



Filing ID #10008789

# 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:** 2014  
**Filing Date:** 10/16/2015

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
AMG Timesquare Mid Cap		\$1,001 - \$15,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
AMG Timesquare Mid Cap	SP	\$500,001 - \$1,000,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
AMG Yacktman Focused Fund	SP	Spouse/DC Over \$1,000,000	Capital Gains, Dividends	\$100,001 - \$1,000,000	<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 checked="" type="checkbox"/>
Angel Oak Multi Strategy (ANGIX)	SP	Spouse/DC Over \$1,000,000	Dividends	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)		None	Capital Gains	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	Spouse/DC Over \$1,000,000	Capital Gains	Spouse/DC Over \$1,000,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Aston Tamro Small Cap (ATSIX)		None	Capital Gains	\$1 - \$200	<input checked="" type="checkbox"/>
AT MLP Fund LLC	SP	Spouse/DC Over \$1,000,000	Capital Gains, Dividends, Interest, Partnership Income	\$100,001 - \$1,000,000	<input checked="" 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 checked="" type="checkbox"/>
Austin TX Water Bonds		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
Bank of America Cash Account		\$100,001 - \$250,000	Interest	\$1 - \$200	<input type="checkbox"/>
Barclays ETN Plus Select MLP (ATMP)		None	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Blue Water Pandero Investors LLC	SP	\$250,001 - \$500,000	None		<input type="checkbox"/>
LOCATION: Bowling Green, KY, US DESCRIPTION: Quarry Mining & Manufacturing					
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"/>
CA State GO Bonds		None	Interest	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Cameron Investment Corp		Spouse/DC Over \$1,000,000	Dividends, Interest, S-Corp. Income	\$1,000,001 - \$5,000,000	<input type="checkbox"/>
DESCRIPTION: Family investment office used to hold other assets, securities and income that are separately itemized on this report					
Charles Schwab Cash Account		\$1,000,001 - \$5,000,000	Interest	\$1 - \$200	<input type="checkbox"/>
Charles Schwab Cash Account	SP	Spouse/DC Over \$1,000,000	Interest	\$1,001 - \$2,500	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Columbia County, Wis. Bonds		None	Interest	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Deleware US Growth Fund	SP	Spouse/DC Over \$1,000,000	Capital Gains, Dividends	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
East Bay Calif. Regl. Bonds		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
Eastern Company (EML)		None	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Eastern Company (EML)	SP	None	Capital Gains, Dividends	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Ecology and Environment, Inc. - Class A (EEI)		None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Ecology and Environment, Inc. - Class A (EEI)	SP	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Essex County Bonds		None	Interest	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
GSE Systems, Inc. (GVP)	SP	\$100,001 - \$250,000	None		<input type="checkbox"/>
Harbor International (HAINX)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Harbor International (HAINX)	SP	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Harding Loevner Emerging Markets Fund	SP	\$100,001 - \$250,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Harding Loevner Emerging Markets Fund		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Harris County TX Flood Bonds		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000	<input type="checkbox"/>
Henderson Enterprises Inc.	SP	None	Capital Gains, Interest	Spouse/DC Over \$1,000,000	<input checked="" type="checkbox"/>
LOCATION: Manchester, IA, US					
DESCRIPTION: Manufacturing Company					

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Hillsborough County Sch. Bonds		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
Houston TX Bonds		None	Interest	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Huntington Beach, CA Bonds		None	Interest	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Inrad Optics, Inc. (INRD)	SP	\$50,001 - \$100,000	None		<input type="checkbox"/>
Inrad Series B		None	None		<input type="checkbox"/>
DESCRIPTION: Inrad Stock Series B COMMENTS: In 2007 this asset was converted to Inrad Optics stock and therefore should not have been listed separately..					
