

UNITED STATES SENATE
COMMITTEE ON THE JUDICIARY

QUESTIONNAIRE FOR NON-JUDICIAL NOMINEES

PUBLIC

1. **Name**: State full name (include any former names used).

Grande Hamilton Lum

2. **Position**: State the position for which you have been nominated.

Director, Community Relations Service, Department of Justice

3. **Address**: List current office address. If city and state of residence differs from your place of employment, please list the city and state where you currently reside.

409 3rd Street SW, Washington DC 20416; Hillsborough, CA

4. **Birthplace**: State date and place of birth.

1964; San Francisco, CA

5. **Education**: List in reverse chronological order each college, law school, or any other institution of higher education attended and indicate for each the dates of attendance, whether a degree was received, and the date each degree was received.

Harvard Law School

Attended: August 1988 to June 1991

Degree: Juris Doctorate, June 1991

University of California

Attended: August 1982 to December 1986

Degree: Bachelor of Arts, December 1986

6. **Employment Record**: List in reverse chronological order all governmental agencies, business or professional corporations, companies, firms, or other enterprises, partnerships, institutions or organizations, non-profit or otherwise, with which you have been affiliated as an officer, director, partner, proprietor, or employee since graduation from college, whether or not you received payment for your services. Include the name and address of the employer and job title or description.

The following are paid unless otherwise noted.

Director, HUBZone Program (August 2010 to present)

United States Small Business Administration

409 3rd Street SW

Washington, DC 20416

Board of Overseers (2010 to present-Unpaid)

Baldrige National Quality Program
100 Bureau Drive M/S 1020, Gaithersburg, MD 20899

Clinical Professor and Director (July 2008 to August 2010, On Leave of Absence 2010-2012)

University of California Hastings School of the Law
200 McAllister Street
San Francisco, CA 94102

Managing Director (January 2005 to August 2010)

Accordence
533 Airport Boulevard #400
Burlingame, CA 94010

Vice-Chair, Board of Directors (2006 to August 2010-Unpaid)

Peninsula Conflict Resolution Center
South Amphlett Boulevard
San Mateo, CA 94402

President (2008 to 2010-unpaid)

Hillsborough Democratic Club
Hillsborough, CA 94010

Adjunct Professor (July 2007 to February 2009)

Stanford University Continuing Studies
482 Galvez Mall
Stanford, A 94305

Adjunct Professor (January 2008 to April 2008)

University of California, Berkeley School of the Law
215 Boalt Hall
Berkeley, CA 94720

Alternative Dispute Resolution Externship Program Co-Manager (January 2008 to May 2008)

Stanford Law School
595 Nathan Abbott Way
Stanford, CA 94305

Assistant Adjunct Professor of Law (August 2007 to November 2007)

University of California Hastings School of the Law
200 McAllister Street
San Francisco, CA 94102

Adjunct Lecturer (April 2006 to April 2007)

Dominican University School of Business
50 Acacia Avenue
San Rafael, CA 94901

Board of Directors (2004 to 2005-Unpaid)

Teacher's Path

3536 Broderick Avenue
San Francisco, CA 94123

Principal (September 1997 to December 2004)
ThoughtBridge
3 Bow Street
Cambridge, MA 02138

Chair and Member, Board of Directors (1998 to 2003-Unpaid)
Center for Asian American Media
145 9th Street Suite 350
San Francisco, CA 94103

Partner, Senior Consultant and Consultant (October 1991 to August 1997)
Conflict Management Inc.
1030 Massachusetts Avenue
Cambridge, MA 92138

Teaching Fellow (January 1991 - June 1991)
Harvard Negotiation Project
513 Pound Hall
Cambridge, MA 02138

Legal Intern (June 1990 to August 1990)
U.S. Senate Labor and Human Resources Committee
428 Senate Dirksen Building
Washington, DC 20510

Teaching Fellow (January 1990 to June 1990)
Harvard Sociology Department
33 Kirkland Street, Cambridge, MA 02138

Summer Associate (June 1989 to August 1989)
Pacific Gas and Electric Company
77 Beale Street
San Francisco, CA 94105

Reporter (May 1987 to May 1988)
East West News
838 Grant Avenue
San Francisco, CA 94108

7. **Military Service and Draft Status:** Identify any service in the U.S. Military, including dates of service, branch of service, rank or rate, serial number (if different from social security number) and type of discharge received, and whether you have registered for selective service.

Yes, I have registered for selective service. I have never served in the military.

8. **Honors and Awards:** List any scholarships, fellowships, honorary degrees, academic or professional honors, honorary society memberships, military awards, and any other special recognition for outstanding service or achievement.

US News and World Report-Best Law School Dispute Resolution Programs – University of California Hastings College of the Law: Number 10 (2011) and Number 12 (2010)
GM-Saturn Labor-Management Award-2nd Place -Recognition of San Diego Schools collective bargaining approach in which I served as mediator & facilitator (1997)
Andres Fellowship (1990)
Phi Beta Kappa (1986)
UC Berkeley Psychology Department Distinguished Service Award (1986)
Golden Key National Honor Society (1986)
Psi Chi National Honor Society in Psychology (1986)

9. **Bar Associations:** List all bar associations or legal or judicial-related committees, selection panels or conferences of which you are or have been a member, and give the titles and dates of any offices which you have held in such groups.

California State Bar Association Standing Committee on Alternative Dispute Resolution (2007 to 2008)

American Bar Association (2009 to present)

American Bar Association Dispute Resolution Section (2008 to present)

10. **Bar and Court Admission:**

- a. List the date(s) you were admitted to the bar of any state and any lapses in membership. Please explain the reason for any lapse in membership.

Admitted: California State Bar June 2004. I have no lapses in membership.

- b. List all courts in which you have been admitted to practice, including dates of admission and any lapses in membership. Please explain the reason for any lapse in membership. Give the same information for administrative bodies that require special admission to practice.

None

11. **Memberships:**

- a. List all professional, business, fraternal, scholarly, civic, charitable, or other organizations, other than those listed in response to Questions 9 or 10 to which you belong, or to which you have belonged, since graduation from law school. Provide dates of membership or participation, and indicate any office you held. Include clubs, working groups, advisory or editorial boards, panels, committees, conferences, or publications.

Association for Dispute Resolution of Northern California 2005-2009
Association for Conflict Resolution 2008-present
Hillsborough Democratic Club 2008-2010

National Democratic Club July 2011-present
Primetime Athletic Club (Burlingame, CA) 2006-present
The Sports Club LA (Washington DC) 2010-present

I have made financial contributions to charitable organizations over the years. I have not included in the list above any organizations to which I gave funds and did not otherwise participate in programmatic activities, although the organization may label me a member.

