

HAWAII STATE ETHICS COMMISSION LONG FORM DISCLOSURE OF FINANCIAL INTERESTS

FILER		
LIM	RICHARD	C
Last Name	First Name	M.I.

FOR STATE EMPLOYEES DBEDT Department DIRECTOR'S OFFICE Division DIRECTOR Position	FOR STATE BOARD/COMMISSION MEMBERS Board/Commission Name BEGIN END <i>Term of Office (mm/dd/yyyy)</i>
--	--

FOR EACH ITEM, EXCEPT ITEM 9, DISCLOSE INTERESTS OF FILER, SPOUSE, AND DEPENDENT CHILDREN.
 USE ABBREVIATIONS: "F" for filer, "SP" for spouse, "DC" for dependent children, and "JT" for joint interests of the spouse and filer.

ITEM 1: INCOME FOR SERVICES RENDERED FOR PRECEDING CALENDAR YEAR

List the source and amount of all income of \$1,000 or more received during the preceding calendar year for services rendered (INCLUDING INCOME EARNED FROM YOUR STATE POSITION), and the nature of the services rendered.

F, SP, DC, JT	NAME AND ADDRESS OF SOURCE OF INCOME	AMOUNT	SERVICES RENDERED
F	State of Hawaii Dept. of Business, Economic Development & Tourism P.O. Box 2359 Honolulu, HI 96804	F	Employee
<input type="checkbox"/> Check here if entry is None		<input type="checkbox"/> Check here if additional sheets are attached	

ITEM 2: OWNERSHIP OR BENEFICIAL INTERESTS IN BUSINESSES

List the amount and identity of every ownership or beneficial interest held during the disclosure period in any business in or outside of the State if the interest has a value of \$5,000 or more or is equal to 10% or more of the ownership of the business. YOU ARE REQUIRED TO LIST ALL STOCKS, MUTUAL FUNDS OR OTHER NON-RETIREMENT INVESTMENT INTERESTS VALUED AT \$5,000 OR MORE. Please see instructions available at hawaii.gov/ethics/forms/findisc/D-201-LONGINST.pdf.

F, SP, DC, JT	BUSINESS NAME AND ADDRESS	NATURE OF BUSINESS	NATURE OF INTEREST	VALUE OR NO. OF SHARES
F	It's All About Kids, LLC 737 Bishop Street, Suite 3180 Honolulu, HI 96813	Internet	Limited partnership	C
F	HNS Investors, LLC Pioneer Plaza 900 Fort Street Mall, Suite 1800 Honolulu, HI 96813	Technology	Limited partnership	C
<input type="checkbox"/> Check here if entry is None		<input checked="" type="checkbox"/> Check here if additional sheets are attached		

ITEM 3: TRANSFER OF OWNERSHIP OR BENEFICIAL INTERESTS IN BUSINESSES

List any ownership or beneficial interests in businesses transferred during the disclosure period and the date of transfer.

F, SP, DC, JT	OWNERSHIP OR BENEFICIAL INTEREST TRANSFERRED DURING THIS DISCLOSURE PERIOD	DATE OF TRANSFER
	See attachment	
<input type="checkbox"/> Check here if entry is None <input checked="" type="checkbox"/> Check here if additional sheets are attached		

ITEM 4: CREDITORS

List the name of each creditor to whom the value of \$3,000 or more was owed during the disclosure period and the original amount and amount outstanding. Exclude debts from retail installment transactions for the purchase of consumer goods.

F, SP, DC, JT	NAME OF CREDITOR	ORIGINAL AMOUNT OWED	AMOUNT OUTSTANDING
F	Bank of America	H	G
<input type="checkbox"/> Check here if entry is None <input type="checkbox"/> Check here if additional sheets are attached			

ITEM 5: OFFICERSHIPS, DIRECTORSHIPS, TRUSTEESHIPS

List every officership, directorship, trusteeship, or other fiduciary relationship held during the disclosure period in any business or organization, the term of office, and the annual compensation.