Ishares Core S&P ETF		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Ishares Core S&P ETF	SP	None	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Ishares Russell Growth		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Ishares Russell Growth	SP	Spouse/DC Over \$1,000,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
COMMENTS: Not previously disclosed as spousal separate rproperty					
Ishares TR Bond (CSJ)		\$1,000,001 - \$5,000,000	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Ishares TR Bond (CSJ)	SP	Spouse/DC Over \$1,000,000	Dividends	\$100,001 - \$1,000,000	<input checked="" type="checkbox"/>
Ishares TR Russell 1000		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
ISI Managed Muni Fund (MUNIZ)		None	None		<input checked="" type="checkbox"/>
JHancock2 Glgl Absolute (JHAIX)	SP	None	None		<input checked="" type="checkbox"/>
JHancock2 Glgl Absolute (JHAIX)		None	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Kenosha Wis. Unified Sch. Dist. Bonds		\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
Lazard Emerging Markets Inst (LZEMX)		None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Los Angeles CA Sanitation Equipment Bonds		None	Interest	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Los Angeles CA Waste Water Bonds		None	Interest	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Los Angeles County Met Trans Bonds		None	Interest	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Los Angeles Unified Sch Dist Bonds		\$500,001 - \$1,000,000	Interest	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Mainstay Epoch Global		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Mainstay Epoch Global	SP	\$50,001 - \$100,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Mainstay Marketfield Fund (MFLDX)	SP	None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Mainstay Marketfield Fund (MFLDX)		None	Capital Gains	\$1 - \$200	<input checked="" type="checkbox"/>
Massachusetts State Bonds		\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
Matthews Pacific Tiger (MAPTX)		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
Matthews Pacific Tiger (MAPTX)	SP	\$100,001 - \$250,000	Capital Gains, Dividends	\$5,001 - \$15,000	<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"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Minnesota Public Facilities Bonds		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
Multi-Pack Solutions LLC	SP	Spouse/DC Over \$1,000,000	None		<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"/>
Pajaro Valley CA Bonds		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
Plaza Logistica LLC	SP	\$250,001 - \$500,000	Interest, Partnership Income, Rent	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: Buenos Aires, AR DESCRIPTION: Commercial Real Estate					
PMFG, Inc. (PMFG)		\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
PMFG, Inc. (PMFG)	SP	Spouse/DC Over \$1,000,000	None		<input checked="" type="checkbox"/>
Poway, CA Unified Sch. Dist. Bonds		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential High Yield (PHYZX)		None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Prudential High Yield (PHYZX)	SP	None	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Puerto Rico Commonwealth Bonds		\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000	<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"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Retirement Advocate Moderate Fund		\$250,001 - \$500,000	None		<input type="checkbox"/>
Ridgeworth Seix Float (SAMBX)		\$15,001 - \$50,000	Dividends	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Ridgeworth Seix Float (SAMBX)	SP	None	Dividends	\$100,001 - \$1,000,000	<input checked="" type="checkbox"/>
Riverside CA Bonds		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
Sacramento County 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 type="checkbox"/>
San Francisco CA Rev. Bonds		\$1,000,001 - \$5,000,000	Interest	\$50,001 - \$100,000	<input checked="" 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	\$5,001 - \$15,000	<input type="checkbox"/>
Santa Clara Vy CA Bonds		\$250,001 - \$500,000	Interest	\$15,001 - \$50,000	<input 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		\$1,000,001 - \$5,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Sinclair & Rush	SP	\$250,001 - \$500,000	None		<input type="checkbox"/>
LOCATION: Arnold, MO, US DESCRIPTION: Manufacturing Company					
Stralem Equity Fund Inst.(STEFX)	SP	\$500,001 - \$1,000,000	Capital Gains, Dividends	\$50,001 - \$100,000	<input type="checkbox"/>
TANK Holding, Inc.	SP	\$1 - \$1,000	Interest	\$50,001 - \$100,000	<input type="checkbox"/>
LOCATION: Anderson, MO, US DESCRIPTION: Manufacturing Company					
Telos Corporation Preferred Stock (TLSRP)		\$1,000,001 - \$5,000,000	None		<input checked="" type="checkbox"/>
Tortoise Energy Capital (TYY)		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Tortoise Energy Capital (TYY)	SP	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Tweedy Browne Global Fund	SP	\$250,001 - \$500,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Tweedy Browne Global Fund		\$1,001 - \$15,000	Capital Gains, 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 type="checkbox"/>
University of Neb. Facilities Bonds		\$1,000,001 - \$5,000,000	Interest	\$50,001 - \$100,000	<input type="checkbox"/>
University of Texas Bonds		None	Interest	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Vanguard Life Strategy Growth Fund (VASGX)		\$250,001 - \$500,000	None		<input type="checkbox"/>
Vanguard Total Stock Market (VTI)		\$100,001 - \$250,000	Dividends	\$201 - \$1,000	<input checked="" 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"/>



Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Virginia Public Sch. Bonds		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
Virginia State Bonds		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000	<input type="checkbox"/>
Washington State Bonds		\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000	<input 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?