- b. Indicate whether any of these organizations listed in response to 11a above currently discriminate or formerly discriminated on the basis of race, sex, religion or national origin either through formal membership requirements or the practical implementation of membership policies. If so, describe any action you have taken to change these policies and practices.

To the best of my knowledge, they do not.

12. Published Writings and Public Statements:

- a. List the titles, publishers, and dates of books, articles, reports, letters to the editor, editorial pieces, or other published material you have written or edited, including material published only on the Internet. Supply four (4) copies of all published material to the Committee.

I have done my best to identify published materials, including through a review of my personal files and searches of publicly available electronic databases. Despite my searches, there may be other materials I have been unable to identify, find or remember. I have located the following:

Negotiation Fieldbook: Simple Strategies for Every Negotiation. McGraw-Hill. First Edition 2005; Second Edition 2010. Copies of both editions supplied.

"How to be Your Own Mediator: A Relationship Goal is Necessary for Aim,"
Huffington Post, October 20, 2009. Available at
http://www.huffingtonpost.com/grande-lum/how-to-be-your-own-mediator_b_327259.html. Copy of post supplied.

"How to Be Your Own Mediator: Disconnect the Reaction from the Person,"
Huffington Post, August 7, 2009. Available at
http://www.huffingtonpost.com/grande-lum/how-to-be-your-own-mediator_b_253614.html. Copy of post supplied.

"How to be Your Own Mediator: Raise the Issue Swept Under the Rug,"
Huffington Post, August 1, 2009. Available at
http://www.huffingtonpost.com/grande-lum/how-to-be-your-own-mediator_b_248310.html. Copy of post supplied.

"How to Be Your Own Mediator: Lower Your Boiling Point," Huffington Post, July 23, 2009. Available at <http://www.huffingtonpost.com/grande-lum/how-to->

be-your-own-mediator_b_243570.html. Copy of post supplied.

“How To Be Your Own Mediator: Tell the Third Story,” Huffington Post, July 9, 2009. Available at http://www.huffingtonpost.com/grande-lum/how-to-be-your-own-mediator_b_228505.html. Copy of post supplied.

“How to be Your Own Mediator: Tell the Story Twice,” Huffington Post, July 7, 2009. Available at http://www.huffingtonpost.com/grande-lum/how-to-be-your-own-mediator_b_227164.html. Copy of post supplied.

“How to Be Your Own Mediator: Empathize and Assert at the Same Time,” Huffington Post, July 6, 2009. Available at http://www.huffingtonpost.com/grande-lum/how-to-be-your-own-mediator_b_225421.html. Copy of post supplied.

“How to be Your Own Mediator: It's Me Not You,” Huffington Post, July 1, 2009. Available at http://www.huffingtonpost.com/grande-lum/how-to-be-your-own-mediator_b_224056.html. Copy of post supplied.

“Tear Down the Walls: How to Move to Their Side,” Huffington Post, July 1, 2009. Available at http://www.huffingtonpost.com/grande-lum/tear-down-the-walls-how-t_b_223291.html. Copy of post supplied.

“Tear Down the Walls: Imagine a Video Camera is Only Capturing You,” Huffington Post, June 29, 2009. Available at http://www.huffingtonpost.com/grande-lum/tear-down-the-walls-imagi_b_221765.html. Copy of post supplied.

“Create a Comfort Zone for the Other Person,” Huffington Post, June 19, 2009. Available at http://www.huffingtonpost.com/grande-lum/create-a-comfort-zone-for_b_217508.html. Copy of post supplied.

“Tear Down the Walls By Becoming More Comfortable First,” Huffington Post, May 14, 2009. Available at http://www.huffingtonpost.com/grande-lum/tear-down-the-walls-by-be_b_203307.html. Copy of post supplied.

“Tear Down the Walls: How to Imagine Their Internal Conflict Story,” Huffington Post, April 24, 2009. Available at http://www.huffingtonpost.com/grande-lum/tear-down-the-walls-how-t_b_191258.html. Copy of post supplied.

“Tear Down the Walls: How to Find Your Internal Conflict,” Huffington Post, April 22, 2009. Available at http://www.huffingtonpost.com/grande-lum/tear-down-the-walls-how-t_b_189229.html. Copy of post supplied.

“How to Seek Heroism in Demands,” Huffington Post, March 10, 2009. Available

at http://www.huffingtonpost.com/grande-lum/how-to-see-heroism-in-de_b_169653.html. Copy of post supplied.

“Tear Down The Walls - How to Use Demands as Clues,” Huffington Post, December 29, 2008. Available at http://www.huffingtonpost.com/grande-lum/tear-down-the-walls---ho_b_153907.html. Copy of post supplied.

“Tear Down the Walls: How to Separate the Position From the Person,” Huffington Post, November 23, 2008. Available at http://www.huffingtonpost.com/grande-lum/tear-down-the-walls-how-t_b_145659.html. Copy of post supplied.

“Tear Down the Walls: How to Ease Into the Tough Topics,” Huffington Post November 14, 2008 Available at http://www.huffingtonpost.com/grande-lum/tear-down-the-walls-how-t_b_143712.html. Copy of post supplied.

“Tear Down the Walls: How to See Everyday Conflicts as Cross-Cultural,” Huffington Post, November 10, 2008. Available at http://www.huffingtonpost.com/grande-lum/tear-down-the-walls-how-t_b_142478.html. Copy of post supplied.

“Tear Down the Walls: How to Bring Curiosity into the Mix,” Huffington Post, October 31, 2008. Available at http://www.huffingtonpost.com/grande-lum/tear-down-the-walls-how-t_b_139084.html. Copy of post supplied.

“How Obama is Mediating His Way Toward the Presidency,” Huffington Post, October 29, 2008. Available at http://www.huffingtonpost.com/grande-lum/how-obama-is-mediating-hi_b_138867.html. Copy of post supplied.

“Tear Down the Walls: How to Approach Conversation as a Craft,” Huffington Post, October 24, 2008. Available at http://www.huffingtonpost.com/grande-lum/tear-down-the-walls-how-t_b_137043.html. Copy of post supplied.

“Tear Down the Walls: How to Change Conflict to Collaboration,” Huffington Post, October 14, 2008. Available at http://www.huffingtonpost.com/grande-lum/tear-down-the-walls-how-t_b_134609.html. Copy of post supplied.

“What One Obama Supporter Can Do” Huffington Post, September 17, 2008. Available at http://www.huffingtonpost.com/grande-lum/what-one-obama-supporter_b_127238.html. Copy of post supplied.

“Raising Your Money Where Your Belief Is,” Huffington Post, August 13, 2008, available at http://www.huffingtonpost.com/grande-lum/raising-money-where-your_b_118777.html. Copy of post supplied.

