

UNITED STATES HOUSE OF REPRESENTATIVES CALENDAR YEAR 2012 FINANCIAL DISCLOSURE STATEMENT

FORM A
For use by Members, officers, and employees

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**1/HAND
DELIVERED**

Rep. Luis V. Guterrez

(Full Name)

(Daytime Telephone)

2013 MAR 13 AM 11:07

(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.	

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

IPO-- Did you purchase any shares that were allocated as a part of an Initial Public Offering?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Trusts-- Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Exemptions-- 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 Rep. Luis V. Gutierrez

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 Rep. Luis V. Gutierrez

BLOCK A Asset and/or Income Source		BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E 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 sources 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) provide the value for each asset held in the account that exceeds the reporting thresholds.</p> <p>For rental or other real property held for investment, provide a complete address or a description, e.g., "rental property," and a city and state.</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>For a detailed discussion of Schedule III requirements, please refer to the instruction booklet.</p>		<p>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.</p> <p>If an asset was sold during the reporting year and is included only because it generated income, the value should be "None."</p> <p>* This column is for assets held solely by your spouse or dependent child.</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 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. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.</p> <p>* This column is for income generated by assets held solely by your spouse or dependent child.</p>	<p>Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</p>
	BOOK (Norton)	undetermined	None	NONE	
JT	535 Marina St Rio Grande, PR	None	None	[-\$100,000]	S
JT	615 Vistamar St Rio Grande, PR	None	RENT	\$2,501 - \$5,000	S
JT	615 Vistamar St Rio Grande, PR	None	CAPITAL GAINS	\$15,001 - \$50,000	S
JT	Great American Insurance Corporation Annuity (fixed) See note 2	None	INTEREST	\$15,001 - \$50,000	S
JT	New York Life Insurance Annuity (fixed)	\$100,001 - \$250,000	INTEREST	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Rep. Luis V. Gutierrez

Pacific Life Annuity:				
1. DCA Plus 12-Month (fixed)	\$50,001 - \$100,000	None	NONE	P
2. Port Opt Conservative (variable)	\$250,001 - \$500,000	None	NONE	P
3. BR Global Allocation (variable)	None	None	NONE	S
4. FT Founding Funds (variable)	None	None	NONE	S
5. American Asset Alloc (variable)	None	None	NONE	S
6. PIMCO Global Multi-Asset (variable)	None	None	NONE	S
7. Port Opt Growth (variable)	None	None	NONE	S
PNC Checking Account	\$15,001 - \$50,000	INTEREST	\$1 - \$200	
American Express Savings Account	\$1 - \$1,000	INTEREST	\$1 - \$200	

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) provide the value for each asset held in the account that exceeds the reporting thresholds.</p> <p>For rental or other real property held for investment, provide a complete address or a description, e.g., "rental property," and a city and state.</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>For a detailed discussion of Schedule III requirements, please refer to the instruction booklet.</p>	<p>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.</p> <p>If an asset was sold during the reporting year and is included only because it generated income, the value should be "None."</p> <p>* This column is for assets held solely by your spouse or dependent child.</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 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.</p> <p>Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.</p> <p>* This column is for income generated by assets held solely by your spouse or dependent child.</p>	<p>Indicate if asset had purchases (P), sales (S), or exchanges (E) exceeding \$1,000 in reporting year.</p>
Charles Schwab#1:				
Bay Area Toll Auth	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
California St for 5% 23	\$1,001 - \$15,000	INTEREST	\$201 - \$1,000	P
California St for 5%22	\$15,001 - \$50,000	INTEREST/CAPITAL GAINS	\$201 - \$1,000	S(part)
District of Columbia 5%19	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
Massachusetts St 5%20	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Luis V Gutierrez

Metropolitan Transn5%24	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P
Montana FAC 5%22	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P
Nebraska PUB5%19	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
New Jersey Econ	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P
New Jersey St TPK	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P
New Jersey St TR	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P
New York NY	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
North Carolina Mun	\$1,001 - \$15,000	INTEREST	\$1 - \$200	P
Ohio State-4%	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
Oklahoma St-WTR	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
Orange County FL	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
Pennsylvania Econ	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
Rhode Island Clean	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
Virginia St Res	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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Washington State-FOR	\$15,001 - \$50,000	INTEREST	\$201 - \$1,000	P
AT&T	None	CAPITAL GAINS	\$1,001 - \$2,500	S
Ameren Corp	None	CAPITAL GAINS	\$201 - \$1,000	S
Charles Schwab#2				
TIAA Cref High Yield	\$50,001 - \$100,000	INTEREST	\$201 - \$1,000	P
SP Charles Schwab#3				
Guggenheim Exchg	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	P
Ishares Etf	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
ISHARES ftse	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	P
Ishares Gold Trust	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	P
Ishares MSCI	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	P
Ishares Hong Kong	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	P
Ishares TR Barclays 1-3yrs	\$1,001 - \$15,000	CAPITAL GAINS	NONE	PS(part)

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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Ishares Barclays 7-10yrs	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
Ishares Barclays Tip	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	PS(part)
Pimco Exch	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	PS(part)
Powershares S&P	\$1,001 - \$15,000	CAPITAL GAINS	NONE	PS(part)
Powershs DB	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
Powershs Exch	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	P
Powershs QQQ	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
SPDR Barclays	\$15,001 - \$50,000	CAPITAL GAINS	NONE	P
Vanguard Bond	\$15,001 - \$50,000	CAPITAL GAINS	NONE	P
Vanguard Div Appreciation	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	PS(part)
Vanguard Reit	\$15,001 - \$50,000	CAPITAL GAINS	\$1 - \$200	P
Vanguard Total	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	P

SP

Charles Schwab#4:

