



Filing ID #10012399

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. Luis V. Gutierrez  
**Status:** Member  
**State/District:** IL04

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2015  
**Filing Date:** 08/14/2016

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Betterment ⇒ iShares Core MSCI Emerg Mkts (IEMG)		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Betterment ⇒ iShares Russell Midcap Value (IWS)		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Betterment ⇒ iShares S&P 500 Value (IVE)		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Betterment ⇒ Schwab Intl Equity (SCHF)		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Betterment ⇒ Schwab US Broad Market (SCHB)		None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Betterment ⇒ SPDR Nuveen Barclays Mun Bond (TFI)		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Betterment ⇒ Vanguard FTSE Dev Mkts (VEA)		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Betterment ⇒		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Vanguard Small Cap (VBR)					
Betterment ⇒ Vanguard Total Stock (VTI)		\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Betterment ⇒ Vanguard Value (VTV)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Book ⇒ Book		\$1,001 - \$15,000	royalties	\$5,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Memoir					
Charles Schwab #1-72 ⇒ Matthews Asia Dividend Fund (MAPIX)		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		\$500,001 - \$1,000,000	Capital Gains, Dividends	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Wisdomtree Europe (HEDJ)		None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Charles Schwab #2-83 ⇒ Schwab Target 2020 Fund (SWCRX)	SP	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ Apple Inc. (AAPL)	SP	None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ Charles Schwab US MC (SCHM)	SP	None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	\$1,001 - \$15,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ POWERSHARES (QQQ)	SP	\$50,001 - \$100,000	Capital Gains, Interest	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	\$250,001 - \$500,000	Capital Gains, Dividends	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ Schwab Intl Equity (SCHF)	SP	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Charles Schwab #5-14 ⇒ T ROWE PRICE HEALTH (PRHSX)	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
COMMENTS: .					
Edward Jones ⇒ iShares Core US Agg	JT	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Edward Jones ⇒ JP Morgan Fed Money Mkt	JT	None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Edward Jones ⇒ Vanguard Ttl Bond Mkt	JT	None	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ AFIS Global Growth		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ AFIS Growth		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Amer Cent VP Mid Value		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ American Asset Allocation		None	Capital Gains	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Equity Index		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Fidelity VIP Contrafund		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ FT Founding Funds		None	Capital Gains	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Health Sciences		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Janus Focused Growth		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Large Cap Value		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒		None	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Main Street Core					
Pacific Life Annuity ⇒ MFS Utilities Series		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Port Opt Growth		\$100,001 - \$250,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Real Estate		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Value Advantage		None	Tax-Deferred		<input checked="" type="checkbox"/>
PNC Checking Account		\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
Prudential Annuity ⇒ Boston Partners Large Cap Value	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Cohen & Steers	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Franklin Templtn FF Plus	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Goldman Sachs Large Cap Value Port	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Herndon Large Cap Value	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ International Value	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bond	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ JP Morgan Intl Equity	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Parametric Emerging Markets Equity	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
QMA US Equity Alpha					
Prudential Annuity ⇒ RCM World Trends	SP	\$100,001 - \$250,000	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Western Asset Core Plus Bond	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>

\* Asset class details available at the bottom of this form.

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Betterment ⇒ iShares Core MSCI Emerg Mkts (IEMG)		05/28/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares Core MSCI Emerg Mkts (IEMG)		06/29/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares Core MSCI Emerg Mkts (IEMG)		07/29/2015	P	\$15,001 - \$50,000	
Betterment ⇒ iShares Core MSCI Emerg Mkts (IEMG)		09/16/2015	P	\$15,001 - \$50,000	
Betterment ⇒ iShares Core MSCI Emerg Mkts (IEMG)		10/9/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares Core MSCI Emerg Mkts (IEMG)		07/14/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares Core MSCI Emerg Mkts (IEMG)		08/5/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Betterment ⇒ iShares Core MSCI Emerg Mkts (IEMG)		09/25/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares Core MSCI Emerg Mkts (IEMG)		08/10/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares Core MSCI Emerg Mkts (IEMG)		09/25/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Betterment ⇒ iShares Core MSCI Emerg Mkts (IEMG)		10/22/2015	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Betterment ⇒ iShares Core MSCI Emerg Mkts (IEMG)		12/8/2015	P	\$15,001 - \$50,000	
Betterment ⇒ iShares Core MSCI Emerg Mkts (IEMG)		12/15/2015	P	\$15,001 - \$50,000	
Betterment ⇒ iShares Emerging Mkts USD Bond (EMB)		06/11/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares Emerging Mkts USD Bond (EMB)		07/14/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares Emerging Mkts USD Bond (EMB)		09/25/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares Emerging Mkts USD Bond (EMB)		10/16/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares Emerging Mkts USD Bond (EMB)		07/10/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares Emerging Mkts USD Bond (EMB)		10/22/2105	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares Emerging Mkts USD Bond (EMB)		07/29/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares iBoxx (LQD)		02/27/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares iBoxx (LQD)		07/14/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares iBoxx (LQD)		08/5/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares iBoxx (LQD)		10/28/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares iBoxx (LQD)		06/10/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Betterment ⇒ iShares iBoxx (LQD)		09/16/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares iBoxx (LQD)		11/2/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares Natl AMT-Free Muni (MUB)		02/27/2015	P	\$15,001 - \$50,000	
Betterment ⇒ iShares Natl AMT-Free Muni (MUB)		04/14/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares Natl AMT-Free Muni (MUB)		05/22/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares Natl AMT-Free Muni (MUB)		09/25/2015	P	\$15,001 - \$50,000	
Betterment ⇒ iShares Natl AMT-Free Muni (MUB)		10/16/2015	P	\$15,001 - \$50,000	
Betterment ⇒ iShares Natl AMT-Free Muni (MUB)		10/28/2015	P	\$15,001 - \$50,000	
Betterment ⇒ iShares Natl AMT-Free Muni (MUB)		03/9/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares Natl AMT-Free Muni (MUB)		07/10/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares Natl AMT-Free Muni (MUB)		10/22/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Betterment ⇒ iShares Natl AMT-Free Muni (MUB)		11/2/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Betterment ⇒ iShares Russell 2000 Value (IWN)		07/29/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares Russell 2000 Value (IWN)		09/29/2015	P	\$1,001 - \$15,000	






Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Betterment ⇒ iShares Russell 2000 Value (IWN)		10/9/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares Russell 2000 Value (IWN)		11/13/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares Russell 2000 Value (IWN)		07/14/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares Russell 2000 Value (IWN)		08/5/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares Russell 2000 Value (IWN)		10/16/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares Russell 2000 Value (IWN)		10/22/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares Russell 2000 Value (IWN)		12/15/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares Russell Midcap Value (IWS)		06/30/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares Russell Midcap Value (IWS)		07/29/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares Russell Midcap Value (IWS)		09/29/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares Russell Midcap Value (IWS)		10/28/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares Russell Midcap Value (IWS)		07/14/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares Russell Midcap Value (IWS)		08/27/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares Russell Midcap Value (IWS)		10/22/2015	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Betterment ⇒ iShares S&P 500 Value (IVE)		06/30/2015	P	\$1,001 - \$15,000	



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Betterment ⇒ iShares S&P 500 Value (IVE)		07/29/2015	P	\$15,001 - \$50,000	
Betterment ⇒ iShares S&P 500 Value (IVE)		09/29/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares S&P 500 Value (IVE)		10/28/2015	P	\$15,001 - \$50,000	
Betterment ⇒ iShares S&P 500 Value (IVE)		07/14/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares S&P 500 Value (IVE)		08/5/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Betterment ⇒ iShares S&P 500 Value (IVE)		10/16/2015	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Betterment ⇒ iShares S&P 500 Value (IVE)		08/27/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares S&P 500 Value (IVE)		12/21/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares Sh Term Treasury Bond (SHV)		08/5/2015	P	\$50,001 - \$100,000	
Betterment ⇒ iShares Sh Term Treasury Bond (SHV)		09/16/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Betterment ⇒ iShares Sh Term Treasury Bond (SHV)		09/25/2015	P	\$1,001 - \$15,000	
Betterment ⇒ iShares Sh Term Treasury Bond (SHV)		10/5/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Betterment ⇒ iShares Sh Term Treasury Bond (SHV)		10/22/2015	P	\$100,001 - \$250,000	
Betterment ⇒ iShares Sh Term Treasury Bond (SHV)		10/28/2015	S	\$100,001 - \$250,000	<input type="checkbox"/>
Betterment ⇒		06/29/2015	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Schwab Intl Equity (SCHF)					
Betterment ⇒ Schwab Intl Equity (SCHF)		07/10/2015	P	\$15,001 - \$50,000	
Betterment ⇒ Schwab Intl Equity (SCHF)		07/14/2015	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Betterment ⇒ Schwab Intl Equity (SCHF)		07/29/2015	P	\$15,001 - \$50,000	
Betterment ⇒ Schwab Intl Equity (SCHF)		09/29/2015	P	\$15,001 - \$50,000	
Betterment ⇒ Schwab Intl Equity (SCHF)		10/5/2015	P	\$15,001 - \$50,000	
Betterment ⇒ Schwab Intl Equity (SCHF)		07/14/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Betterment ⇒ Schwab Intl Equity (SCHF)		08/5/2015	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Betterment ⇒ Schwab Intl Equity (SCHF)		08/20/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Schwab Intl Equity (SCHF)		12/14/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Betterment ⇒ Schwab US Broad Market (SCHB)		06/8/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Schwab US Broad Market (SCHB)		07/10/2015	P	\$15,001 - \$50,000	
Betterment ⇒ Schwab US Broad Market (SCHB)		07/14/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Schwab US Broad Market (SCHB)		08/5/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Betterment ⇒ Schwab US Broad Market (SCHB)		08/21/2015	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Betterment ⇒ Schwab US Broad Market (SCHB)		09/25/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Betterment ⇒ Schwab US Broad Market (SCHB)		11/13/2015	P	\$15,001 - \$50,000	
Betterment ⇒ Schwab US Broad Market (SCHB)		12/21/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Betterment ⇒ SPDR Nuveen Barclays Mun Bond (TFI)		03/16/2015	P	\$1,001 - \$15,000	
Betterment ⇒ SPDR Nuveen Barclays Mun Bond (TFI)		07/14/2015	P	\$15,001 - \$50,000	
Betterment ⇒ SPDR Nuveen Barclays Mun Bond (TFI)		07/29/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Betterment ⇒ SPDR Nuveen Barclays Mun Bond (TFI)		08/5/2015	P	\$50,001 - \$100,000	
Betterment ⇒ SPDR Nuveen Barclays Mun Bond (TFI)		09/16/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Betterment ⇒ SPDR Nuveen Barclays Mun Bond (TFI)		10/22/2015	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Betterment ⇒ Vanguard Emerging Markets (VWOB)		02/27/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Emerging Markets (VWOB)		03/5/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Emerging Markets (VWOB)		03/9/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Emerging Markets (VWOB)		06/11/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Emerging Markets (VWOB)		08/5/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Emerging Markets (VWOB)		09/16/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Betterment ⇒ Vanguard Emerging Markets (VWOB)		10/28/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Emerging Markets (VWOB)		11/2/2015	S	\$1,001 - \$15,000	
Betterment ⇒ Vanguard FTSE Dev Mkts (VEA)		02/27/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard FTSE Dev Mkts (VEA)		03/16/2015	P	\$15,001 - \$50,000	
Betterment ⇒ Vanguard FTSE Dev Mkts (VEA)		04/14/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard FTSE Dev Mkts (VEA)		05/22/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard FTSE Dev Mkts (VEA)		08/20/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard FTSE Dev Mkts (VEA)		09/16/2015	P	\$15,001 - \$50,000	
Betterment ⇒ Vanguard FTSE Dev Mkts (VEA)		10/28/2015	P	\$50,001 - \$100,000	
Betterment ⇒ Vanguard FTSE Dev Mkts (VEA)		11/2/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard FTSE Dev Mkts (VEA)		06/1/2015	S (partial)	\$1,001 - \$15,000	
Betterment ⇒ Vanguard FTSE Dev Mkts (VEA)		06/30/2015	S (partial)	\$15,001 - \$50,000	
Betterment ⇒ Vanguard FTSE Dev Mkts (VEA)		07/7/2015	S (partial)	\$15,001 - \$50,000	
Betterment ⇒ Vanguard FTSE Dev Mkts (VEA)		09/22/2015	S	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Betterment ⇒ Vanguard FTSE Dev Mkts (VEA)		11/9/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Betterment ⇒ Vanguard FTSE Dev Mkts (VEA)		12/15/2015	P	\$50,001 - \$100,000	
Betterment ⇒ Vanguard FTSE Emerging Markets (VWO)		02/27/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard FTSE Emerging Markets (VWO)		03/10/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard FTSE Emerging Markets (VWO)		05/28/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard FTSE Emerging Markets (VWO)		04/14/2014	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard FTSE Emerging Markets (VWO)		05/22/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard FTSE Emerging Markets (VWO)		06/29/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard FTSE Emerging Markets (VWO)		07/8/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard FTSE Emerging Markets (VWO)		08/20/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard FTSE Emerging Markets (VWO)		09/10/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard FTSE Emerging Markets (VWO)		10/28/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard FTSE Emerging Markets (VWO)		11/2/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard FTSE Emerging Markets (VWO)		12/8/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Intermediate (VCIT)		09/25/2015	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Betterment ⇒ Vanguard Intermediate (VCIT)		10/5/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Intermediate (VCIT)		06/10/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Intermediate (VCIT)		07/10/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Intermediate (VCIT)		10/16/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Intermediate (VCIT)		10/22/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Mid Cap Value (VOE)		02/27/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Mid Cap Value (VOE)		03/16/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Mid Cap Value (VOE)		04/10/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Mid Cap Value (VOE)		06/30/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Mid Cap Value (VOE)		07/27/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Mid Cap Value (VOE)		09/16/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Mid Cap Value (VOE)		09/28/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Mid Cap Value (VOE)		11/13/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Mid Cap Value (VOE)		12/21/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒		02/27/2015	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Vanguard Small Cap (VBR)					
Betterment ⇒ Vanguard Small Cap (VBR)		03/16/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Small Cap (VBR)		04/14/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Small Cap (VBR)		07/6/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Small Cap (VBR)		07/24/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Small Cap (VBR)		09/16/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Small Cap (VBR)		09/25/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Small Cap (VBR)		10/22/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Small Cap (VBR)		10/28/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Small Cap (VBR)		11/2/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Small Cap (VBR)		11/13/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Small Cap (VBR)		12/18/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Total Intl Bond (BNDX)		02/27/2015	P	\$15,001 - \$50,000	
Betterment ⇒ Vanguard Total Intl Bond (BNDX)		03/9/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Total Intl Bond (BNDX)		03/16/2015	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Betterment ⇒ Vanguard Total Intl Bond (BNDX)		04/14/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Total Intl Bond (BNDX)		05/22/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Total Intl Bond (BNDX)		07/10/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Total Intl Bond (BNDX)		07/14/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Total Intl Bond (BNDX)		07/29/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Total Intl Bond (BNDX)		09/16/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Total Intl Bond (BNDX)		08/5/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Total Intl Bond (BNDX)		10/5/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Total Intl Bond (BNDX)		10/16/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Total Intl Bond (BNDX)		10/22/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Total Intl Bond (BNDX)		10/28/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Total Intl Bond (BNDX)		11/2/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Total Stock (VTI)		03/16/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Total Stock (VTI)		03/16/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Total Stock (VTI)		04/14/2015	P	\$1,001 - \$15,000	



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Betterment ⇒ Vanguard Total Stock (VTI)		06/8/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Total Stock (VTI)		05/21/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Total Stock (VTI)		07/8/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Total Stock (VTI)		08/21/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Total Stock (VTI)		09/29/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Total Stock (VTI)		10/28/2015	P	\$15,001 - \$50,000	
Betterment ⇒ Vanguard Total Stock (VTI)		10/22/2015	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Betterment ⇒ Vanguard Total Stock (VTI)		11/2/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Total Stock (VTI)		11/13/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Total Stock (VTI)		12/21/2015	P	\$15,001 - \$50,000	
Betterment ⇒ Vanguard Value (VTV)		02/27/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Value (VTV)		03/16/2015	P	\$15,001 - \$50,000	
Betterment ⇒ Vanguard Value (VTV)		03/16/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Value (VTV)		05/21/2015	P	\$1,001 - \$15,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Betterment ⇒ Vanguard Value (VTV)	06/30/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Value (VTV)	07/27/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Value (VTV)	09/16/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Value (VTV)	09/28/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Value (VTV)	11/2/2015	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Value (VTV)	11/13/2015	P	\$15,001 - \$50,000	
Betterment ⇒ Vanguard Value (VTV)	12/18/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ Matthews Asia Dividend Fund (MAPIX)	09/30/2015	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ Matthews Asia Dividend Fund (MAPIX)	10/8/2015	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ Matthews Asia Dividend Fund (MAPIX)	10/9/2015	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)	03/25/2015	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)	04/20/2015	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)	07/8/2015	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)	07/13/2015	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)	08/27/2015	P	\$50,001 - \$100,000	



