

UNITED STATES DISTRICT COURT

SOUTHERN DISTRICT OF TEXAS  
11535 UNITED STATES COURTHOUSE  
515 RUSK STREET  
HOUSTON, TEXAS 77002

TELEPHONE NO.  
(713) 250-5980

CHAMBERS OF  
JUDGE LEE H. ROSENTHAL

August 22, 2008

[REDACTED]  
[REDACTED]  
RECEIVED  
2008 AUG 19 A 11:28  
DISCLOSURE OFFICE

The Honorable Ortrie D. Smith  
Chair  
Committee on Financial Disclosure  
One Columbus Circle, N.E.  
Washington, D.C. 20544

Dear Judge Smith:

I am in receipt of your letter dated July 22, 2008 regarding my calendar year 2007 filing. I have asked [REDACTED] to review the issues you raised, and have the following response and corrected report pages:

*In Part VII (2007 Report):*

Thank you for your kind advice on the identification of certain assets as being held by [REDACTED] and have removed [REDACTED] and [REDACTED] from pages 16 and 22.

*In Part III (2007 Report):*

In Part III A., lines 1 and 2, the non-investment income from [REDACTED] Board of Directors Fees" and "[REDACTED] Board of Directors Fees" was inadvertently listed as my non-investment income and is now listed in Part III B as [REDACTED] non-investment income. I had no non-investment income in 2007 and the "None" box is marked.

*In Part VII (2007 Report):*

In Part VII, page 10, "Panolam," "CST Industries," "RSG," "Hudson Products," "Universal Fibers," and "BTEC" have been exempt from prior disclosure and have been marked by a parenthetical "(X)" alongside the name of each referenced asset.

*In Part VII (2007 Report):*

In Part VII, page 18, Column D(3) reflects a value code of "M."

Thank you for your consideration.

Very truly yours,

A solid black rectangular redaction box covering the signature of Lee H. Rosenthal.

Lee H. Rosenthal  
United States District Judge

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 6

Name of Person Reporting <b>ROSENTHAL, LEE H</b>	Date of Report 05/15/2008
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**III. NON-INVESTMENT INCOME.** (Reporting individual and spouse; see pp. 17-24 of filing instructions.)

**A. Filer's Non-Investment Income**

NONE (No reportable non-investment income.)

	<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1.			
2.			
3.			
4.			

**B. Spouse's Non-Investment Income -** If you were married during any portion of the reporting year, complete this section.

(Dollar amount not required except for honoraria.)

NONE (No reportable non-investment income.)

	<u>DATE</u>	<u>SOURCE AND TYPE</u>	
1.	2007	[REDACTED] BOARD OF DIRECTORS FEES	
2.	2007	[REDACTED] BOARD OF DIRECTORS FEES	
3.			
4.			

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 DISCLOSURE OFFICE

**IV. REIMBURSEMENTS** – transportation, lodging, food, entertainment.

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

NONE (No reportable reimbursements.)

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	FEDERAL BAR ASSOCIATION	JAN 24, 2007	EL PASO, TX	SPEAKER	AIRFARE
2.	FEDERAL BAR ASSOCIATION	FEB 1-2, 2007	NEW ORLEANS, LA	SPEAKER	HOTEL, AIRFARE & GROUND TRANSPORTATION
3.	AMERICAN BAR ASSOCIATION	FEB 15-16, 2007	AMELIA ISLAND, FL	SPEAKER	HOTEL, MISC., GROUND TRANSPORTATION & AIRFARE
4.	AMERICAN LAW INSTITUTE	MAR 6-8, 2007	ST. THOMAS, VIRGIN ISLAND	SPEAKER	HOTEL, MEALS, GROUND TRANSPORTATION & AIRFARE
5.	AMERICAN BAR ASSOCIATION	MAR 8-9, 2007	CHICAGO, IL	PANELIST	HOTEL, MISC., GROUND TRANSPORTATION & AIRFARE

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting Lee H. Rosenthal	Date of Report 5/15/2008
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VII. INVESTMENTS AND TRUSTS -- income, value, transactions.  
(Includes those of spouse and dependent children; see pp. 34-60 of Instructions).

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amt. Code 1 (A-H)	(2) Type (e.g., div., rent or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell merger, redemption)	If not exempt from disclosure			(5) Identity of buyer/seller (if private transaction)
						(2) Date: Month-Day	(3) Value Code 2 (I-P)	(4) Gain Code 1 (A-H)	
Place "(X)" after each asset exempt from prior disclosure.									
[REDACTED]	(X)	(2)	N	U(2)	none				
[REDACTED]	(X)	(2)	N	U(2)	none				
[REDACTED]	(X)	(2)	M	U(2)	none				
[REDACTED]	(X)	(2)	O	U(2)	none				
[REDACTED]	(X)	(2)	N	U(2)	none				
[REDACTED]	(X)	(2)	M	U(2)	none				
[REDACTED]		(2)	J	U(2)	partial buy	10/12	J		
[REDACTED]		(2)	P1	U(2)	partial buy	10/12	K		
[REDACTED]		(2)	J	U	buy	(2)	J		
[REDACTED]		(2)	L	U	buy	(2)	K		
[REDACTED]	B	div	M	T	sell	(2)	L		
[REDACTED]		(2)	M	U	sell	(2)	M		
[REDACTED]		(2)	N	U					
[REDACTED]		int	J	T					
[REDACTED]	A	int	J	T					
[REDACTED]	A	int	J	T					
[REDACTED]	C	div	M	T					
[REDACTED]	G	div/int	P1	T					
[REDACTED]	G	div/int	P1	T					

1 Income/Gain Codes: A=\$1,000 or less; B=\$1,000-\$2,500; C=\$2,501-\$5,000; D=\$5,001-\$15,000; E=\$15,001-\$50,000; F=\$50,001-\$100,000; G=\$100,001-\$1,000,000; H=\$1,000,001-\$5,000,000; H2=\$5,000,001 or more

2 Value Codes: J=\$15,000 or less; K=\$15,001-\$50,000; L=\$50,001 to \$100,000; M=\$100,001-\$250,000; N=\$250,001-\$500,000; O=\$500,001-1,000,000; P1=\$1,000,001-\$5,000,000; P2=\$5,000,001-\$25,000,000; P3=\$25,000,001-\$50,000,000; P4=\$50,000,000 or more

3 Value Method Codes: Q=Appraisal; R=Cost (Real Estate Only); S=Assessment; T=Cash/Market; U=Book Value; V=Other; W=Estimated

See explanatory footnotes on page 24.



FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting Lee H. Rosenthal	Date of Report 5/15/2008
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VII. INVESTMENTS AND TRUSTS -- income, value, transactions.  
(Includes those of spouse and dependent children; see pp. 34-60 of Instructions).

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amt. Code 1 (A-H)	(2) Type (e.g., div., rent or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell merger, redemption)	If not exempt from disclosure			(5) Identity of buyer/seller (if private transaction)
Place "(X)" after each asset exempt from prior disclosure.									
- RD-Common					sell	5/7	L	E	
- VTCLX-Mutual Fund									
- VTGIX-Mutual Fund									
- VUSXX-Mutual Fund									
- VWNAX-Mutual Fund									
- VEIEX-Mutual Fund									
- VEUSX-Mutual Fund									
- VPACX-Mutual Fund									
- VGTSX-Mutual Fund					buy	5/8	M	(9) cert	
<b>U.S. Savings Bonds (4)</b>		None	M	T					
<b>Other F Accounts</b>									
VUSXX-Mutual Fund	D	div/int	N	T					
VUSXX-Mutual Fund	C	div/int	M	T					
VUSXX-Mutual Fund	C	div/int	M	T					
VUSXX-Mutual Fund	C	div/int	M	T					
VWSTX-Mutual Fund	A	div/int			sell	4/18	L		
VWSTX-Mutual Fund	A	div/int			sell	4/18	L		
Goldman Sachs Bank	C	int			closed	8/16	N		
Goldman Sachs Bank	B	int			closed	8/16	M		

1 Income/Gain Codes: A=\$1,000 or less; B=\$1,000-\$2,500; C=\$2,501-\$5,000; D=\$5,001-\$15,000; E=\$15,001-\$50,000; F=\$50,001-\$100,000; G=\$100,001-\$1,000,000; H=\$1,000,001-\$5,000,000; I=\$5,000,001 or more

2 Value Codes: J=\$15,000 or less; K=\$15,001 to \$100,000; L=\$50,001 to \$100,000; M=\$100,001-\$250,000; N=\$250,001-\$500,000; O=\$500,001-\$1,000,000; P1=\$1,000,001-\$5,000,000; P2=\$5,000,001-\$25,000,000; P3=\$25,000,001-\$50,000,000; P4=\$50,000,000 or more

3 Value Method Codes: Q=Appraisal; R=Cost (Real Estate Only); S=Assessment; T=Cash/Market; U=Book Value; V=Other; W=Estimated

See explanatory footnotes on page 24.

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2007**

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

<b>1. Person Reporting</b> (last name, first, middle initial)  ROSENTHAL, LEE H	<b>2. Court or Organization</b>  U.S.D.C.-S.D.TX	<b>3. Date of Report</b>  05/15/2008
<b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)  U.S.DISTRICT JUDGE-ACTIVE	<b>5a. Report Type</b> (check appropriate type) <input type="checkbox"/> Nomination,                      Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final <b>5b.</b> <input type="checkbox"/> Amended Report	<b>6. Reporting Period</b>  01/01/2007 to 12/31/2007
<b>7. Chambers or Office Address</b>  515 RUSK ROOM 11535 HOUSTON, TEXAS 77002	<b>8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations.</b>  Reviewing Officer _____ Date _____	
<p><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Sign on last page.</p>		

**I. POSITIONS.** (Reporting individual only; see pp. 9-13 of filing instructions.)

NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. VICE PRESIDENT/SECRETARY	THE ROSENTHAL FOUNDATION
2. MEMBER, BOARD OF TRUSTEES	THE KINKAID SCHOOL
3. MEMBER, BOARD OF OVERSEERS	THE RAND INSTITUTE FOR CIVIL JUSTICE
4.	
5.	

**II. AGREEMENTS.** (Reporting individual only; see pp. 14-16 of filing instructions.)

NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting <b>ROSENTHAL, LEE H</b>	Date of Report 05/15/2008
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**III. NON-INVESTMENT INCOME.** *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)*

**A. Filer's Non-Investment Income**

NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> <i>(yours, not spouse's)</i>
1. 2007	[REDACTED] BOARD OF DIRECTORS FEES	
2. 2007	[REDACTED] BOARD OF DIRECTORS FEES	
3.		
4.		

**B. Spouse's Non-Investment Income -** *If you were married during any portion of the reporting year, complete this section.*

*(Dollar amount not required except for honoraria.)*

NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

**IV. REIMBURSEMENTS** – *transportation, lodging, food, entertainment.*

*(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*

NONE *(No reportable reimbursements.)*

	<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.	FEDERAL BAR ASSOCIATION	JAN 24, 2007	EL PASO, TX	SPEAKER	AIRFARE
2.	FEDERAL BAR ASSOCIATION	FEB 1-2, 2007	NEW ORLEANS, LA	SPEAKER	HOTEL, AIRFARE & GROUND TRANSPORTATION
3.	AMERICAN BAR ASSOCIATION	FEB 15-16, 2007	AMELIA ISLAND, FL	SPEAKER	HOTEL, MISC., GROUND TRANSPORTATION & AIRFARE
4.	AMERICAN LAW INSTITUTE	MAR 6-8, 2007	ST. THOMAS, VIRGIN ISLAND	SPEAKER	HOTEL, MEALS, GROUND TRANSPORTATION & AIRFARE
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**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

ROSENTHAL, LEE H

Date of Report

05/15/2008

**V. GIFTS.** *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

NONE *(No reportable gifts.)*

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

**VI. LIABILITIES.** *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting  
Lee H. Rosenthal

Date of Report

5/15/2008

VII. INVESTMENTS AND TRUSTS -- income, value, transactions.  
(Includes those of spouse and dependent children; see pp. 34-60 of Instructions).

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amt. Code 1 (A-H)	Type (e.g., div., rent or int.)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e.g., buy, sell merger, redemption)	Date: Month-Day	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
Place "X" after each asset exempt from prior disclosure.									
Goldman Sachs Bank	C	div/int	K	T					
Alief TX ISD 5.6% due 2/15/14	D	int	M	T					
Arkansas St College 0.00% due 6/1/15	D	None	N	T					
Austin TX Pub Impt 4.6% due 9/1/11	D	int	N	T					
Azle TX ISD 0.00% due 2/15/14	D	None	N	T					
Bexar Cty, TX GO 5.25% due 6/15/23	D	int	N	T	buy	9/5	N		
Chicago Brd Ed 0.00% due 12/1/19		None	L	T					
College Station ISD 4.6250% due 9/15/20	E	None	N	T	buy	9/19	M		
Dallas TX 5.00% due 2/15/16		int	N	T	buy	1/19	N		
Denton, TX ISD 0.0% due 8/15/23		None	N	T					
Ft. Bend TX ISD 0.00% due 8/15/15		None	M	T					
Harris Cty, TX, 5.75% due 10/1/14	E	int	N	T					
Laredo TX ISD 0.00% due 08/01/23		None	M	T					
Leander TX ISD 0.00% due 8/15/11		None	N	T	redemption	8/15	M	G	
Leander TX ISD 0.00% due 8/15/13		None	N	T	redemption	8/15	M	G	
Leander TX ISD 0.00% due 8/15/22		None	M	T					
Leander TX ISD 0.00% due 8/15/23		None	N	T	buy	5/31	N		
Leander TX ISD 0.00% due 8/15/25		None	M	T					
Lewisville TX ISD 0.00% due 8/15/21		None	O	T					
Midlothian TX ISD 0.00% due 2/15/22		None	M	T					