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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Egshares ETF	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	P
Ishares ETF	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
Ishares FTSE	\$15,001 - \$50,000	CAPITAL GAINS	\$1,001 - \$2,500	P
Ishares Gold Trust	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	P
Ishares MSCI Gmny	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	P
Ishares Hong Kong	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	P
Ishares TR Barclays	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
Ishares TR Barclay Tips	\$15,001 - \$50,000	CAPITAL GAINS	\$1 - \$200	PS(part)
Ishares TR Russell	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	P
Powershares S&P ETF	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
Powershares DB	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
Powershares Exch Trad	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	P
Powershares QQQ	\$15,001 - \$50,000	CAPITAL GAINS	NONE	P
SPDR Barclays ETF	\$15,001 - \$50,000	CAPITAL GAINS	NONE	PS(part)

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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SPdr Gold Tr	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	P
Vanguard Bond Index Fund	\$15,001 - \$50,000	CAPITAL GAINS	NONE	P
Vanguard Div Appr	\$15,001 - \$50,000	CAPITAL GAINS	\$201 - \$1,000	P
Vanguard Msci	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	P
Vanguard MSCI	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	P
Vanguard REIT	\$15,001 - \$50,000	CAPITAL GAINS	\$1 - \$200	P
Vanguard Total Stock	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	P
Wisdomtree Asia	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	P
SP Charles Schwab#5:				
Egshares ETF	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	P
Ishares ETF	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
Ishares FTSE	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	P
Ishares Gold	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
Ishares MSCI Germany	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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Ishares Hong Kong	\$1,001 - \$15,000	CAPITAL GAINS	\$201 - \$1,000	P
Ishares TR Barclays Bond	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
Ishares TR Russell	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
Market Vectors	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
Powershares S&P	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
Powershs DB	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
Powershs Exch Trad	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	P
Powershs QQQTrust	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
Spdr Gold Trust	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
Vanguard Div Appr	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
Vanguard MSCI EAFE	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	P
Vanguard MSCI Emerging	\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	P
Vanguard REIT	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
VanguardTotal Stock	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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SP		\$1,001 - \$15,000	CAPITAL GAINS	\$1 - \$200	P
	Wisdomtree Asia				
	Charles Schwab#6:				
	American Century Inter	\$100,001 - \$250,000	CAPITAL GAINS	NONE	P
	Pimco Total return	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
	Ishares IBOXX	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
	American FD New	None	CAPITAL GAINS	\$201 - \$1,000	S
	Amerisourcebergen	None	CAPITAL GAINS	\$201 - \$1,000	S
	American Eagle	None	CAPITAL GAINS	\$201 - \$1,000	S
	Eaton Corp	None	CAPITAL GAINS	\$201 - \$1,000	S
	Hebalfie Ltd	None	CAPITAL GAINS	\$201 - \$1,000	S
	Home Depot	None	/CAPITAL GAINS	\$1,001 - \$2,500	S
	International Paper	None	CAPITAL GAINS	\$201 - \$1,000	S
	IBM	None	CAPITAL GAINS	\$201 - \$1,000	S
	KLA Tencor	None	CAPITAL GAINS	\$201 - \$1,000	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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Merck & Co	None	CAPITAL GAINS	\$1,001 - \$2,500	\$
Pfizer Inc	None	CAPITAL GAINS	\$201 - \$1,000	\$
Phillips 66	None	CAPITAL GAINS	\$201 - \$1,000	\$
SCHW US Caps	None	CAPITAL GAINS	\$2,501 - \$5,000	\$
Time Warner	None	CAPITAL GAINS	\$1,001 - \$2,500	\$
US Bancorp	None	CAPITAL GAINS	\$1,001 - \$2,500	\$
United Parcel Ser	None	CAPITAL GAINS	\$201 - \$1,000	\$
VF Corp	None	CAPITAL GAINS	\$201 - \$1,000	\$
Wells Fargo	None	CAPITAL GAINS	\$1,001 - \$2,500	\$
Williams Co	None	CAPITAL GAINS	\$1,001 - \$2,500	\$
Arizona St Trans	None	CAPITAL GAINS	\$201 - \$1,000	\$
Delafield Fund	None	CAPITAL GAINS	\$201 - \$1,000	\$
SCHW US Scap	None	CAPITAL GAINS	\$201 - \$1,000	\$
Sector SPDR Health	None	CAPITAL GAINS	\$201 - \$1,000	\$

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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	Cohen & Steers Realty	None	CAPITAL GAINS	\$1,001 - \$2,500	S	
	Health Care REIT	None	CAPITAL GAINS	\$2,501 - \$5,000	S	
	Manager Real estate	None	CAPITAL GAINS	\$201 - \$1,000	S	
	Ridgeworth High Incom	None	CAPITAL GAINS	\$201 - \$1,000	S	
	SCHW US Lcap	None	CAPITAL GAINS	\$5,001 - \$15,000	S	
SP	Ishares TR Barclays Tips	None	CAPITAL GAINS	\$201 - \$1,000	S	
SP	Ishares TR Barclays Tips	None	CAPITAL GAINS	\$201 - \$1,000	S	
	Prudential Annuity (Note 1) Retirement Reallocation:					
	Cohen & Steers Realty	\$1,001 - \$15,000	DIVIDENDS/CAPITAL GAINS	NONE	P	
	JP Morgan Intl Equity	\$15,001 - \$50,000	DIVIDENDS/CAPITAL GAINS	NONE	P	
	Pimco Total return bond	\$50,001 - \$100,000	DIVIDENDS/CAPITAL GAINS	NONE	P	
	T.Rowe Price Asset	\$50,001 - \$100,000	CAPITAL GAINS/DIVIDENDS	NONE	P	
	Flordia St	\$15,001 - \$50,000	CAPITAL GAINS	NONE	P	
	California St PUB	\$15,001 - \$50,000	CAPITAL GAINS	NONE	P	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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California GO	\$1,001 - \$15,000	CAPITAL GAINS	NONE	P
T. Rowe Price Lage Cap	None	CAPITAL GAINS	NONE	S
Mid-Small Cap	None	CAPITAL GAINS	NONE	S
International growth	None	CAPITAL GAINS	NONE	S
First Cap	None	CAPITAL GAINS	NONE	S
Bonds-Lord Abbett	None	CAPITAL GAINS	NONE	S

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SCHEDULE IV - TRANSACTIONS

Name Rep. Luis V. Gutierrez

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Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded \$1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.

