman	01/2002	Present
2	Giuliani Partners LLC, New York, NY (1) (25)	Consulting Firm	Chairman and CEO	01/2002	Present
3	Bracewell & Giuliani LLP, New York, NY	Law Firm	Partner	04/2005	Present
4	Leeds Equity Fund IV, Board of Advisors, New York, NY	Investment Firm Advisory Board	Chairman (17)	06/2002	Present
5	Ronald Reagan Presidential Library Foundation, Simi Valley, CA (on leave)	Not-for-profit Presidential Library	Board Member	04/2003	04/2007
6	Rudolph W. Giuliani Center For Urban Leadership, New York, NY	Non-profit Library/Education	Board Member	01/2002	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		



Reporting Individual's Name Giuliani, Rudolph W	<b>SCHEDULE D</b>	Page Number 18 of 18
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### Part I: Positions Held Outside U.S. Government

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

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

None ☐

	Organization (Name and Address)	Type of Organization	Position Held	From (Mo., Yr.)	To (Mo., Yr.)
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Non-profit education	President	6/92	Present
	Doe Jones & Smith, Hometown, State	Law firm	Partner	7/85	1/00
1	America's Camp Foundation Board of Advisors, New York, NY	Non-profit camp	Chairman	05/2003	Present
2	Giuliani Group LLC, New York, NY (1) (25)	Holding Company	Chairman	01/2002	Present
3					
4					
5					
6					

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

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

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

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

None ☐

	Source (Name and Address)	Brief Description of Duties
Examples	Doe Jones & Smith, Hometown, State	Legal services
	Metro University (client of Doe Jones & Smith), Moneytown, State	Legal services in connection with university construction
1		
2		
3		
4		
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**Notes – Rudolph W. Giuliani Form SF 278**

1) Giuliani & Company LLC  
New York, NY

The filer is a thirty percent equity partner who received a guaranteed payment pursuant to his partnership agreement of \$994,169 and a net distributive share of partnership income of \$2,452,115 during the reporting period. Included in the reported amount is \$600,000 in accrued guaranteed payments for 2007 and a distributive share of interest earned in the partnership of \$62,044 for 2006, which amounts have not been paid yet.

Giuliani & Company LLC has ownership interests in the following companies, whose underlying asset values and income types and values are not readily ascertainable:

Giuliani Group LLC  
New York, NY

Giuliani Group is an intermediary holding company that performs no direct services.

Giuliani Partners LLC  
New York, NY

Giuliani Partners is a management consulting firm that provides strategic advisory services to clients.

Giuliani Capital Advisors LLC  
New York, NY

GCA is a broker-dealer that no longer provides services following a sale of assets to Macquarie Bank.

Giuliani Security & Safety LLC  
New York, NY

GSS is a consulting company that provides security and safety consulting services.

K.K. Giuliani Security & Safety Asia  
Tokyo, Japan

GSSA is a consulting company that provides security and safety consulting services.

K.K. Giuliani Compliance Japan  
Tokyo, Japan

GCIJ is a consulting company that provides corporate governance consulting services.

Lenore Partners LLC

New York, NY

Lenore Partners is a holding company for an investment in Skywatch LLC, a technology company.

BioONE Solutions, LLC

Albany, NY

BioOne is a technology services company providing decontamination services to clients.

BSMB/Camelbak LLC

New York, NY

BSMB/Camelbak is a holding company that owns a majority interest in Camelbak Group, LLC, which manufactures personal, portable hydration systems.

The Nucleus Group LLC

New York, NY

The Nucleus Group is a consulting company that provides strategic consulting services to clients.

Leeds Equity Associates IV LLC

New York, NY

LEAIV is the General Partner of Leeds Equity Partners Fund IV L.P. ("LEPFIV"), a private equity fund that makes investments in knowledge and education industry-related companies. Currently, the fund has investments in the following companies whose underlying asset values, income types and values are not readily ascertainable.

