12/03/2002 16 : 45

**FEC FORM 3X**

# REPORT OF RECEIPTS AND DISBURSEMENTS

**For Other Than An Authorized Committee**

Office Use Only

1. NAME OF COMMITTEE (in full) — **USE FEC MAILING LABEL OR TYPE OR PRINT** ▼ — Example: If typing, type over the lines

NATIONAL ASSOCIATION OF SMALL BUSINESS INVESTMENT COMPANIES POLITICAL ACTION COMMITTEE

ADDRESS (number and street) ▼ 666 11TH STREET NW SUITE 750

Check if different than previously reported. (ACC)

WASHINGTON | DC | 20001 –

2. **FEC IDENTIFICATION NUMBER** ▼ C00109991

CITY ▲ STATE ▲ ZIPCODE ▲

3. IS THIS REPORT X NEW (N) **OR** AMENDED (A)

4. TYPE OF REPORT (Choose One)

(a) Quarterly Reports:

April 15 Quarterly Report(Q1)

July 15 Quarterly Report(Q2)

October 15 Quarterly Report(Q3)

January 31 Quarterly Report(YE)

July 31 Mid-Year Report(Non-election Year Only) (MY)

Termination Report (TER)

(b) Monthly Report Due On:

| | | | |
|---|---|---|---|
| Feb 20 (M2) | May 20 (M5) | Aug 20 (M8) | Nov 20 (M11) (Non-Election Year Only) |
| Mar 20 (M3) | Jun 20 (M6) | Sep 20 (M9) | Dec 20 (M12) (Non-Election Year Only) |
| Apr 20 (M4) | Jul 20 (M7) | Oct 20 (M10) | Jan 31 (M13) |

(c) 12-Day **PRE**-Election Report for the: Primary (12P) General (12G) Runoff (12R) Convention (12C) Special (12S)

Election on in the State of

(d) 30-Day **P**ost -Election Report for the: X General (30G) Runoff (30R) Special (30S)

Election on 11 05 2002 in the State of

5. Covering Period 10 17 2002 through 11 25 2002

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Type or Print Name of Treasurer Mr. Lee Mercer

Signature of Treasurer Electronically Filed by Mr. Lee Mercer Date 12 03 2002

NOTE : Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C 437g.

| Office Use Only | | | **FEC FORM 3X** (Revised 1/2001) |
|---|---|---|---|

# SUMMARY PAGE
## OF RECEIPTS AND DISBURSEMENTS

FEC **Form 3X** (Revised 1/2001)



Write or Type Committee Name

NATIONAL ASSOCIATION OF SMALL BUSINESS INVESTMENT COMPANIES POLITICAL ACTION COMMITTEE

Report Covering the Period: From: 10 17 2002 To: 11 25 2002

| | COLUMN A<br>This Period | COLUMN B<br>Calendar Year-to-Date |
|---|---|---|
| 6. (a) Cash on Hand January 1 2002 | | 57006.33 |
| (b) Cash on Hand at Begining of Reporting Period ..... | 43531.33 | |
| (c) Total Receipts (from Line 19) ..... | 16100.00 | 98225.00 |
| (d) Subtotal (add lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B) ..... | 59631.33 | 155231.33 |
| 7. Total Disbursements (from Line 30) ..... | 1000.00 | 96600.00 |
| 8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d)) ..... | 59631.33 | 59631.33 |
| 9. Debts and Obligations owed TO the committee (Itemize all on Schedule C and/or Schedule D) ..... | 0.00 | |
| 10. Debts and Obligations owed BY the committee (Itemize all on Schedule C and/or Schedule D) ..... | 0.00 | |

X This Committee has qualified as a multicandidate committee. (see FEC FORM 1M)

