



Filing ID #10029553

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. Michael Fq San Nicolas  
**Status:** Member  
**State/District:** GU00

## FILING INFORMATION

**Filing Type:** Amendment Report  
**Filing Year:** 2018  
**Filing Date:** 09/27/2019

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
3M Company (MMM) [ST]	JT	\$1 - \$1,000	Dividends	\$1 - \$200	\$1 - \$200
401a KKSNN ⇒ Retirement Accounts [MF]	SP	\$100,001 - \$250,000	None		
DESCRIPTION: Vanguard Inflation Protected Secs Adm - 1,545.55 Shares - \$39,766.97 Wells Fargo Stable Return Fund M - 1,979,90 Shares - 101,648.13					
401a KKSNN ⇒ Vanguard Inflation Protected Securities Admiralty [MF]	SP	\$15,001 - \$50,000	None		
401a KKSNN ⇒ Wells Fargo Stable Return Fund [MF]	SP	\$100,001 - \$250,000	None		
403b (2) KKSNN ⇒ DFA Emerging Markets [MF]		\$1,001 - \$15,000	None		
403b (2) KKSNN ⇒ Principal Global Real Estate Fund [MF]		\$1 - \$1,000	None		
403b (2) KKSNN ⇒ Retirement Accounts [MF]		\$15,001 - \$50,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
DESCRIPTION: DFA Emerging Markets, 329.961, \$6,516.73 Touchstone Int Small Cap, 884.476, \$13,010.64 Principal Global RE, 1.395, \$14.33 Wells Fargo Stable Return, 396.079, \$20,310.96					
403b (2) KKSNN ⇒ Touchstone International Small Cap [MF]		\$1,001 - \$15,000	None		
403b (2) KKSNN ⇒ Wells Fargo Stable Return [MF]		\$15,001 - \$50,000	None		
403b KKSNN ⇒ Invesco Oppenheimer Cash Reserves Fund [BA]	SP	\$1,001 - \$15,000	None		
403b KKSNN ⇒ Invesco Oppenheimer Gold and Special Minerals Fund [MF]	SP	\$15,001 - \$50,000	None		
403b KKSNN ⇒ Invesco Oppenheimer Main Street Small Cap Fund [MF]	SP	\$1 - \$1,000	None		
403b KKSNN ⇒ Invesco Oppenheimer Senior Floating Rate Fund [MF]	SP	\$1,001 - \$15,000	None		
403b KKSNN ⇒ Invseco Oppenheimer Money Market Fund [BA]	SP	\$1,001 - \$15,000	None		
403b KKSNN ⇒ Retirement Accounts [MF]	SP	\$50,001 - \$100,000	None		
DESCRIPTION: OPGSX 2,227 shares, 32,830.06 CRSXX 10,749 shares, \$10,749.00 OMBXX 4,516.2 shares \$4,516.20 OSCAX 1.8 shares \$14.16 OOSAX 1,409.143 shares \$11,104.05					
457g KKSNN ⇒ DFA Emerging Markets [MF]	SP	\$1,001 - \$15,000	None		
457g KKSNN ⇒ Principal Global Real Estate Securities Fund [MF]	SP	\$1 - \$1,000	None		
457g KKSNN ⇒ Retirement Accounts [MF]	SP	\$15,001 - \$50,000	None		
DESCRIPTION: DFA Emerging Markets Core Equity I - 329.96 Shares - \$6,734.50 Touchstone International Small Cap Y - 884.47 Shares - \$13,275.99 Principal Global Real Estate Sec Inst - 1.39 Shares - \$14.47 Wells Fargo Stable Return Fund M - 406.59 Shares - \$20,874.38					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
457g KKSNN ⇒ Touchstone International Small Cap [MF]	SP	\$1,001 - \$15,000	None		
457g KKSNN ⇒ Wells Fargo Stable Return Fund [MF]	SP	\$15,001 - \$50,000	None		
BankGuam Holding Company Common Stock (BKGMF) [ST]	JT	\$1 - \$1,000	Dividends	\$1 - \$200	\$201 - \$1,000
Cash [OT] DESCRIPTION: Cash on hand		\$1,001 - \$15,000	None		
Chalan Pago SFD [RP] LOCATION: Chalan Pago, GU, US	JT	\$100,001 - \$250,000	Rent	\$2,501 - \$5,000	\$5,001 - \$15,000
Dededo SFD [RP] LOCATION: Dededo, GU, US	JT	\$250,001 - \$500,000	None		
General Electric Company (GE) [ST]	JT	\$1 - \$1,000	Dividends	\$1 - \$200	\$1 - \$200
Kalebs 529 [5P] LOCATION: GU DESCRIPTION: Age Based Portfolio	DC	\$1,001 - \$15,000	None		
Katelyn 529 [5P] LOCATION: GU DESCRIPTION: Age Based Portfolio	DC	\$15,001 - \$50,000	None		
Latte Heights SFD [RP] LOCATION: Mangilao, GU, US	JT	\$100,001 - \$250,000	Rent	\$5,001 - \$15,000	\$15,001 - \$50,000
Receivables from Campaign [DO]		\$15,001 - \$50,000	None		
Talofofo SFD [RP] LOCATION: Talofofo, GU, US	JT	\$100,001 - \$250,000	Rent	\$2,501 - \$5,000	\$5,001 - \$15,000
Various Depository Accounts [BA]	JT	\$50,001 - \$100,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Walmart Inc. (WMT) [ST]	JT	\$1 - \$1,000	Dividends	\$1 - \$200	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Yamana Gold Call Options Jan 2020 [OP]	JT	\$15,001 - \$50,000	None		
DESCRIPTION: Call options on Yamana Gold Strike \$4 190,000 Call options on Yamana Gold Strike \$3 50,000					

