

**UNITED STATES HOUSE OF REPRESENTATIVES
CALENDAR YEAR 2012 FINANCIAL DISCLOSURE STATEMENT**

FORM A Page 1 of 25
For use by Members, officers, and employees

HAND DELIVERED MC

LEGISLATIVE RESOURCE CENT.
2013 MAY 15 PM 4:13
(Office Use Only)

Frank Pallone, Jr.
(Full Name)

(Daytime Telephone)

Filer Status

Member of the U.S. House of Representatives
State: NJ
District: 6

Officer Or Employee
Employing Office:

Report Type

Annual (May 15) Amendment Termination

Termination Date:

A \$200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

| | |
|---|---|
| <p>I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule I.</p> | <p>VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$350 and not otherwise exempt)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VI.</p> |
| <p>II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule II.</p> | <p>VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$300 from one source)? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VII.</p> |
| <p>III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule III.</p> | <p>VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule VIII.</p> |
| <p>IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule IV.</p> | <p>IX. Did you have any reportable agreement or arrangement with an outside entity? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> If yes, complete and attach Schedule IX.</p> |
| <p>V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> If yes, complete and attach Schedule V.</p> | <p>Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.</p> |

IPO and EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

| | | |
|---------------------|--|---|
| IPO-- | Did you purchase any shares that were allocated as a part of an Initial Public Offering? | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> |
| Trusts-- | Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> |
| Exemptions-- | Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics. | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> |

SCHEDULE I - EARNED INCOME

Name Frank Pallone, Jr.

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List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

| Source | Type | Amount |
|-------------------------|--------------------------------|----------|
| US EPA | Spouse salary | N/A |
| Excutor of Family Trust | Executor Fee 08/2009 - 03/2012 | \$34,945 |

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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| <p align="center">BLOCK A</p> <p align="center">Asset and/or Income Source</p> <p>Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.</p> <p>Provide complete names of stocks and mutual funds (do not use ticker symbols.)</p> <p>For all IRAs and other retirement plans (such as 401(k) plans) provide the value for each asset held in the account that exceeds the reporting thresholds.</p> <p>For rental or other real property held for investment, provide a complete address or a description, e.g., "rental property," and a city and state.</p> <p>For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.</p> <p>Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or saving accounts; and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan.</p> <p>If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optional column on the far left.</p> <p>For a detailed discussion of Schedule III requirements, please refer to the instruction booklet.</p> | <p align="center">BLOCK B</p> <p align="center">Year-End Value of Asset</p> <p>Indicate value of asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used.</p> <p>If an asset was sold during the reporting year and is included only because it generated income, the value should be "None."</p> <p>* This column is for assets held solely by your spouse or dependent child.</p> | <p align="center">BLOCK C</p> <p align="center">Type of Income</p> <p>Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.</p> | <p align="center">BLOCK D</p> <p align="center">Amount of Income</p> <p>For assets for which you checked "Tax-Deferred" in Block C, you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.</p> <p>* This column is for income generated by assets held solely by your spouse or dependent child.</p> | <p align="center">BLOCK E</p> <p align="center">Transaction</p> <p>Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</p> | |
|---|--|--|---|--|---------|
| SP | AIM Invt Secs Funds Invesco Invt Secs Funds Global Real Estate Fund CL Y (ARGYX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Altria Group, Inc. (MO) (Margin) (Trust) | \$1,001 - \$15,000 | DIVIDENDS | \$201 - \$1,000 | |
| | Altria Group, Inc. (MO) (Margin)(Trust) | \$1,001 - \$15,000 | CAPITAL GAINS | \$1 - \$200 | |
| DC | American Century Invt Trust Diversified Bond Fund Instl (ACBPX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | S(part) |
| DC | American Century Invt Trust Diversified Bond Fund Instl (ACBPX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | S(part) |

