

UNITED STATES HOUSE OF REPRESENTATIVES FINANCIAL DISCLOSURE STATEMENT Period covered: Jensey キュースター ゴネルルネスト えの 2014	FORM B For use by candidates and new employees	ZSINFES IO AM 9:33	
		OFF OF GETTE OLERK	
Name: Joseph GERARD BOCK Dayti	Daytime Telephone:	(Office Use Only)	
Candidate for the State: TN House of Representatives District:	Date of Nov. 4, 2014 Check if Amendment	A <i>\$200 penaity</i> shall be assessed against any individual who files	ssed
Status New officer or Employing Office:	in the second se	days late.	9
In all sections, please type or print clearly in blue or black ink.  PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS	IESE 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?  Yes No If yes, complete and attach Schedule I.	IV. Did you hold any reportable positions on or before the date of filing in the current calendar year or in the prior two years? If yes, complete and attach Schedule IV.	ifore the date Yes X No	
II. 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?  Yes No If yes, complete and attach Schedule II.	V. Did you have any reportable agreement or arrangement with an outside entity?  If yes, complete and attach Schedule V.	angement Yes No	
III. Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period?  Yes No X	VI. Did you receive compensation of more than \$5,000 from a single source in the two prior years?  If yes, complete and attach Schedule VI.	5,000 from Yes No	Ň
Each question in this part must be answered and the appropriate sched	ne appropriate schedule attached for	ule 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 a dependent child?	Ethics and certain other "excepted trusts" need no your spouse, or a dependent child?	Yes	N <sub>S</sub>
<b>EXEMPTION</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.	come, transactions, or liabilities of a spouse or delve first consulted with the Committee on Ethics.	Yes 🔲	N <sub>0</sub>

# SCHEDULE I — EARNED INCOME (INCLUDING HONORARIA)

Name JOSEPH G. BOCK

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

Exclude: Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

Exclude: Milliary pay (such as National Guard of neserve pay), lederal femeline in programs, and be		lellis received drider the oocial occarity raci	
Source (include date of receipt for honoraria)	Туре	Amount	
		Current rear to rining	Liecenii Gira
XYZ Corporation, Houston, TX	Salary	\$6,300	\$28,450 \$3,200
Examples: First bank & Irust, Houston, TA  XYZ Trade Association, Chicago, IL (Rec'd December 2)	Honorarium	0	\$1,000
Harris County, Texas Public Schools	Spouse Salary	NA	NA
UNITYERSITY OF NOTRE DAME	SALARY	7 897	66,382
SOUTH BEND COMM. SCHOOL CORP.	STOKE SALARY	1,612	19.354
NOTRE DAME - PRE-COLLEGE PROGRAMS	INJSTRUCTOR'S FISE	0	6,500
THE WORLD BANK	consultang ree	0	3,410
DREW UNTIERSITY	Instructor's ree	0	2,0%6
JABITZ FAMILY FOUNDATION	HONORARIUM	0	500
INSTETUTE FOR INT'L EDUCATION-FYLEGIST	GRANT	0	4295
OHIO STATE UNIVERSITY	HONDRARTUM	0	500

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RAYMOND JAMES (SEE	GUEDS TONE (SEE DEMEL)	TITAN-CRES (SEE DETAIL)	FIDELITY (SEE DEAM)	WELLS FARGO BANK	North Pa		DC, Examples: Simon & Schuster	SD Mana Corn Stock	normes and vacation norms (uness mere was remaincome during the reporting period); any deposits totaling \$5,000 or less in personal checking or savings 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.  For a detailed discussion of Schedule II requirements, please refer to the instruction booklet.	Exclude: Your personal residence, including second	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 Plock A	For rental or other real property held for investment, provide a complete address or a description, e.g., "rental property," and the city and state.	For all IRAs and other retirement plans (such as 401(k) plans) provide the value for each asset held in the account that exceeds the reporting thresholds.	Provide complete names of stocks and mutual funds (do not use ticker symbols).	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 sources of income which generated more than \$200 in "unearned" income during the year.	Asset and/or Income Source	BLOCK A
				×	*	×	Indefinite	×	None \$1 - \$1,000 \$1,001 - \$15,000 \$15,001 - \$50,000 \$50,001 - \$100,000 \$100,001 - \$250,000 \$250,001 - \$500,000 \$500,001 - \$1,000,000 \$1,000,001 - \$5,000,000 \$5,000,001 - \$25,000,000 \$25,000,001 - \$50,000,000 \$25,000,001 - \$50,000,000 Spouse/DC Asset over \$1,000,000*		A B C C D III III II	*This column is for assets solely held by your spouse or dependent child.	it generated income, the value should be "None."	If an asset was sold during the report-	Indicate value of asset at close of reporting year. If you use a valuation method other than fair market value, please specify the method used.	Value of Asset	вгоск в
				×	×	×	Royalties	×	NONE DIVIDENDS RENT INTEREST CAPITAL GAINS EXCEPTED/BLIND TRUST TAX-DEFERRED Other Type of Income (Specify: e.g., Partnership Income or Farm Inc	come)		during the reporting period.	interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income	plans or IRAs), you may check the "Tax-Deferred" column. <b>Dividends</b> ,	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)	Type of Income	вгоск с
				×	×	×	×	×	None \$1 - \$200 \$201 - \$1,000 \$1,001 - \$2,500 \$2,501 - \$5,000 \$5,001 - \$15,000 \$15,001 - \$50,000 \$50,001 - \$100,000 \$100,001 - \$1,000,000 \$1,000,001 - \$5,000,000 Over \$5,000,000 Spouse/DC Income over \$1,000,000* None \$1 - \$200 \$201 - \$1,000 \$1,001 - \$2,500 \$2,501 - \$5,000 \$5,001 - \$15,000 \$15,001 - \$50,000 \$15,001 - \$50,000 \$100,001 - \$1,000,000 \$100,001 - \$1,000,000 \$1,000,001 - \$5,000,000 Over \$5,000,000 Spouse/DC Income over \$1,000,000*		Current Year Preceding Year		* This column is for income derived from assets solely held by your spouse or dependent child.		For assets for which you checked "Tax-Deferred" in Block C, you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. <b>Dividends, interest</b> , and capital gains, even if reinvested, must be disclosed as	Amount of Income	BLOCK D



December 1, 2013 - December 31, 2013

Online FAST(sm)-Automated Telephone Customer Service

Fidelity.com 800-544-5555 800-544-6666

## JOENT ACCOUNT

JOSEPH G BOCK

Envelope

	SEDOL#BCBHZ31 (BBRY)	A09228F1036 740.000	Holdings (Symbol) as of December 31, 2013 Performance Quantity Price per Unit December 31, 2013	Maximum rate that could currently apply 8.57%	Amount you can borrow \$1,926.96	Dec 2013	Account trades from Jan 2013 - 2 Total \$0.39 \$7,92	Dividends 0.36 5.82	Ending value as of Dec 31 \$50,080.22 Tax-exempt	Change in investment value 821.79 Lt cap gain 0.00 1.75	Withdrawals -2,907.69 Dividends \$0.03 \$0.35	Additions 841.00 Taxable	Beginning value as of Dec 1 \$51,325.12 This Period Year to Date	Account Summary Income Summary
Toss from Sale: This Period \$0.00 0.00 0.00 \$ Total Valve December 1, 2013	21,542.75											Long-term loss		Realized Gain/



December 1, 2013 - December 31, 2013

mber 31, 2013  lings  / MARKET (FTEXX )			applicable.	is unknown or not appli	ns where cost basis i	ore, money market or other position	M - Position neid in margin account. All remaining positions held in cash account. Total Cost Basis does not include the cost basis on core, money market or other positions where cost basis is unknown or not
JOSEPH G BOLL Performance Quantity Price per Unit P	\$50,080.22		\$ 21,542.75				Total
ANDER 31, 2013 December 31, 20	41,521.73 <b>41,521.73</b>	43,588.06	not applicable	1.000	41,521.730	7-day Yield: 0.01%	Core Account 83% of holdings FIDELITY MUNICIPAL MONEY MARKET (FTEXX ) Subtotal of Core Account
JOSEPH G BOCK Quantity Price per Unit Total Cost Basis December 1, 2013 December 31,	3,052.89						Subtotal of Mutual Funds
	Total Value December 31, 2013	Total Value December 1, 2013	Total Cost Basis	Price per Unit December 31, 2013		JOSEPH G BOCK  Performance December 31, 2013	Holdings (Symbol) as of December 31, 2013