Capital Gains — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.

* This column is for assets solely held by your spouse or dependent child.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	615 Vistamar St Rio Grande, PR	S	Yes	06-27-12	\$100,001 - \$250,000
JT	535 Marina St Rio Grande, PR	S	No	10-15-12	\$100,001 - \$250,000
JT	Great American Insurance Corporation Annuity (fixed)	S	No	09-11-2012	\$100,001 - \$250,000
	Pacific Life Annuity: 1. DCA Plus 12-Month (fixed)	P	N/A	9-17-2012	\$100,001 - \$250,000
	2.Port Opt Conservative (variable)	P	N/A	8-14-12	\$100,001 - \$250,000
	3. BR Global Allocation (variable)	S	No	8-14-12	\$15,001 - \$50,000
	4. FT Founding Funds (variable)	S	No	8-14-12	\$15,001 - \$50,000
	5. American Asset Alloc (variable)	S	No	8-14-12	\$15,001 - \$50,000
	6. PIMCO Global Multi-Asset (variable)	S	No	8-14-12	\$15,001 - \$50,000
	7. Port Opt Growth (variable)	S	No	12-14-12	\$50,001 - \$100,000

SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale, or exchange transactions by you, your spouse, or dependent child during the reporting period of any security or real property held for investment that exceeded \$1,000. Include transactions that resulted in a capital loss. Provide a brief description of any exchange transaction. Exclude transactions between you, your spouse or dependent children, or the purchase or sale of your personal residence, unless it generates rental income. If only a portion of an asset is sold, please so indicate (i.e., "partial sale"). See example below.
 Capital Gains — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.
 * This column is for assets solely held by your spouse or dependent child.

SP, DC, JT	Asset	Type of Transaction	Capital Gain In Excess of \$200?	Date	Amount of Transaction
Chales Scwab #1					
	Affac Inc	P	N/A	02-27-12	\$1,001 - \$15,000
	Affac Inc	S	No	07-27-12	\$1,001 - \$15,000
	AT&T Inc	P	N/A	01-10-12	\$1,001 - \$15,000
	AT&T	S	Yes	08-06-12	\$1,001 - \$15,000
	Activisosl Blizzard	P	N/A	02-09-12	\$1,001 - \$15,000
	Activision Blizzard	S	No	02-14-12	\$1,001 - \$15,000
	Ameren Corp	P	N/A	03-15-12	\$1,001 - \$15,000
	Ameren Corp	S	Yes	08-06-12	\$1,001 - \$15,000
	American FD CAP World	P	N/A	01-05-12 02-27-12	\$15,001 - \$50,000
	American FD CAP World	S	No	06-19-12	\$15,001 - \$50,000

SCHEDULE IV - TRANSACTIONS

Name Luis V Gutierrez

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Capital Gains — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	American FD New	P	N/A	01-05-12-02-27-12	\$15,001 - \$50,000
	American FD New	S	Yes	06-19-12	\$15,001 - \$50,000
	Amerisourcebergen	P	N/A	01-05-12	\$1,001 - \$15,000
	Amerisourcebergen	S	Yes	08-06-12	\$1,001 - \$15,000
	American Eagle	P	N/A	06-13-12	\$1,001 - \$15,000
	American Eagle	S	Yes	07-26-12	\$1,001 - \$15,000
	Anadarko Petro	P	N/A	01-06-12	\$1,001 - \$15,000
	Anadarko Ptero	S	No	03-06-12	\$1,001 - \$15,000
	Auto Data Processing	P	N/A	01-26-12 09-12-12	\$1,001 - \$15,000
	Auto Data Processing	S	No	07-26-12	\$1,001 - \$15,000
	Boeing Co	P	N/A	01-17-12 09-12-12	\$1,001 - \$15,000

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Capital Gains — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.
* This column is for assets solely held by your spouse or dependent child.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Boeing Co	S	No	08-06-12	\$1,001 - \$15,000
	CA inc	P	N/A	03-20-12	\$1,001 - \$15,000
	CA inc	S	No	08-06-12	\$1,001 - \$15,000
	Cardinal Health	P	N/A	01-05-12	\$1,001 - \$15,000
	Cardinal Health	S	No	03-06-12	\$1,001 - \$15,000
	Centerpoint Energy	P	N/A	01-05-12	\$1,001 - \$15,000
	Centerpoint Energy	S	No	03-06-12	\$1,001 - \$15,000
	Commerce Bancshares	P	N/A	02-27-12	\$1,001 - \$15,000
	Commerce Bancshares	S	No	02-27-12	\$1,001 - \$15,000
	Conagra Foods	P	N/A	05-25-12	\$1,001 - \$15,000
	Conagra Foods	S	No	07-26-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200*	Date	Amount of Transaction
	Conocophillips	P	N/A	01-05-12 01-13-12	\$1,001 - \$15,000
	Conocophillips	S	No	08-06-12	\$1,001 - \$15,000
	Diebold inc	P	N/A	03-01-12	\$1,001 - \$15,000
	Diebold inc	S	No	07-27-12	\$1,001 - \$15,000
	Dover Corp	P	N/A	03-14-12	\$1,001 - \$15,000
	Dover Corp	S	No	07-26-12	\$1,001 - \$15,000
	EOG Resource Inc	P	N/A	03-13-12	\$1,001 - \$15,000
	EOG Resource Inc	S	No	07-26-12	\$1,001 - \$15,000
	Eaton Corp	P	N/A	01-05-12	\$1,001 - \$15,000
	Eaton Corp	S	Yes	01-17-12	\$1,001 - \$15,000
	Herbalife	P	N/A	01-05-12 05-09-12	\$1,001 - \$15,000