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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|----|---|-------------------------|--------------------------------|-----------------|----------|
| DC | American Century Invt Trust Diversified Bond Fund Instl (ACBPX) | \$1,001 - \$15,000 | DIVIDENDS/CAP ITAL GAINS | \$1 - \$200 | S(part) |
| DC | American Century Mutual Funds Growth Fund Instl (TWGIX) | \$1,001 - \$15,000 | DIVIDENDS/CAP ITAL GAINS | \$1 - \$200 | S(part) |
| DC | Artisan Funds Inc Small Cap Value Fund (ARTVX) | \$1,001 - \$15,000 | DIVIDENDS/CAP ITAL GAINS | \$1 - \$200 | PS(part) |
| DC | Artisan Funds Inc Small Cap Value Fund (ARTVX) | \$1,001 - \$15,000 | DIVIDENDS/CAP ITAL GAINS | \$1 - \$200 | PS(part) |
| DC | Artisan Funds Inc. SmallCap Value Fund (ARTVX) | \$1,001 - \$15,000 | CAPITAL GAINS/DIVIDEN DS | \$1 - \$200 | PS(part) |
| SP | Blair Williams Funds Intl Growth Fund CL I (BIGIX) | \$1,001 - \$15,000 | DIVIDENDS | \$201 - \$1,000 | |
| | Chase Bank Acct, Long Branch, NJ | \$50,001 - \$100,000 | INTEREST | \$201 - \$1,000 | |
| | Chevron Corporation (CVX) (Margin)(Trust) | None | CAPITAL GAINS | \$201 - \$1,000 | |
| SP | Chevron Corporation (CVX) (Margin)(Trust) | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000 | |
| SP | Citigroup Inc New CL (C) (Margin)(Trust) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Delaware Group Equity Funds II - Value Fund Instl (DDVIX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | P |
| SP | Delaware Group Equity Funds II Value FD Instl (IRA)(DDVIX) | \$1,001 - \$15,000 | None | NONE | P |
| SP | Disney, Walt Company (DIS) | \$1,001 - \$15,000 | DIVIDENDS | \$201 - \$1,000 | |

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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| | | | | | |
|----|--|-----------------------|-----------------------------|-----------------|----------|
| DC | Dodge & Cox Funds International Stock Fund (DODFX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | P |
| DC | Dodge & Cox Funds International Stock Fund (DODFX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | PS(part) |
| DC | Dodge & Cox Funds International Stock Fund (DODFX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | PS(part) |
| SP | Dominion Resources Inc VA New (D) (Margin)(Trust) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| | Dominion Resources Inc VA New (D) Margin)(Trust) | None | CAPITAL GAINS | \$201 - \$1,000 | |
| SP | Dreyfus Appreciation Fund Inc (DGAGX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| DC | Dreyfus Emerging Markets Fund CL I (DRPEX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | PS(part) |
| DC | Dreyfus Emerging Markets Fund CL I (DRPEX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | PS(part) |
| DC | Dreyfus Emerging Markets Fund CL I (DRPEX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | PS(part) |
| SP | DWS Value Ser Incom Small Cap Value Fund CL S (KDSSX) | \$1,001 - \$15,000 | DIVIDENDS/CAP ITAL GAINS | \$1 - \$200 | |
| SP | Eagle Small Cap Growth Fund CL I (HSIIX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| DC | Eaton Vance Large Cap Value Fund CL I (EILVX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| DC | Eaton Vance Large Cap Value Fund CL I (EILVX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | PS(part) |

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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|----|---|---------------------|-------------------------|-------------------|---|
| DC | Eaton Vance Large Cap Value Fund CL I (EILVX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| DC | Eaton Vance Ser II Income Fund Boston CL I (EIBIX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| DC | Eaton Vance Ser II Income Fund Boston CL I (EIBIX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| DC | Eaton Vance Ser II Income Fund Boston CL I (EIBIX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Energy Select Sector SPDR (XLE) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | P |
| | Federated Kaufmann Fund CL A (KAUAX) (Margin)(Trust) | \$1,001 - \$15,000 | CAPITAL GAINS | \$201 - \$1,000 | |
| SP | Federated Kaufmann Fund CL A (KAUAX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$201 - \$1,000 | |
| SP | Financial Select Sector SPDR (XLF) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | P |
| DC | First Eagle Funds SOGEN Overseas Fund CL I (SGOIX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| DC | First Eagle Funds SOGEN Overseas Fund CL I (SGOIX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| DC | First Eagle Funds SOGEN Overseas Fund CL I (SGOIX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| SP | First Eagle Funds SOGEN Overseas Fund CL I (SGOIX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$201 - \$1,000 | |
| SP | General Electric Company (GE) | \$15,001 - \$50,000 | DIVIDENDS | \$1,001 - \$2,500 | |
| SP | Hancock, John Cap Ser Classic Value Fund CL I (JCVIX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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|----|---|--------------------|-------------------------|-----------------|--|
| DC | Harbor Fund Cap Appreciation Fund Instl (HACAX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| DC | Harbor Fund Cap Appreciation Fund Instl (HACAX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| DC | Harbor Fund Cap Appreciation Fund Instl (HACAX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Harbor Fund Intl Fund Instl (HAINX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| DC | Harris Assoc Invt Trust Oakmark Equity & Income Fund CL I (OAKBX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| DC | Harris Assoc Invt Trust Oakmark Equity & Income Fund CL I (OAKBX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| DC | Harris Assoc Invt Trust Oakmark Equity & Income Fund CL I (OAKBX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| SP | Hotchkis & Wiley Funds Mid Cap Value Fund CL I (HWMIX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| | Income Fund America Inc CL A (AMECX) (Margin) (Trust) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Income Fund America Inc CL A (AMECX) (Margin)(Trust) | \$1,001 - \$15,000 | DIVIDENDS | \$201 - \$1,000 | |
| SP | Industrial Select SPDR (XLI) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Int'l Bus Machine Corp | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Ishares Barclays 1-3 Year Credit Bond Fund (CSJ) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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|----|---|--------------------|-------------------------|-------------|--|
| SP | Ishares Barclays 3-7 Year Treasury Bond Fund (IEI) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Ishares Barclays 7-10 Year Treasury Bond Fund (IEF) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Ishares Barclays Intermediate Credit Bond Fund (CIU) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Ishares Barclays MBS Bond Fund (MBB) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Ishares Core S&P MidCap 400 Index Fund (IJH) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Ishares Core S&P Small Cap 600 Index Fund (IJR) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Ishares IBOXX \$ Yield Corporate Bond Fund (HYG) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Ishares IBOXX Inv Grade Corp Bond Fund (LQD) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Ishares JP Morgan Emerging Markets Bond Fund (EMB) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Ishares MSCI Indonesia Investable Market | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Ishares MSCI Malaysia Index Fund Webs | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Ishares MSCI Mexico Capped Investable Market Index Fund (EWW) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| SP | Ishares MSCI S Korea WEBS Index Fund WEBS Index Series (EWY) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Ishares MSCI United Kingdom Index Fund | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |

