

UNITED STATES HOUSE OF REPRESENTATIVES

FORM A

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CALENDAR YEAR 2010 FINANCIAL DISCLOSURE STATEMENT

For use by Members, officers, and employees

HAND DELIVERED

Luis V. Gutierrez

(202) 225-8203

2011 JUN 15 PM 5:01

(Full Name)

(Daytime Telephone)

CT (Office Use Only)

Filer Status

☒ Member of the U.S. House of Representatives

State: IL District: 04

☐ Officer Or Employee

Employing Office:

A \$200 penalty shall be assessed against anyone who files more than 30 days late.

Report Type

☒ Annual (May 15) ☐ Amendment ☐ Termination

Termination Date:

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$335 from one source)? If yes, complete and attach Schedule VII.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
V.	Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

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 <input type="checkbox"/> No <input checked="" type="checkbox"/>
Exemptions--	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? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

SCHEDULE I - EARNED INCOME

Name Luis V. Gutierrez

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List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling \$200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding \$1,000.

Source	Type	Amount
Gutierrez for Congress	Treasurer - Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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BLOCK A Asset and/or Income Source Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or source of income which generated more than \$200 in "unearned" income during the year. Provide complete names of stocks and mutual funds (do not use ticker symbols.) For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period. For rental or other real property held for investment, provide a complete address. For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A. Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any debt-financed property; any property in a personal charitable or	BLOCK B Year-End Value of Asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C Type of Income Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.	BLOCK D Amount of Income For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.	BLOCK E Transaction Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.
JT 535 Marina Street Rio Grande, Puerto Rico	\$250,001 - \$500,000	NONE	NONE	
JT 615 Vistamar Street Rio Grande, Puerto Rico	\$100,001 - \$250,000	RENT	\$5,001 - \$15,000	
JT Great American Insurance Corporation Annuity	\$100,001 - \$250,000	INTEREST	\$2,501 - \$5,000	
JT PNC Bank CD (formerly National City Bank)	None	INTEREST	\$1,001 - \$2,500	S/Matured
JT PNC Bank CD (formerly National City Bank)	None	INTEREST	\$1,001 - \$2,500	S/Matured
JT PNC Bank CD (formerly National City Bank)	\$100,001 - \$250,000	INTEREST	\$5,001 - \$15,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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JT	PNC Bank CD (formerly National City Bank)	\$100,001 - \$250,000	INTEREST	\$5,001 - \$15,000	
JT	PNC Money Market	None	INTEREST	\$1,001 - \$2,500	S/closed
JT	PNC Money Market	\$1 - \$1,000	INTEREST	\$1,001 - \$2,500	
JT	New York Life Insurance Company Annuity	\$100,001 - \$250,000	INTEREST	\$5,001 - \$15,000	
JT	The Northern Trust Company	\$500,001 - \$1,000,000	DIVIDENDS/CAPITAL GAINS	\$5,001 - \$15,000	P
JT	Charles Schwab & Co, Inc. (not self-directed)	None	None	NONE	P/S
JT	Charles Schwab & Co, Inc.	\$100,001 - \$250,000	DIVIDENDS/CAPITAL GAINS	\$5,001 - \$15,000	P
JT	MFB Northern FDS MultiManager Global Real Estate (Northern Trust Co.)	None	DIVIDENDS	\$1,001 - \$2,500	PS
JT	MFB Northern FDS BD Index FD (Northern Trust Co.)	None	DIVIDENDS	\$1,001 - \$2,500	PS
JT	MFB NORTHN MULTI-MANAGER INTL EQTY FD FD(Northern Trust Co.)	None	DIVIDENDS	\$201 - \$1,000	PS
JT	MFB NRTHRN MULTIMGR MID(Northern Trust Co.)	None	LOSS	NONE	PS
JT	MFB Northern FDS BD Index FD (Northern Trust Co.)	None	LOSS	NONE	PS
JT	MFB NORTHN HI YLD (part of Northern Trust Co)	None	CAPITAL GAINS	\$1,001 - \$2,500	PS

