



Filing ID #10020004

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. Scott H. Peters  
**Status:** Member  
**State/District:** CA52

## FILING INFORMATION

**Filing Type:** Amendment Report  
**Filing Year:** 2015  
**Filing Date:** 03/12/2018

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Aetna Inc. (AET)	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Amazon.com, Inc. (AMZN)	SP	None	Capital Gains	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
American Express Company (AXP)	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
AMG Timesquare Mid Cap		None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
AMG Timesquare Mid Cap	SP	None	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
AMG Yacktman Focused Fund	SP	None	Capital Gains	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
COMMENTS: On FD for CY 2013, this fund was denominated as "Yacktman Focused Inst. (YAFIX)"					
Angel Oak Multi Strategy (ANGIX)		\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000	<input type="checkbox"/>
Angel Oak Multi Strategy (ANGIX)	SP	Spouse/DC Over \$1,000,000	Dividends	\$50,001 - \$100,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	None	Capital Gains	\$100,001 - \$1,000,000	<input checked="" type="checkbox"/>
Apple Inc. (AAPL)	SP	None	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
At Mid Cap Eqty Fd Inst		\$100,001 - \$250,000	Capital Gains	\$1 - \$200	<input checked="" type="checkbox"/>
At Mid Cap Eqty Fd Inst	SP	Spouse/DC Over \$1,000,000	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
AT MLP Fund LLC	SP	Spouse/DC Over \$1,000,000	None		<input type="checkbox"/>
LOCATION: Atlanta, GA, US DESCRIPTION: Pooled Investment Fund					
Atlantic Trust Disc Eqty		\$100,001 - \$250,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
Atlantic Trust Disc Eqty	SP	Spouse/DC Over \$1,000,000	Capital Gains, Distributions	\$100,001 - \$1,000,000	<input checked="" type="checkbox"/>
Austin TX Water Bonds		\$250,001 - \$500,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
Bank of America Cash Account		\$100,001 - \$250,000	Interest	\$1 - \$200	<input type="checkbox"/>
Blue Water Pandero Investors LLC	SP	\$500,001 - \$1,000,000	None		<input type="checkbox"/>
LOCATION: Bowling Green, KY, US DESCRIPTION: Quarry Mining & Manufacturing					
Boeing Company (BA)	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Butte-Glenn Muni Bonds		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
CA State Dept. of Water Bonds		\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
Cameron Investment Corp		Spouse/DC Over \$1,000,000	Dividends, Interest, S-Corp. Income	\$100,001 - \$1,000,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
DESCRIPTION: Family investment office used to hold other assets, securities and income that are separately itemized on this report					
Capital One Financial Corporation (COF)	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab Cash Account		\$250,001 - \$500,000	Interest	\$1 - \$200	<input type="checkbox"/>
Charles Schwab Cash Account	SP	Spouse/DC Over \$1,000,000	Interest	\$2,501 - \$5,000	<input type="checkbox"/>
Cisco Systems, Inc. (CSCO)	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Colgate-Palmolive Company (CL)	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Comcast Corporation - Class A (CMCSA)	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
CVS Health Corporation (CVS)	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Danaher Corporation (DHR)	SP	None	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Deleware US Growth Fund	SP	Spouse/DC Over \$1,000,000	Capital Gains, Dividends	\$100,001 - \$1,000,000	<input type="checkbox"/>
Deutsch X Trks MSCI		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Deutsch X Trks MSCI	SP	Spouse/DC Over \$1,000,000	Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
East Bay Calif. Regl. Bonds		None	Interest	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
EMC Corporation (EMC)	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Fidelity National Information Services, Inc. (FIS)	SP	None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Fiserv, Inc. (FISV)	SP	None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Google Inc. - Class C Capital Stock When Issued (GOOCV)	SP	None	Capital Gains	\$50,001 - \$100,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Harbor International (HAINX)		\$100,001 - \$250,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Harris County TX Flood Bonds		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000	<input type="checkbox"/>
Henderson Enterprises Inc.  LOCATION: Manchester, IA, US DESCRIPTION: Manufacturing Company	SP	None	Capital Gains	Spouse/DC Over \$1,000,000	<input type="checkbox"/>
Henderson Enterprises, Inc.  LOCATION: Manchester, IA, US DESCRIPTION: Manufacturing Company	SP	None	Capital Gains	Spouse/DC Over \$1,000,000	<input type="checkbox"/>
Hillsborough County Sch. Bonds		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
Home Depot, Inc. (HD)	SP	None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Ishares MSCI Eafe ETF		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Ishares MSCI Eafe ETF	SP	Spouse/DC Over \$1,000,000	Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Ishares Russell Growth (IWP)		\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Ishares Russell Growth (IWP)	SP	Spouse/DC Over \$1,000,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Ishares S&P 500 (IVV)		\$500,001 - \$1,000,000	Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Ishares S&P 500 (IVV)	SP	Spouse/DC Over \$1,000,000	Dividends	\$100,001 - \$1,000,000	<input checked="" type="checkbox"/>
Ishares TR Bond (CSJ)		\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000	<input type="checkbox"/>
Ishares TR Bond (CSJ)	SP	\$500,001 -	Dividends	\$100,001 -	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
		\$1,000,000		\$1,000,000	
Ishares TR Russell 1000 (IWF)	SP	Spouse/DC Over \$1,000,000	Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Ishares TR Russell 1000 (IWF)		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Johnson & Johnson (JNJ)	SP	None	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
JP Morgan Chase & Co. (JPM)	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Kenosha Wis. Unified Sch. Dist. Bonds		\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
Los Angeles Unified Sch Dist Bonds		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
Madison Adams Investments, LLC	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
DESCRIPTION: Investments (Cash Only)					
Mainstay Epoch Global		None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Mainstay Epoch Global	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Massachusetts State Bonds		None	Interest	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Medtronic plc. Ordinary Shares (MDT)	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Metropolitan Water District of Southern CA Bonds		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
MFS Muni High Income Fund		\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
MFS Muni High Income Fund	SP	Spouse/DC Over \$1,000,000	Dividends	\$100,001 - \$1,000,000	<input checked="" type="checkbox"/>
Microsoft Corporation (MSFT)	SP	None	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Minnesota Public Facilities Bonds		None	Interest	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Multi-Pack Solutions LLC	SP	Spouse/DC Over \$1,000,000	Dividends, Partnership Inc.	\$100,001 - \$1,000,000	<input type="checkbox"/>
LOCATION: Mt. Prospect, IL, US DESCRIPTION: Packaging Company					
Nevada Irrigation District Bonds		\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
NextEra Energy, Inc. (NEE)	SP	\$1 - \$1,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Oracle Corporation (ORCL)	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Pajaro Valley CA Bonds		None	Interest	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Plaza Logistica LLC	SP	\$500,001 - \$1,000,000	Interest, Partnership Income, Rent	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: Buenos Aires, AR DESCRIPTION: Commercial Real Estate					
PMFG, Inc. (PMFG)	SP	None	Capital Gains	Spouse/DC Over \$1,000,000	<input checked="" type="checkbox"/>
Poway, CA Unified Sch. Dist. Bonds		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Financial, Inc. (PRU)	SP	None	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Puerto Rico Commonwealth Bonds		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000	<input type="checkbox"/>
Rancho Corte Madera, Inc.		\$1,000,001 - \$5,000,000	None		<input type="checkbox"/>
LOCATION: Pine Valley, CA, US DESCRIPTION: Working Cattle Ranch					
Rand Capital Corporation - Common Stock (RAND)	SP	\$500,001 - \$1,000,000	None		<input type="checkbox"/>
Retirement Advocate Moderate Fund		\$250,001 - \$500,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Ridgeworth Seix Float (SAMBX)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Ridgeworth Seix Float (SAMBX)	SP	None	Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Riverside CA Bonds		None	Interest	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
San Diego County, CA Bonds		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
San Francisco CA Rev. Bonds		\$1,000,001 - \$5,000,000	Interest	\$50,001 - \$100,000	<input type="checkbox"/>
San Jose, CA Bonds		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
San Ramon Valley, CA Bonds		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000	<input type="checkbox"/>
Santa Clara Valley Var Bonds		\$250,001 - \$500,000	Interest	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Scholarshare Passive Age-Based Portfolio 18 & Over		\$100,001 - \$250,000	Tax-Deferred		<input type="checkbox"/>
LOCATION: MA DESCRIPTION: Sponsor: Lynn Gorguze					
Schwab CA Muni Money Fund		\$100,001 - \$250,000	Capital Gains, Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: EIF					
Sequoia CA Bonds		None	Interest	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Simon Ppty Group	SP	None	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Sinclair & Rush	SP	\$250,001 - \$500,000	None		<input type="checkbox"/>
LOCATION: Arnold, MO, US DESCRIPTION: Manufacturing Company					
Stralem Equity Fund Inst.(STEFX)	SP	None	Capital Gains, Dividends	\$50,001 - \$100,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Stryker Corporation (SYK)	SP	None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
T Rowe Price Inst. Float Rate Fd	SP	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
TJX Companies, Inc. (TJX)	SP	None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Tweedy Browne Global Fund		\$50,001 - \$100,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Tweedy Browne Global Fund	SP	\$500,001 - \$1,000,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Tyco International plc (TYC)	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
U.S. Bancorp (USB)	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
U.S. Treasury Bills		\$1,000,001 - \$5,000,000	None		<input checked="" type="checkbox"/>
U.S. Treasury Bills	SP	Spouse/DC Over \$1,000,000	None		<input checked="" type="checkbox"/>
Union Pacific Corporation (UNP)	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
United Technologies Corporation (UTX)	SP	\$1 - \$1,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
University of CA Rev. Bonds		\$1,000,001 - \$5,000,000	Interest	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
University of Neb. Facilities Bonds		\$1,000,001 - \$5,000,000	Interest	\$50,001 - \$100,000	<input type="checkbox"/>
V.F. Corporation (VFC)	SP	None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Vanguard Life Strategy Growth Fund (VASGX)		\$250,001 - \$500,000	None		<input type="checkbox"/>
Vanguard Short Term Investment Grade Fund	SP	Spouse/DC Over	Capital Gains,	\$50,001 - \$100,000	<input checked="" type="checkbox"/>



Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Admiral		\$1,000,000	Dividends		
Vanguard Total Stock Market (VTI)		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Vanguard Total Stock Market (VTI)	SP	Spouse/DC Over \$1,000,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Verizon Communications Inc. (VZ)	SP	None	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Virginia Public Sch. Bonds		None	Interest	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Virginia State Bonds		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
Visa Inc. (V)	SP	None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Walt Disney Company (DIS)	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Washington State Bonds		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
Wells Fargo & Company (WFC)	SP	None	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
WLR Recovery IV Investors LLC	SP	\$100,001 - \$250,000	Capital Gains, Dividends, Interest, Partnership Income	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: EIF					

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Aetna Inc. (AET)	SP	06/23/2015	P	\$15,001 - \$50,000	
Aetna Inc. (AET)	SP	06/26/2015	P	\$50,001 - \$100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Aetna Inc. (AET)	SP	07/10/2015	P	\$50,001 - \$100,000	
Aetna Inc. (AET)	SP	07/10/2015	P	\$15,001 - \$50,000	
Aetna Inc. (AET)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Aetna Inc. (AET)	SP	09/2/2015	S	\$100,001 - \$250,000	<input type="checkbox"/>
Allergan plc Ordinary Shares (AGN)	SP	06/23/2015	P	\$15,001 - \$50,000	
Allergan plc Ordinary Shares (AGN)	SP	06/26/2015	P	\$50,001 - \$100,000	
Allergan plc Ordinary Shares (AGN)	SP	07/10/2015	P	\$50,001 - \$100,000	
Allergan plc Ordinary Shares (AGN)	SP	07/10/2015	P	\$15,001 - \$50,000	
Allergan plc Ordinary Shares (AGN)	SP	08/27/2015	P	\$15,001 - \$50,000	
Allergan plc Ordinary Shares (AGN)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Allergan plc Ordinary Shares (AGN)	SP	09/2/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Alliance Data Systems Corporation (ADS)	SP	06/23/2015	P	\$15,001 - \$50,000	
Alliance Data Systems Corporation (ADS)	SP	06/26/2015	P	\$15,001 - \$50,000	
Alliance Data Systems Corporation (ADS)	SP	07/10/2015	P	\$15,001 - \$50,000	
Alliance Data Systems Corporation (ADS)	SP	07/10/2015	P	\$15,001 - \$50,000	
Alliance Data Systems Corporation (ADS)	SP	09/2/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Alliance Data Systems Corporation (ADS)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Amazon.com, Inc. (AMZN)	SP	06/23/2015	P	\$15,001 - \$50,000	
Amazon.com, Inc. (AMZN)	SP	06/26/2015	P	\$50,001 - \$100,000	
Amazon.com, Inc. (AMZN)	SP	07/10/2015	P	\$50,001 - \$100,000	
Amazon.com, Inc. (AMZN)	SP	07/10/2015	P	\$50,001 - \$100,000	
Amazon.com, Inc. (AMZN)	SP	09/2/2015	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Amazon.com, Inc. (AMZN)	SP	09/2/2015	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
American Express Company (AXP)	SP	06/23/2015	P	\$15,001 - \$50,000	
American Express Company (AXP)	SP	06/26/2015	P	\$15,001 - \$50,000	
American Express Company (AXP)	SP	07/10/2015	P	\$15,001 - \$50,000	
American Express Company (AXP)	SP	07/10/2015	P	\$15,001 - \$50,000	
American Express Company (AXP)	SP	09/2/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
American Express Company (AXP)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
AMG Timessquare Mid Cap	SP	06/23/2015	S	\$500,001 - \$1,000,000	<input checked="" type="checkbox"/>
amg Timessquare Mid Cap Growth Inst.		01/28/2015	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
AMG Yacktman Focused Fund	SP	06/17/2015	S (partial)	\$500,001 - \$1,000,000	<input type="checkbox"/>
AMG Yacktman Focused Fund	SP	06/23/2015	S	Spouse/DC Over \$1,000,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Anadarko Petroleum Corporation (APC)	SP	06/23/2015	P	\$15,001 - \$50,000	
Anadarko Petroleum Corporation (APC)	SP	06/26/2015	P	\$15,001 - \$50,000	
Anadarko Petroleum Corporation (APC)	SP	07/10/2015	P	\$15,001 - \$50,000	
Anadarko Petroleum Corporation (APC)	SP	07/10/2015	P	\$15,001 - \$50,000	
Anadarko Petroleum Corporation (APC)	SP	08/3/2015	P	\$15,001 - \$50,000	
Anadarko Petroleum Corporation (APC)	SP	08/3/2015	P	\$1,001 - \$15,000	
Anadarko Petroleum Corporation (APC)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Anadarko Petroleum Corporation (APC)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Angel Oak Multi Strategy Incm FD Inst.		01/20/2015	P	\$1,001 - \$15,000	
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	01/30/2015	S	Spouse/DC Over \$1,000,000	<input checked="" type="checkbox"/>
Apple Inc. (AAPL)	SP	06/23/2015	P	\$50,001 - \$100,000	
Apple Inc. (AAPL)	SP	06/26/2015	P	\$50,001 - \$100,000	
Apple Inc. (AAPL)	SP	07/10/2015	P	\$50,001 - \$100,000	
Apple Inc. (AAPL)	SP	07/10/2015	P	\$50,001 - \$100,000	
Apple Inc. (AAPL)	SP	09/2/2015	S	\$100,001 - \$250,000	<input type="checkbox"/>
Apple Inc. (AAPL)	SP	09/2/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
At Mid Cap Eqty Fd Inst	SP	05/15/2015	P	\$500,001 -	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
				\$1,000,000	
At Mid Cap Eqty Fd Inst	SP	08/24/2015	P	\$250,001 - \$500,000	
At Mid Cap Eqty Fd Inst	SP	07/8/2015	P	\$100,001 - \$250,000	
At Mid Cap Eqty Fd Inst		08/25/2015	P	\$100,001 - \$250,000	
At Mid Cap Eqty Fd Inst	SP	05/18/2015	P	Spouse/DC Over \$1,000,000	
At Mid Cap Eqty Fd Inst	SP	07/9/2015	P	\$250,001 - \$500,000	
At Mid Cap Eqty Fd Inst	SP	08/25/2015	P	\$500,001 - \$1,000,000	
At Mid Cap Eqty Fd Inst	SP	09/8/2015	P	\$100,001 - \$250,000	
At Mid Cap Eqty Fd Inst		07/8/2015	P	\$1,001 - \$15,000	
At Mid Cap Eqty Fd Inst		01/29/2015	P	\$1,001 - \$15,000	
At Mid Cap Eqty Fd Inst		07/8/2015	P	\$1,001 - \$15,000	
Atlantic Trust Disc Eqty	SP	08/24/2015	P	\$500,001 - \$1,000,000	
Atlantic Trust Disc Eqty	SP	08/31/2015	P	Spouse/DC Over \$1,000,000	
Atlantic Trust Disc Eqty	SP	09/8/2015	P	Spouse/DC Over \$1,000,000	
Automatic Data Processing, Inc. (ADP)	SP	06/23/2015	P	\$15,001 - \$50,000	
Automatic Data Processing, Inc. (ADP)	SP	06/26/2015	P	\$50,001 - \$100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Automatic Data Processing, Inc. (ADP)	SP	07/10/2015	P	\$50,001 - \$100,000	
Automatic Data Processing, Inc. (ADP)	SP	07/10/2015	P	\$15,001 - \$50,000	
Automatic Data Processing, Inc. (ADP)	SP	08/5/2015	P	\$15,001 - \$50,000	
Automatic Data Processing, Inc. (ADP)	SP	08/5/2015	P	\$15,001 - \$50,000	
Automatic Data Processing, Inc. (ADP)	SP	09/2/2015	S	\$100,001 - \$250,000	<input type="checkbox"/>
Automatic Data Processing, Inc. (ADP)	SP	09/2/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Bank of America Corporation (BAC)	SP	06/23/2015	P	\$15,001 - \$50,000	
Bank of America Corporation (BAC)	SP	06/26/2015	P	\$50,001 - \$100,000	
Bank of America Corporation (BAC)	SP	07/10/2015	P	\$15,001 - \$50,000	
Bank of America Corporation (BAC)	SP	07/17/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Bank of America Corporation (BAC)	SP	07/10/2015	P	\$15,001 - \$50,000	
Bank of America Corporation (BAC)	SP	07/17/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Bank of America Corporation (BAC)	SP	09/2/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Bank of America Corporation (BAC)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
BlackRock, Inc. (BLK)	SP	06/23/2015	P	\$15,001 - \$50,000	
BlackRock, Inc. (BLK)	SP	06/26/2015	P	\$15,001 - \$50,000	
BlackRock, Inc. (BLK)	SP	07/10/2015	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
BlackRock, Inc. (BLK)	SP	07/10/2015	P	\$15,001 - \$50,000	
BlackRock, Inc. (BLK)	SP	09/2/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
BlackRock, Inc. (BLK)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Boeing Company (BA)	SP	06/23/2015	P	\$15,001 - \$50,000	
Boeing Company (BA)	SP	06/26/2015	P	\$15,001 - \$50,000	
Boeing Company (BA)	SP	07/10/2015	P	\$15,001 - \$50,000	
Boeing Company (BA)	SP	07/10/2015	P	\$15,001 - \$50,000	
Boeing Company (BA)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Boeing Company (BA)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Capital One Financial Corporation (COF)	SP	06/23/2015	P	\$15,001 - \$50,000	
Capital One Financial Corporation (COF)	SP	06/26/2015	P	\$50,001 - \$100,000	
Capital One Financial Corporation (COF)	SP	07/10/2015	P	\$50,001 - \$100,000	
Capital One Financial Corporation (COF)	SP	07/10/2015	P	\$15,001 - \$50,000	
Capital One Financial Corporation (COF)	SP	09/2/2015	S	\$100,001 - \$250,000	<input type="checkbox"/>
Capital One Financial Corporation (COF)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Cisco Systems, Inc. (CSCO)	SP	06/23/2015	P	\$15,001 - \$50,000	
Cisco Systems, Inc. (CSCO)	SP	06/26/2015	P	\$50,001 - \$100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Cisco Systems, Inc. (CSCO)	SP	07/10/2015	P	\$15,001 - \$50,000	
Cisco Systems, Inc. (CSCO)	SP	07/10/2015	P	\$15,001 - \$50,000	
Cisco Systems, Inc. (CSCO)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Cisco Systems, Inc. (CSCO)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Citigroup, Inc. (C)	SP	06/23/2015	P	\$15,001 - \$50,000	
Citigroup, Inc. (C)	SP	06/26/2015	P	\$15,001 - \$50,000	
Citigroup, Inc. (C)	SP	07/10/2015	P	\$15,001 - \$50,000	
Citigroup, Inc. (C)	SP	07/10/2015	P	\$15,001 - \$50,000	
Citigroup, Inc. (C)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Citigroup, Inc. (C)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Citrix Systems, Inc. (CTXS)	SP	06/23/2015	P	\$15,001 - \$50,000	
Citrix Systems, Inc. (CTXS)	SP	06/26/2015	P	\$15,001 - \$50,000	
Citrix Systems, Inc. (CTXS)	SP	07/10/2015	P	\$15,001 - \$50,000	
Citrix Systems, Inc. (CTXS)	SP	07/10/2015	P	\$15,001 - \$50,000	
Citrix Systems, Inc. (CTXS)	SP	09/2/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Citrix Systems, Inc. (CTXS)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Colgate-Palmolive Company (CL)	SP	06/23/2015	P	\$15,001 - \$50,000	
Colgate-Palmolive Company (CL)	SP	06/26/2015	P	\$15,001 - \$50,000	



