

UNITED STATES HOUSE OF REPRESENTATIVES

Periodic Transaction Report

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HAND DELIVERED

NAME: <u>James Austin Smith</u>	OFFICE TELEPHONE: <u>202-225-6531</u>	LEGISLATIVE RESOURCE CENTER 2013 JUL 31 AM 10:38 OFFICE OF THE CLERK U.S. HOUSE OF REPRESENTATIVES MC
☒ Member of the U.S. House of Representatives State: <u>CA</u> District: <u>8</u> File an original and 2 copies.	☐ Officer or Employee Employing Office: _____ File an original and 1 copy.	
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		
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: _____		
(For Official Use Only)		

FULL ASSET NAME	TYPE OF TRANS-ACTION			DATE OF TRANS-ACTION	DATE NOTIFIED OF TRANS-ACTION	AMOUNT OF TRANSACTION										
	PURCHASE	SALE	EXCHANGE			A	B	C	D	E	F	G	H	I	J	
JT SP DC	Provide full name, not ticker symbol.			(MM/DD/YY)	(MM/DD/YY)	\$1,000-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$250,000	\$250,001-\$500,000	\$500,001-\$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	
JT	Example: Mega Corp. Common Stock	X		8/14/12	8/14/12		X									
	GARMIN	X		06/12/13	06/12/13	X										
	PLUG POWER	X		06/12/13	06/12/13	X										
	PLUG POWER	X		06/17/13	06/17/13	X										
	PLUG POWER	X		06/17/13	06/17/13	X										
	ARUBA NETWORKS	X		06/19/13	06/19/13	X										
	CIDELIS LOGIC	X		06/19/13	06/19/13	X										

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JT SP DC	Provide full name, not ticker symbol.	PURCHASE	SALE	EXCHANGE	(MM/DD/YY)	(MM/DD/YY)	A	B	C	D	E	F	G	H	I	J	
	STARS XM RADIO	X			06/19/13	06/19/13	X										
	BALANCED POWER	X			06/20/13	06/20/13	X										
	BLACKBERRY	X			06/28/13	06/28/13	X										
	PULBOWER		X		07/01/13	07/01/13	X										
	BLACKBERRY		X		07/03/13	07/03/13	X										
	CELLS ONE		X		07/05/13	07/05/13	X										

FOOTNOTE
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FILER NOTES (optional)

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		PURCHASE	SALE	EXCHANGE												
	BLACKBERRY		X		07/05/13	07/05/13	X									
	PLUG POWER		X		07/09/13	07/09/13	X									
	BALLAD POWER		X		07/12/13	07/12/13	X									
	BALLAD POWER		X		07/17/13	07/17/13	X									
	BALLAD POWER	X			07/17/13	07/17/13	X									
	PLUG POWER		X		07/18/13	07/18/13	X									

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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	
	BALLARD POWER		X		07/19/13	07/19/13	X										
	MICROSOFT	X			07/19/13	07/19/13		X									
	BALLARD POWER	X			07/24/13	07/24/13	X										
	ALUBA NETWORKS		X		07/25/13	07/25/13	X										
	BALLARD POWER		X		07/26/13	07/26/13	X										
	CATERPILLAR	X			07/26/13	07/26/13		X									

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		PURCHASE	SALE	EXCHANGE												
	LOARM IN		X		07/31/13	07/31/13	X									
	PLUG POWER	X			04/14/13	04/14/13	X									
	BALHARD POWER	X			06/20/13	06/20/13	X									
	PLUG POWER		X		07/01/13	07/01/13	X									
	BALHARD POWER		X		07/12/13	07/12/13	X									
	BALHARD POWER	X			07/24/13	07/24/13	X									

FOOTNOTE NUMBER	FILER NOTES (optional)

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