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Capital Gains — if a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Herbalife	S	Yes	04-12-12 07-26-12	\$15,001 - \$50,000
	Home Depot	P	N/A	01-20-12	\$1,001 - \$15,000
	Home Depot	S	Yes	04-12-12 07-26-12	\$1,001 - \$15,000
	International paper	P	N/A	01-05-12	\$1,001 - \$15,000
	International paper	S	Yes	07-27-12	\$1,001 - \$15,000
	Interpublic Grp	P	N/A	04-17-12	\$1,001 - \$15,000
	Interpublic Grp	S	No	08-09-12	\$1,001 - \$15,000
	IBM	P	N/A	01-05-12	\$1,001 - \$15,000
	IBM	S	Yes	03-13-12	\$1,001 - \$15,000
	Jabil Circuit	P	N/A	01-05-12	\$1,001 - \$15,000
	Jabil Circuit	S	No	07-26-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	KLA Tencor	P	N/A	01-13-12	\$1,001 - \$15,000
	KLA	S	Yes	07-27-12	\$1,001 - \$15,000
	Kroger Co	P	N/A	01-05-12 02-09-12	\$1,001 - \$15,000
	Kroger Co	S	No	08-06-12	\$1,001 - \$15,000
	Marathon Oil	P	N/A	01-05-12	\$1,001 - \$15,000
	Marathon Oil	S	No	07-26-12	\$1,001 - \$15,000
	Merck Co	P	N/A	01-13-12 02-09-12	\$1,001 - \$15,000
	Merck Co	S	Yes	07-27-12	\$1,001 - \$15,000
	Mutual Global	P	N/A	01-05-12 02-27-12	\$15,001 - \$50,000
	Mutual Global	S	No	06-19-12	\$15,001 - \$50,000
	Norfolk Southern	P	N/A	01-13-12 02-09-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Norfolk Southern	S	No	03-06-12	\$1,001 - \$15,000
	Pfizer inc	P	N/A	03-14-12	\$1,001 - \$15,000
	Pfizer inc	S	Yes	07-27-12	\$1,001 - \$15,000
	Phillip 66	P	N/A	01-05-12 01-13-12	\$1,001 - \$15,000
	Phillip 66	S	Yes	08-06-12	\$1,001 - \$15,000
	SCH US REIT	P	N/A	07-27-12	\$1,001 - \$15,000
	SCH US REIT	S	No	08-06-12	\$1,001 - \$15,000
	SCHW US	P	N/A	07-27-12	\$1,001 - \$15,000
	SCHW US	S	No	08-06-12	\$1,001 - \$15,000
	SCHW US Leap	P	N/A	07-19-12 07-27-12	\$50,001 - \$100,000
	SCHW US Leap	S	Yes	08-06-12	\$100,001 - \$250,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	SCHW US smallcap	P	N/A	07-27-12	\$15,001 - \$50,000
	SCHW US small cap	S	No	08-06-12	\$15,001 - \$50,000
	Time Warner	P	N/A	01-15-12	\$1,001 - \$15,000
	Time Warner	S	Yes	07-26-12	\$1,001 - \$15,000
	US Bancorp	P	N/A	02-27-12	\$1,001 - \$15,000
	US Bancorp	S	Yes	08-07-12	\$1,001 - \$15,000
	United Parcel	P	N/A	01-05-12	\$1,001 - \$15,000
	United Parcel	S	Yes	08-06-12	\$1,001 - \$15,000
	Unitedhealth	P	N/A	01-05-12 02-09-12	\$1,001 - \$15,000
	United Health	S	No	08-06-12	\$1,001 - \$15,000
	VF Corp	P	N/A	01-19-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	VF Corp	S	Yes	06-12-12	\$1,001 - \$15,000
	Vectren Corp	P	N/A	01-13-12	\$1,001 - \$15,000
	Vectren Corp	S	No	07-27-12	\$1,001 - \$15,000
	Wells Fargo	P	N/A	02-27-12	\$1,001 - \$15,000
	Wells Fargo	S	Yes	08-09-12	\$1,001 - \$15,000
	Williams Co	P	N/A	01-05-12	\$1,001 - \$15,000
	Williams Co	S	Yes	07-27-12	\$1,001 - \$15,000
	Williams Sonoma	P	N/A	01-05-12 02-09-12	\$1,001 - \$15,000
	Williams Sonoma	S	No	04-17-12	\$1,001 - \$15,000
	Appleseed FD	S	No	01-19-12	\$1,001 - \$15,000
	Arizona St	P	N/A	08-22-12	\$15,001 - \$50,000