Transaction Details	on Details	(for hole	(for holdings with activity this period)	s period)		
Core Account	nt - Fidelity Municipal Money Market	rket				
Description		Amount	Balance	Description	Amount	Balance
Beginning			\$43,588.06	Cash Management Activity		
Investment Activity	vity			Deposits	841.00	
Securities bought	ught	<b>-</b> \$0 03		Bill payments	-1,211.68	
Core account income	income	0.36		Other withdrawals	-1,696.01	
Income		0.03		Subtotal of Cash Management Activity	- \$2,066.69	
Subtotal c	Subtotal of Investment Activity	\$0.36		Ending		\$41,521.73
Investment Activity	ctivity					
Sattlement Data	Security	Description		Quantity	Price per Unit	Transaction Amount
12/31	FIDELITY MUNICIPAL MONEY MARKET	Dividend received	eceived			\$0.36
12/31	FIDELITY CASH RESERVES	Dividend received	eceived			0.03
12/31	FIDELITY CASH RESERVES	Reinvestment	nent .	0.030	\$1.00000	-0.03



December 1, 2013 - December 31, 2013

Envelope

JOSEPH G BOCK

ACCOUNT RETEREMENT



Change in investment value 4, Ending value as of Dec 31 \$180,	fees	C	Account Summary	Brokerage JOS
4,843.54 <b>\$180,912.79</b>	-39.86	\$176.109.11		EPH G B
	Tax-free		Income Summary	JOSEPH G BOCK - ROTH INDIVIDUAL RETIREMENT ACCOUN
	\$253.65	This Period		L RETIREME
	\$1,816.70	Year to Date		NT ACCOUNT - FMTC CUSTODIAN

800-544-6666. Brokerage Accounts carried with National Financial Services LLC, Member NYSE, SIPC Your Advisor is an independent organization and is not affiliated with Fidelity Investments. Brokerage services provided by Fidelity Brokerage Services LLC, Member NYSE, SIPC

Change in Al from last statement

\$0.00

Accrued Interest (AI)

Holdings (Symbol) as of December 31, 2013	Quantity December 31, 2013	Price per Unit December 31, 2013	Coat	Total Value December 1, 2013	Total Value December 31, 2013	Unrealized Gain (Lose) December 31, 2013
Stocks 86% of holdings						
XL GROUP PLC SHS (XL)	166.497	\$31.840	\$5,105.41	\$5,326.23	\$5,301.26	\$ 195.85
EAI: \$93.24, EY: 1.76%						
TE CONNECTIVITY LTD COM CHF0.57 (TEL)	55,263	55.110	2,852.23	2,899.60	3,045.54	193.31
EAI: \$55.26, EY: 1.81%						
TYCO INTERNATIONAL LTD(SWITZERLAND) SHS						
(TYC)	154,000	41.040	5,778.67	5,873.56	6,320.16	541.49
EAI: \$98.56, EY: 1.56%						

December 1, 2013 - December 31, 2013

, <del>*</del>	5,919.24 4,717.67 5,993.68 5,271.94 5,386.33	5, 5,2 5,3	3,890.10 5,353.54	189.660 82.940	29.359 68.000	PEPSICO INC (PEP)  PEPSICO INC (PEP)
بم		5 5 6 2	3,890.10	189.660	29,359	EAI: \$71.64 EV: 1.20%
		5 5 5 2			20 250	
		5,2				EAI: \$207.77, EY: 3.84%
			5,386.89	51.000	106.006	LILLY ELI & CO (LLY)
						EAI: \$159.22, EY: 2.60%
	, -	5,0	5,445.33	58.480	104.748	JPMORGAN CHASE & CO (JPM)
						EAI: \$100.31, EY: 2.03%
		4,7	4,907.65	187.570	26,398	INTL BUSINESS MACH (IBM)
	_					EAI: \$115.03, EY: 1.89%
6.071.50 594.24		5,0	5,477.26	82.340	73.737	HOME DEPOT INC (HD)
						EAI: \$84.00, EY: 1.32%
6,345.36 849.91	5,659.92	5,6	5,495.45	75.540	84.000	GREEN MTN COFFEE ROASTERS INC (GMCR)
						EAI: \$68.20, EY: 2.23%
3,054.12 181.29			2,872.83	49.260	62.000	GAMESTOP CORP NEW CL A (GME )
5,047.58 116.89	4,647.84	4,6	4,930.69	54.865	92.000	EBAY INC (EBAY )
						EAI: \$27.00, EY: 0.45%
6,042.24 362.75			5,679.49	167.840	36.000	EOG RESOURCES INC (EOG )
						EAI: \$82.13, EY: 1.42%
5,774.63 83.15			5,691.48	61.870	93.335	DEVON ENERGY CORP NEW (DVN )
5,786.55 413.63	5,876.50	5,8	5,372.92	52.110	111.045	CITIGROUP INC COM NEW (C )
5,744.91 1,690.98		5,5	4,053.93	168.968	34.000	CELGENE CORP (CELG)
						ISIN #CA1488871023 SEDOL #B8J4N87 (CTRX)
2,895.18 51.90	2,783.43	2,7	2,843.28	47.462	61.000	CATAMARAN CORP COM NPV
						EAI: \$12.49, EY: 0.21%
6,050.20 336.35	5,377.43	5,3	5,713.85	38.760	156.094	CABOT OIL & GAS CP COM (COG)
						EAI: \$46.91, EY: 0.91%
5,167.53 - 647.56			5,815.09	79.320	65.148	ANADARKO PETE CORP (APC)
						EAI: \$12.21, EY: 0.18%
6,783.21 1,464.89	5,923.44	J,C	5,318.32	111.080	61.066	ALLERGAN INC (AGN )
						EAI: \$133.01, EY: 2.30%
	5,772.30	<b>5</b> 1.	5,653.91	38,330	151.147	
December 31, 2013 December 31, 2013	r 1, 2013 Decem	Decembe	Cost	December 31, 2013	December 31, 2013 December 31, 2013 Cost December 1, 2013 December 31, 2013	Holdings (Symbol) as of December 31, 2013
	CCUSTODIAN	MH - INDO	IKEMEN ACC		G BOCK - ROLL	brokerage JUSEPH



December 1, 2013 - December 31, 2013

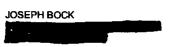
\$ 14,118.33	\$180,912.79		\$ 141,291.90		t otherwise.	Total  All positions held in cash account unless indicated otherwise
	25,502.56					Subtotal of Core Account
not applicable	25,502.56	32,065.88	not applicable	1.000	25,502.560	FIDELITY CASH RESERVES (FDRXX) 7-day Yield: 0.01%
			·	3		Core Account 14% of holdings
14,118.33	155,410.23		141,291.90			Subtotal of Stocks
						EAI: \$49.79, EY: 0.72%
1,342.12	6,929.57	6,319.06	5,587.45	222.680	31.119	VISA INC COM CL A (V)
						EAI: \$116.92, EY: 1.88%
559.19	6,216.00	5,995.48	5,656.81	168.000	37.000	UNION PACIFIC CORP (UNP)
						EAI: \$29.16, EY: 0.90%
443.21	3,252.81	3,073.93	2,809.60	33.460	97.215	TYSON FOODS INC CL A FRMLY COM (TSN.)
						EAI: \$74.88, EY: 1.33%
- 232.46	5,644.08	5,865.12	5,876.54	78.390	72.000	STARBUCKS CORP (SBUX)
						EAI: \$82.51, EY: 1.28%
950.87	6,467.03	6,247.92	5,516,16	70.540	91.679	SANDISK CORP (SNDK)
						EAI: \$118.82, EY: 2.28%
1,340.40	5,204.35	5,246.87	3,863.95	26.280	198.035	SLM CORP COM (SLM )
						EAI: \$39.20, EY: 1.33%
125.21	2,940.28	2,643.76	2,815.07	105.010	28.000	ROCK-TENN CO CL A (RKT)
						EAI: \$59.55, EY: 1.02%
313.11	5,841.11	5,796.78	5,528.00	176.570	33.081	(RL)
					>	RALPH LAUREN CORP COM USD0.01 CLASS A
December 31, 2013	December 31, 2013	December 1, 2013	Cost	December 31, 2013	December 31, 2013	Holdings (Symbol) as of December 31, 2013
	_	JNT - FN	TREMENT ACCO	INDIVIDUAL RET	JOSEPH G BOCK - ROTH INDIVIDUAL RETIREMENT ACCOU	Brokerage Allenda J

All positions held in cash account unless indicated otherwise.