“Which Presidential Candidate Would be Best at Conflict Resolution,” Mediate.com, February 2008, available at www.mediate.com/articles/lumG5.cfm. Copy of article supplied.

“Primary Views: Grande Lum Candidate: Barack Obama” San Francisco Chronicle February 3, 2008. Available at <http://www.sfgate.com/cgi-bin/article.cgi?f=/c/a/2008/02/03/INI9UPPT1.DTL>. Copy of article supplied.

Contributed to “A Local Official’s Guides to Intergovernmental Conflict Resolution” published by Institute for Local Government, 2008. Copy of guide supplied.

Contributed short excerpt on negotiation to The Mind of the Customer: How the World’s Leading Sales Forces Accelerate Their Customer’s Success, by Richard Hodge and Lou Schacter. Published by McGraw-Hill, 2006. Copy of excerpt supplied.

I signed an open letter to San Francisco Chronicle raising concerns on a series titled “Diary of a Sex Slave” on October 24, 2006. Copy of letter supplied.

“A New ICON – Use This Win-Win Model,” Executive Excellence, February 2004 (Co-authored with Anthony Wanis-St. John). Copy of article supplied.

Letter to the Editor, Harvard Business Review, February 2004. Copy of letter supplied.

Letter to the editor, San Francisco Chronicle, February 1, 2004, available at http://articles.sfgate.com/2004-02-01/sports/17411671_1_asian-americans-steroid-matt-gonzalez. Copy of letter supplied.

Expand the Pie: How to Create More Value in Any Negotiation. Castle Pacific Publishing 2003 (co-authored with Irma Tyler-Wood and Anthony Wanis-St. John (earlier version of Negotiation Fieldbook). Copy of book supplied.

“Adversaries to Allies: Lessons from the San Diego City Schools Contract Negotiations,” Mediate.com, 2001 (co-authored with Monica Christie). Copy of article supplied.

Monster.com – Served as negotiation expert and contributed numerous blog entries on negotiation and other executive issues. 2000. Copies supplied where available. Please note that published dates are estimated and that copy supplied may not be final version.

“What the Other Side is Really Telling You,” Monster.com 2001. Copy of post supplied.

“Persuasion Without Coercion,” Monster.com 2001. Copy of post supplied.

“Negotiating a Flexible Work Schedule,” Monster.com 2001. Copy supplied.

“Managing Conflict,” Monster.com 2001. Copy of post supplied.

“How do I Walk Away From a Negotiation,” Monster.com 2001. Copy of post supplied.

“Negotiating Across Gender,” Monster.com February 20, 2001. Copy of post supplied.

“Negotiating With Your Manager,” Monster.com February 14, 2001. Copy of post supplied.

“Persuasion - More Asking,” Monster.com February 6, 2001. Copy of post supplied.

“Getting into the Negotiator Zone,” Monster.com February 4, 2001. Copy of post supplied.

“Tips for Negotiation Improvement: Get an Attitude! ” Monster.com January 23, 2001. Copy of post supplied.

“Difficult Negotiation Styles,” Monster.com January 17, 2001. Copy supplied.

“Negotiating Inside Out,” Monster.com January 17, 2001. Copy supplied.

“Negotiating Change,” Monster.com December 18, 2000. Copy of post supplied.

“Repairing Bad Relationships,” Monster.com December 12, 2000. Copy of post supplied.

“When Others Negotiate For You,” Monster.com December 4, 2000. Copy of post supplied.

“What to Do if Other Side Refuses to Negotiate,” Monster.com November 22, 2000. Copy of post supplied.

“Negotiating in a Multicultural Environment,” Monster.com November 14, 2000. Copy of post supplied.

“Raising Difficult Issues,” Monster.com November 7, 2000. Copy of post supplied.

“Interpersonal Skills,” Monster.com October 31, 2000. Copy of post supplied.

“Traits of Successful Negotiators,” Monster.com October 24, 2000. Copy of post supplied.

“Assess Trust and Improve,” Monster.com October 15, 2000. Copy of post supplied.

“Are You Ready to Negotiate Salary? ” Monster.com October 10, 2000. Copy of post supplied.

"Improving Executive Team Performance," Monster.com October 2, 2000. Copy of post supplied.

"Countering Hardball Tactics," Monster.com September 21, 2000. Copy of post supplied.

"I Hate to Negotiate," Monster.com August 28, 2000. Copy of post supplied.

"When Not to Come to an Agreement," Monster.com August 24, 2000. Copy of post supplied.

"Appeal to Fairness," Monster.com August 12, 2000. Copy of post supplied.

"Rethinking Conflict Resolution," Monster.com August 11, 2000. Copy of post supplied.

"Creating Visibility," Monster.com August 7, 2000. Copy of post supplied.

"Cutting the Pie in Negotiation," Monster.com August 3, 2000. Copy of post supplied.

"Maximizing the Value of Business Relationships," Monster.com August 3, 2000. Copy of post supplied.

"Negotiate with Yourself," Monster.com August 3, 2000. Copy of post supplied.

"Terrific Team Negotiating," Monster.com July 24, 2000. Copy of post supplied.

"Persuasion," Monster.com June 28, 2000. Copy of post supplied.

"Trust," Monster.com June 28, 2000. Copy of post supplied.

"Rethinking the Role of the Strategic Account Manager," Velocity, the Strategic Account Management Association Journal. Fall 1999 (co-authored with Andrew Ayers). Copy of article supplied.

"Integrating Sales Force Negotiation Skills" Newstop, the Official Journal of the National Society of Pharmaceutical Sales Trainers. Summer 1999 (co-authored with Eric Collins). Copy of article supplied.

"Transforming Difficult Customer Relationships to Valuable Ones," Velocity, the Strategic Account Management Association Journal. Summer 1999 (co-authored with Andrew Ayers). Copy of article supplied.

"Interest-Based Negotiations in Education Collective Bargaining: The Nuts and Bolts of Getting Started," The North American Association of Educational Negotiators Bulletin, October/November 1996. Copy of article supplied.

Letter to the Editor, Black Entrepreneur, Bank Business, December 1992. Copy supplied.

I was a reporter for East West News from May 1987 to May 1988. Copies supplied where available.

“Critical Need for AIDS Education in Asian American Communities,” East West News, March 31, 1998. Copy of article supplied.

“Makers of Vincent Chin Documentary Fight Off Ghosts, Animals and CPB,” East West News, March 31, 1988. Copy of article supplied.

“Young Entrepreneurs Cash in on Baseball Cards,” East West News, September 10, 1987. Copy of article supplied.