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	Arizona St	S	Yes	11-28-12	\$15,001 - \$50,000
	California St	P	N/A	09-25-12	\$1,001 - \$15,000
	California St	S(part)	No	12-10-12	\$1,001 - \$15,000
	Chicago ILL	P	N/A	03-05-12	\$15,001 - \$50,000
	Chicago, ILL	S	No	08-06-12	\$15,001 - \$50,000
	Chicago ILL	P	N/A	06-27-12	\$15,001 - \$50,000
	Chicago ILL	S	No	08-06-12	\$15,001 - \$50,000
	Chicago ILL	P	N/A	01-05-12 06-07-12	\$15,001 - \$50,000
	Chicago, ILL	S	No	08-06-12	\$15,001 - \$50,000
	Chicago Brd ED	P	N/A	01-05-12	\$15,001 - \$50,000
	Chicago Brd of ED	S	No	08-06-12	\$15,001 - \$50,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Chicago Brd ED 5%	P	N/A	08-22-12	\$1,001 - \$15,000
	Chicago Brd ED 5%	S	No	08-06-12	\$1,001 - \$15,000
	Chicago Tran	P	N/A	01-11-12	\$15,001 - \$50,000
	Chicago Trans	S	No	08-06-12	\$15,001 - \$50,000
	Cobb Cnty GA	P	N/A	01-06-12	\$1,001 - \$15,000
	Cobb Cnty GA	S	No	08-06-12	\$1,001 - \$15,000
	Columbus Ohio	P	N/A	05-22-12	\$1,001 - \$15,000
	Columbus Ohio	S	No	08-06-12	\$1,001 - \$15,000
	Columbus Ohio	P	N/A	06-29-12	\$1,001 - \$15,000
	Columbus Ohio	S	No	08-06-12	\$1,001 - \$15,000
	Delafield Fund	S	Yes	01-18-12	\$1,001 - \$15,000

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	DU Page Cnty	P	N/A	06-22-12	\$1,001 - \$15,000
	DU Page Cnty	S	No	08-06-12	\$1,001 - \$15,000
	Fayette Cnty GA	P	N/A	03-01-12	\$1,001 - \$15,000
	Fayette Cnty GA	S	No	08-06-12	\$1,001 - \$15,000
	FMI Large Cap Fund	S	No	01-24-12	\$1,001 - \$15,000
	Glenmede Small Cap	S	No	01-24-12	\$1,001 - \$15,000
	Gwinnett Cnty GA	P	N/A	03-26-12	\$1,001 - \$15,000
	Gwinnett Cnty GA	S	No	08-06-12	\$1,001 - \$15,000
	ILL Fin Auth	P	N/A	03-05-12	\$15,001 - \$50,000
	ILL Fin Auth	S	No	08-06-12	\$15,001 - \$50,000
	ILL Fin Auth	P	N/A	06-11-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	ILL Fin Auth	S	No	08-06-12	\$1,001 - \$15,000
	ILL St For ISS	P	N/A	03-12-12	\$1,001 - \$15,000
	ILL St For ISS	S	No	08-06-12	\$1,001 - \$15,000
	ILL State Sale 5%	P	N/A	03-08-12	\$15,001 - \$50,000
	ILL State Sale 5%	S	No	08-06-12	\$15,001 - \$50,000
	Indiana Tran	P	N/A	01-12-12	\$1,001 - \$15,000
	Indiana Trans	S	No	08-06-12	\$1,001 - \$15,000
	Janus Balanced	S	No	01-26-12	\$1,001 - \$15,000
	Jensen Quality Grwth	S	No	01-24-12	\$1,001 - \$15,000
	Johnson CNTY Kans	P	N/A	01-13-12	\$1,001 - \$15,000
	Johnson CNTY Kans	S	No	08-06-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	JP Morgan Lg Cap	S	No	01-24-12	\$1,001 - \$15,000
	Lafayette LA PUB	P	N/A	01-13-12	\$1,001 - \$15,000
	Lafayette LA PUB	S	No	08-06-12	\$1,001 - \$15,000
	Lake CNTY ILL	P	N/A	05-17-12	\$15,001 - \$50,000
	Lake CNTY ILL	S	No	08-06-12	\$15,001 - \$50,000
	Manning & Napier	S	No	01-24-12	\$1,001 - \$15,000
	Mooreville NC	P	N/A	01-12-12	\$15,001 - \$50,000
	Mooreville NC	S	No	08-06-12	\$15,001 - \$50,000
	Oakmark Intl	S	No	01-18-12	\$1,001 - \$15,000
	Ohio St Bldg Auth	P	N/A	01-06-12	\$15,001 - \$50,000
	Ohio St Bldg Auth	S	No	08-06-12	\$15,001 - \$50,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Ohio St for ISSU	P	N/A	07-02-12	\$1,001 - \$15,000
	Ohio St for ISSU	S	No	08-06-12	\$1,001 - \$15,000
	Ohio State Issue 3.5	P	N/A	01-20-12	\$1,001 - \$15,000
	Ohio State Issue 3.5	S	No	08-06-12	\$1,001 - \$15,000
	Ohio State 4.5	P	N/A	03-02-12	\$15,001 - \$50,000
	Ohio State 4.5	S	No	08-06-12	\$15,001 - \$50,000
	Ohio St Univ	P	N/A	01-17-12	\$15,001 - \$50,000
	Ohio St Univ	S	No	08-06-12	\$15,001 - \$50,000
	Ohio St Wtr	P	N/A	07-02-12	\$15,001 - \$50,000
	Ohio St Wtr	S	No	08-06-12	\$15,001 - \$50,000
	Palatine ILL	P	N/A	03-08-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Palatine ILL	S	No	08-06-12	\$1,001 - \$15,000
	Peoria, ILL	P	N/A	05-21-12	\$15,001 - \$50,000
	Peoria, ILL	S	No	08-06-12	\$15,001 - \$50,000
	Pickerington Ohio	P	N/A	01-19-12	\$15,001 - \$50,000
	Pickerington Ohio	S	No	08-06-12	\$15,001 - \$50,000
	Puerto Rico Comwith	P	N/A	02-27-12	\$15,001 - \$50,000
	Puerto Rico Comwith	S	No	08-06-12	\$15,001 - \$50,000
	Puerto Rico Pub	P	N/A	01-08-12	\$15,001 - \$50,000
	Puerto Rico Pub	S	No	08-06-12	\$15,001 - \$50,000
	Puerto Rico Pub	P	N/A	03-01-12	\$1,001 - \$15,000
	Puerto Rico Pub	S	No	08-06-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	University Tex Univ	S	No	08-06-12	\$1,001 - \$15,000
	Wells Fargo	S	No	01-25-12	\$1,001 - \$15,000
	Yackman Focused	S	No	01-24-12	\$1,001 - \$15,000
	CHARLES SCHWAB #2(New):				
	Cohen & Steers Realty	P	N/A	02-28-12 09-28-12	\$15,001 - \$50,000
	Cohen & Steers	S	Yes	08-13-12 10-16-12	\$15,001 - \$50,000
	DeLafield Fund	P	N/A	01-19-12 05-10-12	\$100,001 - \$250,000
	DeLafield Fund	S	No	07-27-12 08-10-12	\$100,001 - \$250,000
	Health Care REIT	P	N/A	02-16-12 02-28-12	\$15,001 - \$50,000
	Health Care REIT	S	Yes	10-05-12	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Name Luis V Gutierrez