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|----|--|---------------------|-------------------------|-------------------|---------|
| SP | Ishares S&P North America Tech Networking Index | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| DC | Janus Invt Fund Flexible Bond Fund CL I (JFLEX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| DC | Janus Invt Fund Flexible Bond Fund CL I (JFLEX) | \$1 - \$1,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | S(part) |
| DC | Janus Invt Fund Flexible Bond Fund CL I (JFLEX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| SP | JP Morgan Chase 8.625% Non-Cum Perpetual Mat Callable Start 09/01/13 (JMP'I) (Trust) | \$1,001 - \$15,000 | DIVIDENDS | \$201 - \$1,000 | |
| DC | JP Morgan Core Bond Fund Select (WOBDX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| DC | JP Morgan Core Bond Fund Select (WOBDX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$201 - \$1,000 | |
| DC | JP Morgan Core Bond Fund Select (WOBDX) | \$1 - \$1,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| SP | Keeley Funds Inc Small Cap Value Fund CL I SHRS (KSCIX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Kraft Food Group (KRFT) (Margin) (Trust) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| | Kraft Food Group (KRFT) (Margin)(Trust) | None | CAPITAL GAINS | \$201 - \$1,000 | |
| SP | Lauder, Estee Cos., Inc. CL A (EL) | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000 | |
| SP | Legg Mason Value Trust Inc. Navigator Value Trust (LMNVX) | \$1,001 - \$15,000 | None | NONE | |
| SP | Lord Abbett Investment Trust Short Duration Income CL F (LDLFX) | \$15,001 - \$50,000 | DIVIDENDS/CAPITAL GAINS | \$1,001 - \$2,500 | |

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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|----|---|--------------------------|--------------------------------|-----------------|--|
| | Lord Abbett Investment Trust Short Duration Income CL F (LDLFX) (Trust) | \$1,001 - \$15,000 | DIVIDENDS/CAP ITAL GAINS | \$201 - \$1,000 | |
| SP | Mainstay Large Cap Growth Fund CL I (MLAIX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Managers AMG Funds TimesSquare Mid Cap Growth Fund Premiere (TMDPX) | \$1,001 - \$15,000 | CAPITAL GAINS | \$201 - \$1,000 | |
| SP | Merrill Lynch Sweep Acct | \$250,001 - \$500,000 | INTEREST | \$1 - \$200 | |
| | Merrill Lynch Sweep Acct. | \$50,001 - \$100,000 | INTEREST | \$1 - \$200 | |
| SP | Mondelez Intl, Inc. (MDLZ) (Margin)(Trust) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Morgan Stanley Instl Fund Trust Mid Cap Growth Fund CL I (MPEGX) | \$1,001 - \$15,000 | CAPITAL GAINS/DIVIDEN DS | \$1 - \$200 | |
| DC | Nuveen Invt Funds Inc Real Estate Secs Fund CL 1 (FARCX) | \$1,001 - \$15,000 | DIVIDENDS/CAP ITAL GAINS | \$1 - \$200 | |
| DC | Nuveen Invt Funds Inc Real Estate Secs Fund CL 1 (FARCX) | \$1,001 - \$15,000 | DIVIDENDS/CAP ITAL GAINS | \$1 - \$200 | |
| DC | Nuveen Invt Funds Inc Real Estate Secs Fund CL I (FARCX) | \$1,001 - \$15,000 | CAPITAL GAINS/DIVIDEN DS | \$1 - \$200 | |
| | Nuveen Municipal Trust High Yield Municipal Bond Fund CL A (NHMAX) (Margin) (Trust) | \$1,001 - \$15,000 | DIVIDENDS | \$201 - \$1,000 | |
| SP | Nuveen Municipal Trust High Yield Municipal Bond Fund CL A (NHMAX) (Margin)(Trust) | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000 | |

