



Filing ID #10025148

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Terminated Filer Report  
**Filing Year:** 2019  
**Filing Date:** 05/3/2019

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Book ⇒ Book [OT]  DESCRIPTION: Memoir		\$1,001 - \$15,000	royalties	\$5,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ Powershares QQQ Trust (QQQ) [EF]		None	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Schwab International Equity (SCHF) [EF]		None	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Schwab US Broad Market (SCHB) [EF]		None	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX) [EF]		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Schwab US Large Cap Growth (SCHG) [EF]		None	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB US SMALL CAP (SCHA) [EF]		None	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Charles Schwab #1-72 ⇒ SPDR Dow Jones Exch Avrg (DIA) [EF]		None	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Charles Schwab #4-11 ⇒ SCHWAB US LARGE CAP [EF]	SP	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #4-11 ⇒ SCHWAB US LARGE CAP GROWTH [EF]	SP	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ Matthews Asia Dividend Fund (MAPIX) [MF]	SP	None	Capital Gains, Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ T ROWE PRICE HEALTH (PRHSX) [MF]	SP	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
COMMENTS: .					
Charles Schwab #7-43 ⇒ INVESCO FTSE RAFI US (PRF) [EF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #7-43 ⇒ INVESCO RAFI DEV MKTS US SMALL-MID (PDN) [EF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Charles Schwab #7-43 ⇒ INVESCO RAFI EMERG MKTS (PXH) [EF]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Charles Schwab #7-43 ⇒ INVESCO RAFI US 1500 SMALL-MID (PRFZ) [EF]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Charles Schwab #7-43 ⇒ iSHARES GOLD (IAU) [EF]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Charles Schwab #7-43 ⇒ iSharesCore US Reit (USRT) [EF]		\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Charles Schwab #7-43 ⇒ SCHWAB EMERGING MKTS (SCHE) [EF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Charles Schwab #7-43 ⇒ SCHWAB FUND INL LARGE COM (FNDF) [EF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #7-43 ⇒ SCHWAB FUNDA EMG MKTS LARGE COM (FNDE) [EF]		None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income</b>	<b>Tx. &gt; \$1,000?</b>
Charles Schwab #7-43 ⇒ SCHWAB FUNDAMENTAL INTL SMAL COM (FNDC) [EF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Charles Schwab #7-43 ⇒ SCHWAB INTERNATIONAL EQUITY (SCHF) [EF]		None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #7-43 ⇒ SCHWAB INTERNTNL SMALLCAP EQY (SCHC) [EF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Charles Schwab #7-43 ⇒ SCHWAB US LARGE CAP (SCHX) [EF]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Charles Schwab #7-43 ⇒ SCHWAB US SMALL CAP (SCHA) [EF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Charles Schwab #7-43 ⇒ SCHWAB US TIP (SCHP) [EF]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #7-43 ⇒ SPDR BLMBRG BRCLY EMG MKT (EBND) [EF]		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Charles Schwab #7-43 ⇒ VANGUARD GLBAL EX US REAL EST (VNQI) [EF]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #7-43 ⇒ VANGUARD MUNI BND (VTEB) [EF]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #7-43 ⇒ VGRD ALL WRLD EX US SML CAP (VSS) [EF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Charles Schwab #7-43 ⇒ XTRACKERS USD HIGH YIELD (HYLB) [EF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ AFIS Global Gr Inc [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ AFIS Global Growth [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ AFIS Growth [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒		None	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
AFIS High Income Bond [MF]					
Pacific Life Annuity ⇒ AFIS International [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ AFIS New World [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ BR Large-Cap Growth [MF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Fidelity VIP Strat Inc [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Ivy VIP Asset Strategy [MF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Janus Focused Growth [MF]		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Lord Abbett Bond Debent [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Lord Abbett Dev Growth [MF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ MFS Growth [MF]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Oppenheimer Main Street [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ PAM High Yield Bond [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Port Opt Moderate [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ WAMCO Diversified Bond [MF]		None	Tax-Deferred		<input checked="" type="checkbox"/>
PNC Checking Account [BA]		\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
Prudential Annuity ⇒	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
BlackRock/Loomis Sayles Bond [MF]					
Prudential Annuity ⇒ Cohen & Steers Realty [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Goldman Sachs Multi-Asset [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ GS Large-Cap Value Port [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Hotchkis & Wiley Large-Cap Value [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ JP Morgan Intl Equity [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Lord Abbett Core Fixed Income Port [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ MFS Global Equity [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ MFS Large-Cap Value [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Prudential Core Bond Portfolio [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ QMA US Equity Alpha [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>

\* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

## SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #1-72 ⇒ CHARLES SCHWAB US MC (SCHM) [EF]		06/11/2018	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ CHARLES SCHWAB US MC (SCHM) [EF]		06/22/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #1-72 ⇒ Powershares QQQ Trust (QQQ) [EF]	05/10/2018	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB 1000 INDEX (SCHK) [EF]	06/12/2018	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ SCHWAB 1000 INDEX (SCHK) [EF]	06/22/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB INTERNATIONAL EQUITY (SCHF) [EF]	05/9/2018	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Schwab US Broad Market (SCHB) [EF]	05/10/2018	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX) [EF]	04/27/2018	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX) [EF]	05/9/2018	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX) [EF]	05/17/2018	P	\$50,001 - \$100,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX) [EF]	06/22/2018	P	\$100,001 - \$250,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX) [EF]	07/9/2018	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX) [EF]	07/16/2018	P	\$100,001 - \$250,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX) [EF]	08/7/2018	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX) [EF]	08/21/2018	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX) [EF]	08/31/2018	P	\$100,001 - \$250,000	
Charles Schwab #1-72 ⇒	09/17/2018	S	\$50,001 -	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Schwab US Large Cap ETF (SCHX) [EF]			(partial)	\$100,000	
Charles Schwab #1-72 ⇒ Schwab US Large Cap ETF (SCHX) [EF]		09/19/2018	P	\$50,001 - \$100,000	
Charles Schwab #1-72 ⇒ Schwab US Large Cap Growth (SCHG) [EF]		05/6/2018	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Schwab US Large Cap Growth (SCHG) [EF]		05/17/2018	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Schwab US Large Cap Growth (SCHG) [EF]		06/14/2018	P	\$50,001 - \$100,000	
Charles Schwab #1-72 ⇒ Schwab US Large Cap Growth (SCHG) [EF]		06/21/2018	P	\$50,001 - \$100,000	
Charles Schwab #1-72 ⇒ Schwab US Large Cap Growth (SCHG) [EF]		07/9/2018	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Schwab US Large Cap Growth (SCHG) [EF]		07/16/2018	P	\$50,001 - \$100,000	
Charles Schwab #1-72 ⇒ Schwab US Large Cap Growth (SCHG) [EF]		08/7/2018	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Schwab US Large Cap Growth (SCHG) [EF]		08/21/2018	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Schwab US Large Cap Growth (SCHG) [EF]		08/31/2018	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Schwab US Large Cap Growth (SCHG) [EF]		09/6/2018	P	\$50,001 - \$100,000	
Charles Schwab #1-72 ⇒ Schwab US Large Cap Growth (SCHG) [EF]		09/17/2018	S	\$100,001 - \$250,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ Schwab US Small Cap (SCHA) [EF]		04/18/2018	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Schwab US Small Cap (SCHA) [EF]		05/10/2018	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #1-72 ⇒ SCHWAB US SMALL CAP (SCHA) [EF]		06/22/2018	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCHWAB US SMALL CAP (SCHA) [EF]		08/21/2018	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SPDR Dow Jones Exch Avrg (DIA) [EF]		05/9/2018	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #4-11 ⇒ SCHWAB US LARGE CAP [EF]	SP	11/28/2018	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #4-11 ⇒ SCHWAB US LARGE CAP GROWTH [EF]	SP	11/20/2018	P	\$50,001 - \$100,000	
Charles Schwab #4-11 ⇒ SCHWAB US LARGE CAP GROWTH [EF]	SP	11/21/2018	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ Matthews Asia Dividend Fund (MAPIX) [MF]	SP	04/18/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Matthews Asia Dividend Fund (MAPIX) [MF]	SP	04/18/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ T ROWE PRICE HEALTH (PRHSX) [MF]	SP	05/10/2018	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Charles Schwab #7-43 ⇒ Charles Schwab US REIT [EF]		09/25/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ Charles Schwab US REIT [EF]		12/13/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ Charles Schwab US REIT [EF]		12/26/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #7-43 ⇒ INVESCO FTSE RAFI US (PRF) [EF]		10/11/2018	P	\$15,001 - \$50,000	
Charles Schwab #7-43 ⇒ INVESCO FTSE RAFI US (PRF) [EF]		11/20/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #7-43 ⇒ INVESCO FTSE RAFI US (PRF) [EF]		12/21/2018	P	\$15,001 - \$50,000	



