









Reporting Individual's Name  
 Carter, Ashton B

**SCHEDULE A continued**  
 (Use only if needed)

Page Number  
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BLOCK A	BLOCK B										BLOCK C										Date (Mo., Day, Yr.)  Only if Honoraria												
	Valuation of Assets at close of reporting period										Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.																						
	None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)		
1 ✓ S	X												X								X												
2 ✓ S	X												X								X												
3 ✓ S	X												X							X													
4 ✓ S	X																X			X													
5 ✓ S	X																X			X													
6 S																															salary		
7 ✓ S				X									X							X													
8 ✓ S				X									X							X													
9 ✓ S				X									X							X													

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









Reporting Individual's Name Carter, Ashton B	<b>SCHEDULE A continued</b> (Use only if needed)	Page Number 9 of
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Assets and Income  BLOCK A	Valuation of Assets at close of reporting period  BLOCK B											Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.  BLOCK C																					
	None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type				Amount							Date (Mo., Day, Yr.)  Only if Honoraria						
																Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000		\$100,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	Over \$5,000,000	Other Income (Specify Type & Actual Amount)	
1 S	X																X															Sold remaining shs back to comp	
2 S																																Sold Aug 2010, shs in escrow	
3																																	
4 S																																see entry above for ABS Partners IV	
5 S	X																		X	X											Sold May 2011		
6 S																																see entry above for ABS Partners IV	
7 S																																see entry above for ABS Partners IV	
8 S					X																											LP/LLC Income: \$58,520	
9 S	X																X															see entry above for ABS Partners V	

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Reporting Individual's Name Carter, Ashton B	<b>SCHEDULE A continued</b> (Use only if needed)	Page Number 10 of
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Assets and Income  BLOCK A	Valuation of Assets at close of reporting period  BLOCK B											Income: type and amount. If "None (or less than \$201)" is checked, no other entry is needed in Block C for that item.  BLOCK C															
	None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Excepted Investment Fund	Excepted Trust	Qualified Trust	Type				Amount							Date (Mo., Day, Yr.)  Only if Honoraria
																Dividends	Rent and Royalties	Interest	Capital Gains	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	
1 S																							see entry for ABS Partners v				
2 S																							see entry for ABS Partners v				
3 S																							see entry for ABS Partners v				
4 S																							see entry for ABS Partners v				
5 S	X															X							X	Sold Jan 2010, 2011 rec'd own out			
6 S																							see entry for ABS Partners v				
7 S																							see entry for ABS Partners v				
8 S	X															X							X	Sold February 2011			
9 S																							see entry for ABS Partners v				

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### Part I: Transactions

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

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

None

	Identification of Assets	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)										Certificate of divestiture		
		Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000		Over \$50,000,000	
	Example Central Airlines Common	x			2/1/99			x										
1	Alarm.com Holdings		X		12/28/2011	X												
2	American Funds Tax-Exempt A (TMMDX)		X		3/23/2011		X											
3	American Public Education, Inc.	X			11/23/2011		X											
4	Bond Fund of America - A (ABDNX)		X		3/23/2011		X											
5	Brown Advisory Growth Equity Fund (BIAGX)		X		3/4/2011		X											

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

### Part II: Gifts, Reimbursements, and Travel Expenses

For you, your spouse and dependent children, report the source, a brief description, and the value of: (1) gifts (such as tangible items, transportation, lodging, food, or entertainment) received from one source totaling more than \$335 and (2) travel-related cash reimbursements received from one source totaling more than \$335. For conflicts analysis, it is helpful to indicate a basis for receipt, such as personal friend, agency approval under 5 U.S.C. § 4111 or other statutory authority, etc. For travel-related gifts and reimbursements, include travel itinerary, dates, and the nature of expenses provided. Exclude anything given to you by

the U.S. Government; given to your agency in connection with official travel; received from relatives; received by your spouse or dependent child totally independent of their relationship to you; or provided as personal hospitality at the donor's residence. Also, for purposes of aggregating gifts to determine the total value from one source, exclude items worth \$134 or less. See instructions for other exclusions.