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Capital Gains — if a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose the income on Schedule III.
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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	JP Morgan Realty	P	N/A	02-06-12 02-09-12	\$1,001 - \$15,000
	JP Morgan Realty	S	No	02-23-12	\$1,001 - \$15,000
	Manager Real estate	P	N/A	06-25-12 07-03-12	\$15,001 - \$50,000
	Manager Real Estate	S	Yes	09-19-12	\$15,001 - \$50,000
	Powershs QQQ	P	N/A	01-26-12 05-01-12	\$15,001 - \$50,000
	Powershs QQQ	S	No	06-19-12	\$15,001 - \$50,000
	Rideworth High Inc	P	N/A	08-07-12 10-31-12	\$50,001 - \$100,000
	Ridgeworth High Incom	S	Yes	11-06-12	\$50,001 - \$100,000
	Sch US Mid-cap	P	N/A	02-08-12 02-16-12	\$1,001 - \$15,000
	Sch US Mid-cap	S	No	03-01-12	\$1,001 - \$15,000
	Sch US REIT	P	N/A	02-03-12 02-08-12	\$1,001 - \$15,000

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Capital Gains — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.
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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Sch US REIT	S	No	02-23-12	\$1,001 - \$15,000
	SCHW US Lcap	P	N/A	02-03-12 03-26-12	\$250,001 - \$500,000
	SCHW US Lcap	S	Yes	06-19-12	\$250,001 - \$500,000
	SCHW US Lcap GRO	P	N/A	02-03-12 02-09-12	\$1,001 - \$15,000
	SCHW US Lcap GRO	S	No	02-17-12	\$1,001 - \$15,000
	SCHW US Lcap Val	P	N/A	02-08-12 02-10-12	\$1,001 - \$15,000
	SCHW US Lcap Val	S	No	02-16-12	\$1,001 - \$15,000
	SCHW US Scap	P	N/A	02-03-12 02-21-12	\$15,001 - \$50,000
	SCHW US Scap	S	No	03-01-12	\$15,001 - \$50,000
	Sector SPDR Health	P	N/A	01-20-12 01-23-12	\$1,001 - \$15,000
	Sector SPDR Health	S	No	02-24-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
SP	CHARLE SCHWAB#3:				
	Ishares TR Barclays Bon 1-3	P	N/A	08-13-12	\$1,001 - \$15,000
	Ishares TR Barclays Bon 1-3	S(part)	No	10-03-12	\$1,001 - \$15,000
	Ishares TR Barclay Tips	S(part)	No	08-13-12	\$1,001 - \$15,000
SP	Ishares TR Barclays Tips	S(part)	No	10-03-12	\$1,001 - \$15,000
	PIMCO Exch	S(part)	No	08-13-12	\$1,001 - \$15,000
	PIMCO Exch	S	No	10-03-12	\$1,001 - \$15,000
	Powershares Global	P	N/A	08-13-12	\$1,001 - \$15,000
	Powershares Global	S	No	10-03-12	\$1,001 - \$15,000
	Vanguard Div Appr	P	N/A	08-13-12	\$1,001 - \$15,000

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SCHEDULE IV - TRANSACTIONS

Name Luis V Gutierrez

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 Capital Gains — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.
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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Vanguard Div Apprc	S(part)	No	10-03-12	\$1,001 - \$15,000
CHARLES SCHWAB#4:					
	Ishares Iboxx investop	P	N/A	08-09-12	\$1,001 - \$15,000
	Ishares Iboxx investop	S	No	10-03-12	\$1,001 - \$15,000
	Ishares TR Barclays Tip	P	N/A	08-09-12	\$1,001 - \$15,000
SP	Ishares TR Barclays Tips	S(part)	Yes	10-03-12	\$1,001 - \$15,000
	Pimco Exch Trd	P	N/A	08-09-12	\$1,001 - \$15,000
	Pimco Exch Trd	S	No	10-03-12	\$1,001 - \$15,000
	Powershares Global ET	P	N/A	08-09-12	\$1,001 - \$15,000
	Powershares Global ET	S	No	10-03-12	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	SPDR Barclay ETF	P	N/A	08-09-12	\$1,001 - \$15,000
	SPDR Barclay ETF	S(part)	No	10-03-12	\$1,001 - \$15,000
	Vanguard FTSE Emerg	P	N/A	08-09-12	\$1,001 - \$15,000
	Vanguard FTSE Emerg	S	No	12-06-12	\$1,001 - \$15,000
SP	CHARLES SCHWAB#5:				
	Ishares Iboxx investop	P	N/A	09-24-12	\$1,001 - \$15,000
	Ishares Iboxx investop	S	No	10-03-12	\$1,001 - \$15,000
	Ishares TR Barclays Tip	P	N/A	09-24-12	\$1,001 - \$15,000
	Ishares TR Barclays Tip	S	No	10-03-12	\$1,001 - \$15,000
	Pimco Exch Traded	P	N/A	09-24-12	\$1,001 - \$15,000

SCHEDULE IV - TRANSACTIONS

Name Luis V Gutierrez

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Capital Gains — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.