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

## SCHEDULE C: EARNED INCOME

Source	Type	Amount Current Year to Filing	Amount Preceding Year
Government of Guam	Spouse Salary	N/A	N/A

## SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Bank of Guam	October 2010	Dededo Home Mortgage	\$100,001 - \$250,000
JT	Bank of Guam	February 2011	Chalan Pago SFD	\$100,001 - \$250,000
	Bank of Guam	January 2018	Signature Loan	\$15,001 - \$50,000
	Chase	Revolving	Revolving	\$15,001 - \$50,000
	PenFed	December 2016	Auto Loan	\$10,000 - \$15,000
JT	Bank of Hawaii	October 2016	Dededo HELOC	\$15,001 - \$50,000
JT	Bank of Hawaii	October 2016	Latte Heights HELOC	\$50,001 - \$100,000
JT	Bank of Hawaii	October 2016	Talofofo HELOC	\$10,000 - \$15,000
SP	Community First Federal Credit Union	March 2016	Signature Loan	\$15,001 - \$50,000

## SCHEDULE E: POSITIONS

None disclosed.

## SCHEDULE F: AGREEMENTS

None disclosed.

## SCHEDULE J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

None disclosed.

## SCHEDULE A ASSET CLASS DETAILS

- 401a KKS (Owner: SP)  
DESCRIPTION: Kathryn K. San Nicolas Government of Guam Retirement Fund 401a
- 403b (2) KKS  
DESCRIPTION: Kathryn K. San Nicolas ASC Trust Corporation 403b
- 403b KKS (Owner: SP)  
DESCRIPTION: Kathryn K. San Nicolas Oppenheimer Funds 403b
- 457g KKS (Owner: SP)  
DESCRIPTION: Kathryn K. San Nicolas Government of Guam Retirement Fund Deferred Compensation Plan 457g

## EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

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

☐ Yes ☒ No

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

☐ Yes ☒ No

## CERTIFICATION AND SIGNATURE

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

**Digitally Signed:** Hon. Michael Fq San Nicolas , 09/27/2019