“SF Supervisors Must Confront Issue of Cathay Mortuary vs. New Chinatown Park,” East West News, August 6, 1987. Copy of article supplied.

“South Bay Groups Demand Apology for Milpitas Police Actions,” East West News, June, 1987. Copy of article supplied.

“East/West Survey Summer Activities for Youth,” East West News, May 28, 1987. Copy of article supplied

- b. Supply four (4) copies of any reports, memoranda or policy statements you prepared or contributed in the preparation of on behalf of any bar association, committee, conference, or organization of which you were or are a member. If you do not have a copy of a report, memorandum or policy statement, give the name and address of the organization that issued it, the date of the document, and a summary of its subject matter.

I have done my best to identify any reports, memoranda or policy statements I prepared or contributed in, including through a review of my personal files and searches of publicly available electronic databases. Despite my searches, there may be other materials I have been unable to identify, find or remember.

I was on California State Bar Standing Committee on Alternative Dispute Resolution. Copies of Committee reports supplied where available.

“Comments on CDRC’s Proposed Mediation Training Guidelines,” Comments to California Dispute Resolution Council, November 15, 2007. Copy of report supplied.

“2008 Resolutions,” Comments to Conference of Delegates of California Bar Associations, May 28, 2008. Copy of report supplied.

“Procedures for Addressing Complaints About Court-Program Mediators for Civil Cases – SPR08-10,” Comments to Judicial Council of California, June 20, 2008. Copy of report supplied.

“Development of Qualification Standards for Mediators Serving in Court-Connected Mediation Programs for Civil Cases,” Comments to Office of the General Counsel, Judicial Council of California, July 21, 2008. Copy of report supplied.

- c. Supply four (4) copies of any testimony, official statements or other communications relating, in whole or in part, to matters of public policy or legal interpretation, that you have issued or provided or that others presented on your behalf to public bodies or public officials.

I have done my best to identify testimony, official statements or other communications relating, in whole or in part, to matters of public policy or legal interpretation, that I have issued or provided or that others presented on my behalf to public bodies or public officials. I have found none. Despite my searches, there may be materials I have been unable to identify, find or remember.

- d. Supply four (4) copies, transcripts or recordings of all speeches or talks delivered by you, including commencement speeches, remarks, lectures, panel discussions, conferences, political speeches, and question-and-answer sessions. Include the date and place where they were delivered, and readily available press reports about the speech or talk. If you do not have a copy of the speech or a transcript or recording of your remarks, give the name and address of the group before whom the speech was given, the date of the speech, and a summary of its subject matter. If you did not speak from a prepared text, furnish a copy of any outline or notes from which you spoke.

I have done my best to identify transcripts or recordings of all speeches or talks delivered, including through a review of my personal files and searches of publicly available electronic databases. Despite my searches, there may be other materials I have been unable to identify, find, or remember. I have located the following:

As part of my current job as SBA HUBZone Program Director, I continue to give speeches and appear on panels, which include question and answer sessions.

DC Entrepreneurship Week, Being an Entrepreneur in DC, Panel discussion, Washington DC Economic Partnership, 1495 F Street NW, Washington DC 20004 November 16, 2011. Copy of powerpoint supplied.

3rd Annual 8th District Federal Contracting Symposium, *Creating HUBZone Jobs in North Carolina*, Panel and Presentation, Stanly County Agri-Civic Center, 26032 Newt Road #B, Albemarle, North Carolina 28001 November 9, 2011. Copy of powerpoint supplied.

Minority Enterprise Development Week: *Small Business Town Hall: Growth Opportunities for the Underserved Markets*, Marriott Wardman Park, 2660 Woodley Road NW Washington DC 20008 September 29, 2011. Copy of agenda supplied.

Minority Enterprise Development Week : *Access to Contracts: SBA – Updates in Small Business Contracting*, Marriott Wardman Park, 2660 Woodley Road NW Washington DC 20008 September 28, 2011. Copy of agenda supplied.

HUBZone Council National Meeting, *HUBZone Program Update and Impact of 2010 Census*, Liaison Capitol Hill Hotel, 415 New Jersey Avenue NW Washington DC 20001 September 8, 2011. Copy of powerpoint supplied.

White House Business Summit, *HUBZONE PROGRAM: Benefits, Opportunities and Fit* KOIN Center, 222 SW Columbia Street, Portland, OR 97201 August 29, 2011. Copy of powerpoint supplied.

Mississippi Development Authority & Mississippi Procurement Technical Assistance Program, *Government Contracting and Business Development Update*, Biloxi Convention Center, Biloxi, MS, May 17, 2011. Copy of speech notes supplied.

United States Pan Asian American Chamber of Commerce, *HUBZone Program: Benefits, Opportunities and Fit*, Hyatt Regency, 5 Embarcadero Center, San Francisco, CA 94111 March 9, 2011. Copy of powerpoint supplied.

NASA & Small Business Administration, *HUBZone Program: Benefits, Opportunities and Fit*, Michoud Assembly Facility New Orleans, January 27, 2011. Copy of powerpoint supplied.

White House Asian American Pacific Islander Initiative, *Government Contracting Panel: Opportunities for Businesses*, Microsoft, 1065 La Avenida Street, Mountain View, CA 94043 January 7, 2011, available at <http://www.youtube.com/watch?v=7trOiwKud-c> (45:20). Copy of coverage supplied.

HUBZone Council Annual Conference, *HUBZone Update*, DuPont Hotel, 1500 New Hampshire NW, Washington DC 20036 September 16, 2010. Copy of powerpoint supplied.

Peninsula Conflict Resolution Center, Breakfast Fundraiser *Closing Remarks*, Crowne Plaza Hotel, Foster City, CA 94404, May 19, 2010. Video available at <http://www.youtube.com/watch?v=07MWwV4MyKs>. Copy of speech notes supplied.

Joe Fernandez for Rhode Island Attorney General Fundraiser, *Introductory Remarks*, Kerr & Wagstaffe, 100 Spear Street, San Francisco, CA 94105 June 21, 2010. Copy of speech notes supplied.

UC Hastings Alumni Event, *Panel on Mediation Representation*, Stradling Yocca Carlson & Rauth, 660 Newport Center Drive Suite 1600, Newport Beach, CA 92660 April 29, 2010. Copy of speakers' bios, agenda and powerpoint supplied.

ABA Dispute Resolution Conference, *Innovations in Teaching Negotiation*, Hyatt Regency, 5 Embarcadero Center, San Francisco, CA 94111 April 10, 2010. Copy of speech outline supplied.

Project Sentinel, *Negotiation for Mediators*, 298 S. Sunnyvale Avenue, Sunnyvale, CA 94086 March 2010. I have not been able to locate notes.