1 Income/Gain Codes: A=\$1,000 or less; B=\$1,000-\$2,500; C=\$2,501-\$5,000; D=\$5,001-\$15,000; E=\$15,001-\$50,000; F=\$50,001-\$100,000; G=\$100,001-\$1,000,000; H=\$1,000,001-\$5,000,000; H2=\$5,000,001 or more

2 Value Codes: J=\$15,000 or less; K=\$15,001-\$50,000; L=\$50,001 to \$100,000; M=\$100,001-\$250,000; N=\$250,001-\$500,000; O=\$500,001-1,000,000; P1=\$1,000,001-\$5,000,000; P2=\$5,000,001-\$25,000,000; P3=\$25,000,001-\$50,000,000; P4=\$50,000,000 or more

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See explanatory footnotes on page 24.

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting  
Lee H. Rosenthal

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5/15/2008

VII. INVESTMENTS AND TRUSTS -- income, value, transactions.  
(Includes those of spouse and dependent children; see pp. 34-60 of Instructions).

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period					
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						(2) Date: Month-Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)	
Place "(X)" after each asset exempt from prior disclosure.										
Plano TX 5.00% due 9/1/18	D	int	M	T	buy	12/18	M			
Royse City, TX ISD 0.00% due 8/15/25		None	N	T	buy	6/26	M			
Schertz-Cibolo-Univl City, TX 0.0% due 2/1/24	C	int	M	T	buy		M			
St of Illinois 5.00% due 6/1/22		None	O	T						
St of Washington BO 0.00% due 12/01/21	D	None	L	T	buy	8/30	L			
Texasarkana, TX ISD 0.0% due 2/15/26		None	M	T						
Travis Co TX 4.75% due 3/1/12		int	M	T						
TX PFA GO Super Conductor 0.00% due 4/01/09	C	None	O	T	buy	7/12	M			
University TX Univ 4.8% due 8/15/13		int	M	T	buy	6/15	M			
Wylie, TX ISD 0.00% due 8/15/17		None	M	T						
Wylie, TX ISD 0.00% due 8/15/19		None	M	T						
Wylie, TX ISD 0.00% due 8/15/23		None	M	T						
JP Morgan Chase (formerly Texas Commerce Bank)- Checking		None	J	T						
		None	J	(12)						
		None	J	(10) (12)						
AIF V Private Investors LLC		(2)	(13)	U	sell	(2)	L			
AIF VI Private Investors LLC		(2)	(13)	U	sell	(2)	M			
AIF VII Private Investors LLC		(2)	J	U	buy	(2)	K			

1 Income/Gain Codes: A=\$1,000 or less; B=\$1,000-\$2,500; C=\$2,501-\$5,000; D=\$5,001-\$15,000; E=\$15,001-\$50,000; F=\$50,001-\$100,000; G=\$100,001-\$1,000,000; H1=\$1,000,001-\$5,000,000; H2=\$5,000,001 or more

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See explanatory footnotes on page 24.

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Name of Person Reporting  
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					(2) Date: Month-Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
Place "X" after each asset exempt from prior disclosure.					(2)			
APAX Europe VII Private Investors, LLC		(2)	(13)	U	buy	(2)	M	
Atlantic Trust Company, N.A.	A	div	J	T				
Avalon Advisors, L.P.		(2)	K	U	sell	(2)	K	
Blackstone Natural Resources I, LP (formerly known as Blackstone Acquisition Partners I, L.P.)		(2)	N	U	sell	(2)	M	
Blackstone Natural Resources II,LP (formerly known as Blackstone Acquisition Partners II, L.P.)		(2)	M	U	buy	(2)	K	
Hatfield Royalty, L.P.		(2)	L	U	sell	(2)	J	
Ivory Working Interests, LP (formerly known as Blackstone Ivory Working Interests, L.L.C.)		(2)	K	U(2)	none			
Ivory Acquisitions Partners, LP (formerly known as Blackstone Ivory Acquisitions Partners, L.P.)		(2)	K	U	sell	(2)	J	
Blackstone Overline Acquisition, L.P.		(2)	L	U	sell	(2)	K	
Blackstone Ivory Acquisition Partners, L.P. (direct)		(2)	(13)	U	sell	(2)	M	
Unidym (formerly known as Carbon Nanotechnologies, Carlyle Asia Partners II	None		J	U				
Carlyle Japan International Partners II, L.P.	(2)	(2)	(13)	U	buy (15)	(2)	N	
CJIP II Co-Invest, LP	(2)	(2)	(13) (14)	U	buy	(2)	J	
CD&R Fund VII Private Investors, LLC	(2)	(2)	(13) (14)	U	buy	(2)	J	
	(2)	(2)	(13)	U	buy	(2)	N	

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See explanatory footnotes on page 24.

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting: Lee H. Rosenthal  
 Date of Report: 5/15/2008

VII. INVESTMENTS AND TRUSTS -- income, value, transactions.  
 (Includes those of spouse and dependent children; see pp. 34-60 of Instructions).