<b>Company</b>	<b>Location</b>	<b>Nature of Business</b>
Sagus International	Oakbrook, IL	School Furniture
Millen Heiman, Inc.	Reno, NV	Sales Training & Consulting
Seaton Corp.	Chicago, IL	Staffing & Recruitment Process Outsourcing
Education Management Corp.	Pittsburgh, PA	Post-Secondary Education
Instituto de Banca y Comercio, Inc.	San Juan, PR	Post-Secondary Education
eInstruction	Denton, TX	K-12 and Postsecondary Education

- 2) Bracewell and Giuliani LLP  
New York, NY  
The filer is an income partner who receives an annual salary and a seven and one-half percent share of the revenue of the New York office of the firm, which seven and one-half percent share has not yet been calculated or distributed for the reporting period. The law firm represents clients in legal matters and has a lobbying component in some offices but not in the New York office.
- 3) Washington Speakers Bureau  
Alexandria, VA  
The Washington Speakers Bureau serves as an agent for the booking of speeches and lectures. Annex A contains a complete list of all appearances by the filer booked through the Washington Speakers Bureau, including the date of each speaking engagement, the identity of the entity contracting for each appearance and the gross and net revenue for each appearance. The filer is not currently accepting any paid speaking engagements.
- 4) Disney Worldwide Services – Hyperion/Miramax Books  
Lake Buena Vista, Florida  
Company is the publisher of the filer's book, "Leadership," and the reported income represents his gross royalty payments during the reporting period. The filer is entitled to receive royalty payments on future book sales. The amount of such future royalty payments is not readily ascertainable.
- 5) SPE Corporate Services  
Culver City, CA  
SPE is a paying agent for theatrical royalties.
- 6) These are cash accounts.
- 7) These accounts are a retirement plan for the filer that were in a Giuliani Partners defined benefit plan before being moved to Bessemer Trust in 2007.
- 8) These accounts have been closed and moved to Bessemer Trust.
- 9) Changing Our World, Inc.  
New York, NY  
Changing Our World is a fundraising and philanthropic consulting firm.
- 10) This represents a defined benefit plan for the filer's spouse originally designed to provide an estimated benefit of \$8,600 per month at age 63. Funding ceased and the proceeds are in the process of being moved to a retirement account at Bessemer Trust.
- 11) This represents a tax free money market sweep which is comprised of a changing portfolio of cash and short-term, tax-free instruments.
- 12) This represents a one-half interest in accounts held in the name of Donna Hanover.

- 13) This represents a one-half interest in accounts held under the name Rudolph W. Giuliani and Donna Hanover.
- 14) This represents ownership of Omnicom stock held in an employee stock purchase program at Changing Our World.
- 15) This represents funds held in Mutual of America 401K plan from Changing Our World.
- 16) Income not readily ascertainable because the account does not pay dividends or interest. Rather, the value of the participants' holdings are adjusted quarterly.
- 17) As Chairman of the Advisory Board, the filer may elect to receive or defer a stipend of \$150,000 or designate another to make such election. Giuliani Partners LLC has been designated and elected to defer the stipend in favor of a profits interest in the fund. Neither Giuliani Partners nor the filer received any actual income from this event.
- 18) The filer established the Rudolph W. Giuliani Trust containing a one million dollar life insurance policy for the benefit of his children, with his former spouse as a contingent beneficiary. The trust is administered by an independent Trustee and the filer has no legal right or authority to access the net funds or loan value of the policy.
- 19) The filer's former spouse has established the Donna H. Giuliani Trust containing a one million dollar life insurance policy for the benefit of her children, with the filer as a contingent beneficiary. The trust is administered by an independent Trustee and the filer has no legal right or authority to access the net funds or loan value of the policy.
- 20) The filer established a defined benefit plan at Schwab that, effective January 2007, was scheduled to pay the filer a monthly benefit of \$7,500 at age 63. The plan is in termination and the funds were moved to the Bessemer accounts identified by note 7.
- 21) As a partner, the filer is entitled to an annual contribution of \$20,250 under a safe harbor program so long as he remains an active partner.
- 22) Pursuant to partnership agreement, the filer is a partner with a 30% equity interest and a guaranteed payment which is reviewed quarterly and subject to change. The current payment is \$200,000 per month, which is accruing and has not been paid. See also Note 1.
- 23) Pursuant to partnership agreement, the filer receives guaranteed payments of one million dollars per year and 7 ½% of the revenue of the New York office. See also Note 2.
- 24) Pursuant to New York City Administrative Code Section 12-126.3, former Mayors of New York City who attain the age of 62 are entitled to the same health insurance coverage that city employees and retirees receive pursuant to Section 12-126 of such code. The filer has not availed himself of this benefit.