California Dispute Resolution Council, *Introductory Remarks*, 200 McAllister Street, San Francisco, CA 94102 October 17, 2009. Copy of speech notes supplied.

Center for Transnational Law and the German Institute of Arbitration, 4th Cologne Summer Academy on Business Negotiation and Mediation, *Negotiation Track*, University of Cologne, Germany. September 7, 2009. Copy of agenda and powerpoint supplied.

David Mineta for San Mateo County Supervisor, *Introductory Remarks*, The Virginia City Waterfront Rail Park, 675 Seaport Blvd., Redwood City, CA 94061 July 18, 2009. Copy of speech notes supplied.

Institute of Local Government, League of California Cities' Mayors & Council Members Executive Forum, *Negotiating and Resolving Problems Collaboratively*, Paradise Point Resort & Spa, 1404 Vacation Road, San Diego, CA 92109 May 29-30, 2009. Copy of speech notes supplied.

UC Hastings, *Mediation Advocacy*
White and Case, 3000 El Camino Real, 5 Palo Alto Square, Palo Alto, CA 94306 November 17, 2009. Copy of powerpoint supplied.

Peninsula Conflict Resolution Center, *Why Community Dispute Resolution Matters*, Foster City Community Library, 1000 East Hillsdale Blvd., Foster City, CA 94404 March 27, 2008. Copy of speech notes supplied.

Goldman School of Public Policy, University of California at Berkeley, *Education Negotiations*, 2607 Hearst Avenue, Berkeley, CA 94720 April 1, 2008. Copy of agenda and speech notes supplied.

Hastings Law School, *Teaching Integrative Bargaining*, 100 McAllister Blvd., San Francisco, CA 94102 January 16, 2008. Copy of teach notes and powerpoint supplied.

Association for Dispute Resolution of Northern California and Asian American Bar Association, *Growing Your Mediation Practice*, 301 Battery Street, San Francisco, CA 94111 October 16, 2008. Copy of flyer supplied.

Association for Dispute Resolution of Northern California, *An Evening with Mediator Grande Lum*, 1660 South Amphlett Blvd., #219 San Mateo, CA February 26, 2008. I have not been able to locate notes.

EMCOR, *ICON Negotiation Concepts*, Scottsdale, AZ September 28, 2005. Copy of powerpoint supplied.

Asia-Pacific Student Entrepreneurship Society at Stanford University, Entrepreneurship Summit, *Entrepreneur as Negotiator*, Stanford University, Stanford, CA April 8, 2005. Copy of powerpoint supplied.

The Real Learning Company, 5th Annual Symposium, *Power of 3 Persuasion*, Tempe, Arizona. April 5 & 6, 2005. Copy of description and powerpoint supplied.

Sino-American Pharmaceutical Professionals Association-West, Symposium, *An Introduction to The Power of 3*, Palo Alto, CA. March 26, 2005. Copy of speech notes supplied.

Haas School of Business, University of California at Berkeley. MBA Negotiation Course. *Case Studies*, Haas School of Business Berkeley, CA 94720 2005 & 1999. Copy of case studies supplied.

San Francisco Bar Association Mediation Committee. *Mediating Educational Disputes*, 301 Battery Street, San Francisco, CA 94111 February 3, 2005. Copy of speech notes supplied.

United States Department of Justice, *Mediation Advocacy for US Attorneys*, Columbia, South Carolina 29201 2004. Copy of cases supplied (differs slightly from ones used).

Partners for Democratic Change. Negotiation, *Conflict Management and Facilitation*, San Francisco, CA August 24, 2001, August 17-18 2000 and June 2, 2000. Copy of table of contents, case and teaching notes supplied.

Strategic Account Management Association. National Conference. *Advanced Negotiation Skills*, San Antonio, TX May 21-24, 2000. Copy of agenda and description supplied.

National Education Association. Regional Conference. *Negotiation Skills for Leaders*, 1999. I have not been able to locate notes.

McLaren School of Business, University of San Francisco. MBA Course on Negotiation, *Principled Negotiation*, San Francisco, CA 1998. I have not been able to locate notes.

Linkage Incorporated, Global Human Resources Institute, *Beyond Win-Win Negotiating*. San Diego, CA 1997-1998. I have not been able to locate notes.

San Jose Rotary Club, *Let's Make a Deal: The Art of Negotiating at Work, Home and Play*, 1690 Senter Road, San Jose, CA 95112 May 28, 1997. Copy of thank-you note supplied.

Smith College. Management Program for Executives. *Negotiation and Conflict Management Skills*. Northampton, MA 01063 1994-1996. I have not been able to locate notes.

Northeastern University Law School, Alternative Careers for Lawyers Forum, *A Career in Dispute Resolution*, 400 Huntington Avenue, Boston, MA 02115 February 2, 1995. Copy of speech notes supplied.

University of Massachusetts, class presentation, 1993. Copy of speech notes supplied.

- e. List all interviews you have given to newspapers, magazines or other publications, or radio or television stations, providing the dates of these

interviews and four (4) copies of the clips or transcripts of these interviews where they are available to you.

“Asian Americans Rally Community for Vote,” Asian Week, October 19, 2008, available at <http://www.asianweek.com/2008/10/19/asian-americans-rally-community-to-vote/>. Copy of article supplied.

“Obama’s Sister a Second Face of Diversity: Maya Soetoro-Ng greets Obama supporters during S.F. visit,” Asian Week, June 27, 2008, available at <http://www.asianweek.com/2008/06/27/obama-sister-a-second-face-of-diversity-maya-soetoro-ng-greets-obama-supporters-during-sf-visit/>. Copy of article supplied.

Television Interview, KRON-TV Maya Soetoro-Ng Fundraiser, San Francisco, CA June 11, 2008. I have not been able to locate a transcript or video.

“Learning to Love the Deal,” Redmond Channel Partner, October 2006. Copy of article supplied.

“Getting the Vote Out Across the Pacific: In a first, APAs lobby Guam voters through extensive phone banking,” Asian Week, June 11, 2008, available at <http://www.asianweek.com/2008/06/11/%e1%bb%bfgetting-the-vote-out-across-the-pacific-in-a-first-apas-lobby-guam-voters-through-extensive-phone-banking/>. Copy of article supplied.

Television Interview, KGO-TV Obama Fundraiser San Francisco, CA April 6, 2008. I have not been able to locate a transcript or video.

Radio Interview, It’s Your Money, June 22, 2003.

“Mediator and Father Grande Lum,” The Family Culture, Vol. 3.6, December 1997. Copy of article supplied.