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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| | | | | | |
|----|--|---------------------|-------------------------|-------------------|--|
| SP | Oppenheimer Dev Markets CL Y (ODVYX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| | Philip Morris International Inc. (PM) (Margin)(Trust) | None | CAPITAL GAINS | \$1,001 - \$2,500 | |
| SP | Philip Morris International, Inc. (PM) (Margin)(Trust) | \$15,001 - \$50,000 | DIVIDENDS | \$1 - \$200 | |
| SP | PIMCO Funds Pac Invt Management Ser - Commodity Real Return Strat Fund Instl (PCRIX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| DC | PIMCO Funds Pac Invt Management Ser - Commodity Real Return Strat Fund Instl (PCRIX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| DC | PIMCO Funds Pac Invt Management Ser - Commodity Real Return Strat Fund Instl (PCRIX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| DC | PIMCO Funds Pac Invt Management Ser - Commodity Real Return Strat Fund Instl (PCRIX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| DC | PIMCO Funds Pac Invt Management Ser Total Return Fund (Instl (PTTRX)) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| DC | PIMCO Funds Pac Invt Management Ser Total Return Fund Instl (PPTRX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| DC | PIMCO Funds Pac Invt Management Ser Total Return Instl (PPTRX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$201 - \$1,000 | |

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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|----|--|-----------------------|-------------------------|----------------------|--|
| DC | Pioneer Ser Trust I Pioneer Oak Ridge Small Cap Growth Fund CL Y (ORIYX) | \$1,001 - \$15,000 | CAPITAL GAINS | \$1 - \$200 | |
| DC | Pioneer Ser Trust I Pioneer Oak Ridge Small Cap Growth Fund CL Y (ORIYX) | \$1,001 - \$15,000 | CAPITAL GAINS | \$1 - \$200 | |
| DC | Pioneer Ser Trust I Pioneer Oak Ridge Small Cap Growth Fund CL Y (ORIYX) | \$1,001 - \$15,000 | CAPITAL GAINS | \$1 - \$200 | |
| SP | Powershares EM Mar SOV DEPT (PCY) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| | Real Estate, Long Branch, NJ. M. Pallone Estate (half interest) | \$250,001 - \$500,000 | None | NONE | |
| DC | Rose Marie Hospodor IRA Trust | \$250,001 - \$500,000 | EXCEPTED TRUST | \$50,001 - \$100,000 | |
| DC | Rose Marie Hospodor IRA Trust | \$250,001 - \$500,000 | EXCEPTED TRUST | NONE | |
| DC | Rose Marie Hospodor IRA Trust | \$250,001 - \$500,000 | EXCEPTED TRUST | NONE | |
| SP | RS Invt Trust Emerging Markets Fund CL Y (RSENX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Russell Emerging Markets CL S (REMSX) | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000 | |
| SP | Russell Global Equity CL S (RGESX) | \$50,001 - \$100,000 | DIVIDENDS | \$201 - \$1,000 | |
| SP | Russell Intl Developed Markets Fund CL S (RINTX) | \$50,001 - \$100,000 | DIVIDENDS | \$1,001 - \$2,500 | |
| SP | Russell Invt Co Global Infrastructure Fund CL S (RGISX) | \$15,001 - \$50,000 | DIVIDENDS/CAPITAL GAINS | \$201 - \$1,000 | |