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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JT	MFB NORTHN SHORT INTERMEDIATE US GOVT part of Northern Trust Co)	None	LOSS	NONE	PS
JT	MFB NORTHERN FDS STK INDEX FD(part of Northern Trust Co)	\$100,001 - \$250,000	DIVIDENDS	\$201 - \$1,000	P
JT	MFC SPDR GOLD TR GOLD SHS part of Northern Trust Co)	None	LOSS	NONE	PS
JT	MFB NORTHN INTER TX EXMP FD BOND FUND	\$50,001 - \$100,000	DIVIDENDS	\$201 - \$1,000	P
JT	MFB NORTHN FDS MULTI- MANAGER EMERGING MKTS EQTY FD	\$50,001 - \$100,000	DIVIDENDS	\$5,001 - \$15,000	P
JT	PIMCO Total Return	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	P&S
JT	PARNASSUS Workplace FD	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	P&S
JT	MONETTA Young INV	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	P&S

SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	PNC Bank CD (formerly National City Bank) (CD matured, was not sold)	S	No	06-01-10	\$1,001 - \$15,000
JT	PNC Bank CD (formerly National City Bank) (CD matured, not sold)	S	No	06-01-10	\$1,001 - \$15,000
JT	The Northern Trust Company	P	N/A	09-30-11	\$500,001 - \$1,000,000
JT	Charles Schwab & Co, Inc.	P	N/A	05-19-10	\$50,001 - \$100,000
JT	Charles Schwab & Co. Inc.	S	No	05-25-10	\$50,001 - \$100,000
JT	Charles Schwab & Co, Inc.	P	N/A	05-19-10	\$100,001 - \$250,000
JT	ISHARES BARCLAYS BOND FD	P	N/A	05-19-10	\$1,001 - \$15,000
JT	ISHARES BARCLAYS BOND FD	S	No	05-25-10	\$1,001 - \$15,000
JT	ISHARES MSCI EMU	P	N/A	05-19-10	\$1,001 - \$15,000
JT	ISHARES MSCI EMU	S	No	05-25-10	\$1,001 - \$15,000
JT	ISHARES RUSSELL MICROCAPINDEX	P	N/A	05-19-10	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	ISHARES RUSSELL MICROCAPINDEX	S	No	05-25-10	\$1,001 - \$15,000
JT	ISHARES TR BARCLAYS BOND	P	N/A	05-19-10	\$1,001 - \$15,000
JT	ISHARES TR BARCLAYS BOND	S	No	05-25-10	\$1,001 - \$15,000
JT	ISHARES TR BARCLAYS BOND	P	N/A	05-19-10	\$1,001 - \$15,000
JT	ISHARES TR BARCLAYS BOND	S	No	05-25-10	\$1,001 - \$15,000
JT	ISHARES TR BARCLAYS BOND	P	N/A	05-19-10	\$1,001 - \$15,000
JT	ISHARES TR BARCLAYS BOND	S	No	05-25-10	\$1,001 - \$15,000
JT	ISHARES TRUST BARCLAYS	P	N/A	05-19-10	\$1,001 - \$15,000
JT	ISHARES TRUST BARCLAYS	S	No	05-25-10	\$1,001 - \$15,000
JT	POWERSHS DB	P	N/A	05-19-10	\$1,001 - \$15,000
JT	POWERSHS DB	S	No	05-25-10	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	POWERSHS DB	P	N/A	05-19-10	\$1,001 - \$15,000
JT	POWERSHS DB	S	No	05-25-10	\$1,001 - \$15,000
JT	POWERSHS DB	P	N/A	05-19-10	\$1,001 - \$15,000
JT	POWERSHS DB	S	No	05-25-10	\$1,001 - \$15,000
JT	SCHW EMG MKT	P	N/A	05-19-10	\$1,001 - \$15,000
JT	SCHW EMG MKT	S	No	05-25-10	\$1,001 - \$15,000
JT	SCHW INTL EQ	P	N/A	05-19-10	\$1,001 - \$15,000
JT	SCHW INTL EQ	S	No	05-25-10	\$1,001 - \$15,000
JT	SCHW INTL SCAP	P	N/A	05-19-10	\$1,001 - \$15,000
JT	SCHW INTL SCAP	S	No	05-25-10	\$1,001 - \$15,000
