ہ کا	JNITED S	[X [X]	TES HOUSE O	UNITED STATES HOUSE OF REPRESENTATIVES	ATIVES	FOR use by	FORM A Page 1 of 13 For use by Members, officers, and employees	MAND DELIVERED	
			Luis V.	Luis V. Gutierrez			(202) 225-8203 20	20 1 JUN 15 PH 5: 01	MC
			(Ful	(Full Name)			(Daytime Telephone)	(Office Use Only)	
	Filer Status	<u>s</u>	Member of the U.S. House of Representatives	State: IL lives District: 04		Officer Or Employee	Employing Office:	A \$200 penalty shall be assessed against	
	Report Type	S	Annual (May 15)	☐ Amendment	☐ Termination		Termination Date:	more than 30 days late.	
<u>ק</u>	RELIMINA	RY	INFORMATION	PRELIMINARY INFORMATION ANSWER EACH OF THESE QUESTIONS	OF THESE (QUESTIONS			
-	Did you or you or more from	ir spou	Did you or your spouse have "earmed" income (e.g., salaries or fees) of \$200 or more from any source in the reporting period?		Yes 🕢 No 🗌	Old you, your spouse, VI. the reporting period (i	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$335 and not otherwise example?	hegift in herwise Yes No V	
	If yes, comp	lete a	If yes, complete and attach Schedule I.			If yes, comp	If yes, complete and attach Schedule VI.		
-	Did any indivi- you for a spea	dual or ch, app	Did any individual or organization make a donation to charity in fleu of paying you for a speech, appearance, or article in the reporting period? If yee, complete and attach Schedule II.	lieu of paying	Yes No	Old you, your spou VII. reimbursements to from one source)? If yes, complete	Did you, your spouse, or a dependent child receive any reportable travel or relimbursements for travel in the reporting period (worth more than \$335 from one source)? If yes, complete and attach Schedule VII.	an \$335 Yes 🗸 No 🗌	
=		Spouse 0 in th	Did you, your spouse, or a dependent child receive "unearmed" 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	Did you hold any repo VIII. current calendar year	Did you hold any reportable positions on or before the date of filing in the current calendar year?	ing in the Yes □ No ☑	
	lf yes, comp	lete a	If yes, complete and attach Schedule III. Did you, your spouse, or dependent child purchas	se. sell. or exchange any		If yes, comp	If yes, complete and attach Schedule VIII. Did you have any reportable agreement or arrangement with an	outside	
₹		et in a	uid you, your spouse, or dependent chird purchase, sell, or exchange any reportable asset in a transaction exceeding \$1,000 during the reporting period? If yes, complete and attach Schedule IV.	Ą	Yes 🕢 No 🗌	IX. entity?	יחוק you nave any reportable agreement or arrangement with an outstue entity? If ves. complete and attach Schedule IX.	Yes No 🕢	
.<		Buung	Did you, your spouse, or a dependent child have any reportable liability (more than \$10,000) during the reporting period?		Yes No	Each question	stion in this part must be answered and the appropriate	and the appropriate	
	If yes, comp	ete a	If yes, complete and attach Schedule V.			schedule attacl	attached for each "Yes" response.		
انتا ا	XCLUSIO	0	F SPOUSE, DEPE	EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION ANSWE	ST INFORM.	ATION AN	SWER EACH OF THESE QUESTIONS	STIONS	
	Trusts	!	Details regarding "Quali disclosed. Have you ex	Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain disclosed. Have you excluded from this report details of such a trust benefiting you, your s	d by the Commit ails of such a tru	tee on Ethics and st benefiting you,	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 🗹	
	Exemptions	7S	Have you excluded from because they meet all th	this report any other asse	ets, "unearned" in Do not answer "y	come, transaction	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.	hics. Yes □ No ✔	

SCHEDULE I - EARNED INCOME

Name Luis V. Gutierrez

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

# ·) = ·		
Source	Туре	Amount
Gutierrez for Congress	Treasurer - Spouse Salary	N/A

SCHEDULE III
I - ASSETS A
ND "UNEARNE
ED" INCOM

a fair market value exceeding \$1,000 at the end of the reporting period, of the institution holding the account and its value at the end of the asset held in the account that exceeds the reporting thresholds. For exercised, to select the specific investments), provide the value for each self-directed (i.e., plans in which you have the power, even if not symbols.) and (b) any other reportable asset or sources of income which reporting period. For all IRAs and other retirement plans (such as 401(k) plans) that are Provide complete names of stocks and mutual funds (do not use ticker generated more than \$200 in "unearned" income during the year. retirement accounts which are not self-directed, provide only the name Identify (a) each asset held for investment or production of income with Asset and/or Income Source **BLOCK A** m it is generated income, asset was sold and is than fair market value, valuation method other at close of reporting the value should be included only because method used. If an please specify the year. If you use a Value of Asset Year-End **BLOCK B** Name Luis V. Gutierrez generated no income Check "None" if the asset be disclosed as income. even if reinvested, must column. Dividends, check the "None" plans or IRAs), you may generate tax-deferred Check all columns that interest, and capital gains investments or that you to choose specific apply. For retirement income (such as 401(k) accounts that do not allow Type of Income BLOCK C disclosed as income. Check capital gains, even if Dividends, interest, and of income by checking the assets, indicate the category appropriate box below. generate tax-deferred income specific investments or that "None" if no income was reinvested, must be "None" column. For all other IRAs), you may check the (such as 401(k) plans or do not allow you to choose For retirement accounts that Amount of Income **BLOCK D** reporting year. exchanges (E) \$1,000 in exceeding (P), sales (S), or had purchases Indicate if asset Transaction Page 3 of 13 BLOCK E