None

	Source (Name and Address)	Brief Description	Value
Examples	Nat'l Assn. of Rock Collectors, NY, NY	Airline ticket, hotel room & meals incident to national conference 6/15/99 (personal activity unrelated to duty)	\$500
	Frank Jones, San Francisco, CA	Leather briefcase (personal friend)	\$350
1			
2			
3			
4			
5			

**Part I: Transactions**

	Identification of Assets	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)											
		Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Certificate of divestiture
1	Brown Advisory Growth Equity Fund (BIAGX)		X		4/5/2011		X										
2	Brown Advisory Growth Equity Fund (BIAGX)		X		5/2/2011		X										
3	Brown Advisory Growth Equity Fund (BIAGX)		X		11/21/2011	X											
4	Brown Advisory Value Equity Fund (BIAVX)		X		3/4/2011	X											
5	Brown Advisory Value Equity Fund (BIAVX)		X		4/5/2011	X											
6	Brown Advisory Value Equity Fund (BIAVX)		X		5/2/2011	X											
7	Brown Advisory Value Equity Fund (BIAVX)		X		9/9/2011		X										
8	Brown Advisory Value Equity Fund (BIAVX)		X		11/21/2011	X											
9	CBR Systems		X		3/11/2011				X								
10	CBR Systems		X		10/6/2011				X								
11	CBR Systems		X		12/28/2011				X								
12	eFashion Solutions, LLC	X			4/4/2011	X											
13	eFashion Solutions, LLC	X			6/14/2011	X											
14	Fidelity 403(b) Harvard Faculty Plan - Spartan US Bond Index Fund - Institutional			X	6/3/2011		X										
15	Fidelity 403(b) Harvard Faculty Plan - Spartan US Bond Index Fund - Investor			X	6/3/2011		X										
16	Fidelity 403(b) Harvard TODA Plan - Spartan US Bond Index Fund - Institutional			X	6/3/2011		X										

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**Part I: Transactions**

Identification of Assets	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)											
	Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Certificate of divestiture
1 Fidelity 403(b) Harvard TDA Plan - Spartan US Bond Index Fund - Investor			X	6/3/2011		X										
2 Fidelity 457(b) Plan - Spartan US Bond Index Fund - Institutional			X	6/3/2011	X											
3 Fidelity 457(b) Plan - Spartan US Bond Index Fund - Investor			X	6/3/2011	X											
4 Fidelity 457(b) Plan Spartan International Index Fund		X		7/1/2011	X											
5 Fidelity 457(b) Plan Spartan Total Market Index Fund		X		7/1/2011	X											
6 Fidelity 457(b) Plan US Bond Index Fund - Institutional		X		7/1/2011	X											
7 Highland Equity Opportunities Fund - Long/Short equity Fund (HEOAX)	X			9/21/2011		X										
8 Innovation Interactive LLC		X		4/11/2011	X											
9 Innovation Interactive LLC		X		6/29/2011	X											
10 Innovation Interactive LLC		X		12/28/2011		X										
11 iShares FTSE/Xinhua China 25 Index Fund (FXI)		X		6/4/2011	X											
12 iShares MSCI Brazil Index (EWZ)		X		9/9/2011	X											
13 iShares TR MSCI Emerging Markets FD (EEM)		X		9/9/2011		X										
14 Liquidity Services, Inc.		X		5/10/2011	X											
15 Liquidity Services, Inc.		X		5/17/2011	X											
16 Metastorm, Inc.		X		2/23/2011		X										

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Reporting Individual's Name Carter, Ashton B	<b>SCHEDULE B continued</b> (Use only if needed)	Page Number 17 of
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**Part I: Transactions**

Identification of Assets	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)											
	Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Certificate of divestiture
1 Morgan Stanley India Investment Fund (IIF)		X		9/9/2011	X											
2 Pathology Holdings, Inc.	X			11/22/2011	X											
3 PIMCO Total Return Instl (PTTRX)	X			3/23/2011		X										
4 Professionally Managed Brown Advisory Intermediate Income Institutional Fund (BIAIX)		X		3/1/2011	X											
5 Professionally Managed Brown Advisory Intermediate Income Institutional Fund (BIAIX)		X		3/4/2011		X										
6 Professionally Managed Brown Advisory Intermediate Income Institutional Fund (BIAIX)		X		4/5/2011		X										
7 Professionally Managed Brown Advisory Intermediate Income Institutional Fund (BIAIX)		X		5/2/2011		X										
8 Professionally Managed Brown Advisory Small-Cap Fundamental Value Fund (BIAUX)	X			9/21/2011		X										
9 Quofora, Inc.	X			2/1/2011	X											
10 RedZone Robotics, Inc.	X			8/29/2011		X										
11 Restaurant Technologies, Inc.		X		5/17/2011				X								
12 Restaurant Technologies, Inc.		X		12/16/2011	X											
13 Skinit, Inc.	X			12/20/2011	X											
14 Syncapse Corp.	X			2/18/2011												
15 Syncapse Corp.	X			5/16/2011	X											
16 T. Rowe Price MD Tax-Free Bond (MDXBX)	X			3/23/2011		X										