**For further information contact:**

Federal Election Commission
999 E street, NW
Washington, DC 20463

Toll Free 800-424-9530
Local 202-694-1100

# DETAILED SUMMARY PAGE
OF RECEIPTS



Write or Type Committee Name

NATIONAL ASSOCIATION OF SMALL BUSINESS INVESTMENT COMPANIES POLITICAL ACTION COMMITTEE

Report Covering the Period: From: 10 17 2002 To: 11 25 2002

| I. Receipts | COLUMN A Total This Period | COLUMN B Calendar Year-to-Date |
|---|---|---|
| 11. Contributions (other than loans) From: | | |
| (a) Individuals/Persons Other Than Political Committees | | |
| (i) Itemized (use Schedule A) ..... | 13650.00 | |
| (ii) Unitemized ..... | 2450.00 | |
| (iii) TOTAL (add Lines 11(a)(i) and (ii) ..... ▶ | 16100.00 | 96975.00 |
| (b) Political Party Committees ..... | 0.00 | 0.00 |
| (c) Other Political Committees (such as PACs) ..... | 0.00 | 1250.00 |
| (d) Total Contributions (add Lines 11(a)(iii),(b) and (c)) (Carry Totals to Line 32, page 4) ..... ▶ | 16100.00 | 98225.00 |
| 12. Transfers From Affiliated/Other Party Committees ..... | 0.00 | 0.00 |
| 13. All Loans Received ..... | 0.00 | 0.00 |
| 14. Loan Repayments Received ..... | 0.00 | 0.00 |
| 15. Offsets To Operating Expenditures (Refunds, Rebates, etc.) (Carry Totals to Line 36, page 4) ..... | 0.00 | 0.00 |
| 16. Refunds of Contributions Made to Federal candidates and Other Political Committees ..... | 0.00 | 0.00 |
| 17. Other Federal Receipts Dividends, Interest, etc.) ..... | 0.00 | 0.00 |
| 18. Transfers from Nonfederal Account for Joint Activity ..... | 0.00 | 0.00 |
| 19. Total Receipts (add Lines 11(d), 12, 13, 14, 15, 16, 17, and 18) ..... ▶ | 16100.00 | 98225.00 |
| 20. Total Federal Receipts (subtract Line 18 from Line 19) ..... ▶ | 16100.00 | 98225.00 |

# DETAILED SUMMARY PAGE
of Disbursements

FEC Form 3X (Revised 1/2001)



| II. DISBURSEMENTS | COLUMN A Total This Period | COLUMN B Calendar Year-to-Date |
|---|---|---|
| 21. Operating Expenditures: | | |
| (a) Shared Federal/Non-Federal Activity (from Schedule H4) | | |
| (i) Federal Share | 0.00 | 0.00 |
| (ii) Non-Federal Share | 0.00 | 0.00 |
| (b) Other Federal Operating Expenditures | 0.00 | 0.00 |
| (c) Total Operating Expenditures (add 21(a)(i), (a)(ii) and (b)) ▶ | 0.00 | 0.00 |
| 22. Transfers to Affiliated/Other Party Committees | 0.00 | 0.00 |
| 23. Contributions to Federal Candidates/Committees and Other Political Committees | 1000.00 | 96600.00 |
| 24. Independent Expenditure (use Schedule E) | 0.00 | 0.00 |
| 25. Coordinated Expenditures Made by Party Committees (2 U.S.C. 441a(d)) (use Schedule F) | 0.00 | 0.00 |
| 26. Loan Repayments Made | 0.00 | 0.00 |
| 27. Loans Made | 0.00 | 0.00 |
| 28. Refunds of Contributions To: | | |
| (a) Individuals/Persons Other Than Political Committees | 0.00 | 0.00 |
| (b) Political Party Committees | 0.00 | 0.00 |
| (c) Other Political Committees (such as PACs) | 0.00 | 0.00 |
| (d) Total Contribution Refunds (add Lines 28(a), (b), and (c)) ▶ | 0.00 | 0.00 |
| 29. Other Disbursements | 0.00 | 0.00 |
| 30. Total Disbursements (add Lines 21(c), 22, 23,24,25,26,27,28(d),and 29) ▶ | 1000.00 | 96600.00 |
| 31. Total Federal Disbursements (subtract Line 21(a)(ii) from Line 30) ▶ | 1000.00 | 96600.00 |

