

# UNITED STATES HOUSE OF REPRESENTATIVES CALENDAR YEAR 2011 FINANCIAL DISCLOSURE STATEMENT

**FORM A** Page 0 of 0  
For use by Members, officers, and employees

**HAND  
DELIVERED**

LEGISLATIVE RESOURCE CENTER

Luis V. Gutierrez

(202) 225-8203

2012 AUG 13 PM 2:28

(Full Name)

(Daytime Telephone)

U.S. HOUSE OF REPRESENTATIVES (Office Use Only)

**Filer Status** ☒ Member of the U.S. House of Representatives State: IL District: 04

☐ Officer Or Employee Employing Office:

**Report Type** ☒ Annual (May 15) ☐ Amendment ☐ Termination

Termination Date:

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

## PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$350 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than \$350 from one source)? If yes, complete and attach Schedule VII.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
III. Did you, your spouse, or a dependent child receive "unearned" income of more than \$200 in the reporting period or hold any reportable asset worth more than \$1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>	IX. Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
V. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.	

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

<b>Trusts--</b> Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
<b>Exemptions--</b> Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics.	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

**SCHEDULE I - EARNED INCOME**

Name Luis V. Gutierrez

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

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

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Luis V. Gutierrez

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

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Luis V. Gutierrez

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JT	Pacific Life Annuity (variable): 1.Port-Opt Growth	\$100,001 - \$250,000	None	NONE	P
JT	2.American Asset Alloc	\$15,001 - \$50,000	None	NONE	P
JT	3.BR Global Allocation	\$15,001 - \$50,000	None	NONE	P
JT	4. FT Fouding Funds CL4	\$15,001 - \$50,000	None	NONE	P
JT	5. PIMCO Global Multi-Asset	\$15,001 - \$50,000	None	NONE	P
JT	PNC Money Market	\$1 - \$1,000	Interest	\$201 - \$1,000	
JT	PNC Checking account (formerly National City Bank)	\$100,001 - \$250,000	INTEREST	\$1 - \$200	
JT	American Express Savings Account	\$100,001 - \$250,000	INTEREST	\$201 - \$1,000	P

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Luis & Soraida Gutierrez

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## BLOCK A

### Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or source of income which generated more than \$200 in "unearned" income during the year.

Provide complete names of stocks and mutual funds (do not use ticker symbols.)

For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds. For retirement accounts which are not self-directed, provide only the name of the institution holding the account and its value at the end of the reporting period.

For rental or other real property held for investment, provide a complete address.

For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.

Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in a personal checking or saving accounts; and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or is jointly held with your spouse (JT), in the optional column on the far left.

## BLOCK B

### Year-End Value of Asset

At close of reporting year. If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and its generated income, the value should be "None."

## BLOCK C

### Type of Income

Check all columns that apply. For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.

## BLOCK D

### Amount of Income

For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below: Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.

## BLOCK E

### Transaction

Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.

JT	CHARLES SCHWAB BROKERAGE ACCT #1:	\$1,001 - \$15,000	DIVIDENDS/CAP TAL GAINS	\$1 - \$200	
JT	APPLESEED FD INVESTOR	\$1,001 - \$15,000	DIVIDENDS/CAP TAL GAINS	\$1 - \$200	
JT	DELAFIELD FUND	\$1,001 - \$15,000	DIVIDENDS/CAP TAL GAINS	\$1 - \$200	
JT	FMI LARGE CAP	\$1,001 - \$15,000	DIVIDENDS/CAP TAL GAINS	\$1 - \$200	
JT	GLENMEDE SMALL CAP	\$1,001 - \$15,000	DIVIDENDS/CAP TAL GAINS	\$1 - \$200	PS(part)
JT	JANUS BALANCED	\$1,001 - \$15,000	DIVIDENDS/CAP TAL GAINS	\$1 - \$200	