F, SP, DC, JT	NAME AND ADDRESS OF BUSINESS	TITLE HELD	TERM OF OFFICE	ANNUAL COMPENSATION
	See attachment			
<input type="checkbox"/> Check here if entry is None <input checked="" type="checkbox"/> Check here if additional sheets are attached				

ITEM 6: INTERESTS IN REAL PROPERTY HELD, EXCLUDING PERSONAL RESIDENCE(S)

List interests in real property in or outside of the State held during the disclosure period, if the interest has a value of \$10,000 or more. Real property that is your personal residence or the personal residence of your spouse or dependent children need not be listed.

F,SP, DC,JT	STREET ADDRESS	TAX MAP KEY NUMBER (IF TAX MAP KEY NUMBER EXISTS)	VALUE
JT	4970 Kilauea Avenue, #311 Honolulu, HI 96816	1-3-5-017-035-0171-000	H
JT	1068 Noio Street Honolulu, HI 96816	1-3-5-030-008	K

Check here if entry is None

Check here if additional sheets are attached

ITEM 7: INTERESTS IN REAL PROPERTY ACQUIRED, EXCLUDING PERSONAL RESIDENCE(S)

List interests in real property in or outside of the State acquired during the disclosure period, if the interest has a value of \$10,000 or more. Real property that is your personal residence or the personal residence of your spouse or dependent children need not be listed.

F,SP, DC,JT	STREET ADDRESS AND TAX MAP KEY NUMBER (IF TAX MAP KEY NUMBER EXISTS)	AMOUNT & NATURE OF CONSIDERATION PAID	NAME OF PERSON RECEIVING THE CONSIDERATION

Check here if entry is None

Check here if additional sheets are attached

ITEM 8: INTERESTS IN REAL PROPERTY TRANSFERRED, EXCLUDING PERSONAL RESIDENCE(S)

List interests in real property in or outside of the State transferred during the disclosure period, if the interest has a value of \$10,000 or more. Real property that was your personal residence or the personal residence of your spouse or dependent children need not be listed.

F,SP, DC,JT	STREET ADDRESS AND TAX MAP KEY NUMBER (IF TAX MAP KEY NUMBER EXISTS)	AMOUNT & NATURE OF CONSIDERATION RECEIVED	NAME OF PERSON FURNISHING THE CONSIDERATION

Check here if entry is None

Check here if additional sheets are attached

ITEM 9: CLIENTS PERSONALLY REPRESENTED BEFORE STATE AGENCIES

List the names of clients personally represented by you before state agencies, except in ministerial matters, for a fee or compensation during the disclosure period, excluding clients represented before courts.

NAME OF CLIENT	NAME OF STATE AGENCY
<input checked="" type="checkbox"/> Check here if entry is None <input type="checkbox"/> Check here if additional sheets are attached	

ITEM 10: CREDITOR INTERESTS IN INSOLVENT BUSINESSES

List the amount and identity of every creditor interest in insolvent businesses, held during the disclosure period, if the interest has a value of \$5,000 or more.

F, SP, DC, JT	NAME AND ADDRESS OF BUSINESS	NATURE OF BUSINESS	NATURE OF INTEREST	VALUE
<input checked="" type="checkbox"/> Check here if entry is None <input type="checkbox"/> Check here if additional sheets are attached				

FILER

RICHARD C. LIM

Print Name of Filer (*First M.I. Last*)

5/31/2013

Date (*m/d/yyyy*)

CERTIFICATION: By checking this box, you signify and affirm that you are the person whose name appears as the "Filer" above and the information contained in the form is true, correct and complete to the best of your knowledge and belief. You further certify that you understand that there are statutory penalties for failing to report the information required by Hawaii law.