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amt. Code 1 (A-H)	(2) Type (e.g., div., rent or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell merger, redemption)	(2) Date: Month-Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
CPX-Common		None	J	T	distri	6/22	L	(9)	stock distribution from SCF IV
CVX-Common	D	div			distri	6/22	L	(9)	stock distribution from SCF IV
Doane Pet Food Enterprises, Inc.		None			sell	11/14	J	(9)	stock distribution from SCF IV
Dresser, Ltd.-Common		None			escrow release	6/8	N	(9) cert	private placement
[REDACTED]					escrow release	2/7	J		
Emerald Marina Bay		(2)	M	U	sell	5/4	N	G	private placement
Emerald Cambridge		(2)	K	U	sell	5/4	O	G	private placement
Emerald Marina Cove		(2)	J	U	sell	(2)	K		
Emerald Marina Shores		(2)	L	U	none				
EDP I, LP		(2)	K	U	none				
Energy Capital Investors Fund, LLC		(2)	K	U	buy	(2)	M		
[REDACTED]					buy	(2)	J		
FDC Group McKinney, Ltd		(2)	N	U	escrow release	10/18	J		private placement
First Reserve Fund XI, L.P.		(2)	(13)	U	buy	(2)	N		
Goldman Sachs Bank	D	int/div	J	U	buy(15)	(2)	M		
Goldman Sachs Fairholme Holdings		None	P1	T					
Goldman Sachs Horizon Holdings		None	P1	U(2)					
Goldman Sachs International Equity Holdings		None	P1	U(2)					

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2 Value Codes: J=\$15,000 or less; K=\$15,001 to \$100,000; L=\$50,001 to \$100,000; M=\$100,001-\$250,000; N=\$250,001-\$500,000; O=\$500,001-1,000,000; P1=\$1,000,001-\$5,000,000; P2=\$5,000,001-\$25,000,000; P3=\$25,000,001-\$50,000,000; P4=\$50,000,000 or more

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See explanatory footnotes on page 24.

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VII. INVESTMENTS AND TRUSTS -- income, value, transactions.  
(Includes those of spouse and dependent children; see pp. 34-60 of Instructions).

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amt. Code 1 (A-H)	(2) Type (e.g., div., rent or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, merger, redemption)	(2) Date: Month-Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
Place "(X)" after each asset exempt from prior disclosure.									
Goldman Sachs Alpha Plus		None			buy	4/24	O		
GE-Common		div			sell	10/3	O		
Hawkins Investment Partnership	C	(2)	P2	U(2)	sell	6/4	N	(9)	cert
		(2)	J	U(2)	none				
HMTF Europe Private Fund		(2)	J	U	partial buy	5/31	K		
HMTF Fund IV		(2)	L	U	partial buy	6/19	J		
IXC-Common		div	O	T	partial buy	12/20	J		
JNJ-Common		div			sell	(2)	K		
JPMorgan Chase Investment Account		int/div	M	T	sell	(2)	J		
KKR 2006 Private Investors, LLC		(2)	(13)	U	buy(15)	(2)	N		
Merrill Lynch Reserves (CMA)	E	int/div	J	T	partial sale	8/10	M		F
		None	M	T	sell	(2)	M		
Neftis Holdings, LLC		(2)	J	U	buy	(2)	M		
O'Connell Partners, LP		(2)	M	U	buy	(2)	M		
		None	O	(10)					
		None	(10)	(10)					
		None	M	T	(10)	5/18	L		

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VII. INVESTMENTS AND TRUSTS -- income, value, transactions.  
(Includes those of spouse and dependent children; see pp. 34-60 of Instructions).

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amt. Code 1 (A-H)	(2) Type (e.g., div., rent or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	If not exempt from disclosure				
					(1) Type (e.g., buy, sell merger, redemption)	(2) Date: Month-Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
Place "(X)" after each asset exempt from prior disclosure.									
PEP-Common	D	div			sell	6/4	O	(9) cert	
PG-Common	D	div			sell	6/4	N	(9) cert	
Platform Partners, LLC		(2)	N	U	buy	(2)	M		
		None	J	U(2)					
RD-Registered	D	div			sell	6/8	N	(9) cert	
SCFIV-3i, L.P.		(2)	M	U	sell	(2)	K	(9) cert	
SCF-V, L.P.		(2)	M	U	buy	(2)	K		
SCF-VI, L.P.		(2)	M	U	buy	(2)	M		
Seminole		(2)	M	U	sell	(2)	J		
SJKI-Common		None	N	T					
SRE Properties, LP		(2)	J	U	sell	(2)	J		
		(2)	O	U(2)	partial sale	2/5	J		
					partial sale	5/1	K		
					partial sale	8/8	M		
					partial sale	10/1	K		
		(2)	O	U(2)	partial sale	5/30	N		
					partial sale	7/3			
		(2)	M	U(2)	partial sale	10/29			
					none				

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VII. INVESTMENTS AND TRUSTS -- income, value, transactions.  
(Includes those of spouse and dependent children; see pp. 34-60 of Instructions).

A. Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure.	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amt. Code 1 (A-H)	(2) Type (e.g., div., rent or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, merger, redemption)	If not exempt from disclosure			(5) Identity of buyer/seller (if private transaction)
						(2) Date: Month-Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
VEUSX-Mutual Fund (listed as VEYSX in 2006)									
VPADX-Mutual Fund	D	div/int	N	T	buy	11/9	P1	(9) cert	
VTCLX-Mutual Fund	E	div/int	O	T	buy	6/8 (9)	N	(9) cert	
VUSXX-Mutual Fund	E	div/int	P1	T	partial buy	6/8 (9)	M	(9) cert	
VWLUX-Mutual Fund	E	div/int	P1	T	partial buy	6/15 (9)	M	(9) cert	
					partial buy	7/9 (9)	M	(9) cert	
					partial buy	7/18 (9)	M	(9) cert	
					partial buy	8/20 (9)	N	(9) cert	
VTMGX-Mutual Fund	E	div/int	P1	T	buy	7/3 (9)	P1	(9) cert	
WLR Recovery IV Investors, LLC		(2)	(13)	U	buy	(2)	K		
Certain LLC 1/18		(2)	(13)	U(2)	none				
Certain Limited Partners 1/39		(2)	(13)	U(2)	partial buy	1/22	J		
					partial sale	2/9	J		
					partial buy	2/16	J		
					partial sale	3/8	J		
					partial buy	3/26	J		
					partial sale	4/11	J		
					partial sale	5/4	J		

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Name of Person Reporting Lee H. Rosenthal	Date of Report 5/15/2008
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VII. INVESTMENTS AND TRUSTS -- income, value, transactions.  
(Includes those of spouse and dependent children; see pp. 34-60 of Instructions).

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amt. Code 1 (A-H)	(2) Type (e.g., div., rent or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell merger, redemption)	If not exempt from disclosure			
						(2) Date: Month-Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
Certain Limited Partners 1/39					partial buy	5/4	J		
					partial sale	6/5	J		
					partial buy	6/28	J		
					partial sale	8/8	J		
					partial buy	8/8	J		
					partial buy	9/6	J		
					partial sale	9/7	J		
					partial buy	10/2	J		
					partial sale	10/9	J		
					partial buy	11/6	J		
					partial sale	11/13	J		
					partial buy	11/16	J		
					partial sale	12/3	J		
Certain Limited Partners 2/54		(2)	(13)	U(2)	partial buy	1/10	K		
					partial buy	2/21	J		
					partial buy	3/9	K		
					partial sale	4/25	K		
					partial buy	5/9	K		
					partial sale	6/26	K		
				partial buy	6/18	J			

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VII. INVESTMENTS AND TRUSTS -- income, value, transactions.  
(Includes those of spouse and dependent children; see pp. 34-60 of Instructions).