Exclude: You vacation ho	Exclude: Your personal residence, Including second homes and vacation homes (unless there was rental income during the reporting				-
JT	535 Marina Street Rio Grande, Puerto Rico	\$250,001 - \$500,000	NONE	NONE	
JT	615 Vistamar Street Rio Grande, Puerto Rico	\$100,001 - \$250,000	RENT	\$5,001 - \$15,000	
JT	Great American Insurance Corporation Annuity	\$100,001 - \$250,000	INTEREST	\$2,501 - \$5,000	
JT	PNC Bank CD (formerfy National City Bank)	None	INTEREST	\$1,001 - \$2,500	S/Matured
JT	PNC Bank CD (formerly National City Bank)	None	INTEREST	\$1,001 - \$2,500	S/Matured
JT	PNC Bank CD (formerly National City Bank)	\$100,001 - \$250,000	INTEREST	\$5,001 - \$15,000	

publically traded, state the name of the business, the nature of its

For an ownership interest in a privately-held business that is not

activities, and its geographic location in Block A.

address.

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

during the reporting

earned or generated.

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SCHEDUL	SCHEDULE III - ASSETS AND "UNEARNED" INCOME	E Name Luis V. Gutierrez	utierrez		Page 4 of 13
JT	PNC Bank CD (formerly National City Bank)	\$100,001 - \$250,000	INTEREST	\$5,001 - \$15,000	
JT	PNC Money Market	None	INTEREST	\$1,001 - \$2,500	S/closed
Ţ	PNC Money Market	\$1 - \$1,000	INTEREST	\$1,001 - \$2,500	
JT	New York Life Insurance Company Annuity	\$100,001 - \$250,000	INTEREST	\$5,001 - \$15,000	
ŢŢ	The Northern Trust Company	\$500,001 - \$1,000,000	DIVIDENDS/CAPI TAL GAINS	\$5,001 - \$15,000	ס
JŢ	Charles Schwab & Co, Inc. (not self-directed)	None	None	NONE	P/S
JT	Charles Schwab & Co, Inc.	\$100,001 - \$250,000	DIVIDENDS/CAPI TAL GAINS	\$5,001 - \$15,000	ד
T	MFB Northern FDS MultiManager Global Real Estate (Northern Trust Co.)	None	DIVIDENDS	\$1,001 - \$2,500	PS
JT	MFB Northern FDS BD Index FD (Northern Trust Co.)	None	DIVIDENDS	\$1,001 - \$2,500	PS
JT	MFB NORTHN MULTI- MANAGER INTL EQTY FD FD(Northern Trust Co.)	None	DIVIDENDS	\$201 - \$1,000	PS
JT	MFB NRTHRN MULTIMGR MID(Northern Trust Co.)	None	LOSS	NONE	PS
JT	MFB Northern FDS BD Index FD (Northern Trust Co.)	None	LOSS	NONE	PS
닉	MFB NORTHN HI YLD (part of Northern Trust Co)	None	CAPITAL GAINS	\$1,001 - \$2,500	PS

SCHEDUL	SCHEDULE III - ASSETS AND "UNEARNED" INCOME	Name Luis V. Gutierrez	utierrez		Page 5 of 13
JT	MFB NORTHN SHORT INTERMEDIATE US GOVT part of Northern Trust Co)	None	LOSS	NONE	PS
JT .	MFB NORTHERN FDS STK INDEX FD(part of Northern Trust Co)	\$100,001 - \$250,000	DIVIDENDS	\$201 - \$1,000	י
JT	MFC SPDR GOLD TR GOLD SHS part of Northern Trust Co)	None	LOSS	NONE	PS
JΤ	MFB NORTHN INTER TX EXMP FD BOND FUND	\$50,001 - \$100,000	DIVIDENDS	\$201 - \$1,000	י
JT	MFB NORTHN FDS MULTI- MANAGER EMERGING MKTS EQTY FD	\$50,001 - \$100,000	DIVIDENDS	\$5,001 - \$15,000	ס
JT	PIMCO Total Return	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	P&S
JT	PARNASSUS Workplace FD	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	P&S
J	MONETTA Young INV	\$1,001 - \$15,000	DIVIDENDS	\$201 - \$1,000	P&S

