

***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 September 25, 2013

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
11	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
8,14,18,44	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								
	1ST ENTERPRISE BANK	LOS ANGELES	CA	11-Dec-09		\$6,000,000.00											
	1ST ENTERPRISE BANK	LOS ANGELES	CA	01-Sep-11						\$10,400,000.00		10,400	\$1,000.00			\$220,000.00	220
11	1ST FINANCIAL SERVICES CORPORATION	HENDERSONVILLE	NC	14-Nov-08	Preferred Stock w/ Warrants	\$16,369,000.00	\$16,369,000.00	\$1,229,948.97	Full investment outstanding; warrants outstanding								
	1ST SOURCE CORPORATION	SOUTH BEND	IN	23-Jan-09	Preferred Stock w/ Warrants	\$111,000,000.00	\$0.00	\$125,480,000.00	Redeemed, in full; warrants not outstanding								
	1ST SOURCE CORPORATION	SOUTH BEND	IN	29-Dec-10						\$111,000,000.00		111,000	\$1,000.00				
11,8,14	1ST SOURCE CORPORATION	SOUTH BEND	IN	09-Mar-11												\$3,750,000.00	837,947
	1ST UNITED BANCORP, INC.	BOCA RATON	FL	13-Mar-09	Preferred Stock w/ Exercised Warrants	\$10,000,000.00	\$0.00	\$10,870,902.67	Redeemed, in full; warrants not outstanding								
	1ST UNITED BANCORP, INC.	BOCA RATON	FL	18-Nov-09						\$10,000,000.00		10,000	\$1,000.00			\$500,000.00	500
44,8,14	AB&T FINANCIAL CORPORATION																

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
	AMFIRST FINANCIAL SERVICES, INC.	MCCOOK	NE	28-Mar-13						\$2,328,960.00		2,426,000	\$0.96	(\$97,040.00)		\$259,875.00	250,000
	AMFIRST FINANCIAL SERVICES, INC.	MCCOOK	NE	09-Apr-13							(\$48,000.00)						
94	ANCHOR BANCORP WISCONSIN, INC.	MADISON	WI	30-Jan-09	Preferred Stock w/ Warrants	\$110,000,000.00	\$110,000,000.00	\$0.00	Full investment outstanding; warrants outstanding								
11,90	ANNAPOLIS BANCORP, INC.	ANNAPOLIS	MD	30-Jan-09	Preferred Stock w/ Warrants	\$8,152,000.00	\$0.00	\$9,643,136.33	Redeemed, in full; warrants outstanding								
	ANNAPOLIS BANCORP, INC.	ANNAPOLIS	MD	18-Apr-12						\$4,076,000.00		4,076	\$1,000.00				
	ANNAPOLIS BANCORP, INC.	ANNAPOLIS	MD	06-Mar-13						\$4,076,000.00		4,076	\$1,000.00				
11	ASSOCIATED BANC-CORP	GREEN BAY	WI	21-Nov-08	Preferred Stock w/ Warrants	\$525,000,000.00	\$0.00	\$596,539,172.32	Redeemed, in full; warrants not outstanding								
	ASSOCIATED BANC-CORP	GREEN BAY	WI	06-Apr-11						\$262,500,000.00		262,500	\$1,000.00				
	ASSOCIATED BANC-CORP	GREEN BAY	WI	14-Sep-11						\$262,500,000.00		262,500	\$1,000.00				
	ASSOCIATED BANC-CORP	GREEN BAY	WI	06-Dec-11												\$3,435,005.65	3,983,308
8,17	ATLANTIC BANCSHARES, INC.	BLUFFTON	SC	29-Dec-09	Preferred Stock w/ Exercised Warrants	\$2,000,000.00	\$2,000,000.00	\$122,724.78	Full investment outstanding; warrants outstanding								
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																