| III. Net Contributions/Operating Expenditures | | |
|---|---|---|
| 32. Total Contributions (other than loans) from Line 11(d), page 3) | 16100.00 | 98225.00 |
| 33. Total Contribution Refunds (from Line 28(d)) | 0.00 | 0.00 |
| 34. Net Contributions (other than loans) (subtract Line 33 from Line 32) | 16100.00 | 98225.00 |
| 35. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)) ▶ | 0.00 | 0.00 |
| 36. Offsets to Operating Expenditures (from Line 15, page 3) | 0.00 | 0.00 |
| 37. Net Operating Expenditures (subtract Line 36 from Line 35) ▶ | 0.00 | 0.00 |

# SCHEDULE A (FEC Form 3X)
# ITEMIZED RECEIPTS

Use separate schedule(s) or each category of the Detailed Summary Page

FOR LINE NUMBER: (check only one) PAGE 5 / 15

[X] 11a [ ] 11b [ ] 11c [ ] 12 [ ] 13 [ ] 14 [ ] 15 [ ] 16 [ ] 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)
NATIONAL ASSOCIATION OF SMALL BUSINESS INVESTMENT COMPANIES POLITICAL ACTION COMMITTEE

**A.** Full Name (Last, First, Middle Initial): Mr. Nathan Bell
Mailing Address: 2200 Powell Street #1250
City: Emeryville State: CA Zip Code: 94608
FEC ID number of contributing federal political committee.
Name of Employer: Pacific Mezzanine Fund, LP
Occupation: Investment Executive
Receipt For: Primary General Other (specify)
Aggregate Year-to-Date: 250.00
Date of Receipt: 11 15 2002
Amount of Each Receipt this Period: 250.00
Contribution
Transaction ID: SA11A1.5048

**B.** Full Name (Last, First, Middle Initial): Mr. Nicholas Binkley
Mailing Address: 840 Newport Center Drive
City: Newport Beach State: CA Zip Code: 92660
FEC ID number of contributing federal political committee.
Name of Employer: Forrest Binkley & Brown
Occupation: Investment Executive
Receipt For: Primary General Other (specify)
Aggregate Year-to-Date: 500.00
Date of Receipt: 11 08 2002
Amount of Each Receipt this Period: 500.00
Contribution
Transaction ID: SA11A1.5043

**C.** Full Name (Last, First, Middle Initial): Mr. Jeff Brown
Mailing Address: 840 Newport Center Drive #480
City: Newport Beach State: CA Zip Code: 92660
FEC ID number of contributing federal political committee.
Name of Employer: Forrest Binkley & Brown
Occupation: Investment Executive
Receipt For: Primary General Other (specify)
Aggregate Year-to-Date: 500.00
Date of Receipt: 11 08 2002
Amount of Each Receipt this Period: 500.00
Contribution
Transaction ID: SA11A1.5041

**SUBTOTAL** of Receipts This Page (optional) ..... ▶ **1250.00**

**TOTAL** This Period (last page this line number only) ..... ▶

# SCHEDULE A (FEC Form 3X)
# ITEMIZED RECEIPTS

Use separate schedule(s) or each category of the Detailed Summary Page

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[X] 11a [ ] 11b [ ] 11c [ ] 12 [ ] 13 [ ] 14 [ ] 15 [ ] 16 [ ] 17

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NAME OF COMMITTEE (In Full)
NATIONAL ASSOCIATION OF SMALL BUSINESS INVESTMENT COMPANIES POLITICAL ACTION COMMITTEE

**A.** Full Name (Last, First, Middle Initial): Mr. Timothy Buono
Mailing Address: One Greenwich Plaza
City: Greenwich State: CT Zip Code: 06830
FEC ID number of contributing federal political committee.
Name of Employer: Tullis Dickerson & Co.
Occupation: Investment Executive
Receipt For: Primary General
Other (specify)
Aggregate Year-to-Date: 1000.00
Date of Receipt: 10 18 2002
Amount of Each Receipt this Period: 1000.00
Contribution
Transaction ID: SA11A1.5084