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Luis & Soraida Gutierrez

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JT	JENSEN QUALITY GWTH FD	\$1,001 - \$15,000	DIVIDENDS/CAPIT TAL GAINS	\$1 - \$200	PS(part)
JT	JP MORGAN LARGE CAP	\$1,001 - \$15,000	DIVIDENDS/CAPIT TAL GAINS	NONE	
JT	MANNING & NAPIER Equity Fund	\$1,001 - \$15,000	DIVIDENDS/CAPIT TAL GAINS	\$1 - \$200	
JT	OAKMARK INTL FD	\$1,001 - \$15,000	DIVIDENDS/CAPIT TAL GAINS	NONE	
JT	REYNOLDS BLUE CHIP GRWTH	\$1,001 - \$15,000	DIVIDENDS/CAPIT TAL GAINS	NONE	
JT	WELLS FARGO ADVTG	\$1,001 - \$15,000	DIVIDENDS/CAPIT TAL GAINS	NONE	
JT	YACKTMAN FOCUSED FUND	\$1,001 - \$15,000	CAPITAL GAINS/DIVIDEN DS	\$1 - \$200	
JT	SCHWAB & CO STOCKS	\$250,001 - \$500,000	DIVIDENDS/CAPIT TAL GAINS	\$201 - \$1,000	PS(part)
JT	SECTOR SPDR HEALTH (part of Chas Schwab)	\$1,001 - \$15,000	DIVIDENDS/CAPIT TAL GAINS	\$201 - \$1,000	PS(part)
JT	Mathew Asia Div	None	DIVIDENDS/CAPIT TAL GAINS	\$1,001 - \$2,500	S
JT	Scout Intl FD	\$1,001 - \$15,000	DIVIDENDS	NONE	S
JT	SPDR S&P 500	\$1,001 - \$15,000	DIVIDENDS/CAPIT TAL GAINS	\$201 - \$1,000	S(part)
JT	SCH US REIT ETF	\$1,001 - \$15,000	DIVIDENDS/CAPIT TAL GAINS	NONE	S(part)
JT	SCHW US LCAPS ETF	\$100,001 - \$250,000	DIVIDENDS/CAPIT TAL GAINS	NONE	PS(part)

# SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Luis & Soraida Gutierrez

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JT	SCHW US SCAPS ETF (part of Chas Schwab)	\$50,001 - \$100,000	DIVIDENDS/CAPITAL GAINS	NONE	PS(part)
JT	Charles Scwab Account #2 See Note 2	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	PS
SP	Prudential Retirement Annuity-original purchases	\$100,001 - \$250,000	DIVIDENDS/INTE REST	NONE	PS(part)
SP	Prudential Annuity Retirement Reallocation:				
SP	Large Cap-Trowe Price and MFS Growth	\$15,001 - \$50,000	DIVIDENDS/CAPITAL GAINS	NONE	P
SP	Mid/Small Cap	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	NONE	P
SP	International Value and Growth	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	NONE	P
SP	First Trust Cap	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	NONE	P
SP	Bonds-Lord Abbett and Western Assets	\$15,001 - \$50,000	DIVIDENDS/CAPITAL GAINS	NONE	P
JT	Charles Schwab brokerage account#1 cont'd:				
JT	Ford Motor	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
JT	Google Inc	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
JT	Monetta Young Inv	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S
JT	Pamassus Workplac	None	DIVIDENDS/CAPITAL GAINS	\$201 - \$1,000	S

**SCHEDULE III - ASSETS AND "UNEARNED" INCOME**

		Name Luis & Soraida Gutierrez		8/31
JT	Powershs QQQ Trust	None	DIVIDENDS/CAP TAL GAINS	\$201 - \$1,000 S
JT	Vanguard MSCI Emergi	None	DIVIDENDS//CAP ITAL GAINS	\$201 - \$1,000 S
JT	Northern Trust Securites Brokerage Account 2010	None	DIVIDENDS//NTE REST	\$15,001 - \$50,000 S
JT	Northern Trust Securites & Money Market Inc 2011 (See footnote number 1)	None	DIVIDENDS	\$1,001 - \$2,500 PS
JT	TD Ameritrade Brokerage Account	None	DIVIDENDS/CAP TAL GAINS	\$201 - \$1,000 PS



**FOOTNOTES**

Name Luis &amp; Soraida Gutierrez

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Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III	The Northern Trust Securities & Money Market Inc account were all purchased and sold in its entirety in 2011.	Northern Trust Securities Inc
2	Schedule III	Charles Schwab account #2 was all purchased and sold in its entirety in 2011	Charles Scwab Account #2 See Note 2