25) The filer is a partner and either CEO or Chairman of each entity. The filer does not hold an office with the related companies listed in Note 1.

# Annex A--Rudolph W. Giuliani Form SF 278

Listed below are the organizations that retained the filer for speaking engagements in 2006 and 2007 through the Washington Speakers Bureau and the dates on which those speaking engagements occurred.\* For each engagement, the gross amount of the contract paid to Washington Speakers Bureau is listed followed by the net amount paid to the filer.

Appearance Date	Organization	Gross Fee <sup>(1)</sup>	Net Speaker Fee
01/20/2006	IDX Systems Corporation	\$100,000.00	\$80,000.00
01/22/2006	Guidant Sales Corporation	\$100,000.00	\$80,000.00
01/24/2006	IQPC	\$100,000.00	\$80,000.00
01/25/2006	Life Win, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
01/25/2006	Life Win, Inc. (Get Motivated Seminars)	\$25,000.00	\$20,000.00
01/31/2006	Freescall Semiconductor, Inc.	\$100,000.00	\$80,000.00
02/02/2006	TD Waterhouse Investor Services, Inc.	\$100,000.00	\$80,000.00
02/06/2006	Novartis Pharmaceuticals Corporation	\$60,000.00	\$48,000.00
02/07/2006	National Grocers Association	\$100,000.00	\$80,000.00
02/08/2006	Life Win, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
02/08/2006	Life Win, Inc. (Get Motivated Seminars)	\$25,000.00	\$20,000.00
02/11/2006	Edwards Lifesciences	\$100,000.00	\$80,000.00
02/16/2006	Lexus Southern Area Dealers	\$50,000.00	\$40,000.00
02/22/2006	Sir Dorabji Tata Trust	\$200,000.00	\$180,000.00
02/27/2006	Life Win, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
03/05/2006	Reed Exhibitions	\$50,000.00	\$40,000.00
03/07/2006	Shell Oil Products US	\$60,000.00	\$48,000.00
03/08/2006	Life Win, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
03/09/2006	P4 Healthcare	\$100,000.00	\$80,000.00
03/16/2006	TraceyLocke	\$50,000.00	\$40,000.00
03/21/2006	Help-U-Sell Real Estate	\$100,000.00	\$80,000.00
03/24/2006	Oklahoma State University	\$100,000.00	\$80,000.00
03/28/2006	Dunkin' Brands Inc.	\$100,000.00	\$80,000.00
03/29/2006	Life Win, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
03/30/2006	Barrick Gold Corporation care of Ogilvy Renault	\$50,000.00	\$40,000.00
03/31/2006	Credit Suisse	\$100,000.00	\$80,000.00
04/05/2006	Los Angeles Venture Association	\$100,000.00	\$80,000.00
04/11/2006	Financial Times Ltd.	\$200,000.00	\$160,000.00
04/19/2006	Life Win, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
04/21/2006	University of Western Ontario	\$120,000.00	\$100,000.00
04/24/2006	Nelson Levine deLuca & Horst	\$50,000.00	\$40,000.00
04/24/2006	PGA Tour, Inc. <sup>(2)</sup>	\$90,000.00	\$72,000.00
05/01/2006	Life Win, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
05/02/2006	SAP America, Inc.	\$100,000.00	\$80,000.00
05/04/2006	City of Winnipeg	\$120,000.00	\$100,000.00
05/07/2006	Shore Memorial Health Foundation	\$60,000.00	\$48,000.00
05/07/2006	Richmond Events, Inc.	\$50,000.00	\$40,000.00
05/09/2006	Ohio Chamber of Commerce	\$100,000.00	\$80,000.00
05/10/2006	RedPrairie Corporation	\$100,000.00	\$80,000.00
05/11/2006	MAILCOM	\$60,000.00	\$48,000.00
05/12/2006	Project Management Institute Mile Hi Chapter	\$100,000.00	\$80,000.00