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Colgate-Palmolive Company (CL)	SP	07/10/2015	P	\$15,001 - \$50,000	
Colgate-Palmolive Company (CL)	SP	07/10/2015	P	\$15,001 - \$50,000	
Colgate-Palmolive Company (CL)	SP	09/2/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Colgate-Palmolive Company (CL)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Comcast Corporation - Class A (CMCSA)	SP	06/23/2015	P	\$15,001 - \$50,000	
Comcast Corporation - Class A (CMCSA)	SP	06/26/2015	P	\$50,001 - \$100,000	
Comcast Corporation - Class A (CMCSA)	SP	07/10/2015	P	\$50,001 - \$100,000	
Comcast Corporation - Class A (CMCSA)	SP	07/10/2015	P	\$15,001 - \$50,000	
Comcast Corporation - Class A (CMCSA)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Comcast Corporation - Class A (CMCSA)	SP	09/2/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
CVS Health Corporation (CVS)	SP	06/23/2015	P	\$15,001 - \$50,000	
CVS Health Corporation (CVS)	SP	06/26/2015	P	\$50,001 - \$100,000	
CVS Health Corporation (CVS)	SP	07/10/2015	P	\$50,001 - \$100,000	
CVS Health Corporation (CVS)	SP	07/10/2015	P	\$15,001 - \$50,000	
CVS Health Corporation (CVS)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
CVS Health Corporation (CVS)	SP	09/2/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Danaher Corporation (DHR)	SP	06/23/2015	P	\$15,001 - \$50,000	
Danaher Corporation (DHR)	SP	06/26/2015	P	\$50,001 - \$100,000	
Danaher Corporation (DHR)	SP	07/10/2015	P	\$50,001 - \$100,000	
Danaher Corporation (DHR)	SP	07/10/2015	P	\$15,001 - \$50,000	
Danaher Corporation (DHR)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Danaher Corporation (DHR)	SP	09/2/2015	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Deutsch X Trk MSCI Eafe Hdg Eqty ETF	SP	12/1/2015	P	\$500,001 - \$1,000,000	
Deutsch X Trk MSCI Eafe Hdg Eqty ETF	SP	09/24/2015	S	\$250,001 - \$500,000	<input type="checkbox"/>
Deutsch X Trk MSCI Eafe Hdg Eqty ETF	SP	06/17/2015	P	\$100,001 - \$250,000	
Deutsch X Trk MSCI Eafe Hdg Eqty ETF	SP	12/14/2015	P	\$100,001 - \$250,000	
Deutsch X Trk MSCI Eafe Hdg Eqty ETF	SP	08/24/2015	P	\$50,001 - \$100,000	
Deutsch X Trk MSCI Eafe Hdg Eqty ETF		08/27/2015	P	\$15,001 - \$50,000	
Deutsch X Trk MSCI Eafe Hdg Eqty ETF		09/24/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Deutsch X Trk MSCI Eafe Hdg Eqty ETF		12/17/2015	P	\$50,001 - \$100,000	
Deutsch X Trk MSCI Eafe Hdg Eqty ETF	SP	05/21/2015	P	\$500,001 - \$1,000,000	
Deutsch X Trk MSCI Eafe Hdg Eqty ETF	SP	08/27/2015	P	\$100,001 - \$250,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Deutsch X Trk MSCI Eafe Hdg Eqty ETF	SP	09/4/2015	P	\$50,001 - \$100,000	
Deutsch X Trk MSCI Eafe Hdg Eqty ETF	SP	09/29/2015	S (partial)	\$500,001 - \$1,000,000	<input type="checkbox"/>
Deutsch X Trk MSCI Eafe Hdg Eqty ETF	SP	12/4/2015	P	\$500,001 - \$1,000,000	
Deutsch X Trk MSCI Eafe Hdg Eqty ETF	SP	12/17/2015	P	\$250,001 - \$500,000	
Deutsch X Trk MSCI Eafe Hdg Eqty ETF		09/29/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Deutsch X Trk MSCI Eafe Hdg Eqty ETF		06/26/2015	P	\$1,001 - \$15,000	
Deutsch X Trk MSCI Eafe Hdg Eqty ETF		09/29/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Deutsch X Trk MSCI Eafe Hdg Eqty ETF		06/26/2015	P	\$1,001 - \$15,000	
Dollar General Corporation (DG)	SP	06/23/2015	P	\$15,001 - \$50,000	
Dollar General Corporation (DG)	SP	06/26/2015	P	\$15,001 - \$50,000	
Dollar General Corporation (DG)	SP	07/10/2015	P	\$15,001 - \$50,000	
Dollar General Corporation (DG)	SP	07/10/2015	P	\$15,001 - \$50,000	
Dollar General Corporation (DG)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Dollar General Corporation (DG)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
East Bay Calif Regl. Bonds		09/1/2015	S	\$250,001 - \$500,000	<input type="checkbox"/>
Ecology and Environment, Inc. - Class A (EEI)	SP	01/27/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Ecology and Environment, Inc. - Class A (EEI)	SP	01/28/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Ecology and Environment, Inc. - Class A (EEI)	SP	01/29/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
EMC Corporation (EMC)	SP	06/23/2015	P	\$15,001 - \$50,000	
EMC Corporation (EMC)	SP	06/26/2015	P	\$15,001 - \$50,000	
EMC Corporation (EMC)	SP	07/10/2015	P	\$15,001 - \$50,000	
EMC Corporation (EMC)	SP	07/10/2015	P	\$15,001 - \$50,000	
EMC Corporation (EMC)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
EMC Corporation (EMC)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
EOG Resources, Inc. (EOG)	SP	06/29/2015	P	\$1,001 - \$15,000	
EOG Resources, Inc. (EOG)	SP	07/10/2015	P	\$1,001 - \$15,000	
EOG Resources, Inc. (EOG)	SP	07/10/2015	P	\$15,001 - \$50,000	
EOG Resources, Inc. (EOG)	SP	08/3/2015	P	\$15,001 - \$50,000	
EOG Resources, Inc. (EOG)	SP	08/3/2015	P	\$1,001 - \$15,000	
EOG Resources, Inc. (EOG)	SP	09/2/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
EOG Resources, Inc. (EOG)	SP	09/2/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
EQT Corporation (EQT)	SP	06/23/2015	P	\$15,001 - \$50,000	
EQT Corporation (EQT)	SP	06/26/2015	P	\$15,001 - \$50,000	
