

UNITED STATES HOUSE OF REPRESENTATIVES

Periodic Transaction Report

LEGISLATIVE RESOURCE CENTER

NAME:

James Austin Smith

OFFICE TELEPHONE:

202-225-6531

2013 JUN 13 PM 3:22

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

☒ Member of the U.S. House of Representatives

State: LA District: 8

File an original and 2 copies.

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

Did you purchase any shares that were allocated as a part of an Initial Public Offering? ☐ YES ☒ NO

☐ Officer or Employee

Employing Office:

File an original and 1 copy.

Please indicate whether this is an initial report or an amended report. For amendments, please provide the date of the report you are amending.

☒ Initial Report ☐ Amendment

Date of Report being Amended:

HAND DELIVERED

MC

(For Official Use Only)

FULL ASSET NAME		TYPE OF TRANS-ACTION			DATE OF TRANS-ACTION	DATE NOTIFIED OF TRANS-ACTION	AMOUNT OF TRANSACTION									
JT SP DC	Provide full name, not ticker symbol.	PURCHASE	SALE	EXCHANGE	(MM/DD/YY)	(MM/DD/YY)	A \$1,000-\$15,000	B \$15,001-\$50,000	C \$50,001-\$100,000	D \$100,001-\$250,000	E \$250,001-\$500,000	F \$500,001-\$1,000,000	G \$1,000,001-\$5,000,000	H \$5,000,001-\$25,000,000	I \$25,000,001-\$50,000,000	J Over \$50,000,000
JT	Example: Mega Corp. Common Stock		X		8/14/12	8/14/12		X								
SP	PLUG POWER		X		5/21/13	5/21/13	X									
SP	Caterpillar	X			6/6/13	6/6/13		X								
SP	Cirrus	X			6/6/13	6/6/13		X								
	Plug Power		X		5/16/13	5/16/13	X									
	Ballard Power	X			5/17/13	5/17/13	X									

(This page will be publicly disclosed.)

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		PURCHASE	SALE	EXCHANGE												
	Ballard Power		X		5/21/13	5/21/13	X									
	Aruba Networks	X			5/21/13	5/21/13	X									
	Aruba Networks		X		5/23/13	5/23/13	X									
	PlugPower	X			5/30/13	5/30/13	X									
	PlugPower		X		6/11/13	6/11/13	X									
	PlugPower		X		4/12/13	4/12/13	X									

FOOTNOTE NUMBER	FILER NOTES (optional)

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		PURCHASE	SALE	EXCHANGE													
	Learn'in	X			6/12/13	6/12/13	X										
	Plug Power		X		6/7/13	6/7/13	X										
	Ballard Power		X		5/31/13	5/31/13	X										
	Plug Power	X			5/30/13	5/30/13		X									
	Ballard Power	X			5/30/13	5/30/13	X										
	Cirrus Logic	X			5/28/13	5/28/13		X									

FOOTNOTE
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FILER NOTES (optional)

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	Aruba Networks	X			5/23/13	5/23/13	X									
	Ballard Power	X			5/22/13	5/22/13	X									
	Plug Power	X			5/21/13	5/21/13	X									
	Plug Power	X			5/20/13	5/20/13	X									
	Aruba Networks	X			5/20/13	5/20/13		X								
	Plug Power				5/17/13	5/17/13	X									

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FILER NOTES (optional)

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		PURCHASE	SALE	EXCHANGE			A \$1,000-\$15,000	B \$15,001-\$50,000	C \$50,001-\$100,000	D \$100,001-\$250,000	E \$250,001-\$500,000	F \$500,001-\$1,000,000	G \$1,000,001-\$5,000,000	H \$5,000,001-\$25,000,000	I \$25,000,001-\$50,000,000	J Over \$50,000,000		
	Ballard Power	X			5/17/13	5/17/13	X											
	Play Power		X		5/14/13	5/16/13	X											
	Ballard Power		X		5/16/13	5/16/13	X											
	Cirrus Logic		X		5/9/13	5/9/13	X											
	Play Power		X		5/8/13	5/8/13	X											
	Tecumseh Products		X		5/7/13	5/7/13	X											

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