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Place "(X)" after each asset exempt from prior disclosure.								
Certain Limited Partners 2/54				partial buy	8/8	K		
Certain LLC 2/54				partial sale	8/2	K		
<b>IRA #1 (3)</b>				partial buy	8/30	J		
US Treasury Zero% Obligations		(2)	(13)	partial buy	11/1	K		
Goldman Sachs Bank	E	div/int	(1)	partial buy	12/11	J		
VWIAX-Mutual Fund			P1	none				
VUSXX-Mutual Fund			P1					
<b>IRA #2 (3)</b>				sell	7/9	O		
US Treasury Zero% Obligations	G	div/int	P2	buy	7/9	O		
Goldman Sachs Bank			T/U					
GS Direct Strategies Fund				buy	5/31	O		
GS Liberty Harbor				sell	12/31	O		
Hawkins Investment Partnership, L.P.				buy	6/5	N		
SJKI-Common Stock				sell(2)	(2)	P1		

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						(2) Date: Month- Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
US Treas 7.25% due 5/15/16					sell	6/4	M	D	
US Treas 6.125% due 8/15/07					sell	5/24	M		
US Treas 6.25% due 2/15/07					matured	2/15	L		
VWNAX-Mutual Fund					partial sale	5/24	N	F	
					partial sale	7/9	M	E	
					partial sale	7/18	L	E	
					sell	8/10	M	E	
VUSXX-Mutual Fund					buy	5/24	N		
VGELX-Mutual Fund					buy	7/9	M		
WRI-Investors Shares					buy	8/13	K		
					partial buy	8/15	K		
					partial buy	10/29	K		
					partial buy	10/31	K		
ZION-Common Stock					buy	10/17	L		
					partial buy	10/19	J		
					partial buy	10/30	K		
					partial buy	10/31	K		
					partial buy	11/12	K		

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<b>IRA #2 (3)</b> VWNFX-Mutual Fund <b>Foundation #1</b> Merrill Lynch Cash Reserves ABT-Common C-Common HOS-Common LUV-Common OIS-Common	A	div/int				sell	7/9	L	E	
	D	int	N	T	sell		5/2	M	G	
	A	div	M	T	partial sale		8/1	L	F	
	A	None	N	T	sell		5/2	K	E	
	A	div	N	T	partial sale		5/3	M	G	
		None	M	T	partial sale		8/2	L		
					partial sale		8/27	L		
					partial sale		8/28	L		
	E	div/int	N	T	partial buy		2/21	L	E	
VWNAX-Mutual Fund					partial sale		7/18	L	E	
					partial sale		9/17	L	E	
VUSXX-Mutual Fund	C	div/int	M	T	buy		7/9	M		
VGELX-Mutual Fund	D	div/int	M	T	buy		5/3	L		
VGTSX-Mutual Fund		None			sell		7/9	M	D	
WRJ- Investors Shares	A	div	K	T	buy		9/20	K		

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						(2) Date: Month- Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
<b>Foundation #2</b>									
Growth Pool									
<b>The Rosenthal #F Trust (3)</b>									
- John Hancock Life Policy									
- ING/Security Life Policy									
- Prudential Life Policy									
<b>The Rosenthal #89 Trust (3)</b>									
- AIF V Private Investors LLC									
- AIF VI Private Investors LLC									
- Atlantic Trust Company, N.A.									
- Avalon Advisors, L.P.									
- Carbon Nanotechnologies, Inc.									
- Carlyle Asia Partners II									
- CD&R Fund VII Private Investors, LLC									
- CPX-Common									
- KO-Common									
- DPC Acquisition Corp.									

1 Income/Gain Codes: A=\$1,000 or less; B=\$1,000-\$2,500; C=\$2,501-\$5,000; D=\$5,001-\$15,000; E=\$15,001-\$50,000; F=\$50,001-\$100,000; G=\$100,001-\$1,000,000; H=\$1,000,001-\$5,000,000; H2=\$5,000,001 or more

2 Value Codes: J=\$15,000 or less; K=\$15,001 to \$100,000; L=\$50,001 to \$100,000; M=\$100,001-\$250,000; N=\$250,001-\$500,000; O=\$500,001-1,000,000; P1=\$1,000,001-\$5,000,000; P2=\$5,000,001-\$25,000,000; P3=\$25,000,001-\$50,000,000; P4=\$50,000,000 or more

3 Value Method Codes: Q=Appraisal; R=Cost (Real Estate Only); S=Assessment; T=Cash/Market; U=Book Value; V=Other; W=Estimated

See explanatory footnotes on page 24.

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting  
Lee H. Rosenthal

Date of Report

5/15/2008

VII. INVESTMENTS AND TRUSTS -- income, value, transactions.  
(Includes those of spouse and dependent children; see pp. 34-60 of Instructions).

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amt. Code 1 (A-H)	(2) Type (e.g., div., rent or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	If not exempt from disclosure				
					(1) Type (e.g., buy, sell merger, redemption)	(2) Date: Month- Day (2)	(3) Value Code 2 (I-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
Place "X" after each asset exempt from prior disclosure.									
- EDP I, LP					buy	(2)	L		
- Emerald Cambridge LLC									
- Emerald Marina Cove LLC									
- Emerald Marina Shores LLC									
- Energy Capital Investors Fund, LLC					buy	(2)	J		
- [REDACTED]					escrow release	10/18	J		
- FDC Group McKinney, Ltd.					buy	(2)	M		
- First Reserve Fund XI, L.P.					buy(15)	(2)	L		
- GE-Common					sell	5/7	K	(9)	cert
- Goldman Sachs Acct #1									
- Goldman Sachs Acct #2									
- Goldman Sachs KMI Investors, L.P.					closed	3/22	J		
- Hawkins Investment Partnership, L.P.					buy	5/25	O		
- HMTF Fund IV					none				
- HMTF Europe Private Fund					sell	(2)	J		
- HOS-Common					sell	(2)	K		
- JNJ-Common					sell	2/28	K		E
- JPMorgan Chase Investment Account					sell	5/3	L		(9) cert
- KKR 2006 Private Investors, LLC					buy(15)	(2)	N		
- Merrill Lynch Reserves									

1 Income/Gain Codes: A=\$1,000 or less; B=\$1,000-\$2,500; C=\$2,501-\$5,000; D=\$5,001-\$15,000; E=\$15,001-\$50,000; F=\$50,001-\$100,000; G=\$100,001-\$1,000,000; H1=\$1,000,001-\$5,000,000; H2=\$5,000,001 or more

2 Value Codes: J=\$15,000 or less; K=\$15,001-\$50,000; L=\$50,001 to \$100,000; M=\$100,001-\$250,000; N=\$250,001-\$500,000; O=\$500,001-1,000,000; P1=\$1,000,001-\$5,000,000; P2=\$5,000,001-\$25,000,000; P3=\$25,000,001-\$50,000,000; P4=\$50,000,000 or more

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See explanatory footnotes on page 24.