Name Luis V. Gutierrez

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			j.		
JT SP,	Asset	Type of Transaction	Capital Gain in Excess of \$2007	Date	Amount of Transaction
JT	PNC Bank CD (formerly National City Bank) (CD matured, was not sold)	S	No	06-01-10	\$1,001 - \$15,000
JT	PNC Bank CD (formerly National City Bank) (CD matured, not sold)	S	No	06-01-10	\$1,001 - \$15,000
JT	The Northern Trust Company	P	NA	09-30-11	\$500,001 - \$1,000,000
ĴŢ	Charles Schwab & Co, Inc.	ס	N/A	05-19-10	\$50,001 - \$100,000
JT	Charles Schwab & Co. Inc.	S	No	05-25-10	\$50,001 - \$100,000
JT	Charles Schwab & Co, Inc.	ס	N/A	05-19-10	\$100,001 - \$250,000
JT	ISHARES BARCLAYS BOND FD	ס	N/A	05-19-10	\$1,001 - \$15,000
JT	ISHARES BARCLAYS BOND FD	S	No	05-25-10	\$1,001 - \$15,000
ŠĮ.	ISHARES MSCI EMU	Q	N/A	05-19-10	\$1,001 - \$15,000
Ţ	ISHARES MSCI EMU	S	N _o	05-25-10	\$1,001 - \$15,000
ŢŢ	ISHARES RUSSELL MICROCAPINDEX	ס	N/A	05-19-10	\$1,001 - \$15,000

Name Luis V. Gutierrez

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	•				:
SP, DC,		Type of	Capital Gain in		
٤	ASSEL	Hallsacuon	OT \$200?	Date	Afficult of Italisaction
TL	ISHARES RUSSELL MICROCAPINDEX	S	N _o	05-25-10	\$1,001 - \$15,000
Ţ	ISHARES TR BARCLAYS BOND	ס	N/A	05-19-10	\$1,001 - \$15,000
JT	ISHARES TR BARCLAYS BOND	S	N _o	05-25-10	\$1,001 - \$15,000
Ţ	ISHARES TR BARCLAYS BOND	ס	N/A	05-19-10	\$1,001 - \$15,000
JT	ISHARES TR BARCLAYS BOND	S	No	05-25-10	\$1,001 - \$15,000
Ţ	ISHARES TR BARCLAYS BOND	ס	N/A	05-19-10	\$1,001 - \$15,000
Ţ	ISHARES TR BARCLAYS BOND	S	No	05-25-10	\$1,001 - \$15,000
JT	ISHARES TRUST BARCLAYS	ס	N/A	05-19-10	\$1,001 - \$15,000
JT	ISHARES TRUST BARCLAYS	S	Z o	05-25-10	\$1,001 - \$15,000
JT	POWERSHS DB	ס	N/A	05-19-10	\$1,001 - \$15,000
Ţ	POWERSHS DB	S	N _O	05-25-10	\$1,001 - \$15,000

Name Luis V. Gutierrez

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

1					
SP, DC,	Asset	Type of Transaction	Capital Gain in Excess of \$2007	Date	Amount of Transaction
JT	POWERSHS DB	ס	N/A	05-19-10	\$1,001 - \$15,000
JT	POWERSHS DB	Ø	No	05-25-10	\$1,001 - \$15,000
JT	POWERSHS DB	ס	N/A	05-19-10	\$1,001 - \$15,000
J.	POWERSHS DB	Ø	No	05-25-10	\$1,001 - \$15,000
ŢŢ	SCHW EMG MKT	ס	N/A	05-19-10	\$1,001 - \$15,000
JT	SCHW EMG MKT	Ø	<u>N</u>	05-25-10	\$1,001 - \$15,000
JT	SCHW INTL EQ	ס	N/A	05-19-10	\$1,001 - \$15,000
7	SCHW INTL EQ	Ø	N _O	05-25-10	\$1,001 - \$15,000
JT	SCHW INTL SCAP	ס	N/A	05-19-10	\$1,001 - \$15,000
5 7	SCHW INTL SCAP	Ø	N _O	05-25-10	\$1,001 - \$15,000
JT	SCHW US LCAP	ס	N/A	05-19-10	\$15,001 - \$50,000

Name Luis V. Gutierrez

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
JT	SCHW US LCAP	Ø	No	05-25-10	\$15,001 - \$50,000
JT	SCHW US SCAP	ס־	N/A	05-19-10	\$1,001 - \$15,000
T	SCHW US SCAP	Ø	No	05-25-10	\$1,001 - \$15,000
JT	SPDR BARCLAYS CAP INTL	סי	N/A	5-19-10	\$1,001 - \$15,000
JT	SPDR BARCLAYS CAP INTL	Ø	No	5-25-10	\$1,001 - \$15,000
JT	SPDR BARCLAYS CAPITAL HY BD	סי	N/A	05-19-10	\$1,001 - \$15,000
JT	SPDR BARCLAYS CAPITAL HY BD	Ø	No	05-25-10	\$1,001 - \$15,000
JT	SPDR DOW JONES REIT		N/A	05-19-10	\$1,001 - \$15,000
JT	SPDR DOW JONES REIT	S	No	05-25-10	\$1,001 - \$15,000
JT	SPDR GOLD TRUST	ס	N/A	05-19-10	\$1,001 - \$15,000
Ţ	SPDR GOLD TRUST	S	No	05-25-10	\$1,001 - \$15,000

Name Luis V. Gutierrez

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

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$2007	Date	Amount of