EQT Corporation (EQT)	SP	07/10/2015	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
EQT Corporation (EQT)	SP	07/10/2015	P	\$1,001 - \$15,000	
EQT Corporation (EQT)	SP	09/2/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
EQT Corporation (EQT)	SP	09/2/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Express Scripts Holding Company (ESRX)	SP	06/23/2015	P	\$50,001 - \$100,000	
Express Scripts Holding Company (ESRX)	SP	06/26/2015	P	\$50,001 - \$100,000	
Express Scripts Holding Company (ESRX)	SP	07/10/2015	P	\$50,001 - \$100,000	
Express Scripts Holding Company (ESRX)	SP	07/10/2015	P	\$50,001 - \$100,000	
Express Scripts Holding Company (ESRX)	SP	08/5/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Express Scripts Holding Company (ESRX)	SP	08/5/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Express Scripts Holding Company (ESRX)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Express Scripts Holding Company (ESRX)	SP	09/2/2015	S	\$100,001 - \$250,000	<input type="checkbox"/>
Fidelity National Information Services, Inc. (FIS)	SP	06/23/2015	P	\$15,001 - \$50,000	
Fidelity National Information Services, Inc. (FIS)	SP	06/26/2015	P	\$15,001 - \$50,000	
Fidelity National Information Services, Inc. (FIS)	SP	07/10/2015	P	\$15,001 - \$50,000	
Fidelity National Information Services, Inc. (FIS)	SP	07/10/2015	P	\$15,001 - \$50,000	
Fidelity National Information Services, Inc. (FIS)	SP	09/2/2015	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Fidelity National Information Services, Inc. (FIS)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Fiserv, Inc. (FISV)	SP	06/23/2015	P	\$15,001 - \$50,000	
Fiserv, Inc. (FISV)	SP	06/26/2015	P	\$15,001 - \$50,000	
Fiserv, Inc. (FISV)	SP	07/10/2015	P	\$15,001 - \$50,000	
Fiserv, Inc. (FISV)	SP	07/10/2015	P	\$15,001 - \$50,000	
Fiserv, Inc. (FISV)	SP	09/2/2015	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Fiserv, Inc. (FISV)	SP	09/2/2015	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
General Electric Company (GE)	SP	06/23/2015	P	\$50,001 - \$100,000	
General Electric Company (GE)	SP	06/26/2015	P	\$50,001 - \$100,000	
General Electric Company (GE)	SP	07/10/2015	P	\$50,001 - \$100,000	
General Electric Company (GE)	SP	07/10/2015	P	\$50,001 - \$100,000	
General Electric Company (GE)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
General Electric Company (GE)	SP	09/2/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Google Inc. - Class C Capital Stock (GOOG)	SP	06/23/2015	P	\$50,001 - \$100,000	
Google Inc. - Class C Capital Stock (GOOG)	SP	06/26/2015	P	\$50,001 - \$100,000	
Google Inc. - Class C Capital Stock (GOOG)	SP	07/10/2015	P	\$50,001 - \$100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Google Inc. - Class C Capital Stock (GOOG)	SP	07/10/2015	P	\$50,001 - \$100,000	
Google Inc. - Class C Capital Stock (GOOG)	SP	09/2/2015	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Google Inc. - Class C Capital Stock (GOOG)	SP	09/2/2015	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
GSE Systems, Inc. (GVP)	SP	05/5/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
GSE Systems, Inc. (GVP)	SP	05/7/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
GSE Systems, Inc. (GVP)	SP	05/8/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
GSE Systems, Inc. (GVP)	SP	05/11/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
GSE Systems, Inc. (GVP)	SP	05/12/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
GSE Systems, Inc. (GVP)	SP	05/13/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
GSE Systems, Inc. (GVP)	SP	05/14/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
GSE Systems, Inc. (GVP)	SP	05/15/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
GSE Systems, Inc. (GVP)	SP	05/18/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
GSE Systems, Inc. (GVP)	SP	05/19/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Harbor Intl (HAINX)	SP	12/1/2015	S (partial)	Spouse/DC Over \$1,000,000	<input type="checkbox"/>
Harbor Intl (HAINX)	SP	06/17/2015	P	\$250,001 -	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
				\$500,000	
Harbor Intl (HAINX)	SP	08/24/2015	P	\$250,001 - \$500,000	
Harbor Intl (HAINX)	SP	05/15/2015	P	\$250,001 - \$500,000	
Harbor Intl (HAINX)		08/25/2015	P	\$100,001 - \$250,000	
Harbor Intl (HAINX)	SP	05/18/2015	P	\$500,001 - \$1,000,000	
Harbor Intl (HAINX)	SP	08/25/2015	P	\$500,001 - \$1,000,000	
Harbor Intl (HAINX)	SP	09/8/2015	P	\$250,001 - \$500,000	
Harbor Intl (HAINX)	SP	12/2/2015	S	Spouse/DC Over \$1,000,000	<input type="checkbox"/>
Harbor Intl (HAINX)		06/18/2015	P	\$15,001 - \$50,000	
Harbor Intl (HAINX)		06/18/2015	P	\$1,001 - \$15,000	
Harding Loevner Emerging	SP	01/22/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Harding Loevner Emerging Markets	SP	01/22/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Harding Loevner Emerging Markets Adv Cl		02/25/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Harding Loevner Emerging Markets Adv Cl.		01/22/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Home Depot, Inc. (HD)	SP	06/23/2015	P	\$15,001 - \$50,000	
Home Depot, Inc. (HD)	SP	06/26/2015	P	\$50,001 - \$100,000	