JT	SCHW US LCAP	P	N/A	05-19-10	\$15,001 - \$50,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	SCHW US LCAP	S	No	05-25-10	\$15,001 - \$50,000
JT	SCHW US SCAP	P	N/A	05-19-10	\$1,001 - \$15,000
JT	SCHW US SCAP	S	No	05-25-10	\$1,001 - \$15,000
JT	SPDR BARCLAYS CAP INTL	P	N/A	5-19-10	\$1,001 - \$15,000
JT	SPDR BARCLAYS CAP INTL	S	No	5-25-10	\$1,001 - \$15,000
JT	SPDR BARCLAYS CAPITAL HY BD	P	N/A	05-19-10	\$1,001 - \$15,000
JT	SPDR BARCLAYS CAPITAL HY BD	S	No	05-25-10	\$1,001 - \$15,000
JT	SPDR DOW JONES REIT	P	N/A	05-19-10	\$1,001 - \$15,000
JT	SPDR DOW JONES REIT	S	No	05-25-10	\$1,001 - \$15,000
JT	SPDR GOLD TRUST	P	N/A	05-19-10	\$1,001 - \$15,000
JT	SPDR GOLD TRUST	S	No	05-25-10	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain In Excess of \$200?	Date	Amount of Transaction
JT	SPDR S&P	P	N/A	05-19-10	\$1,001 - \$15,000
JT	SPDR S&P	S	No	05-25-10	\$1,001 - \$15,000
JT	MFB NORTHERN FDS MULTI MANAGER GLOBAL REALESTATE FD (Northern Trust Co.)	P	N/A	10-06-10	\$1,001 - \$15,000
JT	MFB NORTHERN FDS MULTI MANAGER GLOBAL REALESTATE FD (Northern Trust Co.)	S	No	11-18-10	\$1,001 - \$15,000
JT	MFB NORTHERN FDS BD INDEX FD (Northern Trust Co.)	P	N/A	09-21-10	\$15,001 - \$50,000
JT	MFB NORTHERN FDS BD INDEX FD (Northern Trust Co.)	S	No	11-18-10	\$15,001 - \$50,000
JT	MFB NORTHERN MULTI-MANAGER INTL EQTY (Northern Trust Co.)	P	N/A	09-21-10	\$1,001 - \$15,000
JT	MFB NORTHERN MULTI-MANAGER INTL EQTY (Northern Trust Co.)	S	No	11-18-10	\$1,001 - \$15,000
JT	MFB NORTHERN FDS BD INDEX FD (Northern Trust Co.)	P	N/A	09-21-10	\$100,001 - \$250,000
JT	MFB NORTHERN FDS BD INDEX FD (Northern Trust Co.)	S	No	12-16-10	\$100,001 - \$250,000
JT	MFB NORTHERN HI YIELD EXD INC(Northern Trust Co.)	P	N/A	09-21-10	\$50,001 - \$100,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	MFB NORTHN HI YIELD EXD INC (Northern Trust Co.)	S	Yes	12-16-10	\$50,001 - \$100,000
JT	MFB NORTHN SHORT INTER GOVT (Northern Trust Co.)	P	N/A	09-21-10	\$100,001 - \$250,000
JT	MFB NORTHN SHORT INTER GOVT (Northern Trust Co.)	S	No	12-16-10	\$100,001 - \$250,000
JT	PNC Investments Managed Account	P	N/A	05-14-10	\$50,001 - \$100,000
JT	PNC Investments Managed Account (not listed in Schedule III because it did not meet the reporting threshold/ account closed)	S	No	06-01-10	\$50,001 - \$100,000
JT	MFB NORTHERN FDS STK INDEX FD(part of Northern Trust Co)	P	N/A	09-21-10	\$100,001 - \$250,000
JT	MFB NORTHN FDS MULTI-MANAGER EMERGING MKTS EQTY FD (Northern Trust Co.)	P	N/A	09-21-10	\$50,001 - \$100,000
JT	MFB NRTHRN MULTIMGR MID(Northern Trust Co.)	P	N/A	10-06-10	\$1,001 - \$15,000
JT	MFB NRTHRN MULTIMGR MID(Northern Trust Co.)	S	No	11-18-10	\$1,001 - \$15,000
JT	MFC SPDR GOLD TR GOLD SHS (part of Northern Trust Co)	P	N/A	09-24-10	\$15,001 - \$50,000
JT	MFC SPDR GOLD TR GOLD SHS (part of Northern Trust Co)	S	No	12-31-10	\$15,001 - \$50,000

SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	MFC SPDR GOLD TR GOLD SHS (part of Northern Trust Co)	P	N/A	10-12-10	\$15,001 - \$50,000
	MFC SPDR GOLD TR GOLD SHS (part of Northern Trust Co)	S	No	12-31-10	\$15,001 - \$50,000
	MFC SPDR GOLD TR GOLD SHS (part of Northern Trust Co)	P	N/A	11-24-10	\$15,001 - \$50,000
	MFC SPDR GOLD TR GOLD SHS (part of Northern Trust Co)	S	No	12-31-10	\$15,001 - \$50,000
	MFB NORTHN FDS INTER TX EXMP BD BOND FUND (part of Northern Trust Co)	P	N/A	09-21-10	\$50,001 - \$100,000

17 pages of transactions
continue —————>

SCHEDULE IV - TRANSACTIONS

Name LUIS V. GUTIERREZ

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Annaly Capital Mgmt	P	N/A	07-27-10	\$1,001 - \$15,000
	Annaly Capital Mgmt	S	No	08-25-10	\$1,001 - \$15,000
	Applesseed Fd	P	N/A	06-14-10	\$1,001 - \$15,000
	Applesseed Fd	S	No	09-14-10	\$1,001 - \$15,000
	Applesseed Fd	P	N/A	06-16-10	\$1,001 - \$15,000
	Applesseed Fd	P	N/A	07-09-10	\$1,001 - \$15,000
	Applesseed Fd	S	No	10-11-10	\$1,001 - \$15,000
	Applesseed Fd	P	N/A	07-30-10	\$1,001 - \$15,000
	Applesseed Fd	S	No	11-03-10	\$1,001 - \$15,000
	Avalonbay CmntyS	P	N/A	07-27-10	\$1,001 - \$15,000
	Avalonbay CmntyS	S	No	08-17-10	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Name LUIS V. GUTIERREZ

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Ave Maria Rising	P	N/A	07-27-10	\$1,001 - \$15,000
	Ave Maria Rising	S	No	09-16-10	\$1,001 - \$15,000
	Ave Maria Rising	P	N/A	07-27-10	\$1,001 - \$15,000
	Ave Maria Rising	S	No	09-17-10	\$1,001 - \$15,000
	Berkshire Hathaway B	P	N/A	05-10-10	\$1,001 - \$15,000
	Berkshire Hathaway B	S	No	05-27-10	\$1,001 - \$15,000
	Boston Properties Inc	P	N/A	07-27-10	\$1,001 - \$15,000
	Boston Properties Inc	S	No	08-17-10	\$1,001 - \$15,000
	Copano Energy LLC	P	N/A	07-20-10	\$1,001 - \$15,000
	Copano Energy LLC	S	No	08-25-10	\$1,001 - \$15,000
	DuPont E I DE Nemour&Co	P	N/A	05-13-10	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Name LUIS V. GUTIERREZ