# Annex A--Rudolph W. Giuliani Form SF 278

05/13/2006	General Motors	\$100,000.00	\$80,000.00
05/16/2006	Life Win, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
05/18/2006	Atlanta Journal Constitution	\$100,000.00	\$80,000.00
05/19/2006	Gail & Rice, Inc.	\$100,000.00	\$80,000.00
05/21/2006	Suffolk University	\$100,000.00	\$80,000.00
05/22/2006	Junior Achievement of Eastern MA, Inc.	\$100,000.00	\$80,000.00
05/23/2006	Merrill Lynch & Co., Inc.	\$100,000.00	\$80,000.00
05/24/2006	American Jewish Committee	\$50,000.00	\$40,000.00
05/25/2006	Financial Pacific Insurance Company	\$100,000.00	\$80,000.00
05/25/2006	Advertising Specialty Institute	\$50,000.00	\$40,000.00
05/31/2006	Saginaw County Chamber of Commerce	\$50,000.00	\$40,000.00
06/01/2006	Life Win, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
06/01/2006	Life Win, Inc. (Get Motivated Seminars)	\$25,000.00	\$20,000.00
06/02/2006	Council of Insurance Agents and Brokers	\$100,000.00	\$80,000.00
06/05/2006	Cloverlea Entertainment	\$100,000.00	\$80,000.00
06/06/2006	Cendant Corporation	\$100,000.00	\$80,000.00
06/07/2006	HSM Americas, Inc.	\$100,000.00	\$80,000.00
06/07/2006	HSM Americas, Inc.	\$5,000.00	\$4,000.00
06/09/2006	America's Health Insurance Plans	\$100,000.00	\$80,000.00
06/14/2006	Life Win, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
06/21/2006	Global Leaders Ltd.	\$200,000.00	\$160,000.00
06/27/2006	Life Win, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
06/28/2006	Bowling Proprietors' Association of America	\$100,000.00	\$80,000.00
07/07/2006	Assurant Health	\$50,000.00	\$40,000.00
07/21/2006	Merrill Lynch & Co., Inc.	\$100,000.00	\$80,000.00
07/25/2006	Asociacion E3 Futura	\$150,000.00	\$120,000.00
08/05/2006	Sports, Etcetera	\$100,000.00	\$80,000.00
08/05/2006	Ameriprise Financial	\$100,000.00	\$80,000.00
08/16/2006	Life Win, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
08/18/2006	Shaklee Corporation	\$100,000.00	\$80,000.00
08/29/2006	Life Win, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
09/01/2006	Steiner Sports Marketing	\$75,000.00	\$60,000.00
09/05/2006	Life Win, Inc. (Get Motivated Seminars)	\$50,000.00	\$40,000.00
09/06/2006	Life Win, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
09/07/2006	Masterplan, Inc.	\$55,000.00	\$44,000.00
09/09/2006	Allegheny Casualty International Fidelity		
09/09/2006	Associated Bond (AIA Holdings)	\$50,000.00	\$40,000.00
09/12/2006	HSM Americas, Inc.	\$10,000.00	\$8,000.00
09/12/2006	HSM Americas, Inc.	\$50,000.00	\$40,000.00
09/19/2006	National Beer Wholesalers Association	\$100,000.00	\$80,000.00
09/20/2006	Life Win, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
09/20/2006	World Affairs Council of Philadelphia	\$100,000.00	\$80,000.00
09/22/2006	Assist America	\$50,000.00	\$40,000.00
09/23/2006	Empire Entertainment, Inc.	\$50,000.00	\$40,000.00
09/29/2006	Iceland Telecom - Siminn	\$200,000.00	\$160,000.00
10/04/2006	Life Win, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
10/05/2006	International Sanitary Supply Association	\$100,000.00	\$80,000.00
10/09/2006	Life Win, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
10/16/2006	Institute for International Research Poland	\$200,000.00	\$160,000.00
10/23/2006	Healthways, Inc.	\$100,000.00	\$80,000.00
10/24/2006	HSM Deutschland GMBH	\$125,000.00	\$100,000.00