**B.** Full Name (Last, First, Middle Initial): Mr. David Buttolph
Mailing Address: 80 Field Point Road
City: Greenwich State: CT Zip Code: 06830
FEC ID number of contributing federal political committee.
Name of Employer: Brookside Capital Partners
Occupation: Investment Executive
Receipt For: Primary General
Other (specify)
Aggregate Year-to-Date: 400.00
Date of Receipt: 10 28 2002
Amount of Each Receipt this Period: 200.00
Contribution
Transaction ID: SA11A1.5026

**C.** Full Name (Last, First, Middle Initial): Mr. Larry Carter
Mailing Address: 225 South Pulaski Street
City: Little Rock State: AR Zip Code: 72201
FEC ID number of contributing federal political committee.
Name of Employer: DSV Management, LLC
Occupation: Investment Executive
Receipt For: Primary General
Other (specify)
Aggregate Year-to-Date: 500.00
Date of Receipt: 10 21 2002
Amount of Each Receipt this Period: 500.00
Contribution
Transaction ID: SA11A1.5035

**SUBTOTAL** of Receipts This Page (optional) ..... ▶ **1700.00**

**TOTAL** This Period (last page this line number only) ..... ▶

# SCHEDULE A (FEC Form 3X)
# ITEMIZED RECEIPTS

Use separate schedule(s) or each category of the Detailed Summary Page

FOR LINE NUMBER: (check only one) PAGE 7 / 15

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NAME OF COMMITTEE (In Full)
NATIONAL ASSOCIATION OF SMALL BUSINESS INVESTMENT COMPANIES POLITICAL ACTION COMMITTEE

**A.** Full Name (Last, First, Middle Initial): Mr. Robert Cresci
Mailing Address: One Rockefeller Plaza
City: New York | State: NY | Zip Code: 10020
FEC ID number of contributing federal political committee.
Name of Employer: Pecks Management Partners
Occupation: Investment Executive
Receipt For: Primary General
Other (specify)
Aggregate Year-to-Date: 500.00
Date of Receipt: 11 12 2002
Amount of Each Receipt this Period: 500.00
Contribution
Transaction ID: SA11A1.5052

**B.** Full Name (Last, First, Middle Initial): Mr. Thomas Dickerson
Mailing Address: One Greenwich Plaza
City: Greenwich | State: CT | Zip Code: 06830
FEC ID number of contributing federal political committee.
Name of Employer: Tullis Dickerson & Co.
Occupation: Investment Executive
Receipt For: Primary General
Other (specify)
Aggregate Year-to-Date: 1000.00
Date of Receipt: 10 18 2002
Amount of Each Receipt this Period: 1000.00
Contribution
Transaction ID: SA11A1.5080

**C.** Full Name (Last, First, Middle Initial): Mr. Alexander Ellis, III
Mailing Address: 160 Federal Street
City: Boston | State: MA | Zip Code: 02110
FEC ID number of contributing federal political committee.
Name of Employer: Rockport Capital Partners
Occupation: Investment Executive
Receipt For: Primary General
Other (specify)
Aggregate Year-to-Date: 400.00
Date of Receipt: 11 08 2002
Amount of Each Receipt this Period: 400.00
Contribution
Transaction ID: SA11A1.5068

**SUBTOTAL** of Receipts This Page (optional) ..... ▶ **1900.00**

**TOTAL** This Period (last page this line number only) ..... ▶

# SCHEDULE A (FEC Form 3X)
# ITEMIZED RECEIPTS

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NAME OF COMMITTEE (In Full)
NATIONAL ASSOCIATION OF SMALL BUSINESS INVESTMENT COMPANIES POLITICAL ACTION COMMITTEE