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|----|---|-----------------------|-------------------------|-------------------|--|
| SP | Russell Invst Co Global Opportunistic CR Fund CL S (RGCSX) | \$15,001 - \$50,000 | DIVIDENDS/CAPITAL GAINS | \$201 - \$1,000 | |
| SP | Russell Invst Co Global Real Estate Sec Fund CL S (RRESX) | \$15,001 - \$50,000 | CAPITAL GAINS/DIVIDENDS | \$201 - \$1,000 | |
| SP | Russell Invst Co US Strategic Equity Fund CL S (RSESX) | \$100,001 - \$250,000 | CAPITAL GAINS/DIVIDENDS | \$201 - \$1,000 | |
| SP | Russell Strategic BO CL S (RFCTX) | \$100,001 - \$250,000 | DIVIDENDS/CAPITAL GAINS | \$2,501 - \$5,000 | |
| SP | Russell US Small Cap Equity Fund CL S (RLESX) | \$15,001 - \$50,000 | CAPITAL GAINS/DIVIDENDS | \$1 - \$200 | |
| SP | Security Equity Fund Mid Cap Value Ser CL A (SEVAX) | \$1,001 - \$15,000 | CAPITAL GAINS | \$201 - \$1,000 | |
| SP | Select Sector SPDR Fund Consumer Discretionary (XLY) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| SP | Select Sector SPDR Fund Health Care (XLV) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Select Sector SPDR Fund Materials (XLB) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Select Sector SPDR Trust Consumer Staples (XLP) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | SPDR Barclays Capital High Yield Bond ETF (JNK) | \$1,001 - \$15,000 | DIVIDENDS | \$201 - \$1,000 | |
| SP | SPDR Barclays Capital International Treasury Bond ETF (BWX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | SPDR Euro STOXX 50 (FEZ) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Frank Pallone, Jr.

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| | | | | | |
|----|--|------------------------|-----------|-----------------|--|
| SP | SPDR S&P Bank (KBE) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | SPDR S&P Retail (XRT) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Texas Instruments, Inc. | \$1,001 - \$15,000 | DIVIDENDS | \$201 - \$1,000 | |
| SP | Touchstone Strategic Trust Large Cap Growth Fund CL I (TIQIX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Unilever PLC Spons ADR (UL) | \$1,001 - \$15,000 | DIVIDENDS | \$201 - \$1,000 | |
| SP | Vanguard Information Technology Fund (VGT) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Vanguard MSCI EAFE (VEA) | \$1,001 - \$15,000 | DIVIDENDS | \$201 - \$1,000 | |
| SP | Vanguard MSCI Emerging Markets ETF (VWO) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| | Vanguard Municipal Bond Fund Limited Term Tax-Exempt Portfolio (VMLTX) (Margin) (Trust) | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000 | |
| SP | Vanguard Municipal Bond Fund Limited Term Tax-Exempt Portfolio (VMLTX) (Margin)(Trust) | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000 | |
| SP | Vanguard REIT (VNQ) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| SP | Vanguard Telecommunications Services | None | DIVIDENDS | \$1 - \$200 | |

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Frank Pallone, Jr.

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| | | | | | |
|----|--|---------------------|-------------------------|-------------------|--|
| SP | Vanguard Total Bond Market (BND) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| SP | Verizon Communications Com (VZ) (Margin)(Trust) | \$15,001 - \$50,000 | DIVIDENDS | \$201 - \$1,000 | |
| | Verizon Communications Com (VZ) (Margin)(Trust) | None | CAPITAL GAINS | \$1,001 - \$2,500 | |
| DC | Verizon Communications Inc. (VZ) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| DC | Verizon Communications Inc. (VZ) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| DC | Verizon Communications, Inc. (VZ) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| DC | Virtus Emerging Markets Opportunities Fund CL I (HIEMX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| DC | Virtus Emerging Markets Opportunities Fund CL I (HIEMX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| DC | Virtus Emerging Markets Opportunities Fund CL I (HIEMX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$1 - \$200 | |
| | Wells Fargo Advantage Funds - Traditional Small Cap Growth Fund CL A (EGWAX) | \$1,001 - \$15,000 | None/CAPITAL GAINS | \$1 - \$200 | |
| SP | Wells Fargo Advantage Funds - Traditional Small Cap Growth Fund CL A (EGWAX) | \$1,001 - \$15,000 | None/CAPITAL GAINS | \$1 - \$200 | |
| JT | Wells Fargo Bank Deposit Sweep Account (Acct XXXX-0264) | \$1,001 - \$15,000 | INTEREST | \$1 - \$200 | |

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Frank Pallone, Jr.

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| | | | | | |
|----|--|-----------------------|-------------------------|-----------------|--|
| SP | Wells Fargo Bank Deposit Sweep Account (Acct XXXX-0721) | \$100,001 - \$250,000 | INTEREST | NONE | |
| SP | Wells Fargo Bank Deposit Sweep Account (Acct XXXX-1371) | \$1,001 - \$15,000 | None | NONE | |
| | Wells Fargo Bank Deposit Sweep Acct XXXX-0266) | \$1,001 - \$15,000 | None | NONE | |
| SP | Wells Fargo Funds Trust Emerging Growth Fund Admin (WFGDX) | \$1,001 - \$15,000 | DIVIDENDS/CAPITAL GAINS | \$201 - \$1,000 | |
| SP | Wells Fargo Funds Trust Emerging Growth Fund Institutional (WEMIX) | \$1,001 - \$15,000 | None | NONE | |
| DC | WT Mutual Fund Crm Mid Cap Value Fund Instl (CRIMX) | \$1,001 - \$15,000 | CAPITAL GAINS/DIVIDENDS | \$1 - \$200 | |
| DC | WT Mutual Fund Crm Mid Cap Value Fund Instl (CRIMX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |
| DC | WT Mutual Fund Crm Mid Cap Value Fund Instl (CRIMX) | \$1,001 - \$15,000 | DIVIDENDS | \$1 - \$200 | |

