

***Investment Status Definition Key**
Full investment outstanding - Treasury's full investment is still outstanding
Redeemed - institution has repaid Treasury's investment
Sold - by auction, an offering, or through a restructuring
Exited bankruptcy/receivership - Treasury has no outstanding investment

Currently not collectible - investment is currently not collectible; therefore there is no outstanding investment and a corresponding (Realized Loss) / (Write-off)
In full - all of Treasury's investment amount
In part - part of the investment is no longer held by Treasury, but some remains

Warrants outstanding - Treasury's warrant to purchase additional stock is still outstanding, including any exercised warrants

Warrants not outstanding - Treasury has disposed of its warrant to purchase additional stock through various means as described in the Warrant Report (such as sale back to company and auctions) or Treasury did not receive a warrant to purchase additional stock

U.S. Treasury Department
Office of Financial Stability

Troubled Asset Relief Program

Transactions Report - Investment Programs
For Period Ending October 6, 2014

CAPITAL PURCHASE PROGRAM

FootNote	Institution Name	City	State	Date	Original Investment Type ¹	Original Investment Amount	Outstanding Investment	Total Cash Back ²	Investment Status*	Capital Repayment / Disposition / Auction ^{3,5}				(Realized Loss) / (Write-off)	Gain ⁵	Warrant Proceeds	
										Amount	(Fee) ⁴	Shares	Avg. Price			Amount	Shares
8,14,18,44	1ST CONSTITUTION BANCORP	CRANBURY	NJ	23-Dec-08	Preferred Stock w/ Warrants	\$12,000,000.00	\$0.00	\$13,433,242.67	Redeemed, in full; warrants not outstanding								
	1ST CONSTITUTION BANCORP	CRANBURY	NJ	27-Oct-10						\$12,000,000.00		12,000	\$1,000.00				
	1ST CONSTITUTION BANCORP	CRANBURY	NJ	22-Nov-11												\$326,576.00	231,782
	1ST ENTERPRISE BANK	LOS ANGELES	CA	13-Feb-09	Preferred Stock w/ Warrants	\$4,400,000.00	\$0.00	\$11,748,156.44	Redeemed, in full; warrants not outstanding								
102	1ST ENTERPRISE BANK	LOS ANGELES	CA	11-Dec-09		\$6,000,000.00											
	1ST ENTERPRISE BANK	LOS ANGELES	CA	1-Sep-11						\$10,400,000.00		10,400	\$1,000.00			\$220,000.00	220
	1ST FINANCIAL SERVICES CORPORATION	HENDERSONVILLE	NC	14-Nov-08	Preferred Stock w/ Warrants	\$16,36											

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										Amount	(Fee) ⁴	Shares	Avg. Price			Amount	Shares
44,8,14	AVENUE FINANCIAL HOLDINGS	NASHVILLE	TN	27-Feb-09	Preferred Stock w/ Exercised Warrants	\$7,400,000.00	\$0.00	\$8,798,415.33	Redeemed, in full; warrants not outstanding								
	AVENUE FINANCIAL HOLDINGS	NASHVILLE	TN	15-Sep-11						\$7,400,000.00		7,400	\$1,000.00			\$370,000.00	370
11	AVIDBANK HOLDING, INC. / PENINSULA BANK HOLDING CO.	PALO ALTO	CA	30-Jan-09	Preferred Stock w/ Warrants	\$6,000,000.00	\$0.00	\$7,563,057.15	Redeemed, in full; warrants not outstanding								
	AVIDBANK HOLDING, INC. / PENINSULA BANK HOLDING CO.	PALO ALTO	CA	31-Jul-13						\$6,000,000.00		6,000	\$1,000.00				
8,44	AVIDBANK HOLDING, INC. / PENINSULA BANK HOLDING CO.	PALO ALTO	CA	28-Aug-13												\$190,781.12	81,670
	BANCINDEPENDENT, INCORPORATED	SHEFFIELD	AL	13-Mar-09	Preferred Stock w/ Exercised Warrants	\$21,100,000.00	\$0.00	\$24,841,411.03	Redeemed, in full; warrants not outstanding								
	BANCINDEPENDENT, INCORPORATED	SHEFFIELD	AL	14-Jul-11						\$21,100,000.00		21,100	\$1,000.00			\$1,055,000.00	1,055
8,17,44	BANCORP FINANCIAL, INC.	OAK BROOK	IL	10-Jul-09	Preferred Stock w/ Exercised Warrants	\$13,669,000.00	\$0.00	\$15,595,736.93	Redeemed, in full; warrants not outstanding								
	BANCORP FINANCIAL, INC.	OAK BROOK	IL	18-Aug-11						\$13,669,000.00		13,669	\$1,000.00			\$410,000.00	410
11	BANCORP RHODE ISLAND, INC.	PROVIDENCE	RI	19-Dec-08	Preferred Stock w/ Warrants	\$30,000,000.00	\$0.00	\$32,341,666.66	Redeemed, in full; warrants not outstanding		</						