Total Cost does not include the cost basis on core, money market or other positions where cost basis is unknown or not applicable.

performance of a security. For additional information, including calculation details, refer to the "Additional Information and Endnotes" section at the end of your statement. purposes only and should not be relied on for making investment, trading, or tax decisions. There is no guarantee that your investments will actually generate the EAI or EY presented. Actual current EAI for a security position by its statement closing date market value. EY reflects only the income generated by an investment; it does not reflect changes in its price, which may fluctuate Estimated Annual Income (EAI) & Estimated Yield (EY) - EAI is an estimate of annual income for a specific security position over the next rolling 12 months. EY is calculated by dividing the income and yield might be lower or higher. EAI and EY should not be confused with a security's 30-day Yield or 7-day Yield, if provided, as such yield quotations reflect the actual historical For certain types of securities, EAI and EY could include the return of principal or capital gains which would render them overstated. EAI and EY are estimates provided for informational

\$22.63



## Retirement Savings Statement

Customer Service: (800) 343-0860
Fidelity Investments Institutional Operations
Company, Inc.
82 Devonshire Street
Boston, MA 02109

## Your Account Summary

Statement Period: 12/01/2013 to 12/31/2013

Beginning Balance	41 007 00
	\$1,087.89
Change in Account Value	\$27.92
Ending Balance	\$1,115.81
Additional Information	

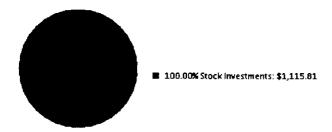
## Your Personal Rate of Return

Dividends & Interest

This Period 2.6%

Your Personal Rate of Return is calculated with a time-weighted formula, widely used by financial analysts to calculate investment earnings. It reflects the results of your investment selections as well as any activity in the plan account(s) shown. There are other Personal Rate of Return formulas used that may yield different results. Remember that past performance is no guarantee of future results.

## Your Asset Allocation



Your account is allocated among the asset classes specified above as of 12/31/2013. Percentages and totals may not be exact due to rounding.

## **Account Value**

Statement Period: 12/01/2013 to 12/31/2013

Statement Period: 12/01/2013 to 12/31/2013

Displayed in this section is the value of your account for the statement period, in both shares and dollars.

## Univ. of Notre Dame

investment	Shares as of 11/30/2013	Shares as of 12/31/2013	Price as of 11/30/2013	Price as of 12/31/2013	Account Value as of 11/30/2013	Account Value as of 12/31/2013
Stock Investments					\$1,087.89	\$1,115.81
international FID inti Discovery K	27.035	27.619	\$40.24	\$40.40	\$1,087.89	\$1,115.81
Account Totals					\$1,087. <del>89</del>	\$1,115.81

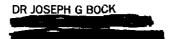
Remember that a dividend payment to fund shareholders reduces the share price of the fund, so a decrease in the share price for the statement period does not necessarily reflect lower fund performance.

Please refer to NetBenefits and other Plan information, such as your SPD, for a description of your right to direct investments under the Plan. For information on any plan restrictions or limitations on those rights visit NetBenefits and click on "Plan Information".

To help achieve long-term retirement security, you should give careful consideration to the benefits







730 Third Avenue New York, NY 10017-3206

## **Quarterly Retirement Portfolio Statement**

October 01, 2013 - December 31, 2013

## For DR JOSEPH G BOCK

**Customer Service** 

Website: Automated 24-hour Information and	tia	aa-cref.org
Personal Assistance (Español disponible) Hearing Impaired (TTY phone users only) Monday through Friday, 8:00 a.m 10:00 p.m. Saturday, 9:00 a.m 6:00 p.m. (ET)	800	<b>842-2252</b> 842-2755

To view your most current account information, go to our website at **tlaa-cref.org** and log-in with your user ID and password or call our 24-hour automated system.

**Portfolio Summary** 

	This Period	Year-to-Date
Beginning Balance	\$389,126.75	\$315,429.41
Additions	10,585.98	270,790.61
Reductions	-35.01	-232,496.33
Gain/Loss	24,579.68	70,533.71
Ending Balance	\$424,257.40	\$424,257.40

## **Retirement Income Projection**

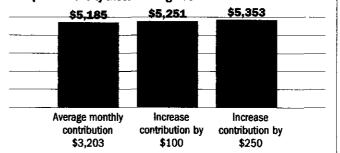
As part of your retirement savings planning, have you considered how much you need to retire? Saving a little more now can add up by the time you retire. These charts are purely hypothetical and do not illustrate past or projected performance.

What can you expect from Retirement Income?

Average Monthly Contribution	Monthly Contribution Increased by	Sample Lifetime Retirement Monthly Income at Age 65
\$3,203	\$0	\$5,185
\$3,303	\$100	\$5,251
\$3,453	\$250	\$5,353

To raise your savings rate or further personalize the retirement income projection, visit us online at tiaa-cref.org or call TIAA-CREF at 800-842-2252. Recent changes to your contribution amounts may not be reflected on this statement.

## Example of Monthly Income at Age 65



## **Message Board**

Tax forms will be mailed and available online by January 31, 2014. To access online, log in at tiaa-cref.org, click: MANAGE MY PORTFOLIO / STATEMENTS & REPORTS / TAX REPORTING FORMS. Please note that a Form 1099 will be generated only if you have a taxable transaction related to your account.

Additions and Reductions: Additions include your contributions, rollovers and direct transfers into your account. Reductions include withdrawals, rollovers and direct transfers out of your account. Transfers among the investment choices within your account are also shown as Additions and Reductions.

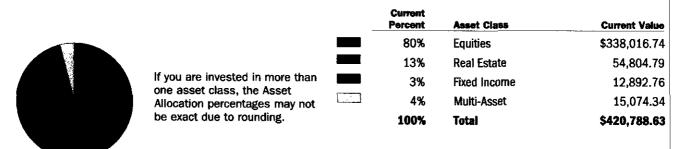
## **Quarterly Retirement Portfolio Statement**

October 01, 2013 - December 31, 2013

## **Personalized Rate of Return**

This Period Year-to-Date	6.2% 20.8%	This figure is an estimate of the performance of the assets in your retirement portfolio, as reflected on this statement but excluding your retirement healthcare program assets that are maintained at TIAA-CREF during the period(s) specified. Past
		performance is not a guarantee of future results. Please refer to the Disclosures Section for more information.

**Asset Allocation Summary** 



Note: Retirement healthcare program assets are not included in the asset allocation pie chart.

## **Activity Summary by Asset Class**

Asset Class/	Beginning Balance				Ending Balance
Investment	as of 10/01/2013	Additions	Reductions	Gain/Loss	as of 12/31/2013
Equities					
T-C Intl Eq Idx-Rtmt	\$21,373.18	\$0.00	\$0.00	\$1,217.01	\$22,590.19
T-C Intl Eq-Inst	123,351.94	4,835.97	0.00	10,377.96	138,565.87
T-C Social Ch Eq-Inst	32,089.72	0.00	0.00	3,036.38	35,126.10
T-C Intl Eq Idx-Inst	128,358.18	5,750.01	0.00	7,626.39	141,734.58
Total Equities	\$305,173.02	\$10,585.98	\$0.00	\$22,257.74	\$338,016.74
Real Estate					
TIAA Real Estate	\$53,932.34	\$0.00	\$0.00	\$872.45	\$54,804.79
Fixed Income					
T-C High-Yield-Inst	\$12,437.18	\$0.00	\$0.00	\$455.58	\$12,892.76
Multi-Asset					
CREF Social Choice	\$14,358.83	\$0.00	\$0.00	\$715.51	\$15,074.34
T-C Lifecycle 2050-Rtmt	3,225.38	0.00	-35.01	278.40	3,468.77
Total Multi-Asset	\$17,584.21	\$0.00	-\$35.01	\$993.91	\$18,543.11
Total Account Value	\$389,126.75	\$10,585.98	-\$35.01	\$24,579.68	\$424,257.40

Additions and Reductions: Additions include your contributions, rollovers and direct transfers into your account. Reductions include withdrawals, rollovers and direct transfers out of your account. Transfers among your investment choices are also shown as Additions and Reductions. For example, if you transferred money from one investment choice to another, the money going into an account is an Addition and the money leaving an account is a Reduction. Other adjustments to your portfolio are also included in the Additions and Reductions total.