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		08/27/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		10/26/2015	P	\$100,001 - \$250,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		12/16/2015	P	\$50,001 - \$100,000	
Charles Schwab #1-72 ⇒ Wisdomtree Europe (HEDJ)		01/23/2015	P	\$50,001 - \$100,000	
Charles Schwab #1-72 ⇒ Wisdomtree Europe (HEDJ)		03/3/2015	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Wisdomtree Europe (HEDJ)		03/25/2015	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Wisdomtree Europe (HEDJ)		04/15/2015	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Wisdomtree Europe (HEDJ)		04/20/2015	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Charles Schwab #2-83 ⇒ American Century One Choice (ARBVX)	SP	02/19/2015	P	\$1,001 - \$15,000	
Charles Schwab #2-83 ⇒ American Century One Choice (ARBVX)	SP	02/20/2015	P	\$1,001 - \$15,000	
Charles Schwab #2-83 ⇒ American Century One Choice (ARBVX)	SP	02/23/2015	P	\$1,001 - \$15,000	
Charles Schwab #2-83 ⇒ American Century One Choice (ARBVX)	SP	02/24/2015	P	\$1,001 - \$15,000	
Charles Schwab #2-83 ⇒ American Century One Choice (ARBVX)	SP	02/26/2015	P	\$1,001 - \$15,000	
Charles Schwab #2-83 ⇒ American Century One Choice (ARBVX)	SP	03/2/2015	P	\$1,001 - \$15,000	
Charles Schwab #2-83 ⇒	SP	04/23/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
American Century One Choice (ARBVX)					
Charles Schwab #2-83 ⇒ JPMorgan SmartRetirement 2020 (JTTAX)	SP	02/19/2015	P	\$1,001 - \$15,000	
Charles Schwab #2-83 ⇒ JPMorgan SmartRetirement 2020 (JTTAX)	SP	02/20/2015	P	\$1,001 - \$15,000	
Charles Schwab #2-83 ⇒ JPMorgan SmartRetirement 2020 (JTTAX)	SP	02/23/2015	P	\$1,001 - \$15,000	
Charles Schwab #2-83 ⇒ JPMorgan SmartRetirement 2020 (JTTAX)	SP	02/24/2015	P	\$1,001 - \$15,000	
Charles Schwab #2-83 ⇒ JPMorgan SmartRetirement 2020 (JTTAX)	SP	02/26/2015	P	\$1,001 - \$15,000	
Charles Schwab #2-83 ⇒ JPMorgan SmartRetirement 2020 (JTTAX)	SP	03/2/2015	P	\$1,001 - \$15,000	
Charles Schwab #2-83 ⇒ JPMorgan SmartRetirement 2020 (JTTAX)	SP	04/23/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #2-83 ⇒ Schwab Target 2020 Fund (SWCRX)	SP	02/19/2015	P	\$1,001 - \$15,000	
Charles Schwab #2-83 ⇒ Schwab Target 2020 Fund (SWCRX)	SP	02/20/2015	P	\$1,001 - \$15,000	
Charles Schwab #2-83 ⇒ Schwab Target 2020 Fund (SWCRX)	SP	02/23/2015	P	\$1,001 - \$15,000	
Charles Schwab #2-83 ⇒ Schwab Target 2020 Fund (SWCRX)	SP	02/24/2015	P	\$1,001 - \$15,000	
Charles Schwab #2-83 ⇒ Schwab Target 2020 Fund (SWCRX)	SP	02/26/2015	P	\$1,001 - \$15,000	
Charles Schwab #2-83 ⇒ Schwab Target 2020 Fund (SWCRX)	SP	03/2/2015	P	\$1,001 - \$15,000	
Charles Schwab #2-83 ⇒ Schwab Target 2020 Fund (SWCRX)	SP	03/3/2015	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #2-83 ⇒ Schwab Target 2020 Fund (SWCRX)	SP	03/4/2015	P	\$1,001 - \$15,000	
Charles Schwab #2-83 ⇒ Schwab Target 2020 Fund (SWCRX)	SP	04/13/2015	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ American FD Cap World (CWGFX)	SP	02/24/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ American FD Cap World (CWGFX)	SP	03/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ American FD Cap World (CWGFX)	SP	04/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ American FD Cap World (CWGFX)	SP	05/19/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ American FD Cap World (CWGFX)	SP	06/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ American FD Cap World (CWGFX)	SP	07/21/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Apple Inc. (AAPL)	SP	01/20/2015	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ Apple Inc. (AAPL)	SP	01/21/2015	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ Apple Inc. (AAPL)	SP	01/22/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Apple Inc. (AAPL)	SP	01/26/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Apple Inc. (AAPL)	SP	01/28/2015	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ Apple Inc. (AAPL)	SP	02/4/2015	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ Apple Inc. (AAPL)	SP	02/4/2015	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ Blackrock Eqty Dividend Fd (MADVX)	SP	02/24/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Blackrock Eqty Dividend Fd (MADVX)	SP	03/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Blackrock Eqty Dividend Fd (MADVX)	SP	04/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Blackrock Eqty Dividend Fd (MADVX)	SP	05/19/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Blackrock Eqty Dividend Fd (MADVX)	SP	06/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Blackrock Eqty Dividend Fd (MADVX)	SP	07/21/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Charles Schwab US MC (SCHM)	SP	04/27/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Charles Schwab US MC (SCHM)	SP	06/16/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Charles Schwab US MC (SCHM)	SP	07/1/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Charles Schwab US MC (SCHM)	SP	07/29/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Charles Schwab US MC (SCHM)	SP	10/9/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Charles Schwab US MC (SCHM)	SP	05/18/2015	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ Charles Schwab US MC (SCHM)	SP	07/16/2015	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ Charles Schwab US MC (SCHM)	SP	08/17/2015	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ Charles Schwab US MC (SCHM)	SP	08/26/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Charles Schwab US MC (SCHM)	SP	10/19/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Dreyfus Bond Mkt Index (DBIRX)	SP	02/24/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Dreyfus Bond Mkt Index (DBIRX)	SP	03/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Dreyfus Bond Mkt Index (DBIRX)	SP	04/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Dreyfus Bond Mkt Index (DBIRX)	SP	05/19/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Dreyfus Bond Mkt Index (DBIRX)	SP	06/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Dreyfus Bond Mkt Index (DBIRX)	SP	07/21/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Dreyfus Intl Stock Fund (DISYX)	SP	02/24/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Dreyfus Intl Stock Fund (DISYX)	SP	03/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Dreyfus Intl Stock Fund (DISYX)	SP	04/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Dreyfus Intl Stock Fund (DISYX)	SP	05/19/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Dreyfus Intl Stock Fund (DISYX)	SP	06/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Dreyfus Intl Stock Fund (DISYX)	SP	07/21/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Franklin Total Return (FBDAX)	SP	02/24/2015	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ Franklin Total Return (FBDAX)	SP	03/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Franklin Total Return (FBDAX)	SP	04/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Franklin Total Return (FBDAX)	SP	05/19/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Franklin Total Return (FBDAX)	SP	06/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Franklin Total Return (FBDAX)	SP	07/21/2015	S	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Hotchkis & Wiley High Yield (HWHIX)	SP	02/24/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Hotchkis & Wiley High Yield (HWHIX)	SP	03/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Hotchkis & Wiley High Yield (HWHIX)	SP	04/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Hotchkis & Wiley High Yield (HWHIX)	SP	05/19/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Hotchkis & Wiley High Yield (HWHIX)	SP	06/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Hotchkis & Wiley High Yield (HWHIX)	SP	07/21/2015	S	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ iShares Core US Aggrgt Bond (AGG)	SP	02/24/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ iShares Core US Aggrgt Bond (AGG)	SP	03/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ iShares Core US Aggrgt Bond (AGG)	SP	04/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒	SP	05/19/2015	P	\$1,001 - \$15,000	



