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NASBIC

America's Small Business Partners

Political Action Committee

May 6, 2003

Mr. Edward D. Ryan
Campaign Finance Analyst
Reports Analysis Division
Federal Election Commission
999 E Street, NW
Washington, DC 20463

Dear Mr. Ryan:

In response to your findings in our 30 Day Post General Report (10-17/02-11/25/02), I have enclosed a copy of our amended report. Thank you for the idea of recreating the 15 Day Pre-General Report, in the right data storage set. With a little more help from Eliza Green in tech support, I believe it worked. The new FEC ID number is FEC-84117.

I am currently waiting for a call back from tech support to help me amend our Year End Report (11/26/02-12/31/02). Again, the data carried forward in that report is incorrect, and in the wrong storage set.

I am hopeful that I have properly addressed your immediate findings. I can be reached by calling (202) 628-5055 should you need more information. Thanks for your help in this matter.

Sincerely,

Jeanette Paschal
Vice President, NASBIC
Executive Director, Venture Capital Institute

NASBIC PAC ID #: C00109991

National Association of Small Business Investment Companies Political Action Committee
666 11th Street • N.W. • Suite 750 • Washington, • DC 20001
Tel: 202.628.5055 • Fax 202.628.5080
http://www.nasbic.org • E-mail: jpaschal@nasbic.org

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2003 MAY -6 P 1:18

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FEC FORM 3X

REPORT OF RECEIPTS AND DISBURSEMENTS

For Other Than An Authorized Committee

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

(c) 12-Day PRE-Election Report for the:

- ☐ Primary (12P)
- ☐ Convention (12C)
- ☐ General (12G)
- ☐ Special (12G)
- ☐ Runoff (12R)

Election on ☐ ☐ ☐ In the State of ☐

(d) 30-Day Post-Election Report for the:

- ☒ 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 05 06 2003

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

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FEC FORM 3X (Revised 1/2001)

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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: M M 10 D D 17 Y Y Y Y 2002 To: M M 11 D D 25 Y Y Y Y 2002

	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1 Y Y Y Y 2002		57006.33
(b) Cash on Hand at Beginning of Reporting Period	32006.33	
(c) Total Receipts (from Line 19)	16100.00	109700.00
(d) Subtotal (add lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)	48106.33	166706.33
7. Total Disbursements (from Line 30)	1000.00	119600.00
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	47106.33	47106.33
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	

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

23038071762

DETAILED SUMMARY PAGE
OF RECEIPTS

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: M M 10 D D 17 Y Y Y Y 2002 To: M M 11 D D 26 Y Y Y Y 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	108450.00
(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	109700.00
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	109700.00
20. Total Federal Receipts (subtract Line 18 from Line 19)	16100.00	109700.00

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	119600.00
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	119600.00
31. Total Federal Disbursements (subtract Line 21(a)(ii) from Line 30) ▶	1000.00	119600.00

III. Net Contributions/Operating Expenditures		
32. Total Contributions (other than loans) from Line 11(d), page 3)	16100.00	109700.00
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	109700.00
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

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SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTS

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

FOR LINE NUMBER: PAGE 5 / 15
(check only one)
[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: SA11A1.5049

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): Ms. Jill 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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NAME OF COMMITTEE (In Full)
NATIONAL ASSOCIATION OF SMALL BUSINESS INVESTMENT COMPANIES POLITICAL ACTION COMMITTEE

A. Full Name (Last, First, Middle Initial)
Mr. Timothy Boono
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. Davis 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) ▶

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SCHEDULE A (FEC Form 3X)
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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: Perks 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: SA11A1.5066

SUBTOTAL of Receipts This Page (optional) ▶ 1900.00

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

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SCHEDULE A (FEC Form 3X)
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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 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: SA11A1.5039

B. Full Name (Last, First, Middle Initial): Thomas Gomell
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: SA11A1.5093

SUBTOTAL of Receipts This Page (optional) ▶ 1250.00

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

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SCHEDULE A (FEC Form 3X)
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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: SA11A1.5076

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) ▶

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SCHEDULE A (FEC Form 3X)
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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 McDermott
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: SA11A1.5082

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) ▶

23038071770

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): 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 Neuscheler
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: SA11A1.5076

C.
Full Name (Last, First, Middle Initial): Mr. Howard Peretsky
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: SA11A1.5048

SUBTOTAL of Receipts This Page (optional) ▶ 1750.00

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

23038071771

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTS

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

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[ ] 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 Gentry
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: Capstone 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: SA11A1.5062

SUBTOTAL of Receipts This Page (optional) ▶ 1600.00

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

23038071772

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTS

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

FOR LINE NUMBER: PAGE 13 / 15
(check only one)
[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: 12 / 04 / 2002
Amount of Each Receipt this Period: 500.00
Contribution
Transaction ID: SA11A1.5044

B.
Full Name (Last, First, Middle Initial): Mr. Sam Walls
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: 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: SA11A1.5054

SUBTOTAL of Receipts This Page (optional) ▶ 1400.00

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

23038071773

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTS

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

FOR LINE NUMBER: (check only one)
[ ] 21b [ ] 22 [X] 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: [ ] Primary [X] General [ ] Other (specify)

Date of Disbursement: M 11 / D 01 / Y 2002

Amount of Each Disbursement this Period: 1000.00

Transaction ID: SB23.5102

B.

C.

SUBTOTAL of Receipts This Page (optional) 1000.00

TOTAL This Period (last page this line number only) 1000.00

Federal Election Commission

ENVELOPE REPLACEMENT PAGE FOR INCOMING DOCUMENTS

The Commission has added this page to the end of this filing to indicate how it was received.

☑	Hand Delivered	Date of Receipt 5/6/03
☐	First Class Mail	POSTMARKED
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☐	No Postmark	
☐	Postmark Illegible	
☐	Received from the House office of Records and Registration	Date of Receipt
☐	Received from the Senate Office of Public Records	Date of Receipt
☐	Other (Specify):	Postmarked _____ and/or Date of Receipt
☐	Electronic Filing	
	PREPARER	5/6/03 DATE PREPARED

(6/2006)