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Home Depot, Inc. (HD)	SP	07/10/2015	P	\$50,001 - \$100,000	
Home Depot, Inc. (HD)	SP	07/10/2015	P	\$15,001 - \$50,000	
Home Depot, Inc. (HD)	SP	09/2/2015	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Home Depot, Inc. (HD)	SP	09/2/2015	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Inrad Optics, Inc. (INRD)	SP	03/3/2015	S	\$100,001 - \$250,000	<input type="checkbox"/>
Ishares MSCI Eafe ETF	SP	12/1/2015	P	\$500,001 - \$1,000,000	
Ishares MSCI Eafe ETF	SP	12/14/2015	P	\$100,001 - \$250,000	
Ishares MSCI Eafe ETF		12/17/2015	P	\$50,001 - \$100,000	
Ishares MSCI Eafe ETF	SP	12/4/2015	P	\$500,001 - \$1,000,000	
Ishares MSCI Eafe ETF	SP	12/17/2015	P	\$250,001 - \$500,000	
Ishares Russell Growth (IWP)	SP	08/24/2015	P	\$250,001 - \$500,000	
Ishares Russell Growth (IWP)	SP	12/14/2015	P	\$250,001 - \$500,000	
Ishares Russell Growth (IWP)	SP	06/17/2015	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Ishares Russell Growth (IWP)		08/27/2015	P	\$100,001 - \$250,000	
Ishares Russell Growth (IWP)		12/17/2015	P	\$100,001 - \$250,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Ishares Russell Growth (IWP)	SP	08/27/2015	P	\$500,001 - \$1,000,000	
Ishares Russell Growth (IWP)	SP	09/10/2015	P	\$100,001 - \$250,000	
Ishares Russell Growth (IWP)	SP	12/17/2015	P	\$500,001 - \$1,000,000	
Ishares S&P 500 (IVV)	SP	08/28/2015	P	Spouse/DC Over \$1,000,000	
Ishares S&P 500 (IVV)	SP	12/14/2015	P	Spouse/DC Over \$1,000,000	
Ishares S&P 500 (IVV)		12/17/2015	P	\$500,001 - \$1,000,000	
Ishares S&P 500 (IVV)	SP	09/2/2015	P	Spouse/DC Over \$1,000,000	
Ishares S&P 500 (IVV)	SP	12/17/2015	P	Spouse/DC Over \$1,000,000	
Ishares S&P 500 (IVV)		01/23/2015	P	\$1,001 - \$15,000	
Ishares TR Bond (CSJ)	SP	05/18/2015	P	\$500,001 - \$1,000,000	
Ishares TR Bond (CSJ)	SP	08/24/2015	S (partial)	\$500,001 - \$1,000,000	<input type="checkbox"/>
Ishares TR Bond (CSJ)	SP	08/6/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Ishares TR Bond (CSJ)		08/27/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Ishares TR Bond (CSJ)		08/27/2015	S (partial)	\$250,001 - \$500,000	<input type="checkbox"/>
Ishares TR Bond (CSJ)		12/31/2015	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Ishares TR Bond (CSJ)	SP	12/29/2015	S (partial)	Spouse/DC Over \$1,000,000	<input type="checkbox"/>
Ishares TR Russell 1000 (IWF)	SP	08/24/2015	P	\$500,001 - \$1,000,000	
Ishares TR Russell 1000 (IWF)	SP	05/18/2015	P	\$500,001 - \$1,000,000	
Ishares TR Russell 1000 (IWF)		08/27/2015	P	\$100,001 - \$250,000	
Ishares TR Russell 1000 (IWF)	SP	05/21/2015	P	\$500,001 - \$1,000,000	
Ishares TR Russell 1000 (IWF)	SP	08/27/2015	P	Spouse/DC Over \$1,000,000	
Ishares TR Russell 1000 (IWF)	SP	09/10/2015	P	\$100,001 - \$250,000	
Ishares TR Russell 1000 (IWF)		01/23/2015	P	\$1,001 - \$15,000	
Johnson & Johnson (JNJ)	SP	06/23/2015	P	\$15,001 - \$50,000	
Johnson & Johnson (JNJ)	SP	06/26/2015	P	\$15,001 - \$50,000	
Johnson & Johnson (JNJ)	SP	07/10/2015	P	\$15,001 - \$50,000	
Johnson & Johnson (JNJ)	SP	07/10/2015	P	\$15,001 - \$50,000	
Johnson & Johnson (JNJ)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Johnson & Johnson (JNJ)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
JP Morgan Chase & Co. (JPM)	SP	06/23/2015	P	\$15,001 - \$50,000	
JP Morgan Chase & Co. (JPM)	SP	06/26/2015	P	\$50,001 - \$100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
JP Morgan Chase & Co. (JPM)	SP	07/10/2015	P	\$50,001 - \$100,000	
JP Morgan Chase & Co. (JPM)	SP	07/10/2015	P	\$15,001 - \$50,000	
JP Morgan Chase & Co. (JPM)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
JP Morgan Chase & Co. (JPM)	SP	09/2/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Macy's Inc (M)	SP	06/23/2015	P	\$15,001 - \$50,000	
Macy's Inc (M)	SP	06/26/2015	P	\$50,001 - \$100,000	
Macy's Inc (M)	SP	07/10/2015	P	\$50,001 - \$100,000	
Macy's Inc (M)	SP	07/10/2015	P	\$15,001 - \$50,000	
Macy's Inc (M)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Macy's Inc (M)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Madison Adams Investments, LLC	SP	07/31/2015	P	\$1,001 - \$15,000	
Mainstay Epoch Eqty Yield I		06/18/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Mainstay Epoch Global Eqty Yield I	SP	06/17/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Mainstay Epoch Global Eqty Yield I		06/18/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Mainstay Epoch Global Yield I		01/20/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Marathon Oil Corporation (MRO)	SP	06/23/2015	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Marathon Oil Corporation (MRO)	SP	06/26/2015	P	\$15,001 - \$50,000	
Marathon Oil Corporation (MRO)	SP	07/10/2015	P	\$15,001 - \$50,000	
Marathon Oil Corporation (MRO)	SP	07/10/2015	P	\$15,001 - \$50,000	