SCHEDULE IV - TRANSACTIONS

Name Frank Pallone, Jr.

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Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded \$1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

Capital Gains — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.

* This column is for assets solely held by your spouse or dependent child.

| SP, DC, JT | Asset | Type of Transaction | Capital Gain in Excess of \$200? | Date | Amount of Transaction |
|------------------|---|------------------------|---|---------|-----------------------|
| | Altria Group, Inc. (MO) (Trust) | S | Yes | 7/2/12 | \$1,001 - \$15,000 |
| SP | Artio Global INVT FD Intl Equity FD II CL I | S(part) | Yes | 8-28-12 | \$1,001 - \$15,000 |
| | Chevron Corp (CVX) (Trust) | S | No | 7/2/12 | \$1,001 - \$15,000 |
| | Citigroup Inc New C (Trust) | S | No | 7/2/12 | \$1,001 - \$15,000 |
| SP | Delaware Group Equity Funds II - Value FD Instl (DDVIX) | P | N/A | 1-25-12 | \$1,001 - \$15,000 |
| SP | Delaware Group Equity Funds II - Value FD Instl (DDVIX) | P | N/A | 8-28-12 | \$1,001 - \$15,000 |
| | Dominion Resources Inc. VA (D) (Trust) | S | No | 7/2/12 | \$1,001 - \$15,000 |
| SP | Eagle Small Cap Growth Fund CL I (HSIIX) | P | N/A | 8-28-12 | \$1,001 - \$15,000 |
| SP | Energy Select Sector SPDR (XLE) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | Fidelity Advisor II Short Fixed Income Fund Instl (FSXIX) | S | No | 7/27/12 | \$1,001 - \$15,000 |
| SP | Financial Select Sector SPDR (XLF) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |

SCHEDULE IV - TRANSACTIONS

Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded \$1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

Capital Gains — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.

* This column is for assets solely held by your spouse or dependent child.

| SP, DC, JT | Asset | Type of Transaction | Capital Gain in Excess of \$200? | Date | Amount of Transaction |
|------------------|---|------------------------|---|---------|-----------------------|
| SP | First Eagle Funds SOGEN Overseas Fund CL I | P | N/A | 7/27/12 | \$1,001 - \$15,000 |
| DC | First Eagle Funds SOGEN Overseas Fund CL I | P | N/A | 7/27/12 | \$1,001 - \$15,000 |
| DC | First Eagle Funds SOGEN Overseas Fund CL I (SGOIX) | P | N/A | 7/27/12 | \$1,001 - \$15,000 |
| DC | First Eagle Funds SOGEN Overseas Fund CL I (SGOIX) | P | N/A | 8-28-12 | \$1,001 - \$15,000 |
| SP | Hancock John Cap Ser Classic Value Fund CL I (JCVIX) | S(part) | Yes | 8-28-12 | \$1,001 - \$15,000 |
| DC | Harbor Fund Intl Growth Fund Instl (HAIGX) | S | No | 7/27/12 | \$1,001 - \$15,000 |
| DC | Harbor Fund Intl Growth Fund Instl (HAIGX) | S | No | 7/27/12 | \$1,001 - \$15,000 |
| DC | Harbor Fund Intl Growth Fund Instl (HAIGX) | S | Yes | 7/27/12 | \$1,001 - \$15,000 |
| SP | Harris Assoc Invt Trust Oakmark Equity & Income Fund CL I (OAKBX) | P | N/A | 7/27/12 | \$1,001 - \$15,000 |
| SP | Harris Assoc Invt Trust Oakmark Equity & Income Fund CL I (OAKBX) | P | N/A | 7/27/12 | \$1,001 - \$15,000 |
| SP | Harris Assoc Invt Trust Oakmark Equity & Income Fund CL I (OAKBX) | P | N/A | 7/27/12 | \$1,001 - \$15,000 |

SCHEDULE IV - TRANSACTIONS

Name Frank Pallone, Jr.

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Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded \$1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

Capital Gains — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.