# SCHEDULE IV - TRANSACTIONS

Name Luis & Soraida Gutierrez

10/31

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	National Financial Services:				
JT	FIRST TR LARGE CAP CORE	S(part)	No	06-13-11	\$1,001 - \$15,000
JT	FIRST TR LARGE CAP	S(part)	No	06-27-11	\$1,001 - \$15,000
JT	FIRST TR LARGE CAP	S(part)	No	07-29-11	\$1,001 - \$15,000
JT	FIRST TR LARGE CAP	S	No	07-29-11	\$1,001 - \$15,000
JT	ISHARES TR RUSSELL MIDCAP GROWTH F	S(part)	No	06-13-11	\$1,001 - \$15,000
JT	ISHARES TR RUSSELL MIDCAP GROWTH F	S(part)	No	06-27-11	\$1,001 - \$15,000
JT	ISHARES TR RUSSELL MIDCAP GROWTH F	S(part)	No	07-29-11	\$1,001 - \$15,000
JT	ISHARES TR RUSSELL MIDCAP GROWTH F	S(part)	No	07-29-11	\$1,001 - \$15,000
JT	ISHARES TR RUSSELL MIDCAP GROWTH F	S(part)	No	07-29-11	\$1,001 - \$15,000
JT	ISHARES TR RUSSELL MIDCAP GROWTH F	S(part)	No	07-29-11	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Luis & Soraida Gutierrez

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	ISHARES TR S&P MIDCAP 400	S(part)	No	06-13-11	\$1,001 - \$15,000
JT	ISHARES TR S&P MIDCAP 400	S(part)	No	06-27-11	\$1,001 - \$15,000
JT	ISHARES TR S&P MIDCAP 400	S	No	07-29-11	\$1,001 - \$15,000
JT	SCHWAB STRT TR US BROAD	S(part)	No	06-13-11	\$1,001 - \$15,000
JT	SCHWAB STRT TR US BROAD	S(part)	No	06-27-11	\$1,001 - \$15,000
JT	SCHWAB STRT TR US BROAD	S(part)	No	07-29-11	\$1,001 - \$15,000
JT	SCHWAB STRAT TR US BROAD	S(part)	No	07-29-11	\$1,001 - \$15,000
JT	SCHWAB STRAT TR US BROAD	S	No	07-29-11	\$1,001 - \$15,000
JT	SCH STRAT TR LARGE CAP	S(part)	No	06-13-11	\$1,001 - \$15,000
JT	SCH STRAT TR LARGE CAP	S(part)	No	06-27-11	\$1,001 - \$15,000
JT	SCH STRAT TR LARGE CAP	S(part)	No	07-29-11	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Luis & Soraida Gutierrez

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	SCH STRAT TR LARGE CAP	S(part)	No	07-29-11	\$1,001 - \$15,000
JT	SCH STRAT TR LARGE	S	No	07-29-11	\$1,001 - \$15,000
JT	SCH STRAT TR SMALL	S(part)	No	06-13-11	\$1,001 - \$15,000
JT	SCH STRAT TR SMALL	S(part)	No	06-27-11	\$1,001 - \$15,000
JT	SCH STRAT TR SMALL	S	No	07-29-11	\$1,001 - \$15,000
JT	SECTOR SPDR TR	S(part)	No	06-13-11	\$1,001 - \$15,000
JT	SECTOR SPDR TR	S(part)	No	06-27-11	\$1,001 - \$15,000
JT	SECTOR SPDR TR	S	No	07-29-11	\$1,001 - \$15,000
JT	SPDR S&P MIDCAP 400 ETF	S(part)	No	06-13-11	\$1,001 - \$15,000
JT	SPDR S&P MIDCAP 400 ETF	S(part)	No	06-27-11	\$1,001 - \$15,000
JT	SPDR S&P MIDCAP 400 ETF	S	No	07-29-11	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	SPDR SER TR DOW	S(part)	No	06-13-11	\$1,001 - \$15,000
JT	SPDR SER TR DOW	S(part)	No	06-27-11	\$1,001 - \$15,000
JT	SPDR SER TR DOW	S	No	07-29-11	\$1,001 - \$15,000
JT	SPDR SER TR OIL EQUIP	S	No	05-11-11	\$1,001 - \$15,000
JT	SPDR OIL & Gas	S	No	05-11-11	\$1,001 - \$15,000
JT	SPDR SER TELCOM	S	No	05-11-11	\$1,001 - \$15,000
JT	VANGUARD INDEX SM CAP	S(part)	No	06-13-11	\$1,001 - \$15,000
JT	VANGUARD INDEX SM CAP	S	No	06-13-11	\$1,001 - \$15,000
JT	VANGUARD INDEX SM CAP VI	S(part)	No	06-27-11	\$1,001 - \$15,000
JT	VANGUARD INDEX SM CAP VI	S(part)	No	06-27-11	\$1,001 - \$15,000
JT	VANGUARD INDEX SM CAP VI	S(part)	No	07-29-11	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Luis & Soraida Gutierrez