Marathon Oil Corporation (MRO)	SP	08/3/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Marathon Oil Corporation (MRO)	SP	08/3/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Massachusetts State Bonds		09/1/2015	S	\$500,001 - \$1,000,000	<input type="checkbox"/>
Matthews Pacific Tiger Fd Instl	SP	05/15/2015	P	\$250,001 - \$500,000	
Matthews Pacific Tiger Fd Instl	SP	07/8/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Matthews Pacific Tiger Fd Instl	SP	09/10/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Matthews Pacific Tiger Fd Instl	SP	06/17/2015	P	\$50,001 - \$100,000	
Matthews Pacific Tiger Fd Instl	SP	01/23/2015	P	\$15,001 - \$50,000	
Matthews Pacific Tiger Fd Instl	SP	01/26/2015	P	\$100,001 - \$250,000	
Matthews Pacific Tiger Fd Instl	SP	05/18/2015	P	\$500,001 - \$1,000,000	
Matthews Pacific Tiger Fd Instl	SP	07/9/2015	S (partial)	\$250,001 - \$500,000	<input type="checkbox"/>
Matthews Pacific Tiger Fd Instl	SP	09/11/2015	S	\$250,001 - \$500,000	<input type="checkbox"/>
Matthews Pacific Tiger Fd Instl		09/10/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Matthews Pacific Tiger Fd Instl		07/8/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Matthews Pacific Tiger Fd Instl		01/23/2015	P	\$1,001 - \$15,000	
Matthews Pacific Tiger Fd Instl		01/20/2015	P	\$1,001 - \$15,000	
Matthews Pacific Tiger Fd Instl		09/10/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Matthews Pacific Tiger Fd Instl		07/8/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Matthews Pacific Tiger Fd Instl		03/19/2015	P	\$1,001 - \$15,000	
Matthews Pacific Tiger Fd Instl		03/19/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Matthews Pacific Tiger Fd Instl		02/25/2015	P	\$1,001 - \$15,000	
Medtronic plc. Ordinary Shares (MDT)	SP	06/23/2015	P	\$50,001 - \$100,000	
Medtronic plc. Ordinary Shares (MDT)	SP	06/26/2015	P	\$50,001 - \$100,000	
Medtronic plc. Ordinary Shares (MDT)	SP	07/10/2015	P	\$50,001 - \$100,000	
Medtronic plc. Ordinary Shares (MDT)	SP	07/10/2015	P	\$50,001 - \$100,000	
Medtronic plc. Ordinary Shares (MDT)	SP	09/2/2015	S	\$100,001 - \$250,000	<input type="checkbox"/>
Medtronic plc. Ordinary Shares (MDT)	SP	09/2/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Merck & Company, Inc. Common Stock (MRK)	SP	06/23/2015	P	\$15,001 - \$50,000	
Merck & Company, Inc. Common Stock (MRK)	SP	06/26/2015	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Merck & Company, Inc. Common Stock (MRK)	SP	07/10/2015	P	\$15,001 - \$50,000	
Merck & Company, Inc. Common Stock (MRK)	SP	07/10/2015	P	\$15,001 - \$50,000	
Merck & Company, Inc. Common Stock (MRK)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Merck & Company, Inc. Common Stock (MRK)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
MFS Muni High Income Fund	SP	05/15/2015	P	\$250,001 - \$500,000	
MFS Muni High Income Fund		01/20/2015	P	\$1,001 - \$15,000	
Microsoft Corporation (MSFT)	SP	06/23/2015	P	\$15,001 - \$50,000	
Microsoft Corporation (MSFT)	SP	06/26/2015	P	\$50,001 - \$100,000	
Microsoft Corporation (MSFT)	SP	07/10/2015	P	\$50,001 - \$100,000	
Microsoft Corporation (MSFT)	SP	07/10/2015	P	\$15,001 - \$50,000	
Microsoft Corporation (MSFT)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Microsoft Corporation (MSFT)	SP	09/2/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Minnesota Public Facilities Bonds		09/1/2015	S	\$250,001 - \$500,000	<input type="checkbox"/>
NextEra Energy, Inc. (NEE)	SP	08/17/2015	P	\$15,001 - \$50,000	
NextEra Energy, Inc. (NEE)	SP	08/17/2015	P	\$15,001 - \$50,000	
NextEra Energy, Inc. (NEE)	SP	08/27/2015	P	\$15,001 - \$50,000	
NextEra Energy, Inc. (NEE)	SP	09/2/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
NextEra Energy, Inc. (NEE)	SP	09/2/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Omnicom Group Inc. (OMC)	SP	06/23/2015	P	\$15,001 - \$50,000	
Omnicom Group Inc. (OMC)	SP	06/26/2015	P	\$15,001 - \$50,000	
Omnicom Group Inc. (OMC)	SP	07/10/2015	P	\$15,001 - \$50,000	
Omnicom Group Inc. (OMC)	SP	07/10/2015	P	\$15,001 - \$50,000	
Omnicom Group Inc. (OMC)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Omnicom Group Inc. (OMC)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Oracle Corporation (ORCL)	SP	06/23/2015	P	\$15,001 - \$50,000	
Oracle Corporation (ORCL)	SP	06/26/2015	P	\$50,001 - \$100,000	
Oracle Corporation (ORCL)	SP	07/10/2015	P	\$50,001 - \$100,000	
Oracle Corporation (ORCL)	SP	07/10/2015	P	\$15,001 - \$50,000	
Oracle Corporation (ORCL)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Oracle Corporation (ORCL)	SP	09/2/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Pajaro Valley CA Bonds		08/1/2015	S	\$250,001 - \$500,000	<input type="checkbox"/>
Pepsico, Inc. (PEP)	SP	06/23/2015	P	\$15,001 - \$50,000	
Pepsico, Inc. (PEP)	SP	06/26/2015	P	\$15,001 - \$50,000	
Pepsico, Inc. (PEP)	SP	07/10/2015	P	\$15,001 - \$50,000	