**HAWAII STATE ETHICS COMMISSION
DISCLOSURE OF FINANCIAL INTERESTS (LONG FORM)
ATTACHMENT**

**Richard Curtis Lim
May 31, 2013**

ITEM 2: OWNERSHIP OR BENEFICIAL INTERESTS IN BUSINESSES

F, SP, DC, JT	BUSINESS NAME AND ADDRESS	NATURE OF BUSINESS	NATURE OF INTEREST	VALUE OR NO. OF SHARES
F	Ansera Ventures II 560-1188 West Georgia Street Vancouver, BC, Canada V644A2	Investments	Limited Partnership	E
F	Araca Opportunistic Value Fund II LLC 1006 Mokulua Drive Kailua, HI 96734	Real Estate	Limited Partnership	D
F	BBiTV Davies Pacific Center, Suite 1700 841 Bishop Street Honolulu, HI 96813	Technology	Limited Partnership	C
F	Chipin Equities I, LLC 2800 Woodlawn Drive, Suite 138 Honolulu, HI 96822	Internet	Limited Partnership	D
F	Diamond Head Capital International LP 3693 Diamond Head Circle Honolulu, HI 96815	Hedge Fund	Limited Partnership	C
F	JCM Investments LP 560-1188 West Georgia Street Vancouver, BC, Canada V644A2	Investments	Limited Partnership	G
F	Kolohala Uboost Investments LLC 900 Fort Street Mall, Suite 1570 Honolulu, HI 96813	Internet	Limited Partnership	D
F	R2J LLC 841 Bishop Street, Suite 860 Honolulu, HI 96813	Real Estate	Limited Partnership	B
F	R3BST LLC 841 Bishop Street, Suite 860 Honolulu, HI 96813	Real Estate	Limited Partnership	H
F	Radiance Rewards, LLC 3475 West Oak Trail Road Santa Ynez, CA 93460	Technology	Limited Partnership	F
F	Saratoga Ventures V, LP 5201 Great America Parkway, #3302 Santa Clara, CA 95054	Medical Devices	Limited Partnership	E
F	Sennet Capital LLC 560-1188 West Georgia Street Vancouver, BC, Canada V644A2	Merchant Banking	Limited Partnership	C
F	Tempest Investors LLC 841 Bishop Street, Suite 1515 Honolulu, HI 96813	Film	Limited Partnership	D
F	Guggenheim FDS c/o Royal Alliance	Asset Management	Mutual fund	B
F	Guggenheim FDS Distb Inc c/o Royal Alliance	Asset Management	Mutual fund	B
F	Abbott Labs c/o Morgan Stanley	Healthcare	Stock	B
F	Abbvie Inc c/o Morgan Stanley	Pharmaceutical	Stock	B

F, SP, DC, JT	BUSINESS NAME AND ADDRESS	NATURE OF BUSINESS	NATURE OF INTEREST	VALUE OR NO. OF SHARES
F	Alexander & Baldwin c/o Royal Alliance	Real Estate	Stock	C
F	Altria Group, Inc c/o Morgan Stanley	Tobacco	Stock	C
F	Amazon Com, Inc c/o Morgan Stanley	Retail	Stock	B
F	Anheuser Busch c/o Morgan Stanley	Food & Beverage	Stock	D
F	Annaly Capital Management c/o Royal Alliance	Asset Management	Stock	D
F	Annaly Capital Management c/o Morgan Stanley	Asset Management	Stock	C
F	Annlay Capital Management c/o Royal Alliance	Asset Management	Stock	E
F	Apache Corp c/o Morgan Stanley	Oil, Gas	Stock	C
F	Arch Coal Inc c/o Royal Alliance	Coal	Stock	B
F	AT&T, Inc c/o Morgan Stanley	Telecomm	Stock	C
F	Bank of Hawaii c/o Royal Alliance	Finance	Stock	D
F	Bank of Hawaii Corp c/o Royal Alliance	Bank	Stock	C
F	Bunge Limited c/o Royal Alliance	Agriculture	Stock	C
F	Caterpillar Inc c/o Morgan Stanley	Manufacturing	Stock	C
F	CBS Corp c/o Morgan Stanley	Mass media	Stock	C
F	Central Pacific Financial Corp c/o Royal Alliance	Finance	Stock	E
F	Central Pacific Financial Corp c/o Royal Alliance	Finance	Stock	D
F	Century Link, Inc c/o Morgan Stanley	Broadband/telecomm	Stock	C
F	Cohen & Steers Infrastructure c/o Morgan Stanley	Asset Management	Stock	B
F	Colgate Palmolive Co c/o Morgan Stanley	Consumer products	Stock	C
F	ConAgra Foods, Inc. c/o Morgan Stanley	Agriculture	Stock	D
F	Conoco Phillips c/o Morgan Stanley	Energy	Stock	C
F	Costamare Inc c/o Morgan Stanley	Shipping	Stock	C
F	Digital Realty Trust Inc c/o Morgan Stanley	Real Estate	Stock	C
F	Doubleline Total Ret c/o Morgan Stanley	Stock Fund	Stock	D
F	Dow Chemical Corp c/o Morgan Stanley	Chemical	Stock	C
F	El Paso Pipeline Partners LP c/o Morgan Stanley	Natural gas pipeline	Stock	C
F	Enterprise Products Partners c/o Morgan Stanley	Energy	Stock	D
F	Exelon Corp c/o Morgan Stanley	Energy	Stock	C