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
11,8,14	BEACH BUSINESS BANK	MANHATTAN BEACH	CA	30-Jan-09	Preferred Stock w/ Exercised Warrants	\$6,000,000.00	\$0.00	\$7,263,316.66	Redeemed, in full; warrants not outstanding								
	BEACH BUSINESS BANK	MANHATTAN BEACH	CA	06-Jul-11						\$1,500,000.00		1,500	\$1,000.00				
	BEACH BUSINESS BANK	MANHATTAN BEACH	CA	19-Oct-11						\$1,500,000.00		1,500	\$1,000.00				
	BEACH BUSINESS BANK	MANHATTAN BEACH	CA	07-Mar-12						\$1,500,000.00		1,500	\$1,000.00				
	BEACH BUSINESS BANK	MANHATTAN BEACH	CA	06-Jun-12						\$1,200,000.00		1,200	\$1,000.00				
	BEACH BUSINESS BANK	MANHATTAN BEACH	CA	27-Jun-12						\$300,000.00		300	\$1,000.00			\$300,000.00	300
11,14,8	BERKSHIRE BANCORP, INC. / CUSTOMERS BANCORP, INC.	PHOENIXVILLE	PA	12-Jun-09	Preferred Stock w/ Exercised Warrants	\$2,892,000.00	\$0.00	\$3,444,478.21	Redeemed, in full; warrants not outstanding								
	BERKSHIRE BANCORP, INC. / CUSTOMERS BANCORP, INC.	PHOENIXVILLE	PA	19-Sep-11						\$0.00		2,892	\$1,000.00				
	BERKSHIRE BANCORP, INC. / CUSTOMERS BANCORP, INC.	PHOENIXVILLE	PA	28-Dec-11						\$2,892,000.00		2,892	\$1,000.00			\$145,000.00	145
11	BERKSHIRE HILLS BANCORP, INC.	PITTSFIELD	MA	19-Dec-08	Preferred Stock w/ Warrants	\$40,000,000.00	\$0.00	\$41,917,777.78	Redeemed, in full; warrants not outstanding								
	BERKSHIRE HILLS BANCORP, INC.	PITTSFIELD	MA	27-May-09						\$40,000,000.00		40,000	\$1,000.00				
	BERKSHIRE HILLS BANCORP, INC.	PITTSFIELD	MA	24-Jun-09												\$1,040,000.00	226,330
44,8,14	BERN BANCSHARES, INC.	BERN	KS	13-Feb-09	Preferred Stock w/ Exercised Warrants	\$985,000.00	\$0.00	\$1,172,062.50	Redeemed, in full; warrants not outstanding								
	BERN BANCSHARES, INC.	BERN	KS	01-Sep-11						\$985,000.00		985	\$1,000.00			\$50,000.00	5
8,14,18,44	BIRMINGHAM BLOOMFIELD BANCSHARES, INC.	BIRMINGHAM	MI	24													

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
44,8,14	CALIFORNIA BANK OF COMMERCE	LAFAYETTE	CA	27-Feb-09	Preferred Stock w/ Exercised Warrants	\$4,000,000.00	\$0.00	\$4,755,899.67	Redeemed, in full; warrants not outstanding								
	CALIFORNIA BANK OF COMMERCE	LAFAYETTE	CA	15-Sep-11						\$4,000,000.00		4,000	\$1,000.00			\$200,000.00	200
11,8,14	CALIFORNIA OAKS STATE BANK	THOUSAND OAKS	CA	23-Jan-09	Preferred Stock w/ Exercised Warrants	\$3,300,000.00	\$0.00	\$3,802,219.25	Redeemed, in full; warrants not outstanding								
	CALIFORNIA OAKS STATE BANK	THOUSAND OAKS	CA	08-Dec-10						\$3,300,000.00		3,300	\$1,000.00			\$165,000.00	165
8	CALVERT FINANCIAL CORPORATION	ASHLAND	MO	23-Jan-09	Preferred Stock w/ Exercised Warrants	\$1,037,000.00	\$1,037,000.00	\$215,442.61	Full investment outstanding; warrants outstanding								
		RANCHO SANTA MARGARITA	CA														
8	CALWEST BANCORP		CA	23-Jan-09	Preferred Stock w/ Exercised Warrants	\$4,656,000.00	\$4,656,000.00	\$396,163.67	Full investment outstanding; warrants outstanding								
11,8,14	CAPITAL BANCORP, INC.	ROCKVILLE	MD	23-Dec-08	Preferred Stock w/ Exercised Warrants	\$4,700,000.00	\$0.00	\$5,452,281.19	Redeemed, in full; warrants not outstanding								
	CAPITAL BANCORP, INC.	ROCKVILLE	MD	30-Dec-10						\$4,700,000.00		4,700	\$1,000.00			\$235,000.00	235
39	CAPITAL BANK CORPORATION	RALEIGH	NC	12-Dec-08	Preferred Stock w/ Warrants	\$41,279,000.00	\$0.00	\$45,252,104.25	Redeemed, in full; warrants not outstanding								
	CAPITAL BANK CORPORATION	RALEIGH	NC	28-Jan-11						\$41,279,000.00		41,279	\$1,000.00				
8	CAPITAL COMMERCE BANCORP, INC.	MILWAUKEE	WI	10-Apr-09	Preferred Stock w/ Exercised Warrants	\$5,100,000.00	\$5,100,000.00	\$304,973.00	Full investment outstanding; warrants outstanding								
11	CAPITAL ONE FINANCIAL CORP	MCLEAN	VA	14-Nov-08	Preferred Stock w/ Warrants	\$3,555,199,000.00	\$0.00	\$3,806,873,702.13	Redeemed, in full; warrants not outstanding								
	CAPITAL ONE FINANCIAL CORP	MCLEAN	VA	17-Jun-09						\$3,555,199,000.00		3,555,199	\$1,000.00				