AMG Timesquare Mid Cap	SP	06/6/2014	P	\$250,001 - \$500,000	
AMG Timesquare Mid Cap	SP	08/6/2014	P	\$100,001 - \$250,000	
AMG Yacktman Focused Fund	SP	06/2/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
AMG Yacktman Focused Fund	SP	06/6/2014	P	Spouse/DC Over \$1,000,000	
AMG Yacktman Focused Fund	SP	08/6/2014	P	\$500,001 - \$1,000,000	
Angel Oak Multi Strategy (ANGIX)	SP	06/6/2014	P	\$100,001 - \$250,000	
Angel Oak Multi Strategy (ANGIX)		06/6/2014	P	\$100,001 - \$250,000	
Angel Oak Multi Strategy (ANGIX)		06/4/2014	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)		03/24/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	04/2/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	04/3/2014	S (partial)	\$250,001 - \$500,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	04/4/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	04/7/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	04/9/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	04/10/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	04/11/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	04/14/2014	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	04/15/2014	S (partial)	\$500,001 - \$1,000,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	04/16/2014	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	04/17/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	04/21/2014	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	04/22/2014	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	04/23/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	04/24/2014	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	04/30/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)		04/30/2014	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	05/1/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	05/2/2014	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	05/5/2014	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)	SP	05/6/2014	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)		05/1/2014	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)		05/2/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)		05/6/2014	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Apco Oil and Gas International Inc. - Ordinary Shares (APAGF)		05/5/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Aston Tamro Small Cap (ATSIX)		07/28/2014	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
AT MLP Fund LLC	SP	03/25/2014	P	Spouse/DC Over \$1,000,000	
AT MLP Fund LLC	SP	06/30/2014	P	Spouse/DC Over \$1,000,000	
Atlantic Trust Disc Eqty		01/14/2014	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Atlantic Trust Disc Eqty		04/9/2014	P	\$1,001 - \$15,000	
Atlantic Trust Disc Eqty		01/14/2014	P	\$15,001 - \$50,000	
Barclays ETN Plus Select MLP (ATMP)		08/13/2014	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Barclays ETN Plus Select MLP (ATMP)		08/13/2014	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Barclays ETN Plus Select MLP (ATMP)		08/13/2014	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Barclays ETN Plus Select MLP (ATMP)		06/5/2014	P	\$50,001 - \$100,000	
Barclays ETN Plus Select MLP (ATMP)		06/9/2014	P	\$1,001 - \$15,000	
CA State GO Bonds		04/1/2014	S	\$1,000,001 - \$5,000,000	<input type="checkbox"/>
Columbia County, Wis. Bonds		08/1/2014	S	\$1,000,001 - \$5,000,000	<input type="checkbox"/>
Deleware US Growth Fund	SP	06/6/2014	P	Spouse/DC Over \$1,000,000	
Deleware US Growth Fund	SP	08/6/2014	P	\$500,001 - \$1,000,000	
