

# Executive Branch Personnel PUBLIC FINANCIAL DISCLOSURE REPORT

Date of Appointment, Candidacy, Election, or Nomination (Month, Day, Year) <i>1/20/2009</i>		Reporting Status (Check Appropriate Boxes) <input checked="" type="checkbox"/> Incumbent	Calendar Year Covered by Report 2010	New Entrant, Nominee, or Candidate <input type="checkbox"/>	Termination Filer <input type="checkbox"/>	Termination Date (If Applicable) (Month, Day, Year)	<b>Fee for Late Filing</b> Any individual who is required to file this report and does so more than 30 days after the date the report is required to be filed, or, if an extension is granted, more than 30 days after the last day of the filing extension period, shall be subject to a \$200 fee.
Reporting Individual's Name		Last Name DUNCAN		First Name and Middle Initial Arne			
Position for Which Filing		Title of Position Secretary		Department or Agency (If Applicable) Education			<b>Reporting Periods</b> Incumbents: The reporting period is the preceding calendar year except Part II of Schedule C and Part I of Schedule D where you must also include the filing year up to the date you file. Part II of Schedule D is not applicable.  Termination Filers: The reporting period begins at the end of the period covered by your previous filing and ends at the date of termination. Part II of Schedule D is not applicable.
Location of Present Office (or forwarding address)		Address (Number, Street, City, State, and ZIP Code) 400 Maryland Avenue, SW, Washington, D.C. 20202			Telephone No. (Include Area Code) 202-401-3006		
Position(s) Held with the Federal Government During the Preceding 12 Months (If Not Same as Above)		Title of Position(s) and Date(s) Held					
Presidential Nominees Subject to Senate Confirmation		Name of Congressional Committee Considering Nomination Not Applicable		Do You Intend to Create a Qualified Diversified Trust? <input type="checkbox"/> Yes <input type="checkbox"/> No			<b>Nominees, New Entrants and Candidates for President and Vice President:</b>  Schedule A--The reporting period for income (BLOCK C) is the preceding calendar year and the current calendar year up to the date of filing. Value assets as of any date you choose that is within 31 days of the date of filing.  Schedule B--Not applicable.  Schedule C, Part I (Liabilities)--The reporting period is the preceding calendar year and the current calendar year up to any date you choose that is within 31 days of the date of filing.  Schedule C, Part II (Agreements or Arrangements)--Show any agreements or arrangements as of the date of filing.  Schedule D--The reporting period is the preceding two calendar years and the current calendar year up to the date of filing.
Certification		Signature of Reporting Individual <i>Arne Duncan</i>			Date (Month, Day, Year) 5/10/11		
Other Review (If desired by agency)		Signature of Other Reviewer <i>Marcia Sprague</i>			Date (Month, Day, Year) 6/8/11		
Agency Ethics Official's Opinion		Signature of Designated Agency Ethics Official/Reviewing Official <i>[Signature]</i>			Date (Month, Day, Year) 6/8/11		
Office of Government Ethics Use Only		Signature <i>[Signature]</i>			Date (Month, Day, Year) 8/4/11		
Comments of Reviewing Officials (If additional space is required, use the reverse side of this sheet)							Agency Use Only <i>Rec'd State</i> OGE Use Only <b>JUN 13 2011</b>
Agency provided an amended p. 8 on 7/11/11. JM/066 Agency also provided amended pages 5 and 7 on 8/11/11. (Check box if filing extension granted & indicate number of days _____) <input type="checkbox"/>							
(Check box if comments are continued on the reverse side) <input type="checkbox"/>							

# SCHEDULE A

Reporting Individual's Name <b>DUNCAN, Arne</b>	
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Assets and Income	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.											
BLOCK A	BLOCK B									BLOCK C											

For you, your spouse, and dependent children, report each asset held for investment or the production of income which had a fair market value exceeding \$1,000 at the close of the reporting period, or which generated more than \$200 in income during the reporting period, together with such income.

For yourself, also report the source and actual amount of earned income exceeding \$200 (other than from the U.S. Government). For your spouse, report the source but not the amount of earned income of more than \$1,000 (except report the actual amount of any honoraria over \$200 of your spouse).