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
iShares Core US Aggrgt Bond (AGG)					
Charles Schwab #5-14 ⇒ iShares Core US Aggrgt Bond (AGG)	SP	06/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ iShares Core US Aggrgt Bond (AGG)	SP	07/21/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ iShares Gold (IAU)	SP	04/21/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ iShares Gold (IAU)	SP	06/15/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ iShares High Yield Bond (SHYG)	SP	05/4/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ iShares High Yield Bond (SHYG)	SP	06/16/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	02/4/2015	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	04/22/2015	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	06/16/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	07/13/2016	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	07/29/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	10/16/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	12/30/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Mkt Vctrs JPMrgn EM (EMLC)	SP	05/4/2015	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ Mkt Vctrs JPMrgn EM (EMLC)	SP	06/16/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Oppenheimer Real Estate (OREYX)	SP	02/24/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Oppenheimer Real Estate (OREYX)	SP	04/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Oppenheimer Real Estate (OREYX)	SP	05/19/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Oppenheimer Real Estate (OREYX)	SP	06/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Oppenheimer Real Estate (OREYX)	SP	07/21/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Pioneer Bond Fund (PICYX)	SP	02/24/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Pioneer Bond Fund (PICYX)	SP	03/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Pioneer Bond Fund (PICYX)	SP	04/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Pioneer Bond Fund (PICYX)	SP	05/19/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Pioneer Bond Fund (PICYX)	SP	06/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Pioneer Bond Fund (PICYX)	SP	07/21/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ POWERSHARES (QQQ)	SP	01/28/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ POWERSHARES (QQQ)	SP	02/4/2015	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ POWERSHARES (QQQ)	SP	04/20/2015	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ POWERSHARES (QQQ)	SP	10/6/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ POWERSHARES (QQQ)	SP	10/16/2015	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	01/20/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	01/22/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	02/13/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	02/20/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	04/15/2015	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	05/4/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	06/15/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	01/23/2015	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	01/28/2015	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	02/4/2015	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	02/5/2015	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	02/13/2015	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	02/17/2015	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	02/22/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	03/4/2015	P	\$100,001 - \$250,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	03/27/2015	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	04/20/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	04/21/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	06/15/2015	P	\$100,001 - \$250,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	06/22/2015	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	07/1/2015	P	\$100,001 - \$250,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	07/16/2016	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	07/27/2015	P	\$500,001 - \$1,000,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	08/5/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	08/17/2015	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	08/26/2015	S (partial)	\$250,001 - \$500,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	08/27/2015	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	08/27/2015	P	\$250,001 - \$500,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	09/2/2015	P	\$100,001 - \$250,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	09/23/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	09/24/2015	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	10/5/2015	P	\$100,001 - \$250,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	10/16/2015	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	10/19/2015	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	10/22/2015	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	04/22/2015	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	04/23/2015	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	04/24/2015	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	04/28/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	07/29/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	08/6/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒	SP	08/26/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
SCHW US SCAP (SCHA)					
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	10/9/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	10/19/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Schwab Emerging Markets Equity (SCHE)	SP	04/21/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Schwab Emerging Markets Equity (SCHE)	SP	07/30/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Schwab Funda Emg Mkts (FNDE)	SP	04/21/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Schwab Funda Emg Mkts (FNDE)	SP	07/16/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Schwab Funda Intl Large (FNDF)	SP	04/21/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Schwab Funda Intl Large (FNDF)	SP	07/16/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Schwab Funda Intl Large (FNDF)	SP	08/6/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Schwab Funda Intl Small (FNDC)	SP	04/21/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Schwab Funda Intl Small (FNDC)	SP	07/29/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Schwab Funda Intl Small (FNDC)	SP	09/17/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Schwab Funda Intl Small (FNDC)	SP	10/16/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Schwab Funda US Large (FNDX)	SP	04/21/2015	P	\$50,001 - \$100,000	