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	VANGUARD INDEX SM CAP VI	S(part)	No	07-29-11	\$1,001 - \$15,000
JT	VANGUARD INDEX SM CAP VI	S	No	07-29-11	\$1,001 - \$15,000
JT	VANGUARD INDEX STK MK	S(part)	No	06-13-11	\$15,001 - \$50,000
JT	VANGUARD INDEX STK MK	S(part)	No	06-13-11	\$1,001 - \$15,000
JT	VANGUARD INDEX STK MK	S(part)	No	06-27-11	\$1,001 - \$15,000
JT	VANGUARD INDEX STK MK	S(part)	No	06-27-11	\$1,001 - \$15,000
JT	VANGUARD INDEX STK MK	S(part)	No	08-03-11	\$15,001 - \$50,000
DC	VANGUARD INDEX STK MK	S(part)	No	08-03-11	\$1,001 - \$15,000
JT	VANGUARD INDEX STK MK	S(part)	No	08-03-11	\$1,001 - \$15,000
JT	VANGUARD INDEX STK MK	S	No	08-03-11	\$15,001 - \$50,000
JT	TD Ameritrade Accounts:				

# SCHEDULE IV - TRANSACTIONS

Name Luis & Soraida Gutierrez

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	APPLE INC COM	S	Yes	04-19-11	\$15,001 - \$50,000
JT	ISHARES BARCLAYS	S	No	09-20-11	\$1,001 - \$15,000
JT	ISHARES RUSSELL 2000	S	No	07-29-11	\$15,001 - \$50,000
JT	ISHARES RUSSELL 2000	S	No	07-29-11	\$50,001 - \$100,000
JT	ISHARES S&P 500 INDEX	S	No	08-03-11	\$15,001 - \$50,000
JT	ISHARES S&P NATL MUNI	S	No	10-12-11	\$1,001 - \$15,000
JT	ISHARES SILVER TRUST	S	No	04-25-11	\$50,001 - \$100,000
JT	ISHARES SILVER TRUST	S	No	07-05-11	\$1,001 - \$15,000
JT	ISHARES SILVER TRUST	S	No	07-05-11	\$1,001 - \$15,000
JT	ISHARES SILVER TRUST	S	No	07-05-11	\$1,001 - \$15,000
JT	MARKET VECTORS INTER MUNI	S	No	10-12-11	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Luis & Soraida Gutierrez

10/31

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	SPDR GOBAL REALESTATE	S	No	09-12-11	\$1,001 - \$15,000
JT	VANGUARD REIT ETF	S	No	07-29-11	\$1,001 - \$15,000
JT	VANGUARD SPECIALIZED PORTFOL	S	No	08-03-2-11	\$1,001 - \$15,000
JT	VANGUARD TOTAL STOCK	S	No	07-29-11	\$100,001 - \$250,000
JT	TD Ameritrade Accounts:				
JT	APPLE INC COM	P	N/A	04-19-11	\$15,001 - \$50,000
JT	ISHARES BARCLAYS	P	N/A	09-20-11	\$1,001 - \$15,000
JT	ISHARES RUSSELL 2000	P	N/A	04-15-11	\$1,001 - \$15,000
JT	ISHARES RUSSELL 2000	P	N/A	07-05-11	\$1,001 - \$15,000
JT	ISHARES RUSSELL 2000	P	N/A	07-05-11	\$1,001 - \$15,000
JT	ISHARES RUSSELL2000	P	N/A	07-06-11	\$1,001 - \$15,000