* This column is for assets solely held by your spouse or dependent child.

| SP, DC, JT | Asset | Type of Transaction | Capital Gain in Excess of \$200? | Date | Amount of Transaction |
|------------------|---|------------------------|---|---------|-----------------------|
| SP | Index SHS Inc. MSCI S Korea WEBS Index Fund WEBS Index Series (EWY) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | Industrial Select Sector SPDR (XLI) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | IShares Barclays 1-3 Year Credit Bond Fund (CSJ) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | IShares Barclays 3-7 Year Treasury Bond Fund (IEI) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | IShares Barclays 7-10 Year Treasury Bond Fund (IEF) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | IShares Barclays Intermediate Credit Bond Fund (CIU) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | IShares Barclays MBS Bond Fund (MBB) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | IShares Core - S&P SmallCap 600 Index Fund (IJR) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | IShares Core S&P MidCap 400 Index Fund ETF (IJH) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | IShares IBOXX \$ Yield Corporate Bond Fund (HYG) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | IShares IBOXX Inv Grade Corp Bond Fund (LQD) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |

SCHEDULE IV - TRANSACTIONS

Name Frank Pallone, Jr.

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Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded \$1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

Capital Gains — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.

* This column is for assets solely held by your spouse or dependent child.

| SP, DC, JT | Asset | Type of Transaction | Capital Gain in Excess of \$200? | Date | Amount of Transaction |
|------------------|---|------------------------|---|---------|-----------------------|
| SP | IShares JP Morgan Emerging Markets Bond Fund (EMB) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| | JP Morgan Chase 8.62 NON-CUM Perpetual Mat Callable (JPM.I) (Trust) | S(part) | No | 7/2/12 | \$1,001 - \$15,000 |
| | Kraft Foods Inc CL A (Trust) | S(part) | No | 7/2/12 | \$1,001 - \$15,000 |
| SP | Lazard Funds, Inc. Emerging Markets Portfolio Instl SHS (LZEMX) | S | No | 8-28-12 | \$1,001 - \$15,000 |
| SP | Legg Mason Value Trust, Inc. Navigator Value Trust (LMNVX) | S | No | 1-24-12 | \$1,001 - \$15,000 |
| SP | Oppenheimer Dev Markets CL Y (ODVYX) | P | N/A | 8-28-12 | \$1,001 - \$15,000 |
| | Philip Morris International, Inc. (PM) (Trust) | S | Yes | 7/2/12 | \$1,001 - \$15,000 |
| DC | Pioneer Series Tr III Fundamental Value Fund CL Y (CVFYX) | S | Yes | 7/27/12 | \$1,001 - \$15,000 |
| DC | Pioneer Series Trust III Fundamental Value Fund CL Y (CVFYX) | S | Yes | 7/27/12 | \$1,001 - \$15,000 |
| DC | Pioneer Series Trust III Fundamental Value Fund CL Y (CVFYX) | S | Yes | 7/27/12 | \$1,001 - \$15,000 |
| SP | Powershares DB Commodity Index Tracking Fund (DBC) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |

SCHEDULE IV - TRANSACTIONS

Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded \$1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.
Capital Gains — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.
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| SP, DC, JT | Asset | Type of Transaction | Capital Gain in Excess of \$200? | Date | Amount of Transaction |
|------------------|---|------------------------|---|---------|-----------------------|
| SP | Powershares EM Mar SOV DE PT (PCY) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | RS Investment Trust Emerging Markets Fund CL Y (RSEM) | S(part) | Yes | 8-28-12 | \$1,001 - \$15,000 |
| SP | Russell Emerging Markets CL S (REMSX) | P | N/A | 9/27/12 | \$15,001 - \$50,000 |
| SP | Russell Global Equity CL S (RGESX) | P | N/A | 9/27/12 | \$15,001 - \$50,000 |
| SP | Russell Intl Developed Markets Fund CL S (RINTX) | P | N/A | 9/27/12 | \$50,001 - \$100,000 |
| SP | Russell Invt Co Commodity Strategies Fund CL S (RCCSX) | P | N/A | 9/27/12 | \$15,001 - \$50,000 |
| SP | Russell Invt Co Global Infrastructure Fund CL S (RGISX) | P | N/A | 9/27/12 | \$1,001 - \$15,000 |
| SP | Russell Invt Co Global Opportunistic CR Fund CL S (RGCSX) | P | N/A | 9/27/12 | \$1,001 - \$15,000 |
| SP | Russell Invt Co Global Real Estate Secs Fund CL S (RRESX) | P | N/A | 9/27/12 | \$1,001 - \$15,000 |
| SP | Russell Invt Co Multi-Strategy Alternative Fund CL S (RMSSX) | P | N/A | 9/27/12 | \$15,001 - \$50,000 |
| SP | Russell Invt Co U.S. Strategic Equity Fund CL S (RSESX) | P | N/A | 9/27/12 | \$50,001 - \$100,000 |

SCHEDULE IV - TRANSACTIONS

Name Frank Pallone, Jr.