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #7-43 ⇒ INVESCO RAFI DEV MKTS US SMALL-MID (PDN) [EF]		10/15/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ INVESCO RAFI DEV MRKTS (PXF) [EF]		10/11/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ INVESCO RAFI DEV MRKTS (PXF) [EF]		12/24/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #7-43 ⇒ INVESCO RAFI EMERG MKTS (PXH) [EF]		12/24/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ INVESCO RAFI US 1500 SMALL-MID (PRFZ) [EF]		10/11/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ INVESCO RAFI US 1500 SMALL-MID (PRFZ) [EF]		11/20/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #7-43 ⇒ INVESCO RAFI US 1500 SMALL-MID (PRFZ) [EF]		12/21/2018	P	\$15,001 - \$50,000	
Charles Schwab #7-43 ⇒ iSHARES GOLD (IAU) [EF]		09/25/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ iSHARES GOLD (IAU) [EF]		12/13/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ iSharesCore US Reit (USRT) [EF]		12/26/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB EMERGING MKTS (SCHE) [EF]		09/25/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB EMERGING MKTS (SCHE) [EF]		12/13/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB FUND INL LARGE COM (FNDF) [EF]		12/24/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB FUND INL LG COM (FNDF) [EF]		09/28/2018	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #7-43 ⇒ SCHWAB FUNDA EMG MKTS LARGE COM (FNDE) [EF]		09/28/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB FUNDA EMG MKTS LARGE COM (FNDE) [EF]		11/30/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB FUNDA EMG MKTS LARGE COM (FNDE) [EF]		12/13/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB FUNDA EMG MKTS LARGE COM (FNDE) [EF]		12/24/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #7-43 ⇒ SCHWAB FUNDAMENTAL INTL SMAL COM (FNDC) [EF]		09/28/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB FUNDAMENTAL INTL SMAL COM (FNDC) [EF]		10/15/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #7-43 ⇒ SCHWAB FUNDAMENTAL INTL SMAL COM (FNDC) [EF]		12/13/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB FUNDAMENTAL US LARGE CO (FNDX) [EF]		09/28/2018	P	\$15,001 - \$50,000	
Charles Schwab #7-43 ⇒ SCHWAB FUNDAMENTAL US LARGE CO (FNDX) [EF]		10/11/2018	S	\$50,001 - \$100,000	<input type="checkbox"/>
Charles Schwab #7-43 ⇒ SCHWAB FUNDAMENTAL US LARGE CO (FNDX) [EF]		11/30/2018	P	\$15,001 - \$50,000	
Charles Schwab #7-43 ⇒ SCHWAB FUNDAMENTAL US LARGE CO (FNDX) [EF]		12/13/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB FUNDAMENTAL US LARGE CO (FNDX) [EF]		12/21/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #7-43 ⇒ SCHWAB FUNDAMENTAL US SMALL COM (FNDA) [EF]		09/28/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB FUNDAMENTAL US SMALL COM (FNDA) [EF]		10/11/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #7-43 ⇒ SCHWAB FUNDAMENTAL US SMALL COM (FNDA) [EF]		11/30/2018	P	\$15,001 - \$50,000	
Charles Schwab #7-43 ⇒ SCHWAB FUNDAMENTAL US SMALL COM (FNDA) [EF]		12/13/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB FUNDAMENTAL US SMALL COM (FNDA) [EF]		12/21/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #7-43 ⇒ SCHWAB INTERNATIONAL EQUITY (SCHF) [EF]		09/28/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB INTERNATIONAL EQUITY (SCHF) [EF]		10/11/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #7-43 ⇒ SCHWAB INTERNATIONAL EQUITY (SCHF) [EF]		12/13/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB INTERNATIONAL EQUITY (SCHF) [EF]		12/24/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB INTERNTNL SMALLCAP EQY (SCHC) [EF]		09/28/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB INTERNTNL SMALLCAP EQY (SCHC) [EF]		10/26/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #7-43 ⇒ SCHWAB INTERNTNL SMALLCAP EQY (SCHC) [EF]		12/4/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB INTERNTNL SMALLCAP EQY (SCHC) [EF]		12/13/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB US LARGE CAP (SCHX) [EF]		09/28/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB US LARGE CAP (SCHX) [EF]		10/11/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #7-43 ⇒ SCHWAB US LARGE CAP (SCHX) [EF]		12/4/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB US LARGE CAP (SCHX) [EF]		12/13/2018	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #7-43 ⇒ SCHWAB US LARGE CAP (SCHX) [EF]		12/20/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB US SMALL CAP (SCHA) [EF]		12/4/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB US SMALL CAP (SCHA) [EF]		12/13/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB US SMALL CAP (SCHA) [EF]		12/24/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB US SMALL CAP(SCHA) [EF]		09/28/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB US SMALL CAP(SCHA) [EF]		10/12/2018	S	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB US TIP (SCHP) [EF]		09/25/2018	P	\$15,001 - \$50,000	
Charles Schwab #7-43 ⇒ SCHWAB US TIP (SCHP) [EF]		11/30/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB US TIP (SCHP) [EF]		12/4/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SCHWAB US TIP (SCHP) [EF]		12/13/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SPDR BLMBRG BRCLY EMG MKT (EBND) [EF]		09/25/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SPDR BLMBRG BRCLY EMG MKT (EBND) [EF]		12/4/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ SPDR BLMBRG BRCLY EMG MKT (EBND) [EF]		12/13/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ VANGUARD FTSE DEVEL MARKETS (VEA) [EF]		10/11/2018	P	\$1,001 - \$15,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #7-43 ⇒ VANGUARD FTSE DEVEL MARKETS (VEA) [EF]	12/24/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #7-43 ⇒ VANGUARD GLBAL EX US REAL EST (VNQI) [EF]	09/25/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ VANGUARD GLBAL EX US REAL EST (VNQI) [EF]	12/13/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ VANGUARD MUNI BND (VTEB) [EF]	09/25/2018	P	\$50,001 - \$100,000	