# SCHEDULE IV - TRANSACTIONS

Name Luis & Soraida Gutierrez

17/31

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain In Excess of \$200?	Date	Amount of Transaction
JT	ISHARES RUSSELL 2000	P	N/A	07-07-11	\$1,001 - \$15,000
JT	ISHARES RUSSELL 2000	P	N/A	07-07-11	\$1,001 - \$15,000
JT	ISHARES RUSSELL 2000	P	N/A	07-07-11	\$1,001 - \$15,000
JT	ISHARES RUSSELL 2000	P	N/A	07-20-11	\$15,001 - \$50,000
JT	ISHARES S&P 500 INDEX	P	N/A	04-15-11	\$1,001 - \$15,000
JT	ISHARES S&P 500 INDEX	P	N/A	05-06-11	\$1,001 - \$15,000
JT	ISHARES S&P 500 INDEX	P	N/A	07-05-11	\$1,001 - \$15,000
JT	ISHARES S&P NATL MUNI	P	N/A	09-20-11	\$1,001 - \$15,000
JT	ISHARES SILVER TRUST	P	N/A	04-18-11	\$1,001 - \$15,000
JT	ISHARES SILVER TRUST	P	N/A	04-19-11	\$1,001 - \$15,000
JT	ISHARES SILVER TRUST	P	N/A	04-25-11	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Luis & Soraida Gutierrez

18/31

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	ISHARES SILVER TRUST	P	N/A	04-25-11	\$50,001 - \$100,000
JT	MARKET VECTORS INTER	P	N/A	09-20-11	\$1,001 - \$15,000
JT	SPDR GLOBAL REAL ESTATE	P	N/A	07-06-11	\$1,001 - \$15,000
JT	VANGUARD REIT	P	N/A	06-29-11	\$1,001 - \$15,000
JT	VANGUARD REIT	P	N/A	07-06-11	\$1,001 - \$15,000
JT	VANGUARD SPECIALIZED PORTFOL	P	N/A	04-15-11	\$1,001 - \$15,000
JT	VANGUARD SPECIALIZED PORTFOL	P	N/A	07-06-11	\$1,001 - \$15,000
JT	VANGUARD SPECIALIZED PORTFOL	P	N/A	07-07-11	\$1,001 - \$15,000
JT	VAGUARD TOTAL STOCK	P	N/A	04-15-11	\$1,001 - \$15,000
JT	VANGUARD TOTAL STOCK	P	N/A	04-25-11	\$1,001 - \$15,000
JT	VANGUARD TOTAL STOCK	P	N/A	05-06-11	\$15,001 - \$50,000

# SCHEDULE IV - TRANSACTIONS

Name Luis & Soraida Gutierrez

19/31

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	VANGUARD TOTAL STOCK	P	N/A	06-21-11	\$1,001 - \$15,000
JT	VANGUARD TOTAL STOCK	P	N/A	07-05-11	\$1,001 - \$15,000
JT	VANGUARD TOTAL STOCK	P	N/A	07-07-11	\$1,001 - \$15,000
JT	VANGUARD TOTAL STOCK	P	N/A	07-07-11	\$1,001 - \$15,000
JT	VANGUARD TOTAL STOCK	P	N/A	07-07-11	\$1,001 - \$15,000
JT	VANGUARD TOTAL STOCK	P	N/A	07-07-11	\$1,001 - \$15,000
JT	VANGUARD TOTAL STOCK	P	N/A	07-20-11	\$15,001 - \$50,000
JT	Northern Trust 2010 account:				
JT	MFC ISHARES TR BARCLAYS(part of Northern Trst)	S	No	01-14-11	\$1,001 - \$15,000
JT	MFB NORTHERN FDS MULTI-MANAGER GLOBAL RE(part of Northern)	S	No	01-14-11	\$1,001 - \$15,000
JT	MFB NORTHERN EMERGING MKTS(part of Northern)	S	No	01-14-11	\$15,001 - \$50,000