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Pepsico, Inc. (PEP)	SP	07/10/2015	P	\$15,001 - \$50,000	
Pepsico, Inc. (PEP)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Pepsico, Inc. (PEP)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
PMFG, Inc. (PMFG)	SP	01/28/2015	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
PMFG, Inc. (PMFG)		01/28/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
PMFG, Inc. (PMFG)	SP	05/8/2015	S (partial)	Spouse/DC Over \$1,000,000	<input checked="" type="checkbox"/>
PMFG, Inc. (PMFG)	SP	05/11/2015	S (partial)	Spouse/DC Over \$1,000,000	<input checked="" type="checkbox"/>
Praxair, Inc. (PX)	SP	06/23/2015	P	\$15,001 - \$50,000	
Praxair, Inc. (PX)	SP	06/26/2015	P	\$15,001 - \$50,000	
Praxair, Inc. (PX)	SP	07/10/2015	P	\$15,001 - \$50,000	
Praxair, Inc. (PX)	SP	07/10/2015	P	\$15,001 - \$50,000	
Praxair, Inc. (PX)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Praxair, Inc. (PX)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Prudential Financial, Inc. (PRU)	SP	06/23/2015	P	\$15,001 - \$50,000	
Prudential Financial, Inc. (PRU)	SP	06/26/2015	P	\$50,001 - \$100,000	
Prudential Financial, Inc. (PRU)	SP	07/10/2015	P	\$50,001 - \$100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Prudential Financial, Inc. (PRU)	SP	07/10/2015	P	\$15,001 - \$50,000	
Prudential Financial, Inc. (PRU)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Prudential Financial, Inc. (PRU)	SP	09/2/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
QUALCOMM Incorporated (QCOM)	SP	06/23/2015	P	\$15,001 - \$50,000	
QUALCOMM Incorporated (QCOM)	SP	06/26/2015	P	\$15,001 - \$50,000	
QUALCOMM Incorporated (QCOM)	SP	07/10/2015	P	\$15,001 - \$50,000	
QUALCOMM Incorporated (QCOM)	SP	07/10/2015	P	\$1,001 - \$15,000	
QUALCOMM Incorporated (QCOM)	SP	09/2/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
QUALCOMM Incorporated (QCOM)	SP	09/2/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Ridgeworth Seix Float Rate high Inc I	SP	05/15/2015	P	\$100,001 - \$250,000	
Ridgeworth Seix Float Rate high Inc I		01/20/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Ridgeworth Seix Float Rate High Inc. I	SP	10/29/2015	S	\$250,001 - \$500,000	<input type="checkbox"/>
Riverside CA Bonds		08/1/2015	S	\$250,001 - \$500,000	<input type="checkbox"/>
San Diego County, CA Bonds		05/1/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Santa Clara Valley Var Bonds		04/1/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Sequoia CA Bonds		07/1/2015	S	\$500,001 - \$1,000,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Simon Ppty Group	SP	08/28/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Simon Ppty Group	SP	07/7/2015	P	\$15,001 - \$50,000	
Simon Ppty Group	SP	06/18/2015	P	\$15,001 - \$50,000	
Simon Ppty Group	SP	06/26/2015	P	\$15,001 - \$50,000	
Simon Ppty Group	SP	07/10/2015	P	\$15,001 - \$50,000	
Simon Ppty Group	SP	09/2/2015	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Stralem Equity Fund Inst.	SP	06/17/2015	S	\$500,001 - \$1,000,000	<input type="checkbox"/>
Stryker Corporation (SYK)	SP	06/23/2015	P	\$15,001 - \$50,000	
Stryker Corporation (SYK)	SP	06/26/2015	P	\$15,001 - \$50,000	
Stryker Corporation (SYK)	SP	07/10/2015	P	\$15,001 - \$50,000	
Stryker Corporation (SYK)	SP	07/10/2015	P	\$15,001 - \$50,000	
Stryker Corporation (SYK)	SP	09/2/2015	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Stryker Corporation (SYK)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
T Rowe Price Inst. Float Rate Fd	SP	10/29/2015	P	\$250,001 - \$500,000	
Telos Corporation Preferred Stock (TLSRP)		07/15/2015	S	\$500,001 - \$1,000,000	<input type="checkbox"/>
Thermo Fisher Scientific Inc (TMO)	SP	07/17/2015	P	\$15,001 - \$50,000	
Thermo Fisher Scientific Inc (TMO)	SP	07/17/2015	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Thermo Fisher Scientific Inc (TMO)	SP	09/2/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Thermo Fisher Scientific Inc (TMO)	SP	09/2/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
TJX Companies, Inc. (TJX)	SP	06/23/2015	P	\$15,001 - \$50,000	
TJX Companies, Inc. (TJX)	SP	06/26/2015	P	\$15,001 - \$50,000	
TJX Companies, Inc. (TJX)	SP	07/10/2015	P	\$15,001 - \$50,000	
TJX Companies, Inc. (TJX)	SP	07/10/2015	P	\$15,001 - \$50,000	
TJX Companies, Inc. (TJX)	SP	08/27/2015	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
TJX Companies, Inc. (TJX)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
TJX Companies, Inc. (TJX)	SP	09/2/2015	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Tortoise Energy Capital	SP	01/7/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Tortoise Energy Capital	SP	01/8/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Tortoise Energy Capital	SP	01/7/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Tortoise Energy Capital	SP	01/7/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Tortoise Energy Capital		01/23/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Tortoise Energy Capital		01/12/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Tortoise Energy Capital		01/23/2015	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Tweedy Browne Global Value Fund	SP	08/24/2015	P	\$100,001 - \$250,000	
Tweedy Browne Global Value Fund	SP	06/17/2015	P	\$50,001 - \$100,000	
Tweedy Browne Global Value Fund		08/25/2015	P	\$50,001 - \$100,000	
Tweedy Browne Global Value Fund	SP	09/8/2015	P	\$100,001 - \$250,000	
Tweedy Browne Global Value Fund		06/18/2015	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Tweedy Browne Global Value Fund		01/20/2015	P	\$15,001 - \$50,000	
Tyco International plc (TYC)	SP	06/23/2015	P	\$15,001 - \$50,000	
Tyco International plc (TYC)	SP	06/26/2015	P	\$15,001 - \$50,000	
Tyco International plc (TYC)	SP	07/10/2015	P	\$15,001 - \$50,000	
Tyco International plc (TYC)	SP	07/10/2015	P	\$15,001 - \$50,000	
Tyco International plc (TYC)	SP	09/2/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Tyco International plc (TYC)	SP	09/2/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
U.S. Bancorp (USB)	SP	06/23/2015	P	\$15,001 - \$50,000	
U.S. Bancorp (USB)	SP	06/26/2015	P	\$50,001 - \$100,000	
U.S. Bancorp (USB)	SP	07/10/2015	P	\$50,001 - \$100,000	