SP, DC, JT	Asset	Type of Transaction	Capital Gain In Excess of \$200?	Date	Amount of Transaction
	Pimco Exch Traded	S	No	10-03-12	\$1,001 - \$15,000
	SPDR Barclays ETF	P	N/A	09-24-12	\$1,001 - \$15,000
	SPDR Barclays ETF	S	No	10-03-12	\$1,001 - \$15,000
	Vanguard FTSE Emergin	P	N/A	09-24-12	\$1,001 - \$15,000
	Vanguard FTSE Emergin	S	No	12-06-12	\$1,001 - \$15,000
Charles Schwab#1:					
	Bay Area Toll Auth	P	N/A	09-20-12	\$15,001 - \$50,000
	California St for 5% 23	P	N/A	10-24-12	\$1,001 - \$15,000
	Lamar Tex Cons	P	N/A	08-15-12	\$15,001 - \$50,000
	District of Columbia 5%19	P	N/A	11-08-12	\$15,001 - \$50,000

SCHEDULE IV - TRANSACTIONS

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	California St Pub	P	N/A	09-14-12	\$15,001 - \$50,000
	California St GO	P	N/A	09-25-12	\$1,001 - \$15,000
	Massachusetts St 5%20	P	N/A	10-12-12	\$15,001 - \$50,000
	Metropolitan Transn5%24	P	N/A	09-20-12	\$1,001 - \$15,000
	Montana FAC 5%22	P	N/A	09-17-12	\$1,001 - \$15,000
	Nebraska PUB5%19	P	N/A	10-17-12	\$15,001 - \$50,000
	New Jersey Econ	P	N/A	09-19-12	\$1,001 - \$15,000
	New Jersey St TPK	P	N/A	08-24-12	\$1,001 - \$15,000
	New Jersey St TR	P	N/A	11-05-12	\$1,001 - \$15,000
	New York NY	P	N/A	10-04-12	\$15,001 - \$50,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain In Excess of \$200?	Date	Amount of Transaction
	North Carolina Mun	P	N/A	08-27-12	\$1,001 - \$15,000
	Ohio State-4%	P	N/A	01-06-12	\$15,001 - \$50,000
	Oklahoma St-WTR	P	N/A	10-24-12	\$15,001 - \$50,000
	Orange County FL	P	N/A	09-10-12	\$15,001 - \$50,000
	Pennsylvania Econ	P	N/A	10-03-12	\$15,001 - \$50,000
	Rhode Island Clean	P	N/A	11-05-12	\$15,001 - \$50,000
	Virginia St Res	P	N/A	09-26-12	\$15,001 - \$50,000
	Washington State-FOR	P	N/A	08-15-12	\$15,001 - \$50,000
SP	Cohen & Steers Realty	P	N/A	12-19-12	\$1,001 - \$15,000
	JP Morgan Intl Equity	P	N/A	12-19-72	\$15,001 - \$50,000
	Pimco T total return bond	P	N/A	08-06-12	\$50,001 - \$100,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	T.Rowe Price Asset	P	N/A	12-19-12	\$50,001 - \$100,000
	T.Rowe Price Large Cap	S	No	08-15-12	\$1,001 - \$15,000
	Mid-Small Cap	S	No	06-15-12	\$1,001 - \$15,000
	International growth	S	No	06-05-12	\$1,001 - \$15,000
	First Cap	S	No	06-05-12	\$1,001 - \$15,000
	Bonds-Lord Abbett	S	No	06-15-12	\$1,001 - \$15,000
	Charles Schwab#3 contd:				
	Guggenheim Exchg	P	N/A	08-13-12	\$1,001 - \$15,000
	ISHARES fise	P	N/A	08-16-13	\$1,001 - \$15,000
	Ishares Gold Trust	P	N/A	08-16-13	\$1,001 - \$15,000
	Ishares TR Barclays 1-3yrs	P	N/A	08-16-13	\$15,001 - \$50,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Ishares Barclays 7-10yrs	P	N/A	08-16-13	\$1,001 - \$15,000
	Ishares Barclays TIP	P	N/A	08-16-12	\$15,001 - \$50,000
	Pimco Exch	P	N/A	08-13-12	\$1,001 - \$15,000
	Powershs Exch	P	N/A	10-03-12	\$1,001 - \$15,000
	Powershs QQQ	P	N/A	10-03-12	\$1,001 - \$15,000
	Powershs DB	P	N/A	08-13-12	\$1,001 - \$15,000
	Powershares S&P	P	N/A	08-13-12	\$1,001 - \$15,000
	SPDR Barclays	P	N/A	10-03-12	\$1,001 - \$15,000
	Vanguard Bond	P	N/A	08-13-12	\$15,001 - \$50,000
	Vanguard Div Appreciation	P	N/A	08-16-12	\$1,001 - \$15,000
	Vanguard Reit	P	N/A	10-03-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Vanguard Total	P	N/A	08-13-12	\$1,001 - \$15,000
	Ishares Etf	P	N/A	10-03-12	\$1,001 - \$15,000
	Ishares MSCI	P	N/A	10-03-12	\$1,001 - \$15,000
	Ishares Hong Kong	P	N/A	10-03--12	\$1,001 - \$15,000
	Charles Schwab#4 contd:				
	Egshares ETF	P	N/A	08-09-12	\$1,001 - \$15,000
	Ishares ETF	P	N/A	08-09-12	\$1,001 - \$15,000
	Ishares FTSE	P	N/A	08-09-12	\$15,001 - \$50,000
	Ishares Gold Trust	P	N/A	08-09-12	\$1,001 - \$15,000
	Ishares MSCI Grmny	P	N/A	08-09-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Ishares Hong Kong	P	N/A	08-09-12	\$1,001 - \$15,000
	Ishares TR Barclays	P	N/A	08-09-12	\$1,001 - \$15,000
	Ishares TR BarclayTips	P	N/A	08-09-12	\$15,001 - \$50,000
	Ishares TR Russell	P	N/A	08-09-12	\$1,001 - \$15,000
	Powershares S&P ETF	P	N/A	08-09-12	\$1,001 - \$15,000
	Powershares DB	P	N/A	08-09-12	\$1,001 - \$15,000
	Powershares Exch Trad	P	N/A	08-09-12	\$1,001 - \$15,000
	Powershares QQQ	P	N/A	08-09-12	\$15,001 - \$50,000
	Spdr Gold Tr	P	N/A	08-09-12	\$1,001 - \$15,000
	Vanguard Bond Index Fund	P	N/A	10-03-12	\$15,001 - \$50,000
	Vanguard Div Appr	P	N/A	10-03-12	\$15,001 - \$50,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Vanguard MSCI	P	N/A	10-03-12	\$1,001 - \$15,000
	Vanguard REIT	P	N/A	10-03-12	\$15,001 - \$50,000
	Vanguard Total Stock	P	N/A	10-03-12	\$1,001 - \$15,000
	Wisdomtree Asia	P	N/A	08-09-12	\$1,001 - \$15,000
	Charles Schwab#5 contd:				
	Egshares ETF	P	N/A	12-06-12	\$1,001 - \$15,000
	Ishares ETF	P	N/A	09-24-12	\$1,001 - \$15,000
	Ishares FTSE	P	N/A	09-24-12	\$1,001 - \$15,000
	Ishares Gold	P	N/A	09-24-12	\$1,001 - \$15,000
	Ishares MSCI Germany	P	N/A	09-24-12	\$1,001 - \$15,000
	Ishares Hong Kong	P	N/A	09-24-12	\$1,001 - \$15,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Ishares TR Barclays Bond	P	N/A	09-24-12	\$1,001 - \$15,000
	Ishares TR Russell	P	N/A	09-24-12	\$1,001 - \$15,000
	Market Vectors	P	N/A	09-24-12	\$1,001 - \$15,000
	Powershares S&P	P	N/A	09-24-12	\$1,001 - \$15,000
	Powershs DB	P	N/A	09-24-12	\$1,001 - \$15,000
	Powershs Exch Trad	P	N/A	09-24-12	\$1,001 - \$15,000
	Powershs QQQTrust	P	N/A	09-24-12	\$1,001 - \$15,000
	Spdr Gold Trust	P	N/A	09-24-12	\$1,001 - \$15,000
	Vanguard Div Appr	P	N/A	09-24-12	\$1,001 - \$15,000
	Vanguard MSCI EAFE	P	N/A	09-24-12	\$1,001 - \$15,000
	Vanguard MSCI Emerging	P	N/A	09-24-12	\$1,001 - \$15,000