Eastern Company (EML)		03/24/2014	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Eastern Company (EML)		05/9/2014	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Eastern Company (EML)	SP	05/12/2014	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Eastern Company (EML)	SP	05/14/2014	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Eastern Company (EML)	SP	05/15/2014	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Ecology and Environment, Inc. - Class A (EEI)		03/24/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Ecology and Environment, Inc. - Class A (EEI)		06/10/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Ecology and Environment, Inc. - Class A (EEI)		06/11/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Ecology and Environment, Inc. - Class A (EEI)	SP	06/10/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Ecology and Environment, Inc. - Class A (EEI)	SP	06/11/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Ecology and Environment, Inc. - Class A (EEI)	SP	06/30/2014	S (partial)	Spouse/DC Over \$1,000,000	<input type="checkbox"/>
Essex County Bonds		11/4/2014	S	\$500,001 - \$1,000,000	<input type="checkbox"/>
Harbor International (HAINX)	SP	06/2/2014	P	\$15,001 - \$50,000	
Harbor International (HAINX)	SP	08/6/2014	P	\$250,001 - \$500,000	
Harbor International (HAINX)		06/4/2014	P	\$1,001 - \$15,000	
Harding Loevner Emerging Markets Fund	SP	05/15/2014	P	\$1,001 - \$15,000	
Harding Loevner Emerging Markets Fund	SP	06/2/2014	P	\$15,001 - \$50,000	
Harding Loevner Emerging Markets Fund	SP	06/6/2014	P	\$100,001 - \$250,000	
Harding Loevner Emerging Markets Fund	SP	08/6/2014	P	\$50,001 - \$100,000	
Harding Loevner Emerging Markets Fund		05/15/2014	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Harding Loevner Emerging Markets Fund		12/8/2014	P	\$1,001 - \$15,000	
Harding Loevner Emerging Markets Fund		06/4/2014	P	\$1,001 - \$15,000	
Henderson Enterprises Inc.  LOCATION: Manchester, IA, US DESCRIPTION: Manufacturing Company	SP	12/31/2014	S	Spouse/DC Over \$1,000,000	<input checked="" type="checkbox"/>
Houston TX Bonds		05/15/2014	S	\$250,001 - \$500,000	<input type="checkbox"/>
Huntington Beach, CA Bonds		08/1/2014	S	\$500,001 - \$1,000,000	<input type="checkbox"/>
Ishares Core S&P ETF	SP	09/30/2014	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Ishares Core S&P ETF	SP	06/2/2014	P	\$50,001 - \$100,000	
Ishares Core S&P ETF	SP	06/10/2014	P	\$100,001 - \$250,000	
Ishares Core S&P ETF	SP	08/6/2014	P	\$100,001 - \$250,000	
Ishares Core S&P ETF	SP	10/3/2014	S	\$250,001 - \$500,000	<input type="checkbox"/>
Ishares Core S&P ETF		07/29/2014	P	\$1,001 - \$15,000	
Ishares Core S&P ETF		09/30/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Ishares Core S&P ETF		06/4/2014	P	\$1,001 - \$15,000	
Ishares Russell Growth		04/22/2014	P	\$1,001 - \$15,000	
Ishares Russell Growth		03/24/2014	P	\$1,001 - \$15,000	
Ishares Russell Growth		05/9/2014	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Ishares Russell Growth	SP	05/9/2014	P	\$50,001 - \$100,000	
Ishares Russell Growth	SP	05/19/2014	P	\$1,001 - \$15,000	
Ishares Russell Growth	SP	05/9/2014	P	\$15,001 - \$50,000	
Ishares Russell Growth	SP	05/19/2014	P	\$1,001 - \$15,000	
Ishares Russell Growth	SP	12/5/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Ishares Russell Growth	SP	02/13/2014	P	\$100,001 - \$250,000	
Ishares Russell Growth	SP	06/2/2014	P	\$250,001 - \$500,000	
Ishares Russell Growth	SP	12/5/2014	P	\$15,001 - \$50,000	
Ishares Russell Growth	SP	06/10/2014	P	\$250,001 - \$500,000	
Ishares Russell Growth	SP	08/6/2014	P	\$100,001 - \$250,000	
Ishares Russell Growth		12/5/2014	P	\$1,001 - \$15,000	
Ishares Russell Growth		06/4/2014	P	\$15,001 - \$50,000	
Ishares Russell Growth		04/9/2014	P	\$1,001 - \$15,000	
Ishares TR Bond (CSJ)		05/8/2014	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Ishares TR Bond (CSJ)	SP	06/10/2014	S (partial)	\$250,001 - \$500,000	<input type="checkbox"/>
Ishares TR Bond (CSJ)		06/10/2014	P	\$500,001 - \$1,000,000	
Ishares TR Bond (CSJ)	SP	06/10/2014	S	Spouse/DC Over	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
			(partial)	\$1,000,000	
Ishares TR Russell 1000		03/24/2014	P	\$15,001 - \$50,000	
Ishares TR Russell 1000		12/5/2014	P	\$100,001 - \$250,000	
Ishares TR Russell 1000		12/5/2014	P	\$15,001 - \$50,000	