13. Public Office, Political Activities and Affiliations:

- a. List chronologically any public offices you have held, other than judicial offices, including the terms of service and whether such positions were elected or appointed. If appointed, please include the name of the individual who appointed you. Also, state chronologically any unsuccessful candidacies you have had for elective office or unsuccessful nominations for appointed office.

None.

- b. List all memberships and offices held in and services rendered, whether compensated or not, to any political party or election committee. If you have ever held a position or played a role in a political campaign, identify the particulars of the campaign, including the candidate, dates of the campaign, your title and responsibilities.

Candidate: Barack Obama for President

Title: National Asian Pacific American Leadership Council

Date: 2007 to 2008

Candidate: David Mineta for San Mateo Supervisor

Title: Treasurer

Date: 2009-2010

14. **Legal Career:** Answer each part separately.

- a. Describe chronologically your law practice and legal experience after graduation from law school including:

- i. whether you served as clerk to a judge, and if so, the name of the judge, the court and the dates of the period you were a clerk;

No, I have never clerked.

- ii. whether you practiced alone, and if so, the addresses and dates;

No, I have never practiced alone.

- iii. the dates, names and addresses of law firms or offices, companies or governmental agencies with which you have been affiliated, and the nature of your affiliation with each.

Director, HUBZone Program (August 2010 to present)
United States Small Business Administration
409 3rd Street SW
Washington DC 20416

Clinical Professor and Director (July 2008 to August 2010, On Leave of Absence 2010-2012)
University of California Hastings School of the Law
200 McAllister Street
San Francisco, CA 94102

Managing Director (January 2005 to August 2010)
Accordence
533 Airport Boulevard #400
Burlingame, CA 94010

Adjunct Professor (July 2007 to February 2009)
Stanford University Continuing Studies
482 Galvez Mall

Adjunct Professor (January to April 2008)
University of California, Berkeley School of the Law
215 Boalt Hall
Berkeley, CA 94720

Alternative Dispute Resolution Externship Program Co-Manager (January 2008 to May 2008)

Stanford Law School
595 Nathan Abbott Way
Stanford, CA 94305

Assistant Adjunct Professor of Law (August 2007 to November 2007)
University of California, Hastings School of the Law
200 McAllister Street
San Francisco, CA 94102

Adjunct Lecturer (April 2006 to April 2007)
Dominican University School of Business
50 Acacia Avenue
San Rafael, CA 94901

Principal (September 1997 to December 2004)
ThoughtBridge
3 Bow Street
Cambridge, MA 02138

Partner, Senior Consultant and Consultant (October 1991 to August 1996)
Conflict Management Inc.
1030 Massachusetts Avenue
Cambridge, MA 92138

Teaching Fellow (June 1991)
Harvard Negotiation Project
513 Pound Hall
Cambridge, MA 02138

- iv. whether you served as a mediator or arbitrator in alternative dispute resolution proceedings and, if so, a description of the 10 most significant matters with which you were involved in that capacity.

1. San Diego Educator's Association Collective Bargaining:
I led a mediation between the management and union around collective bargaining. The engagement included training and utilized an interest-based approach. I co-wrote an article on the work with the San Diego School which is included in my answer to Question 12. The negotiation and its outcome received the GM Saturn 2nd Place Award for Labor-Management Cooperation. 1997-1998

2. NEA-AFT Partnering Talks:
I was part of a ThoughtBridge team that facilitated structured dialogue and conversations between National Education Association and American Federation of Teachers to build closer ties between the organizations including relooking at merging the two organizations. We worked with senior management, middle management and the state associations. 1999-2001

3. Georgia Association of Educators Dispute:

The mediation involved current and former members of the union and other stakeholders. I was co-leader of a ThoughtBridge team. We interviewed individuals prior to the mediation, presented findings and then mediated a group of approximately 50 people. December 1998

4. Boston Public Schools Peer Grievance Mediation:

I was part of a CMI team that designed and implemented an additional step within the Boston Public School employee's grievance procedure. We trained union and management to be co-mediators. We launched the mediation step and provided ongoing support to the mediators. 1994-1996

5. San Francisco School Site Committee Dispute

The mediation involved a dispute between and among parents, teachers and community members regarding a decision not to rehire a group of Japanese language teaching aides. I led a ThoughtBridge team that interviewed individuals and groups, designed the engagement, presented findings and implemented a mediation approach. April-June 2000

6. Hayward Schools

I led a ThoughtBridge team that facilitated and mediated a collaboration agreement between Hayward Unified School District and Hayward Education Association focused on shared goals, norms and values of the relationship. March-April 1999

7. Cambridge Public Schools Collective Bargaining:

As a member of CMI team, we trained and mediated the parties for their collective bargaining. It involved both a more traditional positional approach and a collaborative approach. 1994

8. Black Hawk College Collective Bargaining:

This engagement primarily involved training of the parties in a new approach to collective bargaining, specifically a more collaborative interest-based approach. As a co-leader of a CMI team, we trained two people to be the primary mediators and supported them in their management of the process. 1993 and January – October 2001.

9. Amgen:

This was a mediation of a product development team in which there were differences on issues of business development, research and regulatory concerns. I worked with a team on their internal concerns, strategized how to present to senior management and how to approach the regulatory body involved. March-June 2001

10. San Francisco School Board

I was brought in to help the School Board address internal and external challenges related to Board and school district personnel. I interviewed each of the School Board members and mediated the group and worked on a few challenging issues they were working through. July - August 2005

b. Describe:

- i. the general character of your law practice and indicate by date when its character has changed over the years.

I graduated from law school in 1991. I joined Conflict Management Inc. (CMI), a consulting firm co-founded by Harvard Law School Professor Roger Fisher. I provided consulting mediation and training services to a variety of clients. My practice evolved from corporate clients initially to education and other public sector clients toward the end of my tenure at CMI in 1997.

Along with a number of principals and consultants from CMI, we formed ThoughtBridge in late 1997 and focused more on mediation and facilitation. I built a practice in labor-management collective bargaining training and mediation as well as in the life sciences. I did a variety of other work for the firm including business development as well as internal hiring and training.

In 2005, I started Accordence, a dispute resolution training firm focused on the corporate sector. Here I focused on methodology development, leveraging technology, licensing and channel partners. I also trained consultants who taught courses for Accordence.

I joined University of California Hastings College of the Law as a clinical professor and Director of its Center for Negotiation and Dispute Resolution in 2008. My primary duties included teaching classes plus organizing, recruiting and managing the adjunct professors who taught courses in the Center. I was also responsible for overseeing conferences, the student negotiation and mediation team and representing the Center.

In 2010, I took a leave of absence from Hastings to join the U.S. Small Business Administration as its Historically Underutilized Business Zone (HUBZone) Director where I oversee a federal government contracting program that provides benefits to small businesses in distressed areas. The work involves implementing and following HUBZone regulatory language found in the Code of Federal Regulations.