# SCHEDULE IV - TRANSACTIONS

Name Luis & Soraida Gutierrez

20/31

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	MFB NORTHERN FDS SHORT TX EXEMP	S	No	01-14-11	\$1,001 - \$15,000
JT	MFB NORTHERN INTL EQTY	S	Yes	01-14-11	\$15,001 - \$50,000
JT	MFB NORTHERN NMMCX	S	Yes	01-14-11	\$1,001 - \$15,000
JT	MFB NORTHERN SMALL CAP	S	No	01-14-11	\$1,001 - \$15,000
JT	MFB NORTHERN HIGH YIELD MB	S	No	01-14-11	\$1,001 - \$15,000
JT	MFB NORTHERN FDS STK INDEX (part of Northern)	S	Yes	04-14-11	\$50,001 - \$100,000
JT	MFB NORTHERN INTER TX EXEMP	S	No	01-14-11	\$15,001 - \$50,000
JT	PIMCO COMM RE	S	Yes	01-14-11	\$1,001 - \$15,000
JT	MFC SPDR GOLD	S	Yes	01-14-11	\$15,001 - \$50,000
JT	MFB NORTHERN FDS SHORT(part of Northern)	S	No	01-20-11	\$15,001 - \$50,000
JT	MFB NORTHERN HIGH YIELD	S	No	01-20-11	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Luis & Soraida Gutierrez

21/21

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	MFB NORTHERN INTER TX EXEMPT	S	No	01-20-11	\$15,001 - \$50,000
JT	MFC ISHARES BARCLAYS(part of Northern)	S	No	02-03-11	\$1,001 - \$15,000
JT	MFB NORTHERN HIGH YIELD MUNI	S	No	02-03-11	\$15,001 - \$50,000
JT	MFB NORTHERN INTER TX EXEM	S	No	02-03-11	\$15,001 - \$50,000
JT	MFC SPDR GOLD(part of Northern)	S	Yes	02-03-11	\$15,001 - \$50,000
JT	MFB NORTHERN INTL EQTY	S	Yes	02-09-11	\$100,001 - \$250,000
JT	MFB NORTHERN GLOBAL RE	S	No	02-14-11	\$1,001 - \$15,000
JT	MFB NORTHERN SMALLFOR	S	Yes	02-14-11	\$1,001 - \$15,000
JT	MFB NORTHERN MID	S	Yes	02-14-11	\$15,001 - \$50,000
JT	MFB NORTHERN SMALL CAP	S	Yes	02-14-11	\$1,001 - \$15,000
JT	MFB NORTHERN STK INDEX	S	Yes	02-14-11	\$100,001 - \$250,000

# SCHEDULE IV - TRANSACTIONS

Name Luis & Soraida Gutierrez

22/31

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	MFB NORTHERN STK INDEX	S	Yes	02-15-11	\$100,001 - \$250,000
JT	PIMCO COMM (part of Northern)	S	Yes	02-15-11	\$1,001 - \$15,000
JT	Charles Schwab Brokerage Account (account #1):	P	N/A	01-11-11 12-08-11	\$500,001 - \$1,000,000
JT	APPLE INC	S	No	12-08-11	\$15,001 - \$50,000
JT	BANK OF AM Corp Stock	S	No	01-28-11	\$1,001 - \$15,000
JT	BARRON GWTH	S	No	12-14-11	\$1,001 - \$15,000
JT	FORD MOTOR	S	Yes	01-27-11	\$1,001 - \$15,000
JT	GENL MOTORS	S	No	01-25-11	\$1,001 - \$15,000
JT	GOOGLE INC	S	Yes	12-02-11	\$1,001 - \$15,000
JT	ISHARES TR RUSSELL 200	S(part)	No	06-20-11	\$15,001 - \$50,000
JT	ISHARES TR RUSSELL 200	S	No	08-04-11	\$15,001 - \$50,000