None

Examples	BLOCK A	BLOCK B									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)					
	Central Airlines Common				x											x						x															
	Doe Jones & Smith, Hometown, State			x																														Law Partnership Income \$130,000			
	Kempstone Equity Fund				x									x																							
	IRA: Heartland 500 Index Fund												x																								
1	TIAA CREF Stock Account Variable Annuity																																				
2	Bright Start College Savings Plan Index based 7-9 Yrs Portfolio (Smith Barney)																																				
3	<del>Bright Start College Savings Plan Index based 7-9 Yrs Portfolio (Smith Barney)</del>																																				
4	AIG Stock Index Fund (Roth IRA) also known as Valic Company Stock Index Fund																																				
5	Chicago Public Schools 457 Deferred Comp. AIG Stock Index Fund																																				
6	Chicago Public Schools 403(b) Plan AIG Stock Index Fund																																				

\* 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 DUNCAN, Arne	<b>SCHEDULE A continued</b> (Use only if needed)	Page Number 3 of 10
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Assets and Income	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.																								
BLOCK A	BLOCK B										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	✓ TIAA CREF University of Chicago (S) TIAA Traditional Guar. Annuity		X														X		X																
2	✓ TIAA CREF University of Chicago (S) CREF Money Market		X										X							X															
3	✓ TIAA CREF University of Chicago (S) CREF Social Choice		X										X							X															
4	✓ TIAA CREF University of Chicago (S) CREF Global Equities		X										X							X															
5	Capitol One Bank Checking Account (J)		X														X			X															
6	✓ Chase Bank Checking Account (J)			X													X			X															
7	✓ Ariel Fund (IRA)		X										X							X															
8	✓ Ariel Fund (J)				X								X							X															
9	✓ Ariel Appreciation Fund (J)				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.



### SCHEDULE A continued

(Use only if needed)

Reporting Individual's Name DUNCAN, Arne	SCHEDULE A continued (Use only if needed)															Page Number 4 of 10													
Assets and Income		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.														
BLOCK A		BLOCK B													BLOCK C														
															Type		Amount										Date (Mo., Day, Yr.) Only if Honoraria		
															Dividends Rent and Royalties Interest Capital Gains	None (or less than \$201)													
		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	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
1	Ariel Focus Fund (J)			X										X			X												
2	Ariel Fund (IRA) (S)	X												X			X												
3	TIAA Traditional Guar. Annuity			X													X												
4	Ariel Investments, LLC (stock) formerly Ariel Capital Management, Chicago, IL							X								X					X								
5	Guardian Whole Life Policy				X											X		X											
6	Ariel Capital 401(k) Profit Sharing Longleaf Partners Fund			X										X			X												
7	Ariel Capital 401(k) Profit Sharing Sequoia Fund	X												X			X												
8	Ariel Capital 401(k) Profit Sharing Ariel Focus Fund			X										X			X												
9	Ariel Capital 401(k) Profit Sharing Ariel Appreciation Fund			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  
 DUNCAN, Arne

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

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Assets and Income		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.																								
BLOCK A		BLOCK B											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										Other Income (Specify Type & Actual 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				
1	✓ Ariel Capital 401(k) Profit Sharing Legg Mason Opportunity Fund - Inst'l			X										X																							
2	✓ Ariel Capital 401(k) Profit Sharing Ariel Fund				X									X																							
3	✓ Ariel Capital 401(k) Profit Sharing Wasatch Small Cap Growth Fund			X										X																							
4	✓ Ariel Capital 401(k) Profit Sharing Dodge & Cox International				X									X																							
5	✓ Ariel Capital 401(k) Profit Sharing Oakmark International Small Cap			X										X																							
6	✓ Ariel Capital 401(k) Profit Sharing PIMCO Real Return - Inst'l			X										X																							
7	✓ Ariel Capital 401(k) Profit Sharing T. Rowe Price Short Term Bond			X										X																							
8	✓ Ariel Capital 401(k) Profit Sharing Ariel Micro Cap			X										X																							
9	✓ Ariel Capital 401(k) Profit Sharing * Cash			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.

Prior Editions Cannot Be Used. \* per information provided by filer. traced 8/4/11

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

Reporting Individual's Name  
 DUNCAN, Arne

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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	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)	Date (Mo., Day, Yr.)  Only if Honoraria	
1	✓ Vanguard Investments 403(b) (S) Vanguard US Growth	X											X							X														
2	✓ Vanguard Investments 403(b) (S) Vanguard Wellington Fund			X									X							X														
3	Vanguard Investments 403(b) (S) Vanguard Windsor Fund	X											X							X														
4	KaBoom! (S) (Senior Advisor to CEO and Senior Management)																															Salary		
5																																		
6																																		
7																																		
8																																		
9																																		

\* 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.