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ Schwab Funda US Large (FNDX)	SP	06/15/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Schwab Funda US Small (FNDA)	SP	04/21/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Schwab Funda US Small (FNDA)	SP	07/1/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Schwab Funda US Small (FNDA)	SP	07/13/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Schwab Intl Equity (SCHF)	SP	04/10/2015	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ Schwab Intl Equity (SCHF)	SP	04/21/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Schwab Intl Equity (SCHF)	SP	04/24/2015	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ Schwab Intl Equity (SCHF)	SP	06/15/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Schwab Intl SmallCap (SCHC)	SP	04/21/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Schwab Intl SmallCap (SCHC)	SP	06/16/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Schwab Intl SmallCap (SCHC)	SP	10/16/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Schwab US Tips (SCHP)	SP	04/21/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Schwab US Tips (SCHP)	SP	06/15/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SPDR Nuveen Barclays Muni Bond (TFI)	SP	04/21/2015	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ SPDR Nuveen Barclays Muni Bond (TFI)	SP	07/31/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ T ROWE PRICE HEALTH (PRHSX)	SP	05/19/2015	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ T Rowe Price Intl Bond (RPIBX)	SP	04/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ T Rowe Price Intl Bond (RPIBX)	SP	05/19/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ T Rowe Price Intl Bond (RPIBX)	SP	06/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ T Rowe Price Intl Bond (RPIBX)	SP	07/21/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Vanguard Glbal Ex US (VNQI)	SP	04/21/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Vanguard Glbal Ex US (VNQI)	SP	10/16/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Vanguard Short Term Bond (BSV)	SP	02/24/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Vanguard Short Term Bond (BSV)	SP	03/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Vanguard Short Term Bond (BSV)	SP	04/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Vanguard Short Term Bond (BSV)	SP	05/19/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Vanguard Short Term Bond (BSV)	SP	06/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Vanguard Short Term Bond (BSV)	SP	07/21/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Vanguard Total Bond Mkt (BND)	SP	02/24/2015	P	\$15,001 - \$50,000	






Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ Vanguard Total Bond Mkt (BND)	SP	03/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Vanguard Total Bond Mkt (BND)	SP	04/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Vanguard Total Bond Mkt (BND)	SP	05/19/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Vanguard Total Bond Mkt (BND)	SP	06/17/2015	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Vanguard Total Bond Mkt (BND)	SP	07/21/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Vanguard Total Intl Bond (BNDX)	SP	04/21/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Vanguard Total Intl Bond (BNDX)	SP	07/13/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Wisdomtree Europe Hedge (HEDJ)	SP	04/24/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Wisdomtree Europe Hedge (HEDJ)	SP	05/19/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Edward Jones ⇒ Blackrock Equity Dividend	JT	02/27/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Blackrock Equity Dividend	JT	03/18/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Blackrock Equity Dividend	JT	04/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Blackrock Equity Dividend	JT	05/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Blackrock Equity Dividend	JT	06/18/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Blackrock Equity Dividend	JT	07/21/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Edward Jones ⇒ Capital World Growth & Income	JT	02/27/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Capital World Growth & Income	JT	03/18/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Capital World Growth & Income	JT	04/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Capital World Growth & Income	JT	05/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Capital World Growth & Income	JT	06/18/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Capital World Growth & Income	JT	07/21/2015	S	\$1,001 - \$15,000	
Edward Jones ⇒ Dreyfus Bond Mkt Index	JT	02/27/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Dreyfus Bond Mkt Index	JT	03/18/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Dreyfus Bond Mkt Index	JT	04/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Dreyfus Bond Mkt Index	JT	05/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Dreyfus Bond Mkt Index	JT	06/18/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Dreyfus Bond Mkt Index	JT	07/21/2015	S	\$15,001 - \$50,000	
Edward Jones ⇒ Dreyfus International	JT	02/27/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Dreyfus International	JT	03/18/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒	JT	04/20/2015	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Dreyfus International					
Edward Jones ⇒ Dreyfus International	JT	05/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Dreyfus International	JT	06/18/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Dreyfus International	JT	07/21/2015	S	\$1,001 - \$15,000	
Edward Jones ⇒ Franklin Total Return	JT	02/27/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Franklin Total Return	JT	03/18/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Franklin Total Return	JT	04/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Franklin Total Return	JT	05/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Franklin Total Return	JT	06/18/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Franklin Total Return	JT	07/21/2015	S	\$1,001 - \$15,000	
Edward Jones ⇒ Hotchkis & Wiley High Yield	JT	02/27/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Hotchkis & Wiley High Yield	JT	03/18/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Hotchkis & Wiley High Yield	JT	04/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Hotchkis & Wiley High Yield	JT	05/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Hotchkis & Wiley High Yield	JT	06/18/2015	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Edward Jones ⇒ Hotchkis & Wiley High Yield	JT	07/21/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Edward Jones ⇒ iShares Core US Agg	JT	02/27/2015	P	\$15,001 - \$50,000	
Edward Jones ⇒ iShares Core US Agg	JT	03/18/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ iShares Core US Agg	JT	04/22/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ iShares Core US Agg	JT	05/22/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ iShares Core US Agg	JT	06/22/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ iShares Core US Agg	JT	07/21/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Edward Jones ⇒ JP Morgan Fed Money Mkt	JT	02/27/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ JP Morgan Fed Money Mkt	JT	04/22/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ JP Morgan Fed Money Mkt	JT	05/22/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ JP Morgan Fed Money Mkt	JT	06/22/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ JP Morgan Fed Money Mkt	JT	07/17/2015	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Edward Jones ⇒ Oppenheimer Real Estate	JT	02/27/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Oppenheimer Real Estate	JT	04/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Oppenheimer Real Estate	JT	05/20/2015	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Edward Jones ⇒ Oppenheimer Real Estate	JT	06/18/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Oppenheimer Real Estate	JT	07/21/2015	S	\$1,001 - \$15,000	
Edward Jones ⇒ Pioneer Bond	JT	02/27/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Pioneer Bond	JT	03/18/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Pioneer Bond	JT	04/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Pioneer Bond	JT	05/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Pioneer Bond	JT	06/18/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Pioneer Bond	JT	07/21/2015	S	\$1,001 - \$15,000	
Edward Jones ⇒ T Rowe Price Blue Chip	JT	02/27/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ T Rowe Price Blue Chip	JT	03/18/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ T Rowe Price Blue Chip	JT	04/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ T Rowe Price Blue Chip	JT	05/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ T Rowe Price Blue Chip	JT	06/18/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ T Rowe Price Blue Chip	JT	07/21/2015	S	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Edward Jones ⇒ T Rowe Price Intl Bond	JT	02/27/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ T Rowe Price Intl Bond	JT	03/18/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ T Rowe Price Intl Bond	JT	04/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ T Rowe Price Intl Bond	JT	05/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ T Rowe Price Intl Bond	JT	06/18/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ T Rowe Price Intl Bond	JT	07/21/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Edward Jones ⇒ Vanguard Short Term Bond	JT	02/27/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Vanguard Short Term Bond	JT	03/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Vanguard Short Term Bond	JT	04/22/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Vanguard Short Term Bond	JT	05/22/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Vanguard Short Term Bond	JT	06/22/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Vanguard Short Term Bond	JT	07/21/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Edward Jones ⇒ Vanguard Ttl Bond Mkt	JT	02/27/2015	P	\$15,001 - \$50,000	
Edward Jones ⇒ Vanguard Ttl Bond Mkt	JT	03/20/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Vanguard Ttl Bond Mkt	JT	04/22/2015	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Edward Jones ⇒ Vanguard Ttl Bond Mkt	JT	05/22/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Vanguard Ttl Bond Mkt	JT	06/22/2015	P	\$1,001 - \$15,000	