- ii. your typical clients and the areas at each period of your legal career, if any, in which you have specialized.

While at CMI, I worked with large institutional clients like IBM and Kodak. I worked with educational clients such as Cambridge Public Schools and Boston Public Schools.

While at ThoughtBridge, I worked with public clients such as the National Education Association and San Diego Public Schools. Large institutional clients included Eli Lilly and Amgen.

At Accordence, my clients included Hewlett-Packard and American Express.

- c. Describe the percentage of your practice that has been in litigation and whether you appeared in court frequently, occasionally, or not at all. If the frequency of your appearances in court varied, describe such variance, providing dates.

I have never had a practice in litigation.

- i. Indicate the percentage of your practice in:

1. federal courts;
2. state courts of record;
3. other courts;
4. administrative agencies

- ii. Indicate the percentage of your practice in:

1. civil proceedings;
2. criminal proceedings.

- d. State the number of cases in courts of record, including cases before administrative law judges, you tried to verdict, judgment or final decision (rather than settled), indicating whether you were sole counsel, chief counsel, or associate counsel.

I have no cases of record.

- i. What percentage of these trials were:

1. jury;
2. non-jury.

- e. Describe your practice, if any, before the Supreme Court of the United States. Supply four (4) copies of any briefs, amicus or otherwise, and, if applicable, any oral argument transcripts before the Supreme Court in connection with your practice.

I have not practiced before the Supreme Court.

15. **Litigation**: Describe the ten (10) most significant litigated matters which you personally handled, whether or not you were the attorney of record. Give the citations, if the cases were reported, and the docket number and date if unreported. Give a capsule summary of the substance of each case. Identify the party or parties whom you represented; describe in detail the nature of your participation in the litigation and the final disposition of the case. Also state as to each case:

- a. the date of representation;
- b. the name of the court and the name of the judge or judges before whom the case was litigated; and
- c. the individual name, addresses, and telephone numbers of co-counsel and of principal counsel for each of the other parties.

As stated above, I have no litigation matters; however, I am providing the following list of ten professional reputation references:

Eric Collins, Chief Operating Officer, Mobile Posse, 700 New Hampshire NW #1509, Washington DC 20037 (617) 230-6008

Timothy Dayonot, Senior Lecturer, University of California Berkeley School of Business, Haas Management of Organizations Group, 140A Purdue Avenue, Kensington, CA 94708 (510) 621-8412

Jonathan Greenberg, Counsel, Heenan Blaikie LLP and Chair, International Dispute Resolution HB Global, 1304 Bellair Way, Menlo Park, CA 94025 (650) 575-4727

Helena Gweon, Judge, Sacramento Superior Court, 720 9th Street, Department 27, Sacramento, CA 95814 (916) 335-4057

Shauna Marshall, Professor of Law and Academic Dean, University of California Hastings School of the Law, 200 McAllister Street, San Francisco, CA 94102 (415) 565-4682

Janet Martinez, Senior Lecturer-in-Law and Director, Gould Negotiation and Mediation Program at Stanford Law School, 559 Nathan Abbott Way, Stanford, CA 94305 (650) 723-4457

Melissa Nelken, Professor of Law, University of California Hastings School of the Law and Faculty Chair, Center for Negotiation and Dispute Resolution, 200 McAllister Street, San Francisco, CA 94102 (415) 565-4662

Alan Price, Manager Organizational Effectiveness, Northeast Utilities, 275 West Rock Avenue, New Haven, CT 06515 (617) 407-2300

Irma Tyler-Wood, Principal, Ki-Thoughtbridge, 3 Walden Mews, Cambridge, MA 02140 (617) 868-8641

Anthony Wanis-St. John, Assistant Professor, International Peace and Conflict Resolution program at American University's School of International Service, 3 Gorsuch Street, Timonium, MD 21093 (973) 818-2392

16. **Legal Activities:** Describe the most significant legal activities you have pursued, including significant litigation which did not progress to trial or legal matters that did not involve litigation. Describe fully the nature of your participation in these activities. List any client(s) or organization(s) for whom you performed lobbying activities and describe the lobbying activities you performed on behalf of such client(s) or organizations(s). (Note: As to any facts requested in this question, please omit any information protected by the attorney-client privilege.)

I do not have significant traditional legal activities such as litigation. My experience has been in dispute resolution where I have played the role of mediator, facilitator, trainer and professor. See 14. iv. I have never been a registered lobbyist.

17. **Teaching:** What courses have you taught? For each course, state the title, the institution at which you taught the course, the years in which you taught the course, and describe briefly the subject matter of the course and the major topics taught. If you have a syllabus of each course, provide four (4) copies to the committee.

University of California, Berkeley School of Law, Adjunct Professor. Taught Negotiation in Spring 2008. Copy of course syllabus supplied.

Stanford Law School, Palo Alto, CA. Alternative Dispute Resolution Externship Program Manager (Co-managed), Spring 2008. Copy of course syllabus supplied.

Stanford University Continuing Studies, Palo Alto, CA. Adjunct Professor. Taught Mastering Negotiations, 2007-2009. Copy of course syllabus supplied.

Hastings Law School, San Francisco, CA. Taught Negotiation and Settlement class, 2007-2010. Copy of course syllabus supplied.

Dominican College Of Business, San Rafael, CA. Adjunct Lecturer. Taught MBA course on Business Communication and Negotiation, 2006-2007. Copy of course syllabus supplied.

18. **Deferred Income/ Future Benefits:** List the sources, amounts and dates of all anticipated receipts from deferred income arrangements, stock, options, uncompleted contracts and other future benefits which you expect to derive from previous business relationships, professional services, firm memberships, former employers, clients or customers. Describe the arrangements you have made to be compensated in the future for any financial or business interest.

I am the sole owner of Accordence, Inc. I previously held positions as President and Managing Director of Accordence, Inc. In August 2010, I resigned from these positions and turned management of the company over to another Managing Director. Following these resignations, I remained a Director of Accordence, Inc. I will resign from my position as Director upon confirmation. Following my resignation, I will be a passive investor and will not manage Accordence, Inc., or provide any services to it. As long as I retains a financial interest in Accordence, Inc., I will not participate personally and substantially in any particular matter that has a direct and predictable effect on the financial interests of Accordence, Inc., unless I first obtain a written waiver pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption pursuant to Section 208(b)(2).

I will continue to hold my Accordence 401(k) PS Plan through Morgan Stanley Smith Barney. No contributions will be made by Accordence following my resignation as director.

I will also continue to be enrolled in the University of California Retirement Savings Program. Neither Hastings nor I will contribute following my resignation.