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	DuPont E I DE Nemour&Co	S	No	06-18-10	\$1,001 - \$15,000
	Family Dollar Stores Inc	P	N/A	05-26-10	\$1,001 - \$15,000
	Family Dollar Stores Inc	S	No	07-09-10	\$1,001 - \$15,000
	FBR Large Cap	P	N/A	06-14-10	\$1,001 - \$15,000
	FBR Large Cap	S	No	07-09-10	\$1,001 - \$15,000
	FBR Small Cap	P	N/A	06-15-10	\$1,001 - \$15,000
	FBR Small Cap	S	No	07-21-10	\$1,001 - \$15,000
	Foot Locker Inc	P	N/A	11-22-10	\$1,001 - \$15,000
	Foot Locker Inc	S	No	12-10-10	\$1,001 - \$15,000
	Health Care REIT	P	N/A	07-27-10	\$1,001 - \$15,000
	Health Care REIT	S	No	08-17-10	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Name LUIS V. GUTIERREZ

4

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	ISHARES MSCI CDA IDX	P	N/A	07-27-10	\$1,001 - \$15,000
	ISHARES MSCI CDA IDX	S	No	08-25-10	\$1,001 - \$15,000
	ISHARES S&P	P	N/A	07-27-10	\$1,001 - \$15,000
	ISHARES S&P	P	N/A	05-14-10	\$1,001 - \$15,000
	ISHARES S&P	S	No	05-27-10	\$1,001 - \$15,000
	ISHARES SILVER	P	N/A	11-22-10	\$1,001 - \$15,000
	ISHARES SILVER	S	No	12-10-10	\$1,001 - \$15,000
	ISHARES TR RUSSELL 2000	P	N/A	06-16-10	\$1,001 - \$15,000
	ISHARES TR RUSSELL 2000	S	No	06-23-10	\$1,001 - \$15,000
	ISHARES TR RUSSELL 2000	P	N/A	07-27-10	\$15,001 - \$50,000
	ISHARES TR RUSSELL 2000	S	No	07-27-10	\$15,001 - \$50,000

SCHEDULE IV - TRANSACTIONS

Name LUIS V. GUTIERREZ

5

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	JENSEN PORTFOLIO	P	N/A	05-12-10	\$1,001 - \$15,000
	JENSEN PORTFOLIO	S	No	08-13-10	\$1,001 - \$15,000
	JENSEN PORTFOLIO	P	N/A	05-16-10	\$1,001 - \$15,000
	JENSEN PORTFOLIO	S	No	09-16-10	\$1,001 - \$15,000
	MANNING & NAPIER PRO	P	N/A	10-11-10	\$1,001 - \$15,000
	MANNING & NAPIER PRO	S	No	10-11-10	\$1,001 - \$15,000
	MONETTA YOUNG INV	P	N/A	10-11-10	\$1,001 - \$15,000
	MONETTA YOUNG INV	S	No	10-11-10	\$1,001 - \$15,000
	MONETTA YOUNG INV	P	N/A	12-08-10	\$1,001 - \$15,000
	MONETTA YOUNG INV	S	Yes	12-09-10	\$1,001 - \$15,000
	OAKMARK EQUITY INCOME	P	N/A	05-11-10	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Name LUIS V. GUTIERREZ

6

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	OAKMARK EQUITY INCOME	S	No	08-13-10	\$1,001 - \$15,000
	PARNASSUS EQUITY INC	P	N/A	06-14-10	\$1,001 - \$15,000
	PARNASSUS EQUITY INC	S	No	09-14-10	\$1,001 - \$15,000
	PARNASSUS EQUITY INC	P	N/A	06-14-10	\$1,001 - \$15,000
	PARNASSUS EQUITY INC	S	No	11-03-10	\$1,001 - \$15,000
	PARNASSUS FUND	P	N/A	05-11-10	\$1,001 - \$15,000
	PARNASSUS FUND	S	No	06-23-10	\$1,001 - \$15,000
	PARNASSUS WORKPLACE FD	P	N/A	06-14-10	\$1,001 - \$15,000
	PARNASSUS WORKPLACE FD	S	No	09-17-10	\$1,001 - \$15,000
	PARNASSUS WORKPLACE FD	P	N/A	06-14-10	\$1,001 - \$15,000
	PARNASSUS WORKPLACE FD	S	Yes	12-09-10	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Name LUIS V. GUTIERREZ