U.S. Bancorp (USB)	SP	07/10/2015	P	\$15,001 - \$50,000	
U.S. Bancorp (USB)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
U.S. Bancorp (USB)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
U.S. Treasury Bills		12/15/2015	P	\$1,000,001 - \$5,000,000	
U.S. Treasury Bills	SP	12/15/2015	P	Spouse/DC Over \$1,000,000	
Union Pacific Corporation (UNP)	SP	06/23/2015	P	\$15,001 - \$50,000	
Union Pacific Corporation (UNP)	SP	06/26/2015	P	\$15,001 - \$50,000	
Union Pacific Corporation (UNP)	SP	07/10/2015	P	\$15,001 - \$50,000	
Union Pacific Corporation (UNP)	SP	07/10/2015	P	\$15,001 - \$50,000	
Union Pacific Corporation (UNP)	SP	09/2/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Union Pacific Corporation (UNP)	SP	09/2/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
United Technologies Corporation (UTX)	SP	06/23/2015	P	\$15,001 - \$50,000	
United Technologies Corporation (UTX)	SP	06/26/2015	P	\$15,001 - \$50,000	
United Technologies Corporation (UTX)	SP	07/10/2015	P	\$15,001 - \$50,000	
United Technologies Corporation (UTX)	SP	07/10/2015	P	\$15,001 - \$50,000	
United Technologies Corporation (UTX)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
United Technologies Corporation (UTX)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
UnitedHealth Group Incorporated Common Stock (UNH)	SP	06/23/2015	P	\$15,001 - \$50,000	
UnitedHealth Group Incorporated Common Stock (UNH)	SP	06/26/2015	P	\$50,001 - \$100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
UnitedHealth Group Incorporated Common Stock (UNH)	SP	07/10/2015	P	\$50,001 - \$100,000	
UnitedHealth Group Incorporated Common Stock (UNH)	SP	07/10/2015	P	\$15,001 - \$50,000	
UnitedHealth Group Incorporated Common Stock (UNH)	SP	08/27/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
UnitedHealth Group Incorporated Common Stock (UNH)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
UnitedHealth Group Incorporated Common Stock (UNH)	SP	09/2/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
University of CA Rev. Bonds		05/15/2015	S (partial)	\$250,001 - \$500,000	<input type="checkbox"/>
V.F. Corporation (VFC)	SP	06/23/2015	P	\$15,001 - \$50,000	
V.F. Corporation (VFC)	SP	06/26/2015	P	\$15,001 - \$50,000	
V.F. Corporation (VFC)	SP	07/10/2015	P	\$15,001 - \$50,000	
V.F. Corporation (VFC)	SP	07/10/2015	P	\$15,001 - \$50,000	
V.F. Corporation (VFC)	SP	09/2/2015	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
V.F. Corporation (VFC)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Vanguard Short Term Investment Grade Fund Admiral	SP	05/15/2015	P	Spouse/DC Over \$1,000,000	
Vanguard Short Term Investment Grade Fund Admiral	SP	08/24/2015	S (partial)	Spouse/DC Over \$1,000,000	<input checked="" type="checkbox"/>
Vanguard Total Stock Market ETF	SP	06/17/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Vanguard Total Stock Market ETF	SP	06/3/2015	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Verizon Communications Inc. (VZ)	SP	06/23/2015	P	\$15,001 - \$50,000	
Verizon Communications Inc. (VZ)	SP	06/26/2015	P	\$15,001 - \$50,000	
Verizon Communications Inc. (VZ)	SP	07/10/2015	P	\$15,001 - \$50,000	
Verizon Communications Inc. (VZ)	SP	07/10/2015	P	\$15,001 - \$50,000	
Verizon Communications Inc. (VZ)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Verizon Communications Inc. (VZ)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Virginia Public Sch. Bonds		08/1/2015	S	\$250,001 - \$500,000	<input type="checkbox"/>
Visa Inc. (V)	SP	06/23/2015	P	\$15,001 - \$50,000	
Visa Inc. (V)		06/26/2015	P	\$15,001 - \$50,000	
Visa Inc. (V)	SP	07/10/2015	P	\$15,001 - \$50,000	
Visa Inc. (V)	SP	07/10/2015	P	\$15,001 - \$50,000	
Visa Inc. (V)	SP	09/2/2015	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Visa Inc. (V)	SP	09/2/2015	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Walt Disney Company (DIS)	SP	06/23/2015	P	\$15,001 - \$50,000	
Walt Disney Company (DIS)	SP	06/26/2015	P	\$15,001 - \$50,000	
Walt Disney Company (DIS)	SP	07/10/2015	P	\$15,001 - \$50,000	
Walt Disney Company (DIS)	SP	07/10/2015	P	\$15,001 - \$50,000	
Walt Disney Company (DIS)	SP	08/17/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Walt Disney Company (DIS)	SP	08/17/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Walt Disney Company (DIS)	SP	09/2/2015	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Walt Disney Company (DIS)	SP	09/2/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Wells Fargo & Company (WFC)	SP	06/23/2015	P	\$15,001 - \$50,000	
Wells Fargo & Company (WFC)	SP	06/26/2015	P	\$50,001 - \$100,000	
Wells Fargo & Company (WFC)	SP	07/10/2015	P	\$50,001 - \$100,000	
Wells Fargo & Company (WFC)	SP	07/10/2015	P	\$15,001 - \$50,000	
Wells Fargo & Company (WFC)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Wells Fargo & Company (WFC)	SP	09/2/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Williams Companies, Inc. (WMB)	SP	06/23/2015	P	\$15,001 - \$50,000	
Williams Companies, Inc. (WMB)	SP	06/26/2015	P	\$50,001 - \$100,000	
Williams Companies, Inc. (WMB)	SP	07/10/2015	P	\$50,001 - \$100,000	
Williams Companies, Inc. (WMB)	SP	07/10/2015	P	\$15,001 - \$50,000	
Williams Companies, Inc. (WMB)	SP	09/2/2015	S	\$50,001 - \$100,000	<input type="checkbox"/>
Williams Companies, Inc. (WMB)	SP	09/2/2015	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>

SCHEDULE C: EARNED INCOME

Source	Type	Amount
Cameron Holding Corp.	Spouse Salary	N/A
Sinclair & Rush, Inc.	Spouse Salary	N/A
San Diego Retirement System	Retirement Payments	\$21,455.00

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	Citibank	Dec. 2015	Revolving Credit Debt	\$15,001 - \$50,000
	Bank of America	Dec. 2015	Revolving Credit Debt	\$15,001 - \$50,000
	American Express	Dec. 2015	Revolving Credit Debt	\$15,001 - \$50,000

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
December 2008	Myself and San Diego City Employees Retirement System	Continued participation in City pension plan

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

None disclosed.

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

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

## **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. Scott H. Peters , 03/12/2018