To view current performance for your specific investments, log in to your account at tiaa-cref.org or you can visit www.tiaa-cref.org/performance for general performance information.

## **Quarterly Retirement Portfolio Statement**

October 01, 2013 - December 31, 2013

## **Portfolio Breakdown**

	Beginning Balance as of 10/01/2013	Ending Balance as of 12/31/2013
Plans		
UNIVERSITY OF NOTRE DAME 403(B) RETIREMENT PLAN	\$193,894.10	\$212,117.91
UNIVERSITY OF NOTRE DAME 403(B) RETIREMENT PLAN	144,223.07	158,804.78
AMERICAN REFUGEE COMMITTEE 403(B) DC PLAN	26,411.02	27,275.75
HAVERFORD COLLEGE VOLUNTARY TDA PLAN	14,014.34	14,812.33
HAVERFORD COLLEGE DEFINED CONTRIBUTION RETIREMENT PLAN	7,358.84	7,777.86
Total Plans	\$385,901.37	\$420,788.63
Other Accounts	•	
HAVERFORD COLLEGE VEBA TRUST - EMERITI PLAN	\$3,225.38	\$3,468.77
Annuities in Your Plans		
TIAA D76888A-7	\$26,266.43	\$26,691.33
CREF V76888A-4	1,359.11	1,426.84
TIAA 3365894-9	13,411.30	13,628.25
CREF 4365894-7	12,999.72	13,647.50
ΠΑΑ L46787C-0	14,254.61	14,485.21
Total Annuities in Your Plans	\$68,291.17	\$69,879.13
Other Investments in Your Plans		
T-C Inti Eq Idx-Rtmt	\$21,373.18	\$22,590.19
T-C High-Yield-Inst	12,437.18	12,892.76
T-C Intl Eq-Inst	123,351.94	138,565.87
T-C Social Ch Eq-Inst	32,089.72	35,126.10
T-C Intl Eq Idx-Inst	128,358.18	141,734.58
Total Other Investments in Your Plans	\$317,610.20	\$350,909.50
Note: The Portfolio Breakdown section of this statement is a summary of	your total portfolio including retireme	nt healthcare

**Note:** The Portfolio Breakdown section of this statement is a summary of your total portfolio, including retirement healthcare program assets.

## UNIVERSITY OF NOTRE DAME 403(B) RETIREMENT PLAN

Annuity Contract(s) & Other Investments In This Plan	Vested Percentage	Vested Balance
Annuity Contracts & Other Investments		
Employee	100%	\$212,117.91
Total	100%	\$212,117.91

## **Plan Investment Detail**

Asset Class/ Investment	Beginning Balance as of 10/01/2013	# of Units/ Shares	Unit/Share Price a	Ending Balance as of 12/31/2013	# of Units/ Shares	Unit/Share Price
Pre-Tax Investments			.,			
Equities						
T-C Intl Eq-Inst	\$19,191.59	1,746.2778	\$10.9900	\$20,772.02	1,775.3863	\$11,7000
T-C Social Ch Eq-Inst	32,089.72	2,216.1406	14.4800	35,126.10	2,269.1278	15.4800
T-C Intl Eq Idx-Inst	128,358.18	6,860.4053	18.7100	141,734.58	7,374.3278	19.2200
Total Equities	\$179,639.49			\$197,632.70		
Real Estate						
TIAA Real Estate	\$14,254.61	48.4663	\$294.1139	\$14,485.21	48.4663	\$298.8717
TIAA L46787C-0	·			·		
Total Pre-Tax Investments	\$193,894,10			\$212,117.91		
Total	\$193,894.10			\$212,117.91		



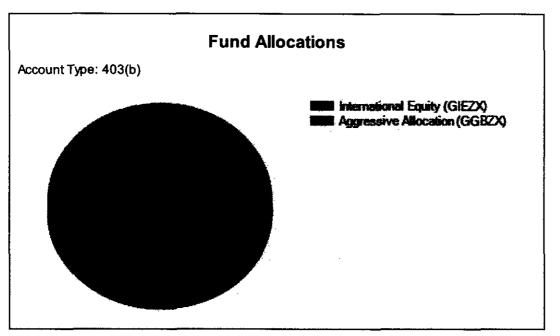
Welcome, Joseph Bock

Contact Us:

phone: 1-888-98-GUIDE web: <u>www.GuideStone.org</u>

## **Investment Overview**

	Vested Balances   Persona	al Rate of Return   G	uided Planning S	<u>ervices</u>
<del></del>	Shares	Market Value	Manage Accou	ınt
403(b) (As of 1/2/2014)		\$11,746.65	Select Activity	<b>▼</b> ]
WILLIAM JEWELL COLLEGE		\$11,746.65	Select Activity	•
Aggressive Allocation (GGBZX)	394.9084	\$5,789.36		
International Equity (GIEZX)	395.8329	\$5,957.29		
Total Portfolio Value		\$11,746.65		



You should consider the investment objectives, risks, charges and expenses of the funds carefully before investing. A prospectus with this and other information about the funds may be obtained by calling **1-888-98-GUIDE** (1-888-984-8433) or downloading a <u>prospectus</u>. It should be read carefully before investing.

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## RAYMOND JAMES®

Cash & Cash Alternatives

Your Portfolio

Joseph IRA Account No.

## 

\$46.62		\$116,569.25	Cash & Cash Alternatives Total
		2012	Participating banks recently added: Amarillo National Bank, added on 12/20/2012
			Your bank priority state: IN
\$46.62		\$116,569.25	Raymond James Bank Deposit Program Total
		\$0.07	American Express Centurion
		\$0.69	Citibenk NA
		\$57,111.84	Raymond James Bank N.A.
		\$59,456.65	Barclays Bank Delaware
\$46.62	0.04%		Raymond James Bank Deposit Program ®
Est. Annual Income	Est. Income Yield	Value	Description (Symbol)

<sup>&</sup>lt;sup>®</sup>Please See the Raymond James Bank Deposit Program on the Understanding Your Statement page.

## **Equities**

Stocks Total	TANGOE INCORPORATED (TNGO)	CAPROLS RESTAURANT GROUP INCORPORATED (TAST)	ACCRETIVE HEALTH INCORPORATED (AH)	Description (Symbol)	Stocks
	PORATED	PORATED	AH AH	/mbol)	
	2,500.000	4,000.000	2,500.000	Quantity	
	2,500.000 11/15/2012	4,000.000 12/04/2012	2,500.000 01/17/2013	Date Acquired	
	\$12.068	\$6.151	\$12.808	Unit	
\$86,789.25	\$30,169.90	\$24,604,95	\$32,014,40	Total Cost Basis	
	\$14.450	\$6.270	\$12.910	Price	
<b>\$93,480.00</b> 0.00%	\$36,125.00	\$25,080.00	\$32,275.00	Value	
0.00%				Est. Income Yield	
				Est. Annual Income	
7.71%	19.74%	1.93%	0.81%	Gain or (Loss) Pct.	
\$6,690,75	\$5,955.10	\$475.05	\$260.60	Gain or (Loss)	

## RAYMOND JAMES®

## Your Portfolio (continued)

Joseph IRA Account No.

