

Dear Board Members:

Below is a register of persons or firms (the "Register") that have matters listed on the **March 7, 2013, agenda for the Finance & Audit Committee meeting**. Also, if applicable, the Register identifies real estate about which the Board will take action this month. If you or one of your family members¹ has:

1. **stock or another equity ownership interest in a firm listed on the Register**, please refer to Part 1 below;
2. **an ownership interest in real estate listed on the Register**, please refer to Part 2 below.
3. **received in the last 12 months income from a person or firm listed on the Register**; please refer to Part 3 below; and
4. **received in the last 12 months a gift or gifts from a person or firm listed on the Register**; please refer to Part 4 below.

If any of the foregoing circumstances exist with regard to more than one person or firm or more than one parcel of property listed on the Register, please note each person, firm, or property in the following charts.

Register of persons, firms, and properties having matters listed on the agenda for the Finance & Audit Committee meeting on March 7, 2013.

Persons or Firms

<u>TIAA-CREF</u>	<u>Bank of America Merrill Lynch</u>
<u>Barclays</u>	<u>Citigroup Global Markets</u>
<u>Goldman Sachs & Co.</u>	<u>JPMorgan Securities</u>
<u>Morgan Stanley</u>	<u>Wells Fargo Securities</u>
<u>Jefferies & Co., Inc.</u>	<u>Fidelity Investments</u>
<u>Raymond James/Morgan Keegan</u>	<u>RBC Capital Markets</u>
<u>Southwest Securities, Inc.</u>	<u>Stifel, Nicolaus & Co., Inc.</u>
<u>Mesirow Financial</u>	<u>Piper Jaffray & Co.</u>
<u>Duncan Williams, Inc.</u>	<u>Estrada Hinojosa</u>
<u>Loop Capital</u>	<u>M. R. Beal & Co.</u>
<u>Ramirez & Co.</u>	<u>Rice Financial Products</u>
<u>Siebert Brandford Shank & Co., LLC</u>	<u></u>

¹ Family members are your spouse, domestic partner, children, stepchildren, sons-in-law, daughters-in-law, mother, father, mother-in-law, and father-in-law. Also, any former spouse is deemed a family member if a child of that union is living, and the mother or father of a deceased or divorced spouse is deemed a family member if you and your deceased or divorced spouse had child that is now living.

Properties

Part 1. Ownership in firms doing business with the NTTA.

If you or a family member own:

- a. 10% or more of the **voting stock or other equity ownership interest** of any firm listed on the Register; or
- b. 10% or more of the **fair market value** of any firm listed on the Register; or
- c. \$15,000 or more of the **fair market value** of any firm listed on the Register,

please complete the following **and execute the affidavit on the last page of this form.**

The firms' names: _____		
Owner's name	Owner's family relationship with Director	State the percentage of ownership in the firm (stock, other equity ownership, or fair market value) or the dollar value of ownership in the firm
1. _____ The Director (check if applicable)	Self	
2.		
3.		
[please attach additional sheets as needed]		
You may <u>not</u> participate in any Board deliberations, discussions, or votes concerning an NTTA matter involving the firm identified above.		

Part 2. Ownership of real estate.

If you or a family member own an interest in **real property** listed on the Register and your interest has a **fair market value of \$2,500 or more**, please complete the following **and execute the affidavit on the last page of this form.**

The name, address, or location of the real property: _____		
Owner's name	Owner's family relationship with Director	Estimated fair-market value of the owner's interest in the property
1. _____ The Director (check if applicable)	Self	
2. _____		
3. _____		
[please attach additional sheets as needed]		
You may <u>not</u> participate in any Board deliberations, discussions, or votes concerning an NTTA matter involving the property identified above.		

Part 3. Income from a listed person or firm.

If you or a family member and a person or firm listed on the Register have an **employment or business relationship** that results in you or that family member **receiving gross income** from the person or firm, please complete the following (attach additional sheets if needed) **and execute the affidavit on the last page of this form.**

The persons' or firms' names: _____		
Recipient's name	Recipient's family relationship with Director	State the nature and extent of the recipient's relationship with the person or firm and the approximate percentage of income received from the person or firm during preceding 12 months
1. <input type="checkbox"/> The Director (check if applicable)	Self	
2.		
3.		
[please attach additional sheets as needed]		
<p>If in the last 12 months, you or a family member <u>received more than 10% of your (or the family member's) gross income</u> from the person or firm named above, <u>you may not participate in any Board deliberations, discussions, or votes concerning an NTTA matter involving that person or firm.</u></p> <p>If you or a family member <u>did not receive more than 10% of your (or the family member's) gross income</u> from that person or firm, <u>you are not disqualified</u> from participating in Board deliberations, discussions, or votes concerning an NTTA matter involving that person or firm.</p>		

Part 4. Disclosure of Gifts.

If in the last 12 months you or a family member **received gifts with an aggregate value of more than \$250** from a person or firm listed on the Register, please complete the following (attach additional sheets if needed) and **execute the affidavit on the last page of this form.**

Please note that gifts may include, but are not limited to, personal entertainment and related expenses, personal travel expenses, medical expenses, legal, accounting and other professional fees for matters unrelated to the NTTA's business, and use of the person's or firm's property or staff for personal purposes, etc. You may exclude gifts (1) given by a family member of the recipient of the gift; (2) a political contribution; or (3) food, lodging, transportation, or entertainment accepted as a guest. To satisfy the requirements of the "guest exception," the donor must have been present when the benefit was conferred on the "guest."

The persons' or firms' names:		
The recipient's name	Recipient's relationship with Director	State the date the gift was accepted and describe the gift.
1. _____ The Director (check if applicable)	Self	Date accepted: Description:
2.		Date accepted: Description:
3.		Date accepted: Description:
[please attach additional sheets as needed]		
<p>Receipt of gifts by you or a family member from the person or firm name above, does <u>not</u> disqualify you from participating in Board deliberations, discussions, or votes concerning an NTTA matter involving that person or firm. Disclosure of the receipt is all that is required.</p>		

I, Matrice Ellis-Kirk, will not participate in discussion nor voting on item 7 of the March 7, 2013, Finance and Audit Committee meeting, due to a conflict with TIAA-CREF.

Please complete this affidavit if you entered any information in the charts above.

AFFIDAVIT

I swear under penalty of perjury that the information set forth above is true, correct, and complete. I acknowledge that the disclosure of the information applies to each family member (as defined by § 176.001(2) of the Local Government Code) of the undersigned Director. I also acknowledge that these statements cover the 12-month period described by § 176.003(a) of the Local Government Code.

Dated: March 7, 2013



Signature of Director

MATRICE ELLIS-KIRK
Print Name

Sworn to and subscribed before me, by the said Matrice Ellis-Kirk this the 7th day of March 2013 to certify which, witness my hand and seal of office.



Signature of officer administering oath

RUBY FRANKLIN
Printed name of officer administering oath

NOTARY
Title of officer administering oath

AFFIX NOTARY STAMP / SEAL