7

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	PERRIGO CO	P	N/A	05-26-10	\$1,001 - \$15,000
	PERRIGO CO	S	No	05-27-10	\$1,001 - \$15,000
	PIMCO TOTAL RETURN	P	N/A	05-13-10	\$1,001 - \$15,000
	PIMCO TOTAL RETURN	S	No	09-07-10	\$1,001 - \$15,000
	PIMCO TOTAL RETURN	P	N/A	05-13-10	\$1,001 - \$15,000
	PIMCO TOTAL RETURN	S	Yes	09-22-10	\$1,001 - \$15,000
	POWERSHS QQQ TRUST	P	N/A	06-14-10	\$1,001 - \$15,000
	POWERSHS QQQ TRUST	S	No	06-23-10	\$1,001 - \$15,000
	POWERSHS QQQ TRUST	P	N/A	06-16-10	\$1,001 - \$15,000
	POWERSHS QQQ TRUST	S	No	06-23-10	\$1,001 - \$15,000
	REALTY INCOME	P	N/A	07-26-10	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Name LUIS V. GUTIERREZ

8

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	REALTY INCOME	S	No	08-17-10	\$1,001 - \$15,000
	SPDR S&P 500	P	N/A	06-14-10	\$1,001 - \$15,000
	SPDR S&P 500	S	No	06-23-10	\$1,001 - \$15,000
	SPDR S&P 500	P	N/A	07-29-10	\$50,001 - \$100,000
	SPDR S&P 500	S	No	07-29-10	\$50,001 - \$100,000
	SCHW US LCAP	P	N/A	06-10-10	\$1,001 - \$15,000
	SCHW US LCAP	S	No	06-10-10	\$1,001 - \$15,000
	SCHWAB TARGET 2020	P	N/A	05-11-10	\$1,001 - \$15,000
	SCHWAB TARGET 2020	S	No	06-18-10	\$1,001 - \$15,000
	SCHWAB TARGET 2025	P	N/A	05-11-10	\$1,001 - \$15,000
	SCHWAB TARGET 2025	S	No	06-18-10	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Name LUIS V. GUTIERREZ

9

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	SCHWAB TARGET 2030	P	N/A	05-11-10	\$1,001 - \$15,000
	SCHWAB TARGET 2030	S	No	06-18-10	\$1,001 - \$15,000
	SCHWAB TARGET 2035	P	N/A	05-11-10	\$1,001 - \$15,000
	SCHWAB TARGET 2035	S	No	05-25-10	\$1,001 - \$15,000
	SECTOR SPDR	P	N/A	05-26-10	\$1,001 - \$15,000
	SECTOR SPDR	S	No	06-23-10	\$1,001 - \$15,000
	SECTOR SPDR	P	N/A	06-11-10	\$1,001 - \$15,000
	SECTOR SPDR	S	No	06-23-10	\$1,001 - \$15,000
	SECTOR SPDR ENGY	P	N/A	06-14-10	\$1,001 - \$15,000
	SECTOR SPDR ENGY	S	No	06-23-10	\$1,001 - \$15,000
	SECTOR SPDR TR	P	N/A	06-14-10	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Name LUIS V. GUTIERREZ