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**Part I: Transactions**

Identification of Assets	Transaction Type (x)			Date (Mo., Day, Yr.)	Amount of Transaction (x)											
	Purchase	Sale	Exchange		\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Certificate of divestiture
1 TechMedia Network, Inc.	X			9/23/2011		X										
2 TIAA-CREF International Equity Fund - Institutional Class		X		10/2011			X									
3 TIAA-CREF Equity Index Fund - Institutional Class		X		10/2011				X								
4 TIAA-CREF Bond Index Fund - Institutional Class		X		10/2011			X									
5 TIAA Traditional (annuity contracts)		X		10/2011		X										
6 Vanguard Target Retirement 2020		X		6/30/2011		X										
7 Vanguard Total Bond Market Index Investment Fund		X		6/30/2011		X										
8 Vanguard Total International Stock Index Fund		X		6/30/2011		X										
9 Vanguard Total Stock Market Index Fund		X		6/30/2011			X									
10 Wasatch Emerging Markets Small Cap (WAEMX)	X			9/9/2011		X										
11 Wasatch Emerging Markets Small Cap (WAEMX)	X			9/21/2011		X										
12 Zoom Media Group, Inc.	X			5/12/2011	X											
13 Zoom Media Group, Inc.	X			12/21/2011	X											
14																
15																
16																

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**Part I: Liabilities**

Report liabilities over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent children. Check the highest amount owed during the reporting period. Exclude

a mortgage on your personal residence unless it is rented out; loans secured by automobiles, household furniture or appliances; and liabilities owed to certain relatives listed in instructions. See instructions for revolving charge accounts.

None

Creditors (Name and Address)		Type of Liability	Date Incurred	Interest Rate	Term If applicable	Category of Amount or Value (x)															
						\$10,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000*	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000					
Examples	First District Bank, Washington, DC John Jones	Mortgage on rental property, Delaware Promissory note	1991 1999	8% 10%	25 yrs. on demand			x			x										
1																					
2																					
3																					
4																					
5																					

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

**Part II: Agreements or Arrangements**

Report your agreements or arrangements for: (1) continuing participation in an employee benefit plan (e.g. pension, 401k, deferred compensation); (2) continuation of payment by a former employer (including severance payments); (3) leaves

of absence; and (4) future employment. See instructions regarding the reporting of negotiations for any of these arrangements or benefits.

None

Status and Terms of any Agreement or Arrangement		Parties	Date
Example	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	Dne Jones & Smith, Hometown, State	7/85
1	I continue to participate in Harvard's 403(b) plan and life insurance plans but Harvard no longer contributes to either of those plans. I no longer participate in Harvard's 457(b) plan or health insurance plan.	Harvard University	01/90
2			
3			
4			
5			
6			

Reporting Individual's Name Carter, Ashton B	<b>SCHEDULE D</b>	Page Number 20 of .
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**Part I: Positions Held Outside U.S. Government**

Report any positions held during the applicable reporting period, whether compensated or not. Positions include but are not limited to those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. Exclude positions with religious, social, fraternal, or political entities and those solely of an honorary nature. None

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

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

Report sources of more than \$5,000 compensation received by you or your business affiliation for services provided directly by you during any one year of the reporting period. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any other non-profit organization when you directly provided the services generating a fee or payment of more than \$5,000. You need not report the U.S. Government as a source. Do not complete this part if you are an Incumbent, Termination Filer, or Vice Presidential or Presidential Candidate.  
None

	Source (Name and Address)	Brief Description of Duties
Examples	Doe Jones & Smith, Hometown, State Metro University (client of Doe Jones & Smith), Moneytown, State	Legalservices Legal services in connection with university construction
1		
2		
3		
4		
5		
6		