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Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded \$1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

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| SP, DC, JT | Asset | Type of Transaction | Capital Gain in Excess of \$200? | Date | Amount of Transaction |
|------------------|---|------------------------|---|---------|-----------------------|
| SP | Russell Strategic BO CL S (RFCTX) | P | N/A | 9/27/12 | \$100,001 - \$250,000 |
| SP | Russell US Small Cap Equity Fund CL S (RLESX) | P | N/A | 9/27/12 | \$15,001 - \$50,000 |
| SP | Select Sector SPDR Fund Consumer Discretionary (XLY) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | Select Sector SPDR Fund Health Care (XLV) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | Select Sector SPDR Fund Materials (XLB) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | Select Sector SPDR Trust Consumer Staples (XLP) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | Sentinel Mutual Funds Small Company CL I (SIGWX) | S | No | 8-28-12 | \$1,001 - \$15,000 |
| SP | SPDR Barclays Capital High Yield Bond ETF (JNK) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | SPDR Barclays Capital International Treasury Bond ETF (BWX) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | SPDR S&P Bank (KBE) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | SPDR S&P Retail (XRT) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |

SCHEDULE IV - TRANSACTIONS

Name Frank Pallone, Jr.

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Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded \$1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

Capital Gains — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.

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| SP, DC, JT | Asset | Type of Transaction | Capital Gain in Excess of \$200? | Date | Amount of Transaction |
|------------------|---|------------------------|---|---------|-----------------------|
| SP | Vanguard Information Technology Fund (VGT) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | Vanguard MSCI EAFE (VEA) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | Vanguard MSCI Emerging Markets ETF (VWO) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | Vanguard REIT (VNQ) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| SP | Vanguard Total Bond Market (BND) | P | N/A | 10-2-12 | \$1,001 - \$15,000 |
| | Verizon Communications (VZ) (Trust) | S | Yes | 7/2/12 | \$1,001 - \$15,000 |
| DC | Virtus Emerging Markets Opportunities Fund CL I (HIEMX) | P | N/A | 7/27/12 | \$1,001 - \$15,000 |

SCHEDULE V - LIABILITIES

Name Frank Pallone, Jr.

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Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Members:** Members are required to report all liabilities secured by real property including mortgages on their personal residence. **Exclude:** Any mortgage on your personal residence (unless it is rented out or you are a Member); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report revolving charge accounts (i.e., credit cards) only if the balance at the close of the preceding calendar year exceeded \$10,000. *This column is for liabilities held solely by your spouse or dependent child.

| SP, DC, JT | Creditor | Date Liability Incurred | Type of Liability | Amount of Liability |
|------------------|-------------------------------------|-------------------------------|--|-----------------------|
| JT | Congressional Federal Credit Union | Sept 2007 | Personal Line of Credit | \$15,001 - \$50,000 |
| JT | Citi Mortgage Inc., San Antonio, TX | Feb 2011 | Mortgage on Real Estate, Washington, DC | \$100,001 - \$250,000 |
| JT | CitiBank, St. Louis, MO | Feb 2008 | Home Equity Loan on Real Estate, Washington, DC | \$250,001 - \$500,000 |
| | Wells Fargo Bank, Long Branch, NJ | Dec 2006 | M. Pallone Estate. Mortgage on Real Estate, Long Branch, NJ, held by life estate tenant. | \$50,001 - \$100,000 |

FOOTNOTES

Name Frank Pallone, Jr.

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| Number | Section / Schedule | Footnote | This note refers to the following item |
|---------------|---------------------------|---|---|
| 1 | Schedule III | Assets not previously shown on Schedule III, with no corresponding Transaction, were previously below reporting thresholds. | |
| 2 | Schedule III | DC Assets showing multiple iterations were previously combined. | |
| 3 | Schedule IV | Assets previously below reporting thresholds, when added to Transactions below reporting thresholds appear on Sched III | |
| 4 | Schedule III | Assets marked (Trust) were inherited in 2012. | Verizon Communications (VZ) (Trust) |
| 5 | Schedule IV | Assets marked (Trust) were inherited in 2012. | |
| 6 | Schedule III | Non-paying tenant with life estate interest | Real Estate in Long Branch, NJ |
| 7 | Schedule III | Assets shown last year that do not appear on this report either fell below the reporting threshold or were sold with no reportable income | |
| 8 | Schedule V | Mortgage held by tenant with life estate interest | Wells Fargo Bank, Long Branch, NJ real estate |