Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT, SF 278
U.S. Office of Government Ethics (actual OGE facsimile attached)

[NOTE: This transcription was made necessary because Mr. Kappos *handwrote* this disclosure. Most Executive Branch disclosing attorneys handwrote their disclosures. Handwriting is much more difficult, if not impossible, for automatic scanning programs to index such documents for searching by the public. Attorneys know this. President Obama pledged greater transparency. Such conduct is inconsistent with that directive.]

Kappos, David J.

Position for Which Filing:
Undersecretary for IP, U.S. Patent Office
700 Dulany St., Alexandria VA 22313, 571-272-8600

Signature: ....David J. Kappos
Signature Date:..5/16/2010
Agency Reviewer Signature: 7/26/2010
Agency Ethics Official's Signature:................4/28/10
Office of Government Ethics Signature: 1/19/11
Agency Date Stamp: ....May 17 2010
OGE Date Stamp: ....Jul 30 2010

Serious Anomalies in David J. Kappos' disclosure:

1. Not readily accessible to watchdog sites.
2. It is handwritten, avoids transparent search indexing and discovery.
3. Kappos was quickly confirmed without public notice.
4. It scrambles transaction chronology (unscrambled in this transcription). *See* Nos. 27-60.
5. No Pro Bono Partnership salaries are disclosed. *See* No. 23.
6. No disclosure of the sale amount of his property. *See* No. 54.
7. Kappos' disorganized presentation is evidently intended to mask his plan to sell between $450,000 and $1,315,000 in IBM stock, and then to purchase between $516,000 and $1,115,000 in Vanguard Funds **AFTER** his hasty confirmation.
8. Purchase of only Vanguard Funds telegraphs a possible insider tip.
9. Vanguard was/is allied with Facebook cronies.
10. Vanguard became heavily invested in Facebook before the IPO.
11. The timing of Facebook's filing of the 1st of now 3 patent reexaminations, telegraphs possible collusion.
12. A former attorney for Facebook lawyer, White & Case LLP -- Kathryn W. Siehndel, -- is currently obstructing FOIA requests as the USPTO FOIA Officer.

SCHEDULE A: Assets and Income:

[Legend: LYK=Leslie Y. Kappos, wife
DJK=David J. Kappos]

1.	Meridian Growth Fund	[MERDX]	$50,001-100,000
2.	Rydex NASDAQ 100 Fund	[RYOCX]	$50,001-100,000
3.	Vanguard Total Stock Market LYK IRA	[VTSMX]	$100,001-250,000
4.	Vanguard European Stock Index LYK IRA	[VEURX]	$15,001-50,000
5.	Vanguard International Growth LYK IRA	[VWIGX]	$15,001-50,000
6.	Vanguard Target Retirement LYK IRA	[VTINX]	$250,001-500,000
7.	Vanguard European Stock Fund DJK IRA	[Vanguard FTSE Europe ETF]	$50,001-100,000
8.	Vanguard Int'l Growth DJK IRA	[VWIGX]	$100,001-250,000
9.	Vanguard Mid-Cap Fund DJK IRA	[VMCIX]	$50,001-100,000
10.	Vanguard Total Stock Market DJK IRA	[VTSMX]	$250,001-500,000
11.	Vanguard Prime Money Market DJK IRA	[VMMXX]	$100,001-250,000
12.	Vanguard Small Cap Fund DJK IRA	[VISVX]	$100,001-250,000
13.	Vanguard Prime Money Market	[VMMXX]	$500,001-1,000,000
14.	Vanguard Total Stock Market	[VTSMX]	$15,001-50,000
15.	Vanguard GNMA	[VFIIX]	$1,001-15,000
16.	Metlife MSF FOF Conservative (S)		$1,001-15,000
17.	Metlife MSF FOF Con to Moderate (S)		$1,001-15,000
18.	Dodge & Cox Int'l Stock Fd	[DODFX]	$15,001-50,000
19.	Vacation Rental Home, Tenants Harbor ME		$1,000,001-$5,000,000
20.	Residential Rental Property, Westport CT		$1,000,001-$5,000,000
21.	First Republic Bank Checking		$15,001-50,000
22.	Residential Rental Property, White Plans NY		$1,000,001-$5,000,000
23.	Pro Bono Partnership(s)* (*per previous report)		Salary [no disclosure]
24.	Interest on Loan to Wayne Crockett		$0-1,000
25.	Baron Partners Fund	[BPTRX]	$50,001-100,000
26.	IBM Personal Pension Plan [unintelligible]		$250,001-500,000

SCHEDULE B, Part I: Transactions

["IBM Common Stock .... [deleted content]"]
[This content has been reorganized according to the date of the transactions, along with context dates.]