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting Lee H. Rosenthal	Date of Report 5/15/2008
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VII. INVESTMENTS AND TRUSTS -- income, value, transactions.  
(Includes those of spouse and dependent children; see pp. 34-60 of Instructions).

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amt. Code 1 (A-H)	(2) Type (e.g., div., rent or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	if not exempt from disclosure				
					(1) Type (e.g., buy, sell merger, redemption)	(2) Date: Month- Day (2)	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
Place "(X)" after each asset exempt from prior disclosure.									
- Neffis Holdings, Inc.					(2)		L		
- [REDACTED]					5/3		M		G
- PEP-Common					5/3		L		(9) cert
- Platform Partners LLC					(2)		K		
- SCF-IV-3I, L.P.					(2)		K		
- SCF Management Partners, Ltd.					(2)		J		
- SCF V, L.P.					(2)		J		
- SCF VI, L.P.					(2)		J		
- Seminole					(2)		J		
- [REDACTED]					2/5		J		
- Sternhill Partners I, LP					5/1		K		
- Sternhill Affiliates I, LP					8/8		L		
- SJKI-Common					10/1		J		
- SRE Properties, LP					(2)		J		
- CapStreet II, LP					(2)		J		
- CapStreet Parallel II, LP					(2)		J		

1 Income/Gain Codes: A=\$1,000 or less; B=\$1,000-\$2,500; C=\$2,501-\$5,000; D=\$5,001-\$15,000; E=\$15,001-\$50,000; F=\$50,001-\$100,000; G=\$100,001-\$1,000,000; H1=\$1,000,001-\$5,000,000; H2=\$5,000,001 or more

2 Value Codes: Y=\$15,000 or less; K=\$15,001 to \$100,000; L=\$50,001 to \$100,000; M=\$100,001-\$250,000; N=\$250,001-\$500,000; O=\$500,001-\$1,000,000; P1=\$1,000,001-\$5,000,000; P2=\$5,000,001-\$25,000,000; P3=\$25,000,001-\$50,000,000; P4=\$50,000,000 or more

3 Value Method Codes: Q=Appraisal; R=Cost (Real Estate Only); S=Assessment; T=Cash/Market; U=Book Value; V=Other; W=Estimated

See explanatory footnotes on page 24.



FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting  
Lee H. Rosenthal

Date of Report

5/15/2008

VII. INVESTMENTS AND TRUSTS -- income, value, transactions.  
(Includes those of spouse and dependent children; see pp. 34-60 of Instructions).

A. Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure.	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period						
	(1) Amt. Code 1 (A-H)	(2) Type (e.g., div., rent or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	If not exempt from disclosure						
			(1) Type (e.g., buy,sell merger, redemp- tion)	(2) Date: Month- Day (2)	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)				
					partial buy	J	1/22				
					partial sale	J	2/9				
					partial buy	J	2/16				
					partial sale	J	3/8				
					partial buy	J	3/26				
					partial sale	J	4/11				
					partial sale	J	5/4				
					partial buy	J	5/4				
					partial sale	J	6/5				
					partial buy	J	6/28				
					partial sale	J	8/8				
					partial buy	J	8/8				
					partial buy	J	9/6				
					partial sale	J	9/7				
					partial buy	J	10/2				
					partial sale	J	10/9				
					partial buy	J	11/6				
					partial sale	J	11/13				
					partial buy	J	11/16				
					partial sale	J	12/3				

1 Income/Gain Codes: A=\$1,000 or less; B=\$1,000-\$2,500; C=\$2,501-\$5,000; D=\$5,001-\$15,000; E=\$15,001-\$50,000; F=\$50,001-\$100,000; G=\$100,001-\$1,000,000; H1=\$1,000,001-\$5,000,000; H2=\$5,000,001 or more

2 Value Codes: J=\$15,000 or less; K=\$15,001-\$50,000; L=\$50,001 to \$100,000; M=\$100,001-\$250,000; N=\$250,001-\$500,000; O=\$500,001-1,000,000; P1=\$1,000,001-\$5,000,000; P2=\$5,000,001-\$25,000,000; P3=\$25,000,001-\$50,000,000; P4=\$50,000,000 or more

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See explanatory footnotes on page 24.

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting  
Lee H. Rosenthal

Date of Report

5/15/2008

VII. INVESTMENTS AND TRUSTS -- income, value, transactions.  
(Includes those of spouse and dependent children; see pp. 34-60 of Instructions).

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period					
	(1) Amt. Code 1 (A-H)	(2) Type (e.g., div., rent or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy,sell merger, redemp- tion)	if not exempt from disclosure				
						(2) Date: Month- Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)	
Place "(X)" after each asset exempt from prior disclosure.  - Certain Limited Partners 2/54					partial buy	1/10	K			
					partial buy	2/21	J			
					partial buy	3/9	K			
					partial sale	4/25	K			
					partial buy	5/9	K			
					partial sale	6/26	K			
					partial buy	6/18	J			
					partial buy	8/8	K			
					partial sale	8/2	K			
					partial buy	8/30	J			
					partial buy	11/1	K			
					partial buy	12/11	J			
					sell	11/9	P1			
				buy	5/8	N		(9) cert		
				buy	(2)	K				

- VUSXX-Mutual Fund
- VTGLX-Mutual Fund
- VWNAX-Mutual Fund
- VTCLX-Mutual Fund
- VMSXX-Mutual Fund (listed as VMSWW in 2006)

- VGTSX-Mutual Fund
- WLR Recovery IV Investors, LLC

1 Income/Gain Codes: A=\$1,000 or less; B=\$1,000-\$2,500; C=\$2,501-\$5,000; D=\$5,001-\$15,000; E=\$15,001-\$50,000; F=\$50,001-\$100,000; G=\$100,001-\$1,000,000; H=\$1,000,001-\$5,000,000; H2=\$5,000,001 or more

2 Value Codes: J=\$15,000 or less; K=\$15,001-\$50,000; L=\$50,001 to \$100,000; M=\$100,001-\$250,000; N=\$250,001-\$500,000; O=\$500,001-1,000,000; P1=\$1,000,001-\$5,000,000; P2=\$5,000,001-\$25,000,000; P3=\$25,000,001-\$50,000,000; P4=\$50,000,000 or more

3 Value Method Codes: Q=Appraisal; R=Cost (Real Estate Only); S=Assessment; T=Cash/Market; U=Book Value; V=Other; W=Estimated  
See explanatory footnotes on page 24.