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 Capital Gains — If a sales transaction resulted in a capital gain in excess of \$200, check the "capital gains" box and disclose this income on Schedule III.
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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	Vanguard REIT	P	N/A	09-24-12	\$1,001 - \$15,000
	Vanguard Total Stock	P	N/A	09-24-12	\$1,001 - \$15,000
	Wisdomtree Asia	P	N/A	09-24-12	\$1,001 - \$15,000
Charles Schwab#6 contd:					
	American Century Inter	P	N/A	12-07-12	\$100,001 - \$250,000
	Pimco Total return	P	N/A	12-12-12	\$1,001 - \$15,000
	Ishares IBOXX	P	N/A	10-03-12	\$1,001 - \$15,000
	Florida St	P	N/A	08-30-12	\$15,001 - \$50,000
	TIAA Cref High Yield	P	N/A	12-7-12	\$50,001 - \$100,000

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SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Rep. Luis V. Gutierrez

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
Multicultural Education Forum	Jan. 19-22	Chicago-Guadalajara, MX-Chicago	Y	Y	N	None
German Marshall Fund	Jan. 28-31	Chicago-Delray Beach FL-Chicago	Y	Y	Y	None
St. Louis Univ	May 22	Chicago-St. Louis, MO-Chicago	N	N	N	None
Puerto Rico Manufacturers Association	June 1-4	DC-Fajardo, PR-Chicago (wife) Chicago-Fajardo, PR-Chicago	Y	Y	Y	1 day
Univision	June 15	St. Louis, MO-Miami, FL-El Paso, TX	N	N	N	None
Franklin Center for Global Policy Exchange	Nov. 7-14	Chicago-Buenos Aires, ARG-Washington, DC (wife) Chicago, Buenos Aires, ARG-Chicago	Y	Y	Y	1 day

SCHEDULE VIII - POSITIONS

Name Rep. Luis V. Gutierrez

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 Advisory Council	Congressional Hispanic Caucus Institute

FOOTNOTES

Name Rep. Luis V. Gutierrez

Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III	PNC Investments is the holding company for the Prudential retirement account	Prudential Annuity (note 1)
2	Schedule III	Distribution (sale) of Great American Insurance Corp was deposited into the Pacific Life Annuity (subaccount DCA Plus 12-month fund - fixed)	Great American Insurance Corp (note 2)