Do not complete Schedule B if you are a new entrant, nominee, or Vice Presidential or Presidential Candidate

Reporting Individual's Name <b>DUNCAN, Arne</b>	<b>SCHEDULE B</b>	Page Number <b>7 of 10</b>
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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

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
x	2/1/99					x										
x	various		x													
x	various				x											
x	various				x											
x	various				x											
x	various					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 \$260, and (2) travel-related cash reimbursements received from one source totaling more than \$260. 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 \$104 or less. See instructions for other exclusions.

None

Examples	Source (Name and Address)	Brief Description	Value
	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)	\$300
1	John Rogers, Chicago, IL	Airline Ticket and hotel in connection with Hoop It Up trip to Chicago 6/4/10-6/6/10 (personal activity unrelated to duty)	\$2960
2	John Rogers, Chicago, IL	Airline Ticket and hotel in connection with Hoop It Up trip to Louisville, KY 7/31/10-8/1/10 (personal activity unrelated to duty)	\$2438
3			
4			
5			

Do not complete Schedule B if you are a new entrant, nominee, or Vice Presidential or Presidential Candidate

Reporting individual's Name DUNCAN, Arne	<b>SCHEDULE B continued</b> (Use only if needed)	Page Number 8 of 10
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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 ✓ Ariel Capital 401(k)/ Profit Sharing - Neuberger Berman Core Bond Fund (Plan does not provide date)		X		various	X											
2 ✓ Ariel Capital 401(k)/ Profit Sharing - Sequoia Fund (Plan does not provide date)	X			various	X											
3 ✓ Ariel Capital 401(k)/ Profit Sharing - Legg Mason Opportunity Fund-Instl (Plan does not provide date)	X			various	X											
4 ✓ Ariel Capital 401(k)/ Profit Sharing - Wasatch Small Cap Growth Fund (Plan does not provide date)	X			various	X											
5 ✓ Ariel Capital 401(k)/ Profit Sharing - Dodge & Cox International Fund (Plan does not provide date)	X			various		X										
6 ✓ Ariel Capital 401(k)/ Profit Sharing - Oakmark International <sup>Small Cap **</sup> Fund (Plan does not provide date)	X			various	X											
7 ✓ Ariel Capital 401(k)/ Profit Sharing - PIMCO Real Return - Instl Fund (Plan does not provide date)	X			various	X											
8 ✓ Ariel Capital 401(k)/ Profit Sharing - Ariel Micro Cap Fund (Plan does not provide date)	X			various	X											
9 Ariel Capital 401(k)/ Profit Sharing - T Rowe Price Short Term Bond Fund * (Plan does not provide date)	X			various	X											
10																
11																
12																
13																
14																
15																
16																

\* 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.

\* per information provided by filer. mca 6/8/11  
 \*\* per information provided by filer. mca 7/11/11



Reporting Individual's Name  
 DUNCAN, Arne

## SCHEDULE C

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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

Examples	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					
	First District Bank, Washington, DC John Jones, 123 J St., Washington, DC	Mortgage on rental property, Delaware Promissory note	1991 1999	8% 10%	25 yrs. on demand			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

Example	Status and Terms of any Agreement or Arrangement	Parties	Date
	Pursuant to partnership agreement, will receive lump sum payment of capital account & partnership share calculated on service performed through 1/00.	Doe Jones & Smith, Hometown, State	7/85
1	Ariel Profit Sharing and 401(k) Plan. Defined Contribution Plan (No further contributions will be made by employer)	Ariel Investments, Inc., Chicago, IL	01/93
2	Chicago Public Schools 403(b) Plan. Defined Contribution Plan (No further contributions will be made by employer)	Chicago Public Schools, Chicago, IL	2/98
3	Chicago Public Schools 457(b) Plan. Defined Contribution Plan (No further contributions will be made by employer)	Chicago Public Schools, Chicago, IL	9/04
4			
5			
6			

Reporting Individual's Name  
 DUNCAN, Arne

## SCHEDULE D

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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	Legal services Legal services in connection with university construction
1		
2		
3		
4		
5		
6		