**A.** Full Name (Last, First, Middle Initial): Mr. Greg Forrest
Mailing Address: 840 Newport Venter Drive #480
City: Newport Beach State: CA Zip Code: 92660
FEC ID number of contributing federal political committee.
Name of Employer: Forrest Binkley & Brown
Occupation: Investment Executive
Receipt For: Primary General
Other (specify) ▼
Aggregate Year-to-Date ▼ 500.00
Date of Receipt: 11 08 2002
Amount of Each Receipt this Period: 500.00
Contribution
**Transaction ID:** SA11A1.5039

**B.** Full Name (Last, First, Middle Initial): Thomas Gorman
Mailing Address:
City: State: Zip Code:
FEC ID number of contributing federal political committee.
Name of Employer:
Occupation:
Receipt For: Primary General
Other (specify) ▼
Aggregate Year-to-Date ▼ 250.00
Date of Receipt: 10 28 2002
Amount of Each Receipt this Period: 250.00
Contribution
**Transaction ID:** SA11A1.5074

**C.** Full Name (Last, First, Middle Initial): Mr. Joseph Hays
Mailing Address: 225 South Pulaski St.
City: Little Rock State: AR Zip Code: 72201
FEC ID number of contributing federal political committee.
Name of Employer: DSV Management, LLC
Occupation: Investment Executive
Receipt For: Primary General
Other (specify) ▼
Aggregate Year-to-Date ▼ 500.00
Date of Receipt: 10 21 2002
Amount of Each Receipt this Period: 500.00
Contribution
**Transaction ID:** SA11A1.5033

**SUBTOTAL** of Receipts This Page (optional) ..... ▶ **1250.00**

**TOTAL** This Period (last page this line number only) ..... ▶

# SCHEDULE A (FEC Form 3X)
# ITEMIZED RECEIPTS

Use separate schedule(s) or each category of the Detailed Summary Page

FOR LINE NUMBER: (check only one) PAGE 9 / 15

[X] 11a [ ] 11b [ ] 11c [ ] 12 [ ] 13 [ ] 14 [ ] 15 [ ] 16 [ ] 17

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NAME OF COMMITTEE (In Full)
NATIONAL ASSOCIATION OF SMALL BUSINESS INVESTMENT COMPANIES POLITICAL ACTION COMMITTEE

**A.** Full Name (Last, First, Middle Initial): Jeffrey Holland
Mailing Address:
City: State: Zip Code:
FEC ID number of contributing federal political committee.
Name of Employer: Occupation:
Receipt For: Primary General Other (specify)
Aggregate Year-to-Date: 250.00
Date of Receipt: 10 28 2002
Amount of Each Receipt this Period: 250.00
Contribution
Transaction ID: SA11A1.5075

**B.** Full Name (Last, First, Middle Initial): Ms. Janet James
Mailing Address: 160 Federal Street
City: Boston State: MA Zip Code: 02110
FEC ID number of contributing federal political committee.
Name of Employer: Rockport Capital Partners Occupation: Investment Executive
Receipt For: Primary General Other (specify)
Aggregate Year-to-Date: 400.00
Date of Receipt: 11 08 2002
Amount of Each Receipt this Period: 400.00
Contribution
Transaction ID: SA11A1.5097

**C.** Full Name (Last, First, Middle Initial): Mr. William James
Mailing Address: 160 Federal Street
City: Boston State: MA Zip Code: 02110
FEC ID number of contributing federal political committee.
Name of Employer: Rockport Capital Partners Occupation: Investment Executive
Receipt For: Primary General Other (specify)
Aggregate Year-to-Date: 400.00
Date of Receipt: 11 08 2002
Amount of Each Receipt this Period: 400.00
Contribution
Transaction ID: SA11A1.5072