Charles Schwab #7-43 ⇒ VANGUARD MUNI BND (VTEB) [EF]	12/4/2018	P	\$15,001 - \$50,000	
Charles Schwab #7-43 ⇒ VANGUARD MUNI BND (VTEB) [EF]	12/13/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ VANGUARD S&P 500 (VOO) [EF]	10/11/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ VANGUARD S&P 500 (VOO) [EF]	12/20/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #7-43 ⇒ VANGUARD SMALL CAP (VB) [EF]	10/26/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ VANGUARD SMALL CAP (VB) [EF]	12/24/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #7-43 ⇒ VGRD ALL WRLD EX US SML CAP (VSS) [EF]	10/26/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ XTRACKERS USD HIGH YIELD (HYLB) [EF]	09/25/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ XTRACKERS USD HIGH YIELD (HYLB) [EF]	12/4/2018	P	\$1,001 - \$15,000	
Charles Schwab #7-43 ⇒ XTRACKERS USD HIGH YIELD (HYLB) [EF]	12/13/2018	P	\$1,001 - \$15,000	
Pacific Life Annuity ⇒ AFIS Global Gr Inc [MF]	05/17/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Pacific Life Annuity ⇒ AFIS Global Growth [MF]		05/17/2018	P	\$50,001 - \$100,000	
Pacific Life Annuity ⇒ AFIS Global Growth [MF]		07/9/2018	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ AFIS Growth [MF]		05/17/2018	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ AFIS High Income Bond [MF]		05/17/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ AFIS International [MF]		05/17/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ AFIS New World [MF]		05/17/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ BR Large-Cap Growth [MF]		05/17/2018	P	\$50,001 - \$100,000	
Pacific Life Annuity ⇒ BR Large-Cap Growth [MF]		07/9/2018	P	\$1,001 - \$15,000	
Pacific Life Annuity ⇒ Fidelity VIP Strat Inc [MF]		05/17/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Ivy VIP Asset Strategy [MF]		05/17/2018	P	\$50,001 - \$100,000	
Pacific Life Annuity ⇒ Ivy VIP Asset Strategy [MF]		07/9/2018	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Janus Focused Growth [MF]		05/17/2018	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Lord Abbett Bond Debent [MF]		05/17/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Lord Abbett Dev Growth [MF]		05/17/2018	P	\$50,001 - \$100,000	
Pacific Life Annuity ⇒		05/17/2018	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
MFS Growth [MF]					
Pacific Life Annuity ⇒ MFS Growth [MF]		07/9/2018	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Oppenheimer Main Street [MF]		05/17/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ PAM High Yield Bond [MF]		05/17/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Port Opt Moderate [MF]		05/17/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ WAMCO Diversified Bond [MF]		05/17/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ AST International Growth [MF]	SP	01/4/2018	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ AST International Growth [MF]	SP	07/16/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ BlackRock/Loomis Sayles Bond [MF]	SP	01/4/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ BlackRock/Loomis Sayles Bond [MF]	SP	07/16/2018	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ BlackRock/Loomis Sayles Bond [MF]	SP	09/19/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: Proceeds transferred to Charles Schwab #7-43					
Prudential Annuity ⇒ Cohen & Steers Realty [MF]	SP	01/4/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Goldman Sachs Multi-Asset [MF]	SP	01/4/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ GS Large-Cap Value Port [MF]	SP	01/4/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ Hotchkis & Wiley Large-Cap Value [MF]	SP	01/4/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Prudential Annuity ⇒ JP Morgan Intl Equity [MF]	SP	01/4/2018	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ JP Morgan Intl Equity [MF]	SP	07/16/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ Lord Abbett Core Fixed Income Port [MF]	SP	01/4/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ MFS Global Equity [MF]	SP	01/4/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ MFS Growth [MF]	SP	01/4/2018	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ MFS Growth [MF]	SP	07/16/2018	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ MFS Growth [MF]	SP	09/19/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ MFS Large-Cap Value [MF]	SP	01/4/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ Parametric Emerging Markets Equity [MF]	SP	01/4/2018	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ Parametric Emerging Markets Equity [MF]	SP	07/16/2018	S	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Prudential Core Bond Portfolio [MF]	SP	01/4/2018	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ Prudential Core Bond Portfolio [MF]	SP	09/19/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>
DESCRIPTION: Proceeds transferred to Charles Schwab #7-43					
Prudential Annuity ⇒ QMA US Equity Alpha [MF]	SP	01/4/2018	P	\$50,001 - \$100,000	
Prudential Annuity ⇒ QMA US Equity Alpha [MF]	SP	07/16/2018	P	\$15,001 - \$50,000	