## Equities (continued)

REITs / Tangibles		7.65%	\$14,425.00	6.23%	\$231,430.00 6.23%		\$214,984.00				Equities Total
Est.								age.	Your Statement p	Understanding	<sup>†</sup> Please see REITs/Tangibles on the
Price   Pric	ı	7.61%	\$14,425.00	10.46%	\$137,950.00		\$128,194.75				REITs / Tangibles Total
PUNIT		13,41%	\$3,900.00	10.59%	\$36,840.00	\$18,420	\$32,484.95	\$16.242	12/07/2012	2,000.000	QR ENERGY LP UNIT LTD PRTNS (QRE)
PUNIT         Date Conting         Unit Cost Basis         Total Cost Basis         Price Price         Value Price         Fist. Est. Income Annual Income Price         Est. Income Annual Income Price         Locome Price         Value Price         Value Price         Value Price         Value Price         S35,220.00         \$25.150         \$37,725.00         9.07%         \$3,420.00         \$3,420.00           1,000.000         11/08/2012         \$24.805         \$24,804.95         \$25.150         \$25,150.00         9.07%         \$2,280.00           500.000         12/17/2012         \$22.800         \$11,399.90         \$25.150         \$12,575.00         9.07%         \$1,140.00		6.52%	\$7,105.00	11.21%	\$63,385.00	\$18.110	\$59,504,95	\$17.001	12/07/2012	3,500.000	MEMORIAL PRODTN PARTNERS LP COM U REP LTD (MEMP)
PUNIT   1,000.000   11/08/2012   \$24.805   \$24,804.95   \$25.150   \$25,150.00   9.07%   \$2,280.00		10.31%	\$1,140.00	9.07%	\$12,575.00	\$25.150	\$11,399.90	\$22.800	12/17/2012	500.000	LOT 2
PUNIT 1,500,000 \$24,137 \$36,204.85 \$25,150 \$37,725.00 9,07% \$3,420,00		1.39%	\$2,280.00	9.07%	\$25,150.00	\$25,150	\$24,804.95	\$24.805	11/08/2012	1,000.000	LOT 1
Jies †  Est. Est.  Date Unit Total Income Annual Income Annual Income Cost Basis Price Value Yield Income (Lo		4.20%	\$3,420,00	9.07%	\$37,725.00	\$25.150	\$36,204.85	\$24.137		1,500.000	LEGACY RESERVES LP UNIT
REITs / Tangibles †		Gain or (Loss) Pct.	Est. Annual Income	Est. Income Yield	Value	Price	Total Cost Basis	Unit Cost	Date Acquired	Quantity	Description (Symbol)
											REITs / Tangibles †

RAYMOND JAMES®

Joseph IRA Account No. Your Activity

## **Activity Summary**

									Total Income \$3.05 \$3.05	Interest at RJ Bank \$3.05 \$3.05 Deposit Program	Type This Statement Year to Date	Income
									05		tte Type	Expenses
									e(00#.01)	\$(504.61)	This Statement	
									\$(00 <b>4.</b> 01)	\$(504.61)	Year to Date	
Net Transfers	Transfers To	Transfers From	Туре	Cash Sweep Transfers	Total Sales/Redemptions	Sales	Туре	Sales / Redemptions	Total Functions	Purchases	Туре	Purchases
\$(111,904.89)	\$(143,928.97)	\$32,024.08	This Statement	ransfers	\$153,578.85	\$153,578.85	This Statement	ptions	\$(+1,10 <del>2</del> .30)	\$(41,169.35)	This Statement	
,					\$153,578.85	\$153,578.85	Year to Date		<b>∌(#1,109.33)</b>	\$(41,169.35)	Year to Date	

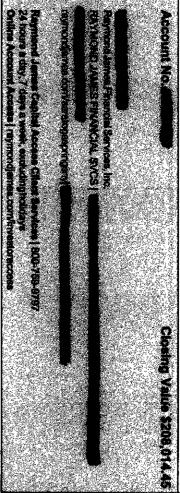
## **Activity Detail**

01/03/2013 Sale/ S Redemption	01/03/2013 Cash Ti Sweep		Activity Date Category A
Sale	Transfer To		Activity Type
AFLAC INC PFD 5.5% DUE 09/15/2052 Callable 09/26/2017 (001055300)	Raymond James Bank Deposit Program	Beginning Balance	Description (Symbol or CUSIP)
(1,000.000)			Quantity
\$25.436			Price
\$25,425.48	\$(25,425.48)		Amount
\$0.00	\$(25,425.48) \$30,086.79 RJ Bank Deposit Program Balance	\$0.00 \$4,661.31 RJ Bank Deposit Program Balance	Cash Balance Additional Detail

## RAYMOND JAMES®

## Bock Capital Access Joint Account Summary





Statement Copies to:

## Investment Objectives

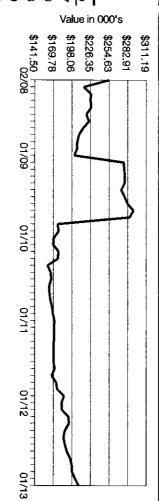
Primary: Speculation with a high risk tolerance and a time horizon exceeding 10 years

Secondary: Growth with a high risk tolerance and a time horizon exceeding 10 years.

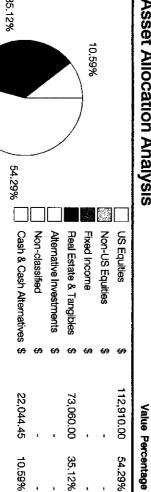
## Activity

<u>ω</u>		10.01%	3.47%	3.04%	01/21/00
		2011	2012	מוץ	Performance Inception
	See Understanding Your Statement for important information about these calculations.	iding Your S out these ca	See Understanding Your Statement information about these calculations	erformance	Time-Weighted Performance
	19,184.66	↔	19,184.66	s	Sales/Redemptions
	(12,813.90)	<del>69</del>	(12,813.90)	49	Purchases
	208,014.45	<del>69</del>	208,014.45	છ	Ending Balance
>	5,770.76	↔	5,770.76	₩	Change in Value
>	(560.36)	₩	(560.36)	<del>69</del>	Expenses
	0.00	↔	0.00	⇔	Withdrawals
	0.68	↔	0.68	⇔	Income
	0.00	↔	0.00	€	Deposits
Val	202,803.37	€9	202,803.37	₩	Beginning Balance
ue in	Year to Date		This Statement	T	

## Value Over Time



	,770.76 Asset Allocation Analysis	
] ; ;	ysis	-



Excludes some limited partnerships and unpriced securities. Annuity and RJ Bank CD performance may not be all inclusive.

Bock Capital Access Joint - Account Summary Page 1 of 8

## RAYMOND JAMES®

Your Portfolio
Bock Capital Access Joint Account

Cash & Cash Alternatives

Raymond James Bank Deposit Program \*

\$8.81		\$22,044.45	natives Total	Cash & Cash Alternatives Total
			Participating banks recently added: Amarillo National Bank, added on 12/20/2012	Participating banks
			state: IN	Your bank priority state: IN
\$8.81		\$22,044.45	Raymond James Bank Deposit Program Total	Raymond Jame
		\$0.20	<b>W</b>	Citibank NA
		\$2,859.30	Bardays Bank Delaware	Barclays B
		\$19,184.95	Raymond James Bank N.A.	Raymond
\$8.81	0.04%		Raymond James Bank Deposit Program ®	Raymond Jame
Est. Annual Income	Est. Income Yield	Value	(Symbol)	Description

<sup>\*</sup>Please See the Raymond James Bank Deposit Program on the Understanding Your Statement page.

## **Equities**

PLACEMENT (NHBH) •	NHB HOLDINGS 10,000.000 12/29/2006 INCORPORATED PRIVATE	ACCRETIVE HEALTH 1,000.000 ° 01/17/2013 \$12.814 \$12.8 INCORPORATED (AH)	Description (Symbol) Quantity Acquired Cost Cost	Stocks
	\$10.000	\$12,813.90 \$12,910	Total Cost Basis Price	
	\$100,000.00	0 \$12,910.00	e Value	
			Est. Income Yield	
			Est. Annual Income	
		0.75%	Gain or (Loss) Pct.	
		\$96.10	Gain or (Loss)	

<sup>\*</sup> Please see Non-Traded Securities on the Understanding Your Statement page.

## RAYMOND JAMES®

Your Portfolio (continued)

Bock Capital Access Joint Account No.

## **Equities (continued)**

REIT
s / Tai
ngibl
es t

REITs / Tangibles T	Quantity	Date	Cost Cost	Total	D I I	Value	Est. Income	Est. Annual	Gain or	Gain or
MEMORIAL PRODTN PARTNERS LP COM U REP LTD (MEMP)	2,000.000	2,000.000 12/07/2012	\$17.002	\$34,004.95	\$18.110	<b>\$36,220.00</b> 11.21%	11.21%	\$4,060.00	6.51%	\$2,215.05
QR ENERGY LP UNIT LTD PRTNS (QRE)	2,000.000	2,000.000 12/07/2012	\$16.242	\$32,484,95	\$18.420	\$36,840.00 10.59%	10.59%	\$3,900.00	13.41%	\$4,355.05
REITs / Tangibles Total				\$66,489.90		<b>\$73,060.00</b> 10.90%	10.90%	\$7,960.00	9.88%	\$6,570.10
$^\dagger$ Please see REITs/Tangibles on the Understanding Your Statement page.	e Understanding	Your Statement p	)age.							

Equities Total

\$185,970.00

4.28%

\$7,960.00

c Cost basis for these tax lots/securities will be supplied to the IRS on Form 1099-B.