10

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	SECTOR SPDR TR	S	No	06-23-10	\$1,001 - \$15,000
	SIMON PPTY GP	P	N/A	07-27-10	\$1,001 - \$15,000
	SIMON PPTY GP	S	No	08-17-10	\$1,001 - \$15,000
	SKECHERS USA	P	N/A	11-22-10	\$1,001 - \$15,000
	SKECHERS USA	S	No	12-10-10	\$1,001 - \$15,000
	SPDR GOLD TR	P	N/A	09-08-10	\$1,001 - \$15,000
	SPDR GOLD TR	S	No	09-14-10	\$1,001 - \$15,000
	SPDR GOLD TR	P	N/A	09-23-10	\$1,001 - \$15,000
	SPDR GOLD TR	S	Yes	11-04-10	\$1,001 - \$15,000
	SPRINT NEXTEL	P	N/A	05-26-10	\$1,001 - \$15,000
	SPRINT NEXTEL	S	No	05-27-10	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Name LUIS V. GUTIERREZ

11

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Provide a brief description of any exchange transaction. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	STARWOOD HTLS	P	N/A	07-27-10	\$1,001 - \$15,000
	STARWOOD HTLS	S	No	08-17-10	\$1,001 - \$15,000
	T ROWE PRICE HEALTH	P	N/A	05-14-10	\$1,001 - \$15,000
	T ROWE PRICE HEALTH	S	No	07-21-10	\$1,001 - \$15,000
	VANGUARD DIV APP	P	N/A	05-11-10	\$1,001 - \$15,000
	VANGUARD DIV APP	S	No	07-27-10	\$1,001 - \$15,000
	VANGUARD DIV APP	P	N/A	06-14-10	\$1,001 - \$15,000
	VANGUARD DIV APP	S	No	07-27-10	\$1,001 - \$15,000
	VANGUARD DIV APP	P	N/A	06-23-10	\$1,001 - \$15,000
	VANGUARD DIV APP	S	No	07-27-10	\$1,001 - \$15,000
	VANGUARD DIV APP	P	N/A	06-23-10	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Name LUIS V. GUTIERREZ

12

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	VANGUARD DIV APP	S	No	07-27-10	\$1,001 - \$15,000
	VANGUARD DIV APP	P	N/A	07-01-10	\$1,001 - \$15,000
	VANGUARD DIV APP	S	No	07-27-10	\$1,001 - \$15,000
	VANGUARD DIV APP	P	N/A	07-09-10	\$1,001 - \$15,000
	VANGUARD DIV APP	S	No	07-27-10	\$1,001 - \$15,000
	VANGUARD DIV APP	P	N/A	07-09-10	\$1,001 - \$15,000
	VANGUARD DIV APP	S	No	07-27-10	\$1,001 - \$15,000
	VANGUARD DIV APP	P	N/A	07-13-10	\$1,001 - \$15,000
	VANGUARD DIV APP	S	No	07-27-10	\$1,001 - \$15,000
	VANGUARD DIV APP	P	N/A	07-13-10	\$15,001 - \$50,000
	VANGUARD DIV APP	S	Yes	07-27-10	\$15,001 - \$50,000

SCHEDULE IV - TRANSACTIONS

Name LUIS V. GUTIERREZ

13

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	VANGUARD DIV APP	P	N/A	07-21-10	\$1,001 - \$15,000
	VANGUARD DIV APP	S	No	07-27-10	\$1,001 - \$15,000
	VANGUARD DIV APP	P	N/A	07-21-10	\$1,001 - \$15,000
	VANGUARD DIV APP	S	No	07-27-10	\$1,001 - \$15,000
	VANGUARD DIV APP	P	N/A	08-10-10	\$1,001 - \$15,000
	VANGUARD DIV APP	S	No	08-25-10	\$1,001 - \$15,000
	VANGUARD DIV APP	P	N/A	08-10-10	\$1,001 - \$15,000
	VANGUARD DIV APP	S	No	08-25-10	\$1,001 - \$15,000
	VANGUARD DIV APP	P	N/A	08-11-10	\$15,001 - \$50,000
	VANGUARD DIV APP	S	No	08-25-10	\$15,001 - \$50,000
	VANGUARD DIV APP	P	N/A	08-12-10	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Name LUIS V. GUTIERREZ