F, SP, DC, JT	BUSINESS NAME AND ADDRESS	NATURE OF BUSINESS	NATURE OF INTEREST	VALUE OR NO. OF SHARES
F	Exxon Mobil Corp c/o Morgan Stanley	Oil, Gas	Stock	B
F	Freeport-McMoran c/o Royal Alliance	Mining	Stock	C
F	Hewlett Packard Co c/o Morgan Stanley	Technology/computers	Stock	B
F	iPath Dow Jones c/o Morgan Stanley	Index	Stock	D
F	IShares S&P Global Timber & Wood c/o Morgan Stanley	Forestry	Stock	C
F	IShares Tr Barclays c/o Royal Alliance	Bank	Stock	D
F	John Hancock Floating Rate Income Fund c/o Royal Alliance	Insurance	Stock	D
F	Johnson & Johnson c/o Morgan Stanley	Pharmaceutical	Stock	C
F	Kimberly Clark Corp c/o Morgan Stanley	Consumer Goods	Stock	C
F	Kinder Morgan Holding Co c/o Morgan Stanley	Energy	Stock	C
F	Las Vegas Sands Corp c/o Royal Alliance	Hospitality	Stock	D
F	Market Vectors ETF c/o Royal Alliance	Steel	Stock	C
F	Market Vectors ETF Gold Mines c/o Royal Alliance	Gold	Stock	C
F	Market Vectors ETF Rare Earth Metals c/o Royal Alliance	Metals	Stock	D
F	Market Vectors ETF Steel c/o Royal Alliance	Steel	Stock	D
F	Market Vectors ETF Tr Steel c/o Royal Alliance	Steel	Stock	D
F	Matthews Asia Dividend c/o Morgan Stanley	Asset Masnagement	Stock	F
F	McDonald's Corp c/o Royal Alliance	Food & Beverage	Stock	E
F	McDonald's Corp c/o Morgan Stanley	Food & Beverage	Stock	C
F	Morgan Stanley Bank c/o Morgan Stanley	Financial	Stock	F
F	Norfolk Southern Corp c/o Morgan Stanley	Transportation	Stock	C
F	NRG Energy Inc c/o Morgan Stanley	Energy	Stock	C
F	Oracle Corp c/o Morgan Stanley	Technology	Stock	C
F	Pepsico Corp c/o Royal Alliance	Food & Beverage	Stock	C
F	Pepsico, Inc c/o Royal Alliance	Food & Beverage	Stock	C
F	Petroleo Brasil c/o Morgan Stanley	Petroleum	Stock	C
F	Pfizer, Inc c/o Morgan Stanley	Pharmaceutical	Stock	D
F	Philip Morris International c/o Morgan Stanley	Tobacco	Stock	C
F	Potash Corp of Saskatchewan c/o Morgan Stanley	Fertilizer	Stock	C