ISI Managed Muni Fund (MUNIZ)		01/14/2014	S	\$100,001 - \$250,000	<input type="checkbox"/>
JHancock2 Glgl Absolute (JHAIX)	SP	06/2/2014	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
JHancock2 Glgl Absolute (JHAIX)	SP	08/12/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
JHancock2 Glgl Absolute (JHAIX)		06/4/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Lazard Emerging Markets Inst (LZEMX)		01/14/2014	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Lazard Emerging Markets Inst (LZEMX)		01/27/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Lazard Emerging Markets Inst (LZEMX)		05/15/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Lazard Emerging Markets Inst (LZEMX)		05/15/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Lazard Emerging Markets Inst (LZEMX)		01/14/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Lazard Emerging Markets Inst (LZEMX)		01/27/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Los Angeles CA Sanitation Equipment Bonds		02/1/2014	S	\$250,001 - \$500,000	<input type="checkbox"/>
Los Angeles CA Waste Water Bonds		07/1/2014	S	\$500,001 - \$1,000,000	<input type="checkbox"/>



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Los Angeles County Met Trans Bonds		07/1/2014	S	\$500,001 - \$1,000,000	<input type="checkbox"/>
Los Angeles Unified Sch Dist Bonds		07/1/2014	S (partial)	\$500,001 - \$1,000,000	<input type="checkbox"/>
Mainstay Epoch Global	SP	06/2/2014	P	\$50,001 - \$100,000	
Mainstay Epoch Global		12/17/2014	P	\$1,001 - \$15,000	
Mainstay Epoch Global		06/4/2014	P	\$1,001 - \$15,000	
Mainstay Marketfield Fund (MFLDX)	SP	08/12/2014	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Mainstay Marketfield Fund (MFLDX)	SP	10/8/2014	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Mainstay Marketfield Fund (MFLDX)		08/12/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Mainstay Marketfield Fund (MFLDX)		10/8/2014	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Mainstay Marketfield Fund (MFLDX)		04/9/2014	P	\$1,001 - \$15,000	
Mainstay Marketfield Fund (MFLDX)		08/12/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Matthews Pacific Tiger (MAPTX)	SP	01/14/2014	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Matthews Pacific Tiger (MAPTX)	SP	06/2/2014	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Matthews Pacific Tiger (MAPTX)		06/4/2014	P	\$1,001 - \$15,000	
Matthews Pacific Tiger (MAPTX)	SP	06/6/2014	P	\$50,001 - \$100,000	
Matthews Pacific Tiger (MAPTX)	SP	08/6/2014	P	\$50,001 - \$100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
MFS Muni High Income Fund	SP	04/3/2014	P	\$100,001 - \$250,000	
MFS Muni High Income Fund	SP	06/2/2014	P	\$15,001 - \$50,000	
MFS Muni High Income Fund	SP	06/6/2014	P	\$250,001 - \$500,000	
MFS Muni High Income Fund		04/4/2014	P	\$250,001 - \$500,000	
MFS Muni High Income Fund		06/6/2014	P	\$250,001 - \$500,000	
MFS Muni High Income Fund	SP	04/4/2014	P	Spouse/DC Over \$1,000,000	
MFS Muni High Income Fund	SP	06/6/2014	P	Spouse/DC Over \$1,000,000	
MFS Muni High Income Fund		12/17/2014	P	\$15,001 - \$50,000	
MFS Muni High Income Fund		06/4/2014	P	\$15,001 - \$50,000	
PMFG, Inc. (PMFG)	SP	01/24/2014	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
PMFG, Inc. (PMFG)	SP	01/27/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
PMFG, Inc. (PMFG)	SP	01/29/2014	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
PMFG, Inc. (PMFG)	SP	01/30/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
PMFG, Inc. (PMFG)	SP	01/31/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
PMFG, Inc. (PMFG)	SP	02/4/2014	S (partial)	\$250,001 - \$500,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
PMFG, Inc. (PMFG)	SP	03/24/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
PMFG, Inc. (PMFG)	SP	03/28/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
PMFG, Inc. (PMFG)	SP	03/31/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