# SCHEDULE IV - TRANSACTIONS

Name Luis & Soraida Gutierrez

23/31

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	MATTHEWS ASIA Div	S(part)	Yes	01-07-11	\$1,001 - \$15,000
JT	MATTHEW ASIA Div	S	Yes	01-28-11	\$1,001 - \$15,000
JT	MONETTA YOUNG INV	S	Yes	02-03-11 08-04-11	\$1,001 - \$15,000
JT	PARNASSUS WORKPLAC	S	Yes	02-04-11	\$1,001 - \$15,000
JT	POWERSHS QQQ TRUST	S	Yes	03-17-11 08-04-11	\$15,001 - \$50,000
JT	SPDR S&P 500	S(part)	Yes	03-17-11	\$1,001 - \$15,000
JT	SCH INTM US	S	No	09-26-11	\$1,001 - \$15,000
JT	SCH US DIV EQUITY	S	No	11-30-11	\$1,001 - \$15,000
JT	SCH US REIT	S(part)	No	09-26-11 10-17-11	\$1,001 - \$15,000
JT	SCH US TIPS	S	No	09-26-11	\$1,001 - \$15,000
JT	SCHW INTLEQ	S	No	08-03-11 09-26-11	\$1,001 - \$15,000

# SCHEDULE IV - TRANSACTIONS

Name Luis & Soraida Gutierrez

24/31

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	SCHW US BRD MKT	S	No	03-17-11 08-04-11	\$15,001 - \$50,000
JT	SCHW US LCAP	S(part)	No	03-17-11 11-28-11	\$100,001 - \$250,000
JT	SCHW US SCAP	S(part)	No	02-01-11 11-23-11	\$50,001 - \$100,000
JT	SCHWAB HEALTH CARE	S	No	12-12-11	\$1,001 - \$15,000
JT	SCOUT INTL	S	Yes	01-06-11 01-28-11	\$15,001 - \$50,000
JT	SECTOR SPDR FINCL	S	No	04-28-11	\$1,001 - \$15,000
JT	VANGUARD MSCI EMERGI	S	Yes	01-11-11 01-28-11	\$15,001 - \$50,000
JT	WESTPORT FUND CLASS	S	No	02-03-11 08-04-11	\$1,001 - \$15,000
JT	Charles Schwab Account 2011 (Account#2):	P	N/A	01-11-11 12-08-11	\$100,001 - \$250,000
JT	ARTISASN GLOBALVALUE	S	No	05-11-11	\$1,001 - \$15,000
JT	CAMBIAR SMALL CAP	S	No	06-13-11	\$1,001 - \$15,000



# SCHEDULE IV - TRANSACTIONS

Name Luis & Soraida Gutierrez

25/31

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	CITIGROUP INC	S	No	08-03-11	\$1,001 - \$15,000
JT	FAIRHOLME FUND	S	No	08-03-11	\$1,001 - \$15,000
JT	GLENMEDE SMALL CAP E	S	No	06-13-11 08-03-11	\$50,001 - \$100,000
JT	ISHARES DJ SELECT	S	No	02-14-11	\$1,001 - \$15,000
JT	JANUS INTECH US CORE	S	No	06-21-11	\$1,001 - \$15,000
JT	JP MORGAN US EQUITY	S	Yes	05-02-11	\$1,001 - \$15,000
JT	MARSICO FLEXIBLE	S	No	06-21-11	\$1,001 - \$15,000
JT	SCH US MID CAP ETF	S	No	03-17-11 06-20-11	\$15,001 - \$50,000
JT	SCH US REIT	S	No	08-04-11 11-23-11	\$15,001 - \$50,000
JT	SCHW EMG EQ	S	No	01-28-11	\$1,001 - \$15,000
JT	SCHW INTL EQ	S	No	06-13-11	\$15,001 - \$50,000

# SCHEDULE IV - TRANSACTIONS

Name Luis & Soraida Gutierrez

26/31

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	SCHW US BRD MKT	S	No	08-04-11	\$1,001 - \$15,000
JT	SCHW US LCAP	S	No	01-24-11 02-04-11	\$50,001 - \$100,000
JT	SCHW US SCAP	S	No	06-27-11 04-29-11	\$1,001 - \$15,000
JT	SCHWAB DIV	S	No	12-01-11	\$1,001 - \$15,000
JT	SCOUT INTL	S	No	06-02-11	\$1,001 - \$15,000
JT	SECTOR SPDR HEALTH F	S(part)	Yes	08-04-11	\$1,001 - \$15,000
JT	SPDR S&P OIL GAS	S	No	04-28-11	\$1,001 - \$15,000
JT	SSGA EMERGING MKT	S	No	05-11-11	\$1,001 - \$15,000
JT	TIAA CREF INSTL	S	No	06-21-11	\$1,001 - \$15,000
SP	Prudential Annuity Retirement(purchases) :	P	N/A	09-02-11	
SP	Schroders Multi-Assets	P	N/A	09-02-11	\$15,001 - \$50,000