**SUBTOTAL** of Receipts This Page (optional) ..... ▶ **1050.00**

**TOTAL** This Period (last page this line number only) ..... ▶

# SCHEDULE A (FEC Form 3X)
# ITEMIZED RECEIPTS

Use separate schedule(s) or each category of the Detailed Summary Page

FOR LINE NUMBER: (check only one) PAGE 10 / 15

[X] 11a [ ] 11b [ ] 11c [ ] 12 [ ] 13 [ ] 14 [ ] 15 [ ] 16 [ ] 17

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NAME OF COMMITTEE (In Full)
NATIONAL ASSOCIATION OF SMALL BUSINESS INVESTMENT COMPANIES POLITICAL ACTION COMMITTEE

**A.** Full Name (Last, First, Middle Initial)
Mr. Charles Mc Dermott

Mailing Address
160 Federal Street

City: Boston State: MA Zip Code: 02110

FEC ID number of contributing federal political committee.

Name of Employer: Rockport Capital Partners
Occupation: Investment Executive

Receipt For: Primary General
Other (specify)

Aggregate Year-to-Date: 400.00

Date of Receipt: 11 08 2002

Amount of Each Receipt this Period: 400.00

Contribution

Transaction ID: SA11A1.5062

**B.** Full Name (Last, First, Middle Initial)
Mr. Michael McMahon

Mailing Address
160 Federal Street

City: Boston State: MA Zip Code: 02110

FEC ID number of contributing federal political committee.

Name of Employer: Rockport Capital Partners
Occupation: Investment Executive

Receipt For: Primary General
Other (specify)

Aggregate Year-to-Date: 400.00

Date of Receipt: 11 08 2002

Amount of Each Receipt this Period: 400.00

Contribution

Transaction ID: SA11A1.5070

**C.** Full Name (Last, First, Middle Initial)
Mr. Lawrence Mondschein

Mailing Address
126 East 56th St. 21st FL

City: New York State: NY Zip Code: 10022

FEC ID number of contributing federal political committee.

Name of Employer: CRA Funding, LLC
Occupation: Investment Executive

Receipt For: Primary General
Other (specify)

Aggregate Year-to-Date: 500.00

Date of Receipt: 10 22 2002

Amount of Each Receipt this Period: 500.00

Contribution

Transaction ID: SA11A1.5031

**SUBTOTAL** of Receipts This Page (optional) ..... ▶ **1300.00**

**TOTAL** This Period (last page this line number only) ..... ▶

# SCHEDULE A (FEC Form 3X)
# ITEMIZED RECEIPTS

Use separate schedule(s) or each category of the Detailed Summary Page

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[X] 11a [ ] 11b [ ] 11c [ ] 12 [ ] 13 [ ] 14 [ ] 15 [ ] 16 [ ] 17

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NAME OF COMMITTEE (In Full)
NATIONAL ASSOCIATION OF SMALL BUSINESS INVESTMENT COMPANIES POLITICAL ACTION COMMITTEE

**A.** Full Name (Last, First, Middle Initial): Eben Moulton
Mailing Address:
City: State: Zip Code:
FEC ID number of contributing federal political committee:
Name of Employer: Occupation:
Receipt For: Primary General Other (specify)
Aggregate Year-to-Date: 250.00
Date of Receipt: 10 28 2002
Amount of Each Receipt this Period: 250.00
Contribution
Transaction ID: SA11A1.5077

**B.** Full Name (Last, First, Middle Initial): Ms. Joan Nauscheler
Mailing Address: One Greenwich Plaza
City: Greenwich State: CT Zip Code: 06830
FEC ID number of contributing federal political committee:
Name of Employer: Tullis Dickerson & Co. Occupation: Investment Executive
Receipt For: Primary General Other (specify)
Aggregate Year-to-Date: 1000.00
Date of Receipt: 10 18 2002
Amount of Each Receipt this Period: 1000.00
Contribution
Transaction ID: SA11A1.5078