Your Activity
Bock Capital Access Joint Account No.

# RAYMOND JAMES®

## **Activity Summary**

									Total Income \$0.68	Interest at RJ Bank \$0.68 Deposit Program	Type This Statement	Income
									\$0.68	\$0.68	Year to Date	
									Total expenses	Fees	Туре	Expenses
									\$(500.50)	\$(560.36)	This Statement	
									\$(500.30)	\$(560.36)	Year to Date	
Net Transfers	Transfers To	Transfers From	Туре	Cash Sweep Transfers	Total Sales/Redemptions	Sales	Туре	Sales / Redemptions	lotal ruichases	Purchases	Туре	Purchases
\$(5,810.40)	\$(19,184.66)	\$13,374.26	This Statement	ansfers	\$19,184.66	\$19,184.66	This Statement	ptions	\$(12,010.80)	\$(12,813.90)	This Statement	
					\$19,184.66	\$19,184.66	Year to Date		\$(12,013.9U)	\$(12,813.90)	Year to Date	

## **Activity Detail**

01/16/2	01/16/2		Date
01/16/2013 Cash Sweep	01/16/2013 Expense		Activity Category
Transfer From	F <b>96</b>		Activity Type
Raymond James Bank Deposit Program	Cash	Beginning Balance	Description (Symbol or CUSIP)
			Check/ Deposit Code
			Quantity
			Price
\$560.36	\$(560.36)		Amount
\$0.00	\$(580.36)	\$0,00	Cash Balance
\$15,673.01 RJ Bank Deposit Program Batance	\$(560.36) 1Q Fees for 090/365 Days at 1.70% on \$133,963.87	\$0.00 \$16,233,37 RJ Bank Deposit Program Balance	Cash Balance Additional Detail

SCHEDULE II — ASSETS AND "UNEARNED" INCOME

Name JOSEPH G. BOCK

Page 2 1\_ or 35

None	Contin	Continuation Sheet (if needed)  BLOCK A  Asset and/or Income Source	BLOCK B Value of Asset	BLOCK C
None	SP,		BCDEFGHIJK	
None	р, Л,		15,000 \$50,000 \$100,000 - \$250,000 - \$500,000 - \$1,000,000 1 - \$5,000,000 1 - \$25,000,000 21 - \$50,000,000	Asset over \$1,000,
T PRESS X  SEE DETRIEN  SEE DETRIEN  ADVISORS  SEE DETRIEN  ADVISORS			\$1 - \$1,000 \$1,001 - \$1 \$15,001 - \$ \$50,001 - \$ \$100,001 - \$250,001 - \$1,000,001 \$5,000,001 \$25,000,001	Spouse/DC NONE DIVIDENDS RENT INTEREST
LEFTON LARSONALLE JEALTH ADVISO (SEE DETAIL)		H	×	ROYALTY
(SEE DETAIL)		LIFTONLA		
		SEE DETAILS		

CliftonLarsonAllen Wealth Advisors
PORTFOLIO APPRAISAL

Joseph Bock

Strategy: SMA
December 31, 2013

	461.000	4,725.306 6,860.784	BOND FUNDS US FIXED INCOME 3,083.930 Baird		ALTERNATIVE EQUITY 2,919.039 Absolute S	INTERNATIO 8,457.071		1,929.553	2,693.700	EQUITY FUNDS US EQUITY 1,986.657	Quantity
	Insti Vanguard Short Term Bond ETF	FPA New Income PIMCO Total Return III	COME  Baird Short-Term Bond  Institutional Class		TERNATIVE EQUITY 2,919.039 Absolute Strategies I	INTERNATIONAL EQUITY 8,457.071 Pax World International Inst		Parnassus Small-Cap	Parnassus Equity	Neuberger Berman	Security
	81.39	10.63 10.20	9.78		11.25	7.92		22.57	29.85	26.98	Adjusted Unit Cost
187,920.01 187,920.01	37,520.01	50,250.00 70,000.00	30,150.00	277,380.00	32,830.00	67,000.00	177,550.00	43,550.00	80,400.00	53,600.00	Total Adjusted Cost
ı	79.93	10.27 9.38	9.69		10.97	9.38		28.72	36.73	34.88	Price
179,614.06 179,614.06	36,847.73	48,528.89 64,354.15	29,883.28	335,000.14	32,021.86	79,327.33	223,650.96	55,416.76	98,939.60	69,294.60	Market Value
31.2	6.4	8.4 11.2	5.2	58.3	5.6	13.8	38.9	9.6	17.2	12.1	Pct. Assets



CliftonLarsonAllen Wealth Advisors PORTFOLIO APPRAISAL Joseph Bock

December 31, 2013 Strategy: SMA

Security Adjusted Unit Total Adjusted Cost Cost Price

CASH & EQUIVALENTS

Quantity

TOTAL PORTFOLIO

Money Market Fund

60,195.93 60,195.93

525,495.94

574,810.13

100.0

60,195.93 60,195.93

10.5

Market Value

Assets Pct.

CliftonLarsonAllen

## CliftonLarsonAllen Wealth Advisors **INCOME AND EXPENSES**

## Joseph Bock

Strategy: SMA From 01-01-2013 Through 12-31-2013

Equity Funds nbsrx Neuberger Berman Socially	Amount  Resp Inv  596.39
nbsrx Neuberger Berman Socially 1	
	596.39
12-16-2013 12-16-2013	
prilx Parnassus Equity Income - In	nst
03-28-2013 03-28-2013	297.12
06-28-2013 06-28-2013	307.62
09-30-2013 09-30-2013	383.50
12-27-2013 12-27-2013	479.2
	1,467.53
parsx Parnassus Small-Cap	
12-27-2013 12-27-2013	789.5
pxnix Pax World International Inst	
06-20-2013 06-20-2013	810.83
12-20-2013 12-20-2013	479.00
	1,289.83
Equity Funds Total	4,143.34
Bond Funds	
bsbix Baird Short-Term Bond Insti	tutional Class
01-25-2013 01-25-2013	38.6
02-25-2013 02-25-2013	43.6
03-25-2013 03-25-2013	44.49
04-25-2013 04-25-2013	49.5
05-28-2013 05-28-2013	43.60
06-25-2013 06-25-2013	45.50
07-25-2013 07-25-2013	37.30
08-26-2013 08-26-2013	38.5
09-25-2013 09-25-2013	41.7
10-25-2013 10-25-2013	40.5
11-25-2013 11-25-2013	40.10
12-26-2013 12-26-2013	59.90
	523.93
fpnix FPA New Income	
01-02-2013 01-02-2013	330.7

## CliftonLarsonAllen Wealth Advisors **INCOME AND EXPENSES**

## Joseph Bock

Strategy: SMA From 01-01-2013 Through 12-31-2013

Symbol		Security	
	Ex-Date	Pay-Date	Amount
	04-01-2013	04-01-2013	370.00
	07-01-2013	07-01-2013	378.02
	10-01-2013	10-01-2013	425.28
	12-18-2013	12-18-2013	567.04 378.02
	12-10-2015	12-10-2013	2,079.13
	-0.400 m		2,017.13
ptsax		Return III Instl	
	01-31-2013	01-31-2013	104.22
	02-28-2013	02-28-2013	117.94
	03-28-2013	03-28-2013	148.03
	04-30-2013	04-30-2013	181.23
	0 <del>5</del> -31-2013	05-31-2013	155.62
	06-28-2013	06-28-2013	103.65
	07-31-2013	07-31-2013	113.22
	08-30-2013	08-30-2013	113.37
	09-30-2013	09-30-2013	88.42
	10-31-2013	10-31-2013	96.51
	11-29-2013	11-29-2013	102.52
	12-31-2013	12-31-2013	70.35
			1,395.08
bsv	Vanguard Sh	ort Term Bond ETF	
	02-07-2013	02-07-2013	43.37
	03-07-2013	03-07-2013	37.41
	04-05-2013	04-05-2013	38.93
	05-07-2013	05-07-2013	37.52
	06-07-2013	06-07-2013	37.43
	07-08-2013	07-08-2013	35.16
	08-07-2013	08-07-2013	34.66
	09-09-2013	09-09-2013	34.96
	10-07-2013	10-07-2013	33.71
	11-07-2013	11-07-2013	35.24
	12-06-2013	12-06-2013	33.79
	12-31-2013	12-31-2013	
	12-31-2013	12-31-2013	35.55 437.73
	Bond Funds	Total	4,435.86
Cash			
mmf	Money Mark	et Fund	