# SCHEDULE IV - TRANSACTIONS

Name Luis & Soraida Gutierrez

27/51

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
SP	JP Morgan Strategic	P	N/A	09-02-11	\$15,001 - \$50,000
SP	Preservation Asset	P	N/A	09-02-11	\$15,001 - \$50,000
SP	Advanced Strategies	P	N/A	09-02-11	\$15,001 - \$50,000
SP	CLS Growth Assets	P	N/A	09-02-11	\$15,001 - \$50,000
SP	Blackrock Global	P	N/A	09-02-11	\$15,001 - \$50,000
SP	Prudential Annuity Reallocation:				
SP	Large Cap-Trowe Price and MFS Growth-(Prudential Annuity)	P	N/A	09-07-11	\$15,001 - \$50,000
SP	Mid/Small Cap-(Prudential Annuity)	P	N/A	09-07-11	\$15,001 - \$50,000
SP	International Value and Growth(Prudential Annuity)	P	N/A	09-7-11	\$15,001 - \$50,000
SP	First Trust Cap(Prudential Annuity)	P	N/A	09-07-11	\$15,001 - \$50,000
SP	Bonds-Lord Abbett and Western Assets(Prudential Annuity)	P	N/A	09-07-11	\$15,001 - \$50,000

# SCHEDULE IV - TRANSACTIONS

Name Luis & Soraida Gutierrez

28/31

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
SP	Schoders Multi-Assets (prudential)	S	No	09-07-11	\$15,001 - \$50,000
SP	JP Morgan Strategic(prudential)	S	No	09-07-11	\$15,001 - \$50,000
SP	Prevention Assets(prudential)	S	No	09-07-11	\$15,001 - \$50,000
SP	Advanced Strategies(prudential)	S	No	09-07-11	\$15,001 - \$50,000
SP	CLS Growth(prudential)	S	No	09-07-11	\$15,001 - \$50,000
SP	Blackrock Global(prudential)	S	No	09-07-11	\$15,001 - \$50,000
JT	Northern Trust Securities Account 2011:				
JT	Northern Trust Securities Inc ( Securities and Money Market)	P	N/A	02-18-11 07-12-11	\$250,001 - \$500,000
JT	Northern Trust Securities Inc (Securities and Money Market)	S	No	05-16-11 08-08-11	\$250,001 - \$500,000

# SCHEDULE IV - TRANSACTIONS

Name Luis V. Gutierrez

29/31

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	American Express Savings Account	P	N/A	12/2011	\$100,001 - \$250,000
JT	Pacific Life Annuity (variable): 1. Port-Opt Growth	P	N/A	8/10/11	\$100,001 - \$250,000
JT	2. American Asset Alloc	P	N/A	8/10/11	\$15,001 - \$50,000
JT	3. BR Global Allocation	P	N/A	8/10/11	\$15,001 - \$50,000
JT	4. FT Fouding Funds CL4	P	N/A	8/10/11	\$15,001 - \$50,000
JT	5. PIMCO Global Multi-Asset	P	N/A	8/10/11	\$15,001 - \$50,000

**SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS**

Name Luis V. Gutierrez

30/31

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than \$350 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure-- Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Days not at sponsor's expense
German Marshall Fund	Feb. 23-28	Illinois-Germany-Illinois	Y	Y	Y	None
Franklin Center for Global Policy Exchange	Oct. 16-21	Illinois-Panama-Illinois	Y	Y	Y	None

**SCHEDULE VIII - POSITIONS**

Name Luis V. Gutierrez

3/31

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member of the Advisory Council	Congressional Hispanic Caucus Institute (CHCI)