F, SP, DC, JT	BUSINESS NAME AND ADDRESS	NATURE OF BUSINESS	NATURE OF INTEREST	VALUE OR NO. OF SHARES
F	PPL Corp c/o Morgan Stanley	Utility	Stock	C
F	Prospect Capital Corp c/o Royal Alliance	Asset Management	Stock	E
F	Sempra Energy c/o Morgan Stanley	Energy	Stock	C
F	Sinocoking Coal & Coke Chemical c/o Royal Alliance	Coal	Stock	A
F	Sunpower Corp c/o Morgan Stanley	Energy	Stock	D
F	Symetra Financial Corp c/o Royal Alliance	Finance	Stock	D
F	Symetra Financial Corp c/o Royal Alliance	Finance	Stock	C
F	Vale SA c/o Royal Alliance	Mining	Stock	B
F	Vanguard Dividend c/o Morgan Stanley	Stock Fund	Stock	D
F	Vanguard MSCI Emerging Markets c/o Morgan Stanley	Asset Management	Stock	C
F	Vodafone GP c/o Morgan Stanley	Telecomm	Stock	D
F	Williams Companies, Inc. c/o Morgan Stanley	Oil	Stock	C
F	Wisdom Tree Emerging Markets Equity c/o Morgan Stanley	Asset Management	Stock	C
SP	Alexander & Baldwin c/o Royal Alliance	Real Estate	Stock	C
SP	Annaly Capital Management c/o Royal Alliance	Asset Management	Stock	E
SP	Arch Coal, Inc c/o Royal Alliance	Coal	Stock	B
SP	Bank of Hawaii Corp. c/o Royal Alliance	Bank	Stock	D
SP	Bunge Limited c/o Royal Alliance	Agriculture	Stock	C
SP	Central Pacific Financial Corp c/o Royal Alliance	Finance	Stock	E
SP	Claymore Exchange c/o Royal Alliance	Shipping	Stock	B
SP	Conoco Phillips P.O. Box 2197 Houston, TX 77252-2197	Oil	Stock	D
SP	Janus Triton Fund c/o Royal Alliance	Asset Management	Stock	D
SP	Las Vegas Sands Corp. c/o Royal Alliance	Gambling	Stock	D
SP	Market Vectors c/o Royal Alliance	Steel, Gold	Stock	F
SP	Market Vectors ETF TR Minor Metals c/o Royal Alliance	Steel	Stock	D
SP	Market Vectors ETF, Steel Index c/o Royal Alliance	Steel	Stock	D
SP	McDonald's Corp. c/o Royal Alliance	Food & Beverage	Stock	E
SP	Pepsico, Inc c/o Royal Alliance	Food & Beverage	Stock	C

F, SP, DC, JT	BUSINESS NAME AND ADDRESS	NATURE OF BUSINESS	NATURE OF INTEREST	VALUE OR NO. OF SHARES
SP	Prospect Capital c/o Royal Alliance	Asset Management	Stock	E
SP	SinoCoking Coal and Coke Chemical c/o Royal Alliance	Coal	Stock	A
SP	Symetra Financial Corp c/o Royal Alliance	Finance	Stock	D
SP	Vale SA c/o Royal Alliance	Mining	Stock	B

**HAWAII STATE ETHICS COMMISSION
DISCLOSURE OF FINANCIAL INTERESTS (LONG FORM)
ATTACHMENT
Richard Curtis Lim
May 31, 2013**

ITEM 3: TRANSFER OF OWNERSHIP OR BENEFICIAL INTERESTS IN BUSINESSES

F, SP, DC, JT	OWNERSHIP OR BENEFICIAL INTEREST TRANSFERRED DURING THIS DISCLOSURE PERIOD	DATE OF TRANSFER
DC	American Funds Capital World G/I c/o Edward Jones	1/13
DC	Conoco Phillip c/o Edward Jones	1/13
F	Aluminum Corp. of China Ltd. c/o Royal Alliance	1/13
F	Annaly Capital Management Inc	5/12
F	Annaly Capital Management Inc	5/12
F	Arch Coal, Inc c/o Morgan Stanley	5/12
F	Arch Coal, Inc c/o Morgan Stanley	1/13
F	Avago Technologies c/o Morgan Stanley	10/12
F	Bank of America Corp. c/o Morgan Stanley	4/12
F	Blackrock Int'l Growth Income c/o Morgan Stanley	5/12
F	Broadcom Corp c/o Morgan Stanley	1/13
F	Claymore Exchange c/o Royal Alliance	1/13
F	CN Insure, Inc c/o Morgan Stanley	1/13
F	Cobalt Int'l Energy, Inc c/o Morgan Stanley	2/12, 4/12, 10/12
F	Conagra Foods Inc	5/12
F	Corning, Inc c/o Morgan Stanley	5/12
F	Dolby Laboratories, Inc c/o Morgan Stanley	1/13
F	Glaxo Smith Kline PLC c/o Royal Alliance	1/13
F	GSI Comm, Inc c/o Morgan Stanley	1/13
F	GSP Investments 1, LLC 63 Bay View Road Dover, NH 03820	1/13
F	iShares S&P Global Timber & Forestry Index Fund c/o Morgan Stanley	1/13
F	Lockheed Martin Corp c/o Royal Alliance	1/13
F	Make My Trip, Ltd c/o Morgan Stanley	1/13
F	Market Vectors Gold Miners c/o Morgan Stanley	1/13