**C.** Full Name (Last, First, Middle Initial): Mr. Howard Pelefsky
Mailing Address: 2500 Sand Hill Road #215
City: Menlo Park State: CA Zip Code: 94025
FEC ID number of contributing federal political committee:
Name of Employer: Montreux Equity Partners Occupation: Investment Executive
Receipt For: Primary General Other (specify)
Aggregate Year-to-Date: 500.00
Date of Receipt: 11 04 2002
Amount of Each Receipt this Period: 500.00
Contribution
Transaction ID: SA11A1.5046

**SUBTOTAL** of Receipts This Page (optional) ..... ▶ **1750.00**

**TOTAL** This Period (last page this line number only) ..... ▶

# SCHEDULE A (FEC Form 3X)
# ITEMIZED RECEIPTS

Use separate schedule(s) or each category of the Detailed Summary Page

FOR LINE NUMBER: (check only one) PAGE 12 / 15

[X] 11a [ ] 11b [ ] 11c [ ] 12 [ ] 13 [ ] 14 [ ] 15 [ ] 16 [ ] 17

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NAME OF COMMITTEE (In Full)
NATIONAL ASSOCIATION OF SMALL BUSINESS INVESTMENT COMPANIES POLITICAL ACTION COMMITTEE

**A.**
Full Name (Last, First, Middle Initial): Mr. David Prend
Mailing Address: 160 Federal Street
City: Boston State: MA Zip Code: 02110
FEC ID number of contributing federal political committee.
Name of Employer: Rockport Capital Partners
Occupation: Investment Executive
Receipt For: Primary General Other (specify)
Aggregate Year-to-Date: 400.00
Date of Receipt: 11 08 2002
Amount of Each Receipt this Period: 400.00
Contribution
Transaction ID: SA11A1.5066

**B.**
Full Name (Last, First, Middle Initial): Ms. Barbara Sanity
Mailing Address: 3000 Sand Hill Road #1-290
City: Menlo Park State: CA Zip Code: 94025
FEC ID number of contributing federal political committee.
Name of Employer: Capitstone Ventures
Occupation: Investment Executive
Receipt For: Primary General Other (specify)
Aggregate Year-to-Date: 400.00
Date of Receipt: 11 04 2002
Amount of Each Receipt this Period: 400.00
Contribution
Transaction ID: SA11A1.5029

**C.**
Full Name (Last, First, Middle Initial): Mr. James Tullis
Mailing Address: One Greenwich Plaza
City: Greenwich State: CT Zip Code: 06830
FEC ID number of contributing federal political committee.
Name of Employer: Tullis Dickerson & Co.
Occupation: Investment Executive
Receipt For: Primary General Other (specify)
Aggregate Year-to-Date: 1000.00
Date of Receipt: 10 18 2002
Amount of Each Receipt this Period: 1000.00
Contribution
Transaction ID: SA11A1.5082

**SUBTOTAL** of Receipts This Page (optional) ..... ▶ **1800.00**

**TOTAL** This Period (last page this line number only) ..... ▶

# SCHEDULE A (FEC Form 3X)
# ITEMIZED RECEIPTS

Use separate schedule(s) or each category of the Detailed Summary Page

FOR LINE NUMBER: (check only one) PAGE 13 / 15

[X] 11a [ ] 11b [ ] 11c [ ] 12 [ ] 13 [ ] 14 [ ] 15 [ ] 16 [ ] 17

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NAME OF COMMITTEE (In Full)
NATIONAL ASSOCIATION OF SMALL BUSINESS INVESTMENT COMPANIES POLITICAL ACTION COMMITTEE

**A.** Full Name (Last, First, Middle Initial): Mr. Daniel Turner, III
Mailing Address: 2500 Sand Hill Road #215
City: Menlo Park State: CA Zip Code: 94025
FEC ID number of contributing federal political committee.
Name of Employer: Montreux Equity Partners
Occupation: Investment Executive
Receipt For: Primary General
Other (specify)
Aggregate Year-to-Date: 500.00
Date of Receipt: 11 04 2002
Amount of Each Receipt this Period: 500.00
Contribution
Transaction ID: SA11A1.5044