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Prudential Annuity ⇒ QMA US Equity Alpha [MF]	SP	09/19/2018	S	\$100,001 - \$250,000	<input type="checkbox"/>
DESCRIPTION: Proceeds transferred to Charles Schwab #7-43					
Prudential Annuity ⇒ Western Asset Core Plus Bond [MF]	SP	01/4/2018	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ Western Asset Core Plus Bond [MF]	SP	07/16/2018	S	\$15,001 - \$50,000	<input type="checkbox"/>

\* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

### SCHEDULE C: EARNED INCOME

Source	Type	Amount
Guterrez for Congress	Spouse earnings	N/A

### SCHEDULE D: LIABILITIES

None disclosed.

### SCHEDULE E: POSITIONS

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

### SCHEDULE F: AGREEMENTS

None disclosed.

### SCHEDULE G: GIFTS

None disclosed.

### SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
Humpty Dumpty Institute	04/27/2018	05/4/2018	DC - Khartoum - Istanbul - Chicago	2	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

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

None disclosed.

## SCHEDULE A AND B ASSET CLASS DETAILS

- Book  
LOCATION: US  
DESCRIPTION: Memoir
- Charles Schwab #1-72  
LOCATION: US  
DESCRIPTION: Brokerage Account
- Charles Schwab #4-11 (Owner: SP)  
LOCATION: US  
DESCRIPTION: Brokerage Account
- Charles Schwab #5-14 (Owner: SP)  
LOCATION: US  
DESCRIPTION: Brokerage Account
- Charles Schwab #7-43  
LOCATION: US  
DESCRIPTION: Brokerage Account
- Pacific Life Annuity
- Prudential Annuity (Owner: SP)

## EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

## CERTIFICATION AND SIGNATURE

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

**Digitally Signed:** Hon. Luis V. Gutierrez , 05/3/2019