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting  
Lee H. Rosenthal

Date of Report

5/15/2008

VII. INVESTMENTS AND TRUSTS -- income, value, transactions.  
(Includes those of spouse and dependent children; see pp. 34-60 of Instructions).

A. Description of Assets (including trust assets)	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amt. Code 1 (A-H)	(2) Type (e.g., div., rent or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell merger, redemption)	(2) Date: Month-Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
Place "(X)" after each asset exempt from prior disclosure.									
- Zion-Common									
<b>#2 Trust (3)</b>									
- Goldman Sachs Bank	D	div/int	N	T	closed	8/16	M		
- VTCLX-Mutual Fund									
- VUSXX-Mutual Fund									
- VWNFX-Mutual Fund									
<b>#3 Trust (3)</b>									
- Goldman Sachs Bank									
- VTCLX-Mutual Fund									
- VUSXX-Mutual Fund									
- VWNAX-Mutual Fund									
<b>#1 Trust (3)</b>									
- ABT-Common	A	div/int	P1	T	sell	5/7	K	(9) cert	
- CVX-Common					sell	5/7	K	(9) cert	
- KO-Common					sell	5/7	K	(9) cert	
- Merrill Lynch Reserves					closed	8/16	M		closed in 2006
- Goldman Sachs Bank					sell	5/1	M	(9) cert	
- Midway, TX 5.55% due 05/01/07					sell	5/7	K	(9) cert	
- PEP-Common					sell	5/7	K	(9) cert	
- PG-Common					sell	5/7	K	(9) cert	

1 Income/Gain Codes: A=\$1,000 or less; B=\$1,000-\$2,500; C=\$2,501-\$5,000; D=\$5,001-\$15,000; E=\$15,001-\$50,000; F=\$50,001-\$100,000; G=\$100,001-\$1,000,000; H1=\$1,000,001-\$5,000,000; H2=\$5,000,001 or more

2 Value Codes: J=\$15,000 or less; K=\$15,001-\$50,000; L=\$50,001 to \$100,000; M=\$100,001-\$250,000; N=\$250,001-\$500,000; O=\$500,001-\$1,000,000; P1=\$1,000,001-\$5,000,000; P2=\$5,000,001-\$25,000,000; P3=\$25,000,001-\$50,000,000; P4=\$50,000,000 or more

3 Value Method Codes: Q=Appraisal; R=Cost (Real Estate Only); S=Assessment; T=Cash/Market; U=Book Value; V=Other; W=Estimated

See explanatory footnotes on page 24.

FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting Lee H. Rosenthal	Date of Report 5/15/2008
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VII. INVESTMENTS AND TRUSTS -- income, value, transactions.  
(Includes those of spouse and dependent children; see pp. 34-60 of Instructions).

A. Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure.	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amt. Code 1 (A-H)	(2) Type (e.g., div., rent or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell merger, redemp- tion)	(2) Date: Month- Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
- RD-Common					sell	5/7	L	E	
- VTCLX-Mutual Fund									
- VTGIX-Mutual Fund									
- VUSXX-Mutual Fund									
- VWNAX-Mutual Fund									
- VEIEX-Mutual Fund									
- VEUSX-Mutual Fund									
- VPACX-Mutual Fund									
- VGTSX-Mutual Fund									
<b>U.S. Savings Bonds (4)</b>					buy	5/8	M	(9) cert	
Rosenthal [REDACTED]	None		M	T					
[REDACTED] <b>Accounts</b>									
VUSXX-Mutual Fund	D	div/int	N	T					
VUSXX-Mutual Fund	C	div/int	M	T					
VUSXX-Mutual Fund	C	div/int	M	T					
VUSXX-Mutual Fund	C	div/int	M	T					
VWSTX-Mutual Fund	A	div/int			sell	4/18	L		
VWSTX-Mutual Fund	A	div/int			sell	4/18	L		
Goldman Sachs Bank	C	int			closed	8/16	N		
Goldman Sachs Bank	B	int			closed	8/16	M		

1 Income/Gain Codes: A=\$1,000 or less; B=\$1,000-\$2,500; C=\$2,501-\$5,000; D=\$5,001-\$15,000; E=\$15,001-\$50,000; F=\$50,001-\$100,000; G=\$100,001-\$1,000,000; H=\$1,000,001-\$5,000,000; H2=\$5,000,001 or more

2 Value Codes: I=\$15,000 or less; K=\$15,001-\$50,000; L=\$50,001 to \$100,000; M=\$100,001-\$250,000; N=\$250,001-\$500,000; O=\$500,001-1,000,000; P1=\$1,000,001-\$5,000,000; P2=\$5,000,001-\$25,000,000; P3=\$25,000,001-\$50,000,000; P4=\$50,000,000 or more

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FINANCIAL DISCLOSURE REPORT (cont'd)

Name of Person Reporting  
Lee H. Rosenthal

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5/15/2008

VII. INVESTMENTS AND TRUSTS -- income, value, transactions.  
(Includes those of spouse and dependent children; see pp. 34-60 of Instructions).

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	(1) Amt. Code 1 (A-H)	(2) Type (e.g., div., rent or int.)		(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	if not exempt from disclosure		
Place "X" after each asset exempt from prior disclosure.				(1) Type (e.g., buy, sell, merger, redemption)	(2) Date: Month-Day	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	
Ishares Trust		None		buy	4/20	M		
Goldman Sachs Bank Ishares Trust	B	int None		sell closed	8/1 8/16	M M		
Goldman Sachs Bank Ishares Trust	B	int None		buy sell closed buy	4/20 8/1 8/16 4/20	M M M M		

1 Income/Gain Codes: A=\$1,000 or less; B=\$1,000-\$2,500; C=\$2,501-\$5,000; D=\$5,001-\$15,000; E=\$15,001-\$50,000; F=\$50,001-\$100,000; G=\$100,001-\$1,000,000; H1=\$1,000,001-\$5,000,000; H2=\$5,000,001 or more

2 Value Codes: J=\$15,000 or less; K=\$15,001-\$50,000; L=\$50,001 to \$100,000; M=\$100,001-\$250,000; N=\$250,001-\$500,000; O=\$500,001-\$1,000,000; P1=\$1,000,001-\$5,000,000; P2=\$5,000,001-\$25,000,000; P3=\$25,000,001-\$50,000,000; P4=\$50,000,000 or more