Edward Jones ⇒ Vanguard Ttl Bond Mkt	JT	07/21/2015	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ AFIS Global Growth		09/17/2015	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ AFIS Growth		10/30/2015	P	\$50,001 - \$100,000	
Pacific Life Annuity ⇒ Amer Cent VP Mid Value		02/17/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ American Growth		09/17/2015	P	\$50,001 - \$100,000	
Pacific Life Annuity ⇒ American Growth		10/30/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Diversified Bond		02/10/2015	P	\$1,001 - \$15,000	
Pacific Life Annuity ⇒ Diversified Bond		03/13/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Equity Index		02/3/2015	P	\$1,001 - \$15,000	
Pacific Life Annuity ⇒ Equity Index		02/17/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Fidelity VIP Contrafund		02/3/2015	P	\$1,001 - \$15,000	
Pacific Life Annuity ⇒ Fidelity VIP Contrafund		02/17/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Pacific Life Annuity ⇒		03/13/2015	P	\$100,001 -	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Fidelity VIP Contrafund				\$250,000	
Pacific Life Annuity ⇒ Fidelity VIP Contrafund		08/6/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Health Sciences		02/10/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Janus Aspen Flex Bond		02/10/2015	P	\$1,001 - \$15,000	
Pacific Life Annuity ⇒ Janus Aspen Flex Bond		03/13/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Janus Focused Growth		09/17/2015	P	\$50,001 - \$100,000	
Pacific Life Annuity ⇒ Large Cap Value		02/17/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Lord Abbett Total Return		02/10/2015	P	\$1,001 - \$15,000	
Pacific Life Annuity ⇒ Lord Abbett Total Return		03/13/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Main Street Core		02/3/2015	P	\$1,001 - \$15,000	
Pacific Life Annuity ⇒ Main Street Core		02/17/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Main Street Core		03/13/2015	P	\$100,001 - \$250,000	
Pacific Life Annuity ⇒ Main Street Core		08/6/2015	S	\$100,001 - \$250,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Managed Bond		02/10/2015	P	\$1,001 - \$15,000	
Pacific Life Annuity ⇒ Managed Bond		03/13/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Pacific Life Annuity ⇒ MFS Utilities Series		02/3/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Port Opt Conservative		02/17/2015	P	\$250,001 - \$500,000	
Pacific Life Annuity ⇒ Port Opt Conservative		03/13/2016	S	\$250,001 - \$500,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Port Opt Conservative		08/6/2015	P	\$250,001 - \$500,000	
Pacific Life Annuity ⇒ Port Opt Conservative		09/17/2015	S	\$250,001 - \$500,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Port Opt Growth		09/17/2015	P	\$100,001 - \$250,000	
Pacific Life Annuity ⇒ Real Estate		03/13/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Value Advantage		02/3/2015	P	\$1,001 - \$15,000	
Pacific Life Annuity ⇒ Value Advantage		02/17/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Value Advantage		03/13/2015	P	\$100,001 - \$250,000	
Pacific Life Annuity ⇒ Value Advantage		03/13/2015	S	\$100,001 - \$250,000	<input type="checkbox"/>
Prudential Annuity ⇒ Boston Partners Large Cap Value	SP	02/10/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ Cohen & Steers	SP	02/10/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Cohen & Steers	SP	03/13/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ Franklin Templtn FF Plus	SP	07/10/2015	P	\$100,001 - \$250,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Prudential Annuity ⇒ Franklin Templtn FF Plus	SP	08/24/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ Franklin Templtn FF Plus	SP	08/27/2015	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ Franklin Templtn FF Plus	SP	09/2/2015	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ Franklin Templtn FF Plus	SP	09/24/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ Franklin Templtn FF Plus	SP	10/2/2015	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ Franklin Templtn FF Plus	SP	10/8/2015	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ Franklin Templtn FF Plus	SP	10/16/2015	S	\$100,001 - \$250,000	<input type="checkbox"/>
Prudential Annuity ⇒ Goldman Sachs Large Cap Value Port	SP	02/10/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Prudential Annuity ⇒ Goldman Sachs Large Cap Value Port	SP	03/13/2015	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ Goldman Sachs Large Cap Value Port	SP	04/29/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ Herndon Large Cap Value	SP	03/13/2015	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ Herndon Large Cap Value	SP	04/29/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ International Value	SP	03/13/2015	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ International Value	SP	04/29/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Prudential Annuity ⇒ Investment Grade Bond	SP	08/24/2015	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ Investment Grade Bond	SP	08/27/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bond	SP	09/2/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bond	SP	09/24/2015	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ Investment Grade Bond	SP	10/2/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bond	SP	10/8/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bond	SP	11/2/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bond	SP	12/2/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bond	SP	12/10/2015	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ JP Morgan Global Thematic	SP	02/10/2015	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ JP Morgan Global Thematic	SP	03/13/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ JP Morgan Intl Equity	SP	03/13/2015	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ JP Morgan Intl Equity	SP	04/29/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ JP Morgan Strategic Opportunities Port	SP	02/10/2015	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ JP Morgan Strategic Opportunities Port	SP	03/13/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Prudential Annuity ⇒ Mid Cap Value	SP	03/13/2015	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ Mid Cap Value	SP	04/29/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Parametric Emerging Markets Equity	SP	03/13/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ Preservation Asset Allocation	SP	04/29/2015	P	\$100,001 - \$250,000	
Prudential Annuity ⇒ Preservation Asset Allocation	SP	07/10/2015	S	\$100,001 - \$250,000	<input type="checkbox"/>
Prudential Annuity ⇒ QMA US Equity Alpha	SP	02/10/2015	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ QMA US Equity Alpha	SP	03/13/2015	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ QMA US Equity Alpha	SP	04/29/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Prudential Annuity ⇒ RCM World Trends	SP	10/16/2015	P	\$100,001 - \$250,000	
Prudential Annuity ⇒ RCM World Trends	SP	11/2/2015	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ RCM World Trends	SP	12/2/2015	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ RCM World Trends	SP	12/10/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ Small Cap Value	SP	03/13/2015	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ Small Cap Value	SP	04/29/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒	SP	02/10/2015	P	\$50,001 -	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Western Asset Core Plus Bond				\$100,000	
Prudential Annuity ⇒ Western Asset Core Plus Bond	SP	03/13/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Prudential Annuity ⇒ Western Asset Core Plus Bond	SP	04/29/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>