F, SP, DC, JT	OWNERSHIP OR BENEFICIAL INTEREST TRANSFERRED DURING THIS DISCLOSURE PERIOD	DATE OF TRANSFER
F	Marvell Technology Group, Ltd c/o Morgan Stanley	5/12
F	Moly Corp, Inc c/o Morgan Stanley	10/12
F	OCH-ZIFF Capital Management c/o Morgan Stanley	1/13
F	Phillips 66	6/12
F	Raytheon Company Com New c/o Royal Alliance	1/13
F	SPDR Gold Trust c/o Morgan Stanley	1/13
F	Vale SA c/o Royal Alliance	1/13
F	WPX Energy Inc	6/12
F	WPX Energy Inc	6/12
SP	Akamai Technologies Inc. c/o Royal Alliance	1/13
SP	Aluminum Corp China c/o Royal Alliance	1/13
SP	American Funds Growth Fund of America c/o Edward Jones	1/13
SP	American Funds New Perspective c/o Edward Jones	1/13
SP	American Funds New World c/o Edward Jones	1/13
SP	American Funds US Government c/o Edward Jones	1/13
SP	BP PLC c/o Royal Alliance	1/13
SP	Calamos Growth Corp. c/o Royal Alliance	1/13
SP	First Solar, Inc c/o Royal Alliance	1/13
SP	First Trust/Four Corners SFRI Fund II c/o Morgan Stanley	1/13
SP	Freeport-McMoran Copper & Gold, Inc c/o Royal Alliance	1/13
SP	Hawaiian Electric Industries c/o Royal Alliance	1/13
SP	Intel Corp c/o Royal Alliance	1/13
SP	Intl Technology c/o Royal Alliance	1/13
SP	iShares MSCI Emerging Markets Index c/o Royal Alliance	1/13
SP	ITT Corp. 1133 Westchester Avenue White Plains, NY 10604	1/13
SP	Japan Smaller Capitalization Fund c/o Royal Alliance	1/13
SP	Lockheed Martin Corp c/o Royal Alliance	1/13
SP	MGM Resorts International c/o Royal Alliance	1/13
SP	Petroleo Brasileiro Sa Petrobras c/o Royal Alliance	1/13
SP	Potlatch Corp c/o Royal Alliance	1/13
SP	Raytheon Company	1/13

F, SP, DC, JT	OWNERSHIP OR BENEFICIAL INTEREST TRANSFERRED DURING THIS DISCLOSURE PERIOD	DATE OF TRANSFER
	c/o Royal Alliance	
SP	Sky-Mobi, Ltd c/o Royal Alliance	1/13
SP	SPDR S&P International Techno Sec. c/o Royal Alliance	1/13
SP	Teck Res, Ltd c/o Royal Alliance	1/13
SP	Titanium Metals Corp c/o Royal Alliance	1/13
SP	Travelers Companies, Inc c/o Royal Alliance	1/13
SP	Vanguard Mid-Cap Growth c/o Royal Alliance	1/13

**HAWAII STATE ETHICS COMMISSION
DISCLOSURE OF FINANCIAL INTERESTS (LONG FORM)
ATTACHMENT
Richard Curtis Lim
May 31, 2013**

ITEM 5: OFFICERSHIPS, DIRECTORSHIPS, TRUSTEESHIPS

F, SP, DC, JT	NAME AND ADDRESS OF BUSINESS	TITLE HELD	TERM OF OFFICE	ANNUAL COMPENSATION
F	Korean American Foundation	Treasurer	2009 - present	A
F	Chaminade University 3140 Waiialae Avenue Honolulu, HI 96816	Board of Advisors	2010 - present	A
F	Daihonzan Chozenji 3565 Kalihi Street Honolulu, HI 96819	Director	2005 - present	A
F	Hawaii Technology Development Venture 2800 Woodlawn Drive, #192 Honolulu, HI 96822	Advisor	2000 – 2010	A
F	University of Hawaii Ohana Tennis 1337 Lower Campus Road Honolulu, HI 96822	Advisor	2010	A
F	Pacific Rim Foundation 2229 Hikino Street Honolulu, HI 96821	Director	1990 – present	A