# Annex A--Rudolph W. Giuliani Form SF 278

10/26/2006	HSM Italia, S.R.L. UNIPERSONALE	\$125,000.00	\$100,000.00
10/31/2006	Life Win, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
11/08/2006	HSM Argentina S.A.	\$10,000.00	\$8,000.00
11/08/2006	HSM Argentina S.A.	\$125,000.00	\$100,000.00
11/11/2006	American Hotel & Lodging Association & Educational Institute	\$50,000.00	\$40,000.00
11/12/2006	Wilkes University	\$100,000.00	\$80,000.00
11/13/2006	Life Win, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
11/14/2006	McCreath Communications	\$100,000.00	\$80,000.00
11/14/2006	McCreath Communications	\$100,000.00	\$80,000.00
11/17/2006	Hindustan Times Group	\$200,000.00	\$160,000.00
11/20/2006	LaSalle Bank Corporation	\$100,000.00	\$80,000.00
12/01/2006	JPMorgan Chase & Company	\$50,000.00	\$40,000.00
12/06/2006	Future Tech Enterprise, Inc.	\$50,000.00	\$40,000.00
12/06/2006	Cambridge Strategic Management Group	\$50,000.00	\$40,000.00
03/13/2006	Forval Corporation	\$100,000.00	\$90,000.00
09/15/2006	Forval Corporation	\$150,000.00	\$135,000.00
12/12/2006	Softbrain Corporation	\$200,000.00	\$180,000.00
11/20/2005	Sage Capital Group <sup>(3)</sup>	\$300,000.00	\$270,000.00
01/09/2007	Commercial Mortgage Securities Association	\$100,000.00	\$80,000.00
01/10/2007	Needham and Company	\$50,000.00	\$40,000.00
01/22/2007	Ringling School Library Association Town Hall	\$150,000.00	\$120,000.00
01/22/2007	JPMorgan Securities Inc.	\$100,000.00	\$80,000.00
01/24/2007	Premier, Inc.	\$100,000.00	\$80,000.00
01/25/2007	Lehman Brothers	\$100,000.00	\$80,000.00
01/25/2007	LifeWin, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
01/26/2007	Quesada	\$50,000.00	\$40,000.00
01/31/2007	Armed Forces Communications and Electronics Association	\$100,000.00	\$80,000.00
02/03/2007	Leadership 100	\$90,000.00	\$72,000.00
02/08/2007	Association of Foreign Investors In Real Estate	\$50,000.00	\$40,000.00
02/09/2007	Quesada	\$50,000.00	\$40,000.00
02/14/2007	LifeWin, Inc. (Get Motivated Seminars)	\$100,000.00	\$80,000.00
02/14/2007	LifeWin, Inc. (Get Motivated Seminars)	\$25,000.00	\$20,000.00
	Total	\$11,390,000.00	\$9,195,000.00

\* The filer contracted for a speech on January 17, 2007 for the Associazione Calabria Pro Zambia: Bridge of Solidarity in Italy. The speech was completed but all funds were returned.

<sup>(1)</sup>This column represents the gross amount of fees paid for the filer's speaking engagements, including amounts retained by Washington Speakers Bureau as agent fees.

<sup>(2)</sup> The filer had a contract to speak at an event in Louisiana for the PGA Tour, Inc. Within one day of the appearance he donated \$80,000 in personal contributions to New Orleans charities addressing the aftermath of Hurricane Katrina including: For! Kids Foundation, St James AME Church, Catholic Charities Archdiocese of New Orleans, Friends of the New Orleans Fire Department, Dillard University and St. Dominic's Church.

<sup>(3)</sup> Washington Speakers Bureau did not receive payment until January 2006 and did not pay Mr. Giuliani until 2006 – this was a 2005 event.