## CliftonLarsonAllen Wealth Advisors **INCOME AND EXPENSES**

## Joseph Bock

Strategy: SMA From 01-01-2013 Through 12-31-2013

Symbol	Security	
Ex-Date	Pay-Date	Amount
01-15-2013	01-15-2013	0.50
02-15-2013	02-15-2013	0.56
03-15-2013	03-15-2013	0.49
04-15-2013	04-15-2013	0.44
05-15-2013	05-15-2013	0.41
06-15-2013	06-15-2013	0.37
07-15-2013	07-15-2013	0.38
08-15-2013	08-15-2013	0.37
09-15-2013	09-15-2013	0.39
10-15-2013	10-15-2013	0.38
11-15-2013	11-15-2013	0.37
12-15-2013	12-15-2013	0.38
12-13-2013	12-13-2013	0.41
		4.95
	NCE EXPENSE ACCOUNTS	
manfee Management		
01-30-2013	01-30-2013	30.25
01-30-2013	01-30-2013	171.36
01-30-2013	01-30-2013	1,291.34
01-30-2013	01-30-2013	44.87
01-30-2013	01-30-2013	102.10
04-24-2013	04-24-2013	1 <b>74</b> .91
04-24-2013	04-24-2013	99.63
04-24-2013	04-24-2013	59.56
04-24-2013	04-24-2013	59.56
04-24-2013	04-24-2013	1,296.75
08-09-2013	08-09-2013	1,292.24
08-09-2013	08-09-2013	164.72
08-09-2013	08-09-2013	90.50
08-09-2013	08-09-2013	57.37
08-09-2013	08-09-2013	57.37
10-30-2013	10-30-2013	172.46
10-30-2013	10-30-2013	91.42
10-30-2013	10-30-2013	58.28
10-30-2013	10-30-2013	58.28
10-30-2013	10-30-2013	1,339.74
		6,712.71
NET INCOME		1,871.44

## CliftonLarsonAllen Wealth Advisors PORTFOLIO APPRAISAL Joseph Bock Roth Contributory IRA

Strategy: Advisor Designed
December 31, 2013

24,335.16		24,672.78		OLIO	TOTAL PORTFOLIO
13,679.90		13,679.90			
13,679		13,679.90		IVALENTS Money Market Fund	CASH CASH & EQUIVALENTS Money Ma
10,655.26		10,992.88		ţ	
10,655.26	41.14	10,992.88	42.44	TY FUNDS  RNATIONAL EQUITY  259.000 Vanguard FTSE  Emerging Markets ETF	EQUITY FUNDS INTERNATIONAL EQUITY 259.000 Vanguard FTS Emerging Mar
rket	Price Valu	Total Adjusted Cost	Adjusted Unit Cost	Security	Quantity



CliftonLarsonAllen Wealth Advisors
PORTFOLIO APPRAISAL

Joseph Bock Roth Conversion IRA

Strategy: Balanced
December 31, 2013

Quantity	Security	Adjusted Unit Cost	Total Adjusted Cost	Price	Market Value	Pct.
EQUITY FUNDS OPPORTUNISTIC EQUITY 241,000 Market Vect	Y FUNDS ORTUNISTIC EQUITY 241.000 Market Vectors Gold Miners	54.03	13,020.30	21.13	5,092.33	13.5
	TALLING O		13,020.30	ı	5,092.33	13.5
BOND FUNDS ALTERNATIVE 2,102.710	OND FUNDS ALTERNATIVE FIXED INCOME 2,102.710 Principal Global Div	14.03	29,500.00	14.07	29,585.13	78.6
	115 115 11		29,500.00	1	29,585.13	78.6
CASH CASH & EQUIVALENTS Money Ma	VALENTS Money Market Fund		2,966.59		2,966.59	7.9
			2,966.59	ı	2,966.59	7.9
TOTAL PORTFOLIO	PLIO		45,486.89		37,644.05	100.0



SCHEDULE II — ASSETS AND "UNEARNED" INCOME

Name JOSEPH G. BOCK

Continuation Sheet (if needed)

None					35	54	58	38	л, рс	Se .		
None   None						ITAA-CREF ELLA-62	PLAN - PORTECO				Asset and/or Income Source	BLOCK A
NONE   DIVIDENDS   RENT   INTEREST   CAPITAL GAINS   EXCEPTED/BLIND TRUST   TAX-DEFERRED   Other Type of Income or Farm Income)     X   X   X   X   X   X   X   X   X					*			×	\$1 - \$1,000 \$1,001 - \$15,000 \$15,001 - \$50,000 \$50,001 - \$100,000 \$100,001 - \$250,000 \$250,001 - \$500,000 \$500,001 - \$1,000,000 \$1,000,001 - \$5,000,000 \$5,000,001 - \$25,000,000 \$25,000,001 - \$50,000,000 Over \$50,000,000	8 C D E F G H   J K L	Value of Asset	вгоск в
None					*	×	×	<b>X</b>	DIVIDENDS RENT INTEREST CAPITAL GAINS EXCEPTED/BLIND TRUST TAX-DEFERRED Other Type of Income(Specify		Type of Income	BLOCK C
₽ ; ;   }     ;           L ■\$201~\$1.000									None -   \$1 - \$200 =   \$201 - \$1,000 \  \equiv   \$1,001 - \$2,500 \  \equiv   \$2,501 - \$5,000 \  \equiv   \$5,001 - \$15,000 \  \equiv   \$15,001 - \$50,000 \  \equiv   \$50,001 - \$100,000 \  \equiv   \$100,001 - \$1,000,000 \  \equiv   \$1,000,001 - \$5,000,000 \  \equiv   \$0ver \$5,000,000 \  \equiv		Amount of Income	BLOCK D

SCHEDULE II — ASSETS AND "UNEARNED" INCOME

None	SCHEDULE II — ASSETS AND "UNEARNED" INCOME	D "UNEARNED" INCOME	m	Name JOSEPH G. BOC
None				
None				
None	Asset and/or Income Source	Value of Asset	Type of Income	Amount
None	SP,	BCDEFGHIJKL	fy: e.g.,	
None   Si - Si,000   Si,001 - Si0,000   Si,000	JT.	00 000 000 0,000 00,000 000,000	D TRUST	- = = = = = = = = = = = = = = = = = = =
LYKE FAMILY  LIKE FAMILY  LIKE FAMILY  REPONDED  CRUTCHES  CONF  REPONDED  CONF  REPONDED  CAPANNY  REPONDED  CAPANNY  REPOND  CAPANNY  X  X  X  X  X  X  X  X  X  X  X  X  X	C	\$1 - \$1,000 \$1,001 - \$15,000 \$15,001 - \$50,000 \$50,001 - \$100,000 \$100,001 - \$250,000 \$250,001 - \$500,001 \$500,001 - \$5,000 \$5,000,001 - \$5,000 \$5,000,001 - \$25,000 \$25,000,001 - \$50,000 \$250,000,000 - \$50,000	NONE DIVIDENDS RENT INTEREST CAPITAL GAINS EXCEPTED/BLIND TAX-DEFERRED Other Type of Incompany	None \$1 - \$200 \$201 - \$1,000 \$1,001 - \$2,500 \$2,501 - \$5,000 \$5,001 - \$15,000 \$15,001 - \$50,000 \$50,001 - \$100,000 \$100,001 - \$5,000,00 Over \$5,000,000
REPONJULE  (BUELDENG)  (CHON, WE CORR  REPONJULE  REPON	SP LYKE FAMILY SP LIMITED PART-	×		***
CBUSINGS  LYKE CORP.  PRINTING COMPANY  REPORT CORP.  REPORT X X X X X X X X X X X X X X X X X X X	NERSHIP RTPON, WI			
TRUST OF 1994  CSEE DETAIL)  AYKE CORR PRINTING COMPANY  X X X X X  X REPONJUL X  X X X X X X  X X X X X X  X X X X X X  X X X X X X  X X X X X X  X X X X X X  X X X X X X  X X X X X X  X X X X X X  X X X X X X  X X X X X X  X X X X X X  X X X X X X  X X X X X X  X X X X X X X  X X X X X X X  X X X X X X  X X X X X X X  X X X X X X X  X X X X X X X  X X X X X X X  X X X X X X X  X X X X X X X  X X X X X X X  X X X X X X X X  X X X X X X X  X X X X X X X  X X X X X X X  X X X X X X X X  X X X X X X X X  X X X X X X X X  X X X X X X X X X  X X X X X X X X X X  X	(BUZLDENG)			
RSFON, WILL RSTOCK)  FAMILY TRUST  X  X  X  X  X  X  X  X  X  X  X  X  X	LYKE C	×	X	*
TRREVOCABLE TRAT  NETLIFFE TALS.  NHE TARECT  NAME TARE  POLICY  NAME TARE  POLICY  NAME TARE  NAME				
TRIST OF 1994  CSEE DETALL)  TRUST OF 1994  CSEE DETALL)	FA.	*	×	×
TRREVOCABLE TANS X X X X X X X X X X X X X X X X X X X				
NETLIFE INS.  N'ML INS.  N'ML INS.  X  X  X  X  X  X  X  X  X  X  X  X  X	TRREVOCABLE			
NML INS.  TRUST OF 1994  (SEE DETAIL)	7 6:	*	*	*
TRUST OF 1994  (SEE DETAIL)  X	7	×	X	X
TRUST OF 1994 X X X (SEE DETAIL)	70			
DETAIL)	TRUST OF 1	X	X	*
	(see de			