PMFG, Inc. (PMFG)		03/24/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential High Yield (PHYZX)	SP	04/3/2014	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Prudential High Yield (PHYZX)	SP	04/4/2014	S	Spouse/DC Over \$1,000,000	<input checked="" type="checkbox"/>
Prudential High Yield (PHYZX)		04/3/2014	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Prudential High Yield (PHYZX)		04/4/2014	S	\$500,001 - \$1,000,000	<input checked="" type="checkbox"/>
Prudential High Yield (PHYZX)		04/3/2014	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Ridgeworth Seix Float (SAMBX)	SP	06/2/2014	S (partial)	\$250,001 - \$500,000	<input type="checkbox"/>
Ridgeworth Seix Float (SAMBX)	SP	04/4/2014	P	\$500,001 - \$1,000,000	
Ridgeworth Seix Float (SAMBX)	SP	12/15/2014	S	Spouse/DC Over \$1,000,000	<input type="checkbox"/>
Ridgeworth Seix Float (SAMBX)		04/4/2014	P	\$250,001 - \$500,000	
Ridgeworth Seix Float (SAMBX)	SP	06/6/2014	P	\$250,001 - \$500,000	
Ridgeworth Seix Float (SAMBX)		12/16/2014	S (partial)	\$1,000,001 - \$5,000,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Ridgeworth Seix Float (SAMBX)	SP	01/15/2014	P	\$100,001 - \$250,000	
Ridgeworth Seix Float (SAMBX)		06/6/2014	P	\$250,001 - \$500,000	
Ridgeworth Seix Float (SAMBX)	SP	12/15/2014	S	\$500,001 - \$1,000,000	<input type="checkbox"/>
Ridgeworth Seix Float (SAMBX)	SP	04/3/2014	P	\$50,001 - \$100,000	
Ridgeworth Seix Float (SAMBX)		04/9/2014	P	\$1,001 - \$15,000	
Sacramento County CA Bonds		12/1/2014	S	\$250,001 - \$500,000	<input type="checkbox"/>
San Francisco CA Rev. Bonds		07/1/2014	S (partial)	\$500,001 - \$1,000,000	<input type="checkbox"/>
Telos Corporation Preferred Stock (TLSRP)		03/24/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Tortoise Energy Capital (TYY)	SP	08/8/2014	P	\$50,001 - \$100,000	
Tortoise Energy Capital (TYY)		08/13/2014	P	\$1,001 - \$15,000	
Tortoise Energy Capital (TYY)		08/13/2014	P	\$1,001 - \$15,000	
Tweedy Browne Global Fund	SP	06/2/2014	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Tweedy Browne Global Fund	SP	02/13/2014	P	\$50,001 - \$100,000	
Tweedy Browne Global Fund	SP	06/6/2014	P	\$250,001 - \$500,000	
Tweedy Browne Global Fund		06/4/2014	P	\$1,001 - \$15,000	
University of Texas Bonds		08/15/2014	S	\$1,000,001 -	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
				\$5,000,000	
Vanguard Total Stock Market (VTI)		04/22/2014	P	\$1,001 - \$15,000	
Vanguard Total Stock Market (VTI)		03/24/2014	P	\$1,001 - \$15,000	
Vanguard Total Stock Market (VTI)		05/9/2014	P	\$15,001 - \$50,000	
Vanguard Total Stock Market (VTI)	SP	03/24/2014	P	\$50,001 - \$100,000	
Vanguard Total Stock Market (VTI)	SP	05/9/2014	P	\$100,001 - \$250,000	
Vanguard Total Stock Market (VTI)	SP	05/19/2014	P	\$1,001 - \$15,000	
Vanguard Total Stock Market (VTI)	SP	05/9/2014	P	\$100,001 - \$250,000	
Vanguard Total Stock Market (VTI)	SP	05/19/2014	P	\$1,001 - \$15,000	
Vanguard Total Stock Market (VTI)	SP	12/5/2014	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Vanguard Total Stock Market (VTI)	SP	01/14/2014	P	\$250,001 - \$500,000	
Vanguard Total Stock Market (VTI)		01/17/2014	P	\$1,001 - \$15,000	
Vanguard Total Stock Market (VTI)		06/4/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>

SCHEDULE C: EARNED INCOME

Source	Type	Amount
Cameron Holdings Corp	Spouse Salary	N/A
Sinclair & Rush, Inc.	Spouse Salary	N/A
San Diego City Retirement System	Retirement Payments	\$21,118
COMMENTS: Donated to the San Diego Library Department		

Source	Type	Amount
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SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	Citibank	Dec. 2014	Revolving Credit Debt	\$15,001 - \$50,000
	Bank of America	Dec. 2014	Revolving Credit Debt	\$15,001 - \$50,000
	American Express	Dec. 2014	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

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☒ 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 , 10/16/2015