27. [Pres. Obama announces intent to nominate Kappos] .... 06/18/2009]
28. [Kappos Senate Confirmation Hearing .... 07/29/2009] (no disclosure of transactions below)
29. [Kappos Confirmed .... 08/07/2009] .... (no public notice)
30. Exercise IBM Stock Options/Grants .... Sale .... 08/19/2009 .... $100,001-250,000
31. Exercise IBM Stock Options/Grants .... Sale .... 08/24/2009 .... $100,001-250,000
32. Exercise IBM Stock Options/Grants .... Sale .... 09/11/2009 .... $15,001-50,000
33. Exercise IBM Stock Options/Grants .... Sale .... 09/16/2009 .... $15,001-50,000
34. Exercise IBM Stock Options/Grants .... Sale .... 10/07/2009 .... $15,001-50,000
35. Exercise IBM Stock Options/Grants .... Sale .... 10/09/2009 .... $1,001-15,000
36. Exercise IBM Stock Options/Grants .... Sale .... 10/09/2009 .... $50,001-100,000
37. Exercise IBM Stock Options/Grants .... Sale .... 10/09/2009 .... $100,001-250,000
38. Exercise IBM Stock Options/Grants .... Sale .... 10/14/2009 .... $50,001-100,000
39. Hogan & Hartson 401(K) Kaminsky Fund .... Sale .... 10/15/2009 .... $50,001-100,000
40. IBM 401(K) Total Stock Market Index .... Sale .... 10/20/2009 .... $100,001-250,000
41. IBM 401(K) Small Cap Value .... Sale .... 10/20/2009 .... $100,001-250,000
42. IBM 401(K) Int'l Stock Market .... Sale .... 10/20/2009 .... $50,001-100,000
43. IBM 401(K) Aggressive Life Strategy .... Sale .... 10/20/2009 .... $100,001-250,000
44. IBM 401(K) Small Cap Index .... Sale .... 10/20/2009 .... $15,001-50,000
45. IBM 401(K) European Stock Index .... Sale .... 10/20/2009 .... $15,001-50,000
46. IBM 401(K) Stable Value Mutual Fund .... Sale .... 10/20/2009 .... $15,001-50,000
47. Vanguard European Stock Index [VEURX]* .... Purchase ... 10/27/2009 .... $50,001-100,000
48. Vanguard International Growth [VWIGX]* .... Purchase ... 10/27/2009 .... $50,001-100,000
49. Vanguard Mid-Cap Fund [VMCIX]* .... Purchase ... 10/27/2009 .... $15,001-50,000
50. Vanguard Small Cap Value Index [VISVX]* .... Purchase ... 10/27/2009 .... $50,001-100,000
51. Vanguard Total Stock Market Index [VTSMX]* ...... Purchase ... 10/27/2009 .... $100,001-250,000
52. Vanguard Prime Money Market [VMMXX]* .... Purchase ... 10/27/2009 .... $1,001-15,000
53. Vanguard Target Retirement [VTINX]* .... Purchase ... 10/---/2009 .... $250,001-500,000
54. Sold House – investment property through
CBH Partnership loss of $100,000 .... Sale .... 11/---/2009 .... [No Sale Price disclosed][1]

55. [**Facebook files 1st Reexam against Leader Technologies........ 11/13/2009**

Facebook's attorneys, White & Case LLP, Cooley Godward LLP, Heidi Keefe, Michael Rhodes, Mark Weinstein, Jeffrey Norberg did not time this re-exam as a litigation tactic, since *Leader v. Facebook* was already a year old, and was close to the critical Markman Hearing (where Facebook's arguments failed). However, the intent appears to have been for Kappos to personally oversee the Leader patent reexamination process in order to ensure that the Patent Office would *kill off* Leader's patent by secret fiat. Judge Stephen C. Siu, who Kappos assigned, is a former employee of Microsoft, one of Facebook's largest stakeholders. USPTO FOIA Officer, currently stonewalling FOIA requests, is a former White & Case LLP attorney, Kathryn W. Siehndel.]

56. Cash Out IBM NonQualified Pension Plan .... Sale .... 11/16/2009 .... $15,001-50,000
57. Rydex SGI [Rydex|SGI] .... Purchase ... 01/19/2010 .... $1,001-15,000
58. Baron Partners Fund [BPTRX] .... Purchase ... 01/19/2010 .... $1,001-15,000
59. Dodge & Cox Int'l Stock Fund [DODFX] .... Purchase ... 01/19/2010 .... $1,001-15,000
60. Meridian Growth Fund [MERDX .... Purchase ... 01/19/2010 .... $1,001-15,000

* marked as "IRA Rollover"

[1] Kappos' three (3) properties are valued between $1-5 million each. *See* Nos. 19, 20, 22.