**B.** Full Name (Last, First, Middle Initial): Mr. Sam Wells
Mailing Address: 225 South Pulaski St.
City: Little Rock State: AR Zip Code: 72201
FEC ID number of contributing federal political committee.
Name of Employer: DSV Management, LLC
Occupation: Investment Executive
Receipt For: Primary General
Other (specify)
Aggregate Year-to-Date: 500.00
Date of Receipt: 10 21 2002
Amount of Each Receipt this Period: 500.00
Contribution
Transaction ID: SA11A1.5037

**C.** Full Name (Last, First, Middle Initial): Mr. Todd Wilson
Mailing Address: 160 Federal Street
City: Boston State: MA Zip Code: 02110
FEC ID number of contributing federal political committee.
Name of Employer: Rockport Capital Partners
Occupation: Invesment Executive
Receipt For: Primary General
Other (specify)
Aggregate Year-to-Date: 400.00
Date of Receipt: 11 08 2002
Amount of Each Receipt this Period: 400.00
Contribution
Transaction ID: SA11A1.5064

**SUBTOTAL** of Receipts This Page (optional) ..... ▶ **1400.00**

**TOTAL** This Period (last page this line number only) ..... ▶

## SCHEDULE A (FEC Form 3X)
## ITEMIZED RECEIPTS

Use separate schedule(s) or each category of the Detailed Summary Page

FOR LINE NUMBER: (check only one) PAGE 14 / 15

[X] 11a [ ] 11b [ ] 11c [ ] 12
[ ] 13 [ ] 14 [ ] 15 [ ] 16 [ ] 17

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NAME OF COMMITTEE (In Full)
NATIONAL ASSOCIATION OF SMALL BUSINESS INVESTMENT COMPANIES POLITICAL ACTION COMMITTEE

A.
Full Name (Last, First, Middle Initial): Mr. Brad Wineger
Mailing Address: 2200 Powell Street #1250
City: Emeryville State: CA Zip Code: 94608
FEC ID number of contributing federal political committee.
Name of Employer: Pacific Mezzanine Fund, LP
Occupation: Investment Executive
Receipt For: Primary General
Other (specify) ▼
Aggregate Year-to-Date ▼ 250.00

Date of Receipt: 11 15 2002
Amount of Each Receipt this Period: 250.00
Contribution

Transaction ID: SA11A1.5050

B.

C.

**SUBTOTAL** of Receipts This Page (optional) ..... ▶ **250.00**

**TOTAL** This Period (last page this line number only) ..... ▶ **13650.00**

# SCHEDULE B (FEC Form 3X)
# ITEMIZED DISBURSEMENTS

Use separate schedule(s) for each category of the Detailed Summary Page

FOR LINE NUMBER: (check only one)

| | | | | | |
|---|---|---|---|---|---|
| ☐ 21b | ☐ 22 | ☒ 23 | ☐ 24 | ☐ 25 | |
| ☐ 26 | ☐ 27 | ☐ 28a | ☐ 28b | ☐ 28c | ☐ 29 |



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NAME OF COMMITTEE (In Full)
NATIONAL ASSOCIATION OF SMALL BUSINESS INVESTMENT COMPANIES POLITICAL ACTION COMMITTEE

A.

Full Name (Last, First, Middle Initial)
FERGUSON FOR CONGRESS

Mailing Address
930 Stuyvesant Avenue #17

930 Stuyvesant Avenue #17

City: Union
State: NJ
Zip Code: 07083

Purpose of Disbursement
Contribution

Candidate Name

Category/ Type

Office Sought: X House / Senate / President
State: NJ District: 07

Disbursement For: 2002
Primary / X General / Other (specify)

Date of Disbursement
11 01 2002

Amount of Each Disbursement this Period
1000.00

Transaction ID: SB23.5102

B.

C.

| | |
|---|---|
| **SUBTOTAL** of Disbursements This Page (optional) ..... ▶ | **1000.00** |
| **TOTAL** This Period (last page this line number only) ..... ▶ | **1000.00** |