\* Asset class details available at the bottom of this form.

SCHEDULE C: EARNED INCOME

Source	Type	Amount
Gutierrez for Congress	Spouse salary	N/A

SCHEDULE D: LIABILITIES

None disclosed.

SCHEDULE E: POSITIONS

Position	Name of Organization
Member of Advisory Council	Congressional Hispanic Caucus Institute

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
Maher Live, Inc	06/19/2015	06/20/2016	Chicago - Los Angeles - Chicago	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
COMMENTS: For taping of Real Time with Bill Maher							
Puerto Rico Bar Association	09/11/2016	09/13/2016	DC - Ponce, PR - DC	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
Greater OK Hispanic Chamber of Commerce	09/28/2015	09/28/2015	Chicago - Oklahoma City, OK - Chicago	0	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
J Street Education Foundation	11/6/2015	11/14/2015	Chicago - Tel-Aviv - Chicago	2	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

## SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

## SCHEDULE A AND B ASSET CLASS DETAILS

- Betterment  
LOCATION: US  
DESCRIPTION: Brokerage Account
- Book  
LOCATION: US  
DESCRIPTION: Memoir
- Charles Schwab #1-72  
LOCATION: US  
DESCRIPTION: Brokerage Account
- Charles Schwab #2-83 (Owner: SP)  
LOCATION: US  
DESCRIPTION: Brokerage Account  
COMMENTS: this account closed in 2014
- Charles Schwab #5-14 (Owner: SP)  
LOCATION: US  
DESCRIPTION: Brokerage Account
- Edward Jones (Owner: JT)  
LOCATION: US  
DESCRIPTION: Brokerage Account
- Pacific Life Annuity
- Prudential Annuity (Owner: SP)

## EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

**IPO:** Did you purchase any shares that were allocated as a part of an Initial Public Offering?

☐ Yes ☒ No

**Trusts:** Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

☐ Yes ☒ No

**Exemption:** Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

☐ Yes ☒ No

☐ Yes ☒ No

## **CERTIFICATION AND SIGNATURE**

☒ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

**Digitally Signed:** Hon. Luis V. Gutierrez , 08/14/2016