3 Value Method Codes: Q=Appraisal; R=Cost (Real Estate Only); S=Assessment; T=Cash/Market; U=Book Value; V=Other; W=Estimated  
See explanatory footnotes on page

- (1) Represents right of [REDACTED] to receive pension of \$255/month commencing at age 65.
- (2) Private entities including private common investment partnerships. For private companies, valuation is based on net book value. For such entities, valuation (Column C(2)) is based on capital account as set forth on form K-1 and income (to the extent distributed) is included in distributions under column D(3) and not in Column B. Where filer is a passive owner with no control over investments or timing of calls or distributions, such cash distributions and calls are set forth in Column D(3) as a net aggregate amount for the reporting period. "Buy" indicates net cash paid in to the entity and "sell" indicate net cash paid by entity to filer.
- (3) Amounts indicated are aggregate net amounts for entire beneficial interest of trust or IRA.
- (4) U.S. Savings Bonds are valued at stated face value of bonds.
- (5) Purchase and sale price of regular interest paying bonds excludes accrued interest. Interest income on regular interest paying bonds includes accrued interest bought or sold. Gain indicated on redeemed bonds represents only the redemption amount (and premium, if any) in excess of principal amount. Bond premium paid at purchase is assumed to be fully amortized for purposes of calculating gain or loss on sale, redemption or maturity on regular interest paying bond.
- (6) No interest income is included in Interest Income Column B(1) on zero coupon bonds. Total to date accreted interest for zero coupon bonds is included in Value Column C(1). On maturity of zero coupon bonds, total accreted interest is included in Value Column D(3) and Gain Column D(4). On maturity or sale of zero coupon bonds, Value Column D(3) is the maturity value or sales price and Gain Column D(4) reflects the difference between the maturity value or sales price and the original cost.
- (7) All mutual fund reinvested dividends, interest and capital gains are not separately shown as new purchases, but are included in the end of period (Column C(2)) values. All unreinvested distributions from mutual funds (dividends, interest and capital gains) are included in Column B(1). Money market mutual funds set forth aggregate dividend/interest paid for year and end of year value only.
- (8) Municipal and U.S. Treasury bond values reflected in Value Column C(2) are based on market value.
- (9) No transaction value or gain or loss is reported on non-taxable exchanges of one security for another or spin-offs of securities or stock dividends or pursuant to certificates of divestiture issued in accordance with 26 U.S.C. § 1043. In 2007, Filer sold securities and rolled the proceeds over pursuant to such certificates into

VMLUX and VTMGX. Two trusts sold and rolled the proceeds over pursuant to such certificates into VGSTX. In all instances noted in first sentence, any gain is reported only when the new security is sold, and if publicly traded, the value as of the date of the transaction of such security received is reflected in Column C(1) Gross Value. "Cert" indicates a certificate of divestiture transaction.

- (10) [REDACTED] received options for compensation. Vested options are valued at spread between (1) exercise price and (2) market value in the case of publicly traded securities or exercise price in the case of nonpublic securities. Unvested options are given no value. Restricted stock is not valued during restriction period. After restrictions lapse, restricted stock is reflected as owned shares.
- (11) Oil and Gas royalties – value not known to filer.
- (12) Private company – value not known to filer.
- (13) K-1 not available at time of filing.
- (14) Inadvertently omitted in prior year report.
- (15) Intra-[REDACTED] partial transfer in 2007.

**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting

ROSENTHAL, LEE H

Date of Report

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**VIII. ADDITIONAL INFORMATION OR EXPLANATIONS.** *(Indicate part of Report.)*

## PART IV. REIMBURSEMENTS (CONT)

SOURCE	DATES	LOCATION	PURPOSE ITEMS PAID FOR OR PROVIDED
6 AMERICAN BAR ASSOCIATION	MAR 8-9, 2007	CHICAGO, IL	PANELIST HOTEL, MISC., GROUND TRANSPORTATION & AIRFARE
7 FEDERAL BAR ASSOCIATION	APR 11, 2007	SAN ANTONIO, TX	SPEAKER GROUND TRANSPORTATION & AIRFARE
8 AMERICAN BAR ASSOCIATION	APR 12-13, 2007	SAN ANTONIO, TX	SPEAKER HOTEL, GROUND TRANSPORTATION & AIRFARE
9 FORDHAM UNIVERSITY	APR 16-17, 2007	NEW YORK, NY	SPEAKER HOTEL & AIRFARE
10 SEDONA CONFERENCE	MAY 9-11, 2007	PHOENIX, AZ	MEETING MISC., GROUND TRANSPORTATION & AIRFARE
11 UNIVERSITY OF TEXAS	JUN 1, 2007	AUSTIN, TX	SPEAKER GROUND TRANSPORTATION & AIRFARE
12 FINANCIAL MEDIA HLDGS GROUP	JUN 7-8, 2007	WASHINGTON, DC	SPEAKER HOTEL, MISC., GROUND TRANSPORTATION & AIRFARE
13 AMERICAN LAW INSTITUTE	JUL 10-13, 2007	SANTA FE, NM	SPEAKER HOTEL, MEALS, GROUND TRANSPORTATION & AIRFARE
14 AMERICAN LAW INSTITUTE	OCT 4-5, 2007	AUSTIN, TX	MEETING HOTEL & GROUND TRANSPORTATION
15 DEFENSE RESEARCH INSTITUTE	OCT 11, 2007	WASHINGTON, DC	PANELIST GROUND TRANSPORTATION
AMERICAN LAW INSTITUTE	OCT 17-19, 2007	NEW YORK, NY	MEETING HOTEL, GROUND TRANSPORTATION & AIRFARE
17 UNIVERSITY OF PENNSYLVANIA	NOV 30-DEC 2, 07	PHILADELPHIA, PA	SPEAKER GROUND TRANSPORTATION & AIRFARE
18 AMERICAN LAW INSTITUTE	DEC 5-7, 2007	PHILADELPHIA, PA	MEETING HOTEL, MEALS, GROUND TRANSPORTATION & AIRFARE
19 STANFORD UNIVERSITY	DEC 12-14, 2007	OXFORD, ENGLAND	SPEAKER GROUND TRANSPORTATION & AIRFARE



**FINANCIAL DISCLOSURE REPORT**

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Name of Person Reporting	Date of Report
ROSENTHAL, LEE H	05/15/2008

**IX. CERTIFICATION.**

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature 

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

**FILING INSTRUCTIONS**

Mail signed original and 3 additional copies to:

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544