Lastly, I expect to continue to receive royalties from McGraw-Hill for the book "The Negotiation Fieldbook."

19. **Outside Commitments During Service:** Do you have any plans, commitments, or agreements to pursue outside employment, with or without compensation, during your service? If so, explain.

I have no plans, commitments, or agreements pursuant to outside employment.

20. **Sources of Income:** List sources and amounts of all income received during the calendar year preceding your nomination and for the current calendar year, including all salaries, fees, dividends, interest, gifts, rents, royalties, licensing fees, honoraria, and other items exceeding \$500 or more (if you prefer to do so, copies of the financial disclosure report, required by the Ethics in Government Act of 1978, may be substituted here).

See attached SF-278 Financial Disclosure Report.

21. **Statement of Net Worth:** Please complete the attached financial net worth statement in detail (add schedules as called for).

See attached Net Worth Statement.

22. **Potential Conflicts of Interest:**

- a. Identify the family members or other persons, parties, affiliations, pending and categories of litigation, financial arrangements or other factors that are likely to present potential conflicts-of-interest when you first assume the position to which you have been nominated. Explain how you would address any such conflict if it were to arise.

In connection with the nomination process, I have consulted with the Office of Government Ethics and the Department of Justice's designated agency ethics official to identify potential conflicts of interest. Any potential conflicts of interest will be resolved in accordance with the terms of an ethics agreement that I have entered into with the Department's designated agency ethics official.

I own a company Accordence that provides training. I also serve on the Board of the Directors. I currently neither have operational responsibilities nor do I provide service to any clients. However to prevent any potential conflicts of interest I would resign from the Accordence Board of Directors prior to assuming the position if I am confirmed.

- b. Explain how you will resolve any potential conflict of interest, including the procedure you will follow in determining these areas of concern.

In connection with the nomination process, I have consulted with the Office of Government Ethics and the Department of Justice's designated agency ethics official to identify potential conflicts of interest. Any potential conflicts of interest will be resolved in accordance with the terms of an ethics agreement that I have entered into with the Department's designated agency ethics official.

23. **Pro Bono Work:** An ethical consideration under Canon 2 of the American Bar Association's Code of Professional Responsibility calls for "every lawyer, regardless of professional prominence or professional workload, to find some time to participate in

serving the disadvantaged.” Describe what you have done to fulfill these responsibilities, listing specific instances and the amount of time devoted to each. If you are not an attorney, please use this opportunity to report significant charitable and volunteer work you may have done.

Peninsula Conflict Resolution Center (PCRC): PCRC fosters collaborative engagement by bringing people together, facilitating conversation and building these skills in the community. I initially served as a volunteer, and conducted mediations. Each mediation would last approximately 3 hours. I did approximately four mediations per year prior to becoming a board member. As a board member, we would meet on a quarterly basis for approximately two hours. I was also involved in subcommittees and fundraisers as well. In my last year I served as vice-chair which involved an additional three-four hours per month. I volunteered at PCRC between 2006-10.

Center for Asian American Media (CAAM): CAAM’s mission is present stories that convey the richness and diversity of Asian American experience to the broadest audience possible. I served as a board member and eventually as co-chair of the board of directors. I was a board member for six years. We did all-day board meeting two times per year. I also came to the film festival and showings throughout the year. I volunteered at CAAM between 1998 to 2003.

Teachers’ Path: A colleague and I started a non-profit focused on helping new teachers become successful. I spent approximately sixty hours over a year’s time to get this off the ground. However, the organization did not move beyond the start up stage. I volunteered time for Teachers’ Path between 2004 to 2005.

Saint Anthony’s Dining Room is one of the Bay Area’s largest community meal programs. I have volunteered three times and spent approximately four hours each time there. I volunteered in 2010 and 2011.

FINANCIAL STATEMENT

NET WORTH

Provide a complete, current financial net worth statement which itemizes in detail all assets (including bank accounts, real estate, securities, trusts, investments, and other financial holdings) all liabilities (including debts, mortgages, loans, and other financial obligations) of yourself, your spouse, and other immediate members of your household.

ASSETS				LIABILITIES			
Cash on hand and in banks	310	274	10	Notes payable to banks-secured			
U.S. Government securities-add schedule				Notes payable to banks-unsecured			
Listed securities-add schedule	737	745	67	Notes payable to relatives			
Unlisted securities--add schedule				Notes payable to others			
Accounts and notes receivable:				Accounts and bills due			
Due from relatives and friends				Unpaid income tax			
Due from others				Other unpaid income and interest			
Doubtful				Real estate mortgages payable-add schedule	715	108	72
Real estate owned-add schedule	1932	900	00	Chattel mortgages and other liens payable			
Real estate mortgages receivable				Other debts-itemize:			
Autos and other personal property	24	275	00				
Cash value-life insurance	21	416	53				
Other assets itemize:							
Accordence	522	401	56				
(Asset Value = 2010 gross revenue)							
				Total liabilities	715	108	72
				Net Worth	2833	796	44
Total Assets	3548	890	19	Total liabilities and net worth			
CONTINGENT LIABILITIES				GENERAL INFORMATION			
As endorser, comaker or guarantor	no			Are any assets pledged? (Add schedule)	no		
On leases or contracts	no			Are you defendant in any suits or legal actions?	no		
Legal Claims	no			Have you ever taken bankruptcy?	no		
Provision for Federal Income Tax	no						
Other special debt	no						

Grande Lum Real Estate Schedule 7/24/2011

Property owned

- 1) 6155 Skyline Boulevard, Hillsborough, CA 94010

Zillow Valuation: \$1,867,700

Mortgage: Lender: New York Community Bank

Remaining Balance: \$715,108.72

- 2) 1307 Shelter Creek Lane

Zillow Valuation: \$195,600

San Bruno, CA 94066

No Mortgage

My wife Gernanie Santiago owns 1/3 of this property.

Listed Investments Schedule for Grande Lum

401 (k)		\$105,415.96
IRA		\$479,224.61
Vanguard		\$111,714.64
UC		\$ 19,139.06
Franklin		\$ 22,251.40
TOTAL	=	\$737,745.67

AFFIDAVIT

I, Grande Lum, do swear
that the information provided in this statement is, to the best
of my knowledge, true and accurate.

December 1, 2011
(DATE)

Grande Lum [Signature]
(NAME)

(NOTARY)

State of California
County of SAN MATEO
Subscribed and sworn to (or affirmed) before me on this
1st Day of DEC 20 11, by GRANDE LUM
personally known to me or proved to me on the basis of
satisfactory evidence to be the person(s) who appeared before
me.

(seal)

Shalini Kalra
Signature