	AT&T INC COM	DONNELLEY R R & SONS	QUAD / GRAPHICS INC COM	NOVARTIS AG ADR	NATIONAL OILWELL VARCO INC	ALTRIA GROUP INC	GENERAL ELECTRIC CO	EXELON CORP	BERKSHIRE HATHAWAY INC DEL CL B	BANK OF MONTREAL COM	ASTRAZENECA ADR	FIDELITY TAX-FREE MONEY MARKET	Description
													Quantity
	500	1,500.00	1,000.00	400	500	700	500	800	100	500	100	149,461.53	
													Most Recent Price
	35.67	17.2	24.41	78.29	82.94	37.73	27.17	28.05	115.72	70.55	53.24	ы	
404,892.73	17,835.00	25,800.00	24,410.00	31,316.00	41,470.00	26,410.30	13,582.50	22,436.40	11,572.00	35,275.00	5,324.00	149,461.53	Most Recent Value

## SCHEDULE II - ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)			Name JOSEPH G. B
BLOCK A	BLOCK B	вгоск с	ВLОСК D
Asset and/or Income Source	Value of Asset	Type of Income	Amount of Income
SP. PREMATEUT HELD	8 C C D E F G H	y: e.g.,	Current Year
INVESTA	,000 ,000	UST (Specify	
8		E DENDS F	
	\$15,001 \$50,001 \$100,00 \$250,00 \$500,00 \$1,000, \$5,000, \$25,000 Over \$5	NONE DIVIDE RENT INTERE CAPITA EXCEP TAX-DE Other	\$2,501 - \$5,001 - \$15,001 \$50,001 \$100,00 \$1,000,0
ST EQUIPMENT	X	X	X
HORIZOTAL WENDS	X	×	X
TMITM			
ST PRODUCTS OF MN	χ	*	X
EXCY K			
NATA POLIS			
ST TECHNOLOGIES	<b>Ά</b>	×	X
73.20			
A CHY			
BACTRATES AND	×	×	×
30,75 S			

## SCHEDULE III — LIABILITIES

Name Joseph G. BOCK

Page 33 0135

Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount ture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report revolving charge accounts (i.e., credit cards) only if the balance at the close of the previous calendar year exceeded \$10,000. owed during the reporting period. Exclude: Any mortgage on your personal residence (unless there is rental income); loans secured by automobiles, household furni-

_	 				
				JT, CSP,	
		None.	Example: First Bank of Wilmington, DE	Creditor	
			May 1998	Date Liability Incurred mo/year	
			Mortgage on 123 Main Street, Dover, DE	Type of Liability	
				\$10,001— \$15,000	Ē
				\$15,001— \$50,000 <b>W</b>	
				\$50,001— \$100,000 O	
				\$100,001— \$250,000 □ \$250,001—	
				\$500,000	Amount of Liability
				\$1,000,000 ៕ \$1,000,001— \$5,000,000	nt of L
				\$5,000,000 \$7 \$5,000,001— \$25,000,000 \$2	iability
				\$25,000,001— \$50,000,000	•
				Over \$50,000,000	
				Spouse/DC Liability over ス \$1,000,000	

## SCHEDULE IV — POSITIONS

Report all positions, compensated or uncompensated, held on or before the date of filing during the current calendar year and in the two prior years as an officer, director, trustee, partner, proprietor, representative, employee, or consultant of any corporation, company, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

and positions solely of an honorary nature Exclude: Positions listed on Schedule I; positions held in any religious, social, fraternal, or political entities (such as a political party or campaign organization);

and positions solely of an instrument flatares	TAKE OF
Position	Name of Organization
MEMBER	ANTI-VIOLENCE COMMISSION, CITY OF SOUTH BEND
MEMBER	SAFETY AND SECURITY COMMETTER SOUTH BEND COMMUNITY SCHOOL CORP.
MEMBER	INTERNATIONAL ADVISORY COMMITTEE AMERICAN REDCROSS, SAUNT JOSEAN
TREASURER	HOME OWNERS' ASSOCIATION, THE POINT AT NORTH SHORE WOODS, SOUTH BEND
MEABER	ADVISORY COMMITTEE, CENTER FORCONFLICT STYDIES, MONTEREY INSTITUTE

Use additional sheets if more space is required.

## SCHEDULE III — LIABILITIES

Name JOSEM G. BOCK

Page 34 of 35

owed during the reporting period. Exclude: Any mortgage on your personal residence (unless there is rental income); loans secured by automobiles, household furni-Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount ling of you or your spouse. Report revolving charge accounts (i.e., credit cards) only if the balance at the close of the previous calendar year exceeded \$10,000. ture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to a spouse, or the child, parent, or sib-

ı		<u> </u>	r	_	_		
						J D SP,	
				Novie.	Example: First Bank of Wilmington, DE	Creditor	
					May 1998	Date Liability Incurred mo/year	ļ
					Mortgage on 123 Main Street, Dover, DE	Type of Liability	
						\$10,001— \$15,000	
						\$15,001— \$50,000	
						\$50,001— \$100,000 O	
					×	\$100,001— \$250,000 ••• \$250,001—	
		•				\$500,000 m \$500,001	Amou
						\$1,000,000 TI \$1,000,001 \$5,000,000 PI	nt of L
						\$5,000,000 S \$5,000,001— \$25,000,000 I	Amount of Liability
	-					\$25,000,001— \$50,000,000	
	· · · · · · · · · · · · · · · · · · ·		· · · · · · · · · · · · · · · · · · ·			Over \$50,000,000	
						Spouse/DC Liability over ス \$1,000,000	

## SCHEDULE IV — POSITIONS

Report all positions, compensated or uncompensated, held on or before the date of filing during the current calendar year and in the two prior years as an officer, director, trustee, partner, proprietor, representative, employee, or consultant of any corporation, company, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

and positions solely of an honorary nature Exclude: Positions listed on Schedule I; positions held in any religious, social, fraternal, or political entities (such as a political party or campaign organization);

and positions solely or an honorary nature.	iaulo.
Position	Name of Organization
EDITOREAL ADVISOR	DEVELOPMENT IN PRACTICE, OXFORD
MEMBER	EDETOREAL BOARD, SAGE
VISITING FELLOW	GONZAGA UNIVERSITY, SPOKANE
MEMBER OF ADVISORY	UNICEF AND GATES FOUNDATION

## SCHEDULE V — AGREEMENTS

Name JOSEPH G. BOCK

35 or 35

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.
---

		Nev. 1,2012	Nov. 8, 2013	Date
		NOV. 1,2012 STATE OF MESSOURE & HE	NOV. 8, 2013 GREG CRAWFORD, DEAN OF SCHENCE WATERSETY OF NOTICE DAME & ME	Parties To
		PARTECE PATION	REDUCTION OF ARBENTHENT TO 50%	Terms of Agreement

# SCHEDULE VI -- COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

Report sources of such compensation received by you or your business affiliation for services provided directly by you during the two prior years. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any nonprofit organization if you directly provided the services generating a fee or payment of more than \$5,000. Exclude: Payments by the U.S. Government and any information considered confidential as a result of a privileged relationship recognized by law. Do not repeat Information listed on Schedule 1.

•	
Source (Name and Address)	Brief Description of Duties
Example: Doe Jones & Smith, Hometown, Homestate	Accounting services
(NONE TO ADD)	