14

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	VANGUARD DIV APP	S	No	08-25-10	\$1,001 - \$15,000
	VANGUARD DIV APP	P	N/A	08-18-10	\$15,001 - \$50,000
	VANGUARD DIV APP	S	No	08-25-10	\$15,001 - \$50,000
	VANGUARD EMERG MKT	P	N/A	07-09-10	\$1,001 - \$15,000
	VANGUARD EMERG MKT	S	No	08-25-10	\$1,001 - \$15,000
	VANGUARD EMERG MKT	P	N/A	07-23-10	\$1,001 - \$15,000
	VANGUARD EMERG MKT	S	No	08-25-10	\$1,001 - \$15,000
	VANGUARD EMERG MKT	P	N/A	07-30-10	\$1,001 - \$15,000
	VANGUARD EMERG MKT	S	No	08-25-10	\$1,001 - \$15,000
	VANGUARD EMERG MKT	P	N/A	08-12-10	\$1,001 - \$15,000
	VANGUARD EMERG MKT	S	No	08-25-10	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Name LUIS V. GUTIERREZ

15

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SP, DC, JT	Asset	Type of Transaction	Capital Gain In Excess of \$200?	Date	Amount of Transaction
	VANGUARD EMERG MKT	P	N/A	09-14-10	\$1,001 - \$15,000
	VANGUARD EMERG MKT	S	No	09-20-10	\$1,001 - \$15,000
	VANGUARD EMERG MKT	P	N/A	09-14-10	\$1,001 - \$15,000
	VANGUARD EMERG MKT	S	No	09-20-10	\$1,001 - \$15,000
	VANGUARD EMERG MKT	P	N/A	09-14-10	\$1,001 - \$15,000
	VANGUARD EMERG MKT	S	No	09-20-10	\$1,001 - \$15,000
	VANGUARD STAR FD	P	N/A	08-20-10	\$1,001 - \$15,000
	VANGUARD STAR FD	S	No	08-25-10	\$1,001 - \$15,000
	VENTAS INC	P	N/A	07-27-10	\$1,001 - \$15,000
	VENTAS INC	S	No	08-17-10	\$1,001 - \$15,000
	WESTPORT FD	P	N/A	06-18-10	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Name LUIS V. GUTIERREZ

16

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	WESTPORT FD	S	No	09-16-10	\$1,001 - \$15,000
	WESTPORT FD	P	N/A	06-18-10	\$1,001 - \$15,000
	WESTPORT FD	S	No	09-17-10	\$1,001 - \$15,000
	WESTPORT FD	P	N/A	06-18-10	\$1,001 - \$15,000
	WESTPORT FD	S	No	12-09-10	\$1,001 - \$15,000
	YACKMAN FD	P	N/A	05-11-10	\$1,001 - \$15,000
	YACKMAN FD	S	No	08-25-10	\$1,001 - \$15,000
	YACKMAN FD	P	N/A	06-14-10	\$1,001 - \$15,000
	YACKMAN FD	S	No	09-16-10	\$1,001 - \$15,000
	YACKMAN FD	P	N/A	06-18-10	\$1,001 - \$15,000
	YACKMAN FD	S	No	09-17-10	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Name LUIS V. GUTIERREZ

17

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	YACKMAN FD	P	N/A	07-30-10	\$1,001 - \$15,000
	YACKMAN FD	S	No	11-03-10	\$1,001 - \$15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Luis V. Gutierrez

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Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than \$335 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure-- Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Days not at sponsor's expense
Univision	May 14-15	NYC-Miami-Chicago	Y	N	N	NONE
CARE USA	June 1-6	Chicago-Peru-Chicago	Y	Y	Y	NONE
Puerto Rico Chamber of Commerce	June 26-30	DC-San Juan-Chicago	Y	Y	Y	1
Puerto Rico Hospital Association	Oct. 21-26	Chicago-San Juan-Chicago	Y	Y	Y	None