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

Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Form Approved:
OMB No. 3209 - 0001

Date of Appointment, Candidacy, Election, or Nomination *(Month, Day, Year)*	
Reporting Status (Check Appropriate Boxes)	Incumbent [X] — Calendar Year Covered by Report: 2009 — New Entrant, Nominee, or Candidate [ ] — Termination Filer [ ] — Termination Date *(If Applicable) (Month, Day, Year)*:
Reporting Individual's Name	Last Name: Kappos — First Name and Middle Initial: David
Position for Which Filing	Title of Position: Undersecretary for IP — Department or Agency *(If Applicable)*: USPTO
Location of Present Office (or forwarding address)	Address *(Number, Street, City, State, and ZIP Code)*: 700 Dulaney St, Alexandria VA 22313 — Telephone No. *(Include Area Code)*: 571-272-8600
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 [ ] 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: David J. Kappos — Date *(Month, Day, Year)*: 5/16/2010
Other Review (If desired by agency)	Signature of Other Reviewer: [signature] — Date *(Month, Day, Year)*: 4/24/2010 7/28/10
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)*: 4/28/10
Office of Government Ethics Use Only	Signature: 8/10/10 [signature] OCFOR WC — Date *(Month, Day, Year)*: 1/19/11

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 ______) [ ]

(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.

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VWS 5/17/10 MAY 17 2010

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JUL 30 2010

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Reporting Individual's Name: David J. Kappos

SCHEDULE A

Page Number: 2

Assets and Income (BLOCK A)

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

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

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 (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	Meridian Growth Fund				X									✓							✓												
2	Rydex NASDAQ 100 Fund				X									✓							✓												
3	Vanguard Total Stock Market LYK IRA					X								✓							✓												
4	Vanguard European Stock Index LYK IRA			X										✓							✓												
5	Vanguard International Growth LYK IRA			X										✓							✓												
6	Vanguard Target Retirement LYK IRA						X							✓							✓												

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

Prior Editions Cannot Be Used.

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Reporting Individual's Name: David J. Kappos

SCHEDULE A continued
(Use only if needed)

Page Number: 3

#	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	Vanguard European Stock Fund DJK IRA				X									✓		
2	Vanguard Intl Growth DJK-IRA					X								✓		
3	Vanguard Mid-Cap Fund DJK-IRA				X									✓		
4	Vanguard Total Stock Market DJK IRA						X							✓		
5	Vanguard Prime Money Market DJK IRA					X								✓		
6	Vanguard Small Cap Fund DJK IRA					X								✓		
7	MetLife MSF FOF 403(b)* (Conservative CS)		X											✓		
8	MetLife MSF FOF (Con 403(b)* to Moderate CS)		X											✓		
9																

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

#	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					✓												
2					✓												
3					✓												
4					✓												
5					✓												
6					✓												
7					✓												
8					✓												
9																	

* 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.

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* Asset was inadvertently left off last year's report (per [illegible] on 3/5/10)*

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U.S. Office of Government Ethics

Reporting Individual's Name: David J. Kappos

SCHEDULE A

Page Number: 4

Assets and Income

BLOCK A

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

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

None ☐

Valuation of Assets at close of reporting period

BLOCK B

#	Asset	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
Examples	Central Airlines Common				x											
Examples	Doe Jones & Smith, Hometown, State			x												
Examples	Kempstone Equity Fund					x								x		
Examples	IRA: Heartland 500 Index Fund							x						x		
1	Dodge & Cox INT'L STOCK FD 21			X										✓		
2	Vanguard Prime Money Market							X						✓		
3	Vanguard Total Stock Market			X										✓		
4	Vanguard GNMA		X											✓		
5	Vacation Rental Home - Tenants Harbor ME									X						
6	Residential Rental Property Westport CT									X						

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

#	Asset	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										
Examples	Doe Jones & Smith, Hometown, State																Law Partnership Income $130,000	
Examples	Kempstone Equity Fund								x									
Examples	IRA: Heartland 500 Index Fund									x								
1	Dodge & Cox INT'L STOCK FD 21					✓												
2	Vanguard Prime Money Market					✓												
3	Vanguard Total Stock Market					✓												
4	Vanguard GNMA					✓												
5	Vacation Rental Home - Tenants Harbor ME		X							X								
6	Residential Rental Property Westport CT		X									X						

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

Prior Editions Cannot Be Used.

per filer on 7/5/2010

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Reporting Individual's Name: David J. Kappos

SCHEDULE A continued
(Use only if needed)

Page Number: 5

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

#	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	First Republic Bank checking			X																	✓												
2	Residential Rental Property White Plains NY									X								X								X							
3	Pro Bono Partnership (SJ)*																															Salary	
4	Interest on Loan to Wayne Crowell	X																															
5	Baron Partners Fund				X									X							X												
6	IBM Personal Pension Plan (benefit)						X														X												
7																																	
8																																	
9																																	

* 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.

Prior Editions Cannot Be Used.

pa filer 8/5/2010
pa filer 8/26/2010

* per previous reports. [illegible] 8/18/10

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

Reporting Individual's Name: David J. Kappos

SCHEDULE B

Page Number 6

Part I: Transactions

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

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

None ☐

	Identification of Assets	Transaction Type (x): Purchase	Sale	Exchange	Date (Mo., Day, Yr.)	Amount of Transaction (x): $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	IBM Common Stock		✓			✓											
2	Hogan & Hartson 401(k) Kaminsky Fund		X		10/15/09			X									
3	IBM 401K Total Stock Market Index		X		10/20/09				X								
4	IBM 401K Small Cap Value		X		10/20/09				X								
5	IBM 401K Int'l Stock Market		X		10/20/09			X									

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

Part II: Gifts, Reimbursements, and Travel Expenses

For you, your spouse and dependent children, report the source, a brief description, and the value of: (1) gifts (such as tangible items, transportation, lodging, food, or entertainment) received from one source totaling more than $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
1				
2				
3				
4				
5				

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

Reporting Individual's Name: David J. Kappos

SCHEDULE B continued
(Use only if needed)

Part I: Transactions

#	Identification of Assets	Transaction Type (x): Purchase	Sale	Exchange	Date (Mo., Day, Yr.)	Amount of Transaction (x): $1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000*	Certificate of divestiture
1	IBM 401K Aggressive Life Strategy		X		10/20/09				X								
2	IBM 401K Small Mid Cap Index		X		10/20/09		X										
3	IBM 401K European Stock Index		X		10/20/09		X										
4	IBM 401K Stable Value Mutual Fund		X		10/20/09		X										
5	Rydex SGI	X			1/19/2010	X											
6	Baron Partners Fund	X			1/19/2010	X											
7	Dodge & Cox Intl Stock Fund	X			1/19/2010	X											
8	Meridian Growth Fund	X			1/19/2010	X											
9	Vanguard European Stock Index - IRA Rollover	X			10/27/09			X									
10	Vanguard International Growth - IRA Rollover	X			10/27/09			X									
11	Vanguard Mid-Cap Growth - IRA Rollover	X			10/27/09		X										
12	Vanguard Small-Cap Value Index - IRA Rollover	X			10/27/09			X									
13	Vanguard Total Stock Market Index - IRA Rollover	X			10/27/09				X								
14	Vanguard Prime Money Market IRA Rollover	X			10/28/09	X											
15	Vanguard Target Retirement - IRA Rollover	X			10/09					X							
16	Cash Out IBM Non Qualified Pension Plan		X		11/16/09		X										

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

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

Reporting Individual's Name: David J. Kappos

SCHEDULE B continued
(Use only if needed)

Page Number 8

Part I: Transactions

#	Identification of Assets	Transaction Type (x): Purchase	Sale	Exchange	Date (Mo., Day, Yr.)	Amount of Transaction (x): $1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	Over $1,000,000*	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Certificate of divestiture
1	Exercise IBM stock options/grants		X		8/19/09				X								
2	Exercise IBM stock options/grants		X		8/24/09				X								
3	Exercise IBM stock options/grants		X		9/11/09		X										
4	Exercise IBM stock options/grants		X		9/16/09		X										
5	Exercise IBM stock options/grants		X		10/07/09		X										
6	Exercise IBM stock options/grants		X		10/09/09	X											
7	Exercise IBM stock options/grants		X		10/09/09			X									
8	Exercise IBM stock options/grants		X		10/09/09				X								
9	Exercise IBM stock options/grants		X		10/14/09			X									
10	Sold House - investment property through CBH Partnership		X		11/09												
11	loss of $400,000																
12																	
13																	
14																	
15																	
16																	

*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.

Prior Editions Cannot Be Used.

David J. Kappos

SCHEDULE C

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	$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	~~[illegible]~~ GMAC	Mortgage on rental property, ~~[illegible]~~ Connecticut	2004 ~~1999~~	4.25%	30						X					
2	First Republic	Mortgage on Rental property, ~~White~~ Plains NY	2007	5.3	30						X					
3	First Republic	mortgage on vacation home, Tenants Harbor ME	2009	4.5	30					X						
4																
5																

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

Part II: Agreements or Arrangements

Report your agreements or arrangements for: (1) continuing participation in an employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves of absence; and (4) future employment. See instructions regarding the reporting of negotiations for any of these arrangements or benefits.

None ☐

	Status and Terms of any Agreement or Arrangement	Parties	Date
Example	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	Doe Jones & Smith, Hometown, State	7/85
1	IBM Personal Pension plan	IBM	6/99
2			
3			
4			
5			
6			

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Reporting Individual's Name		Page Number
David J. Kappos	SCHEDULE D	10

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 [X]

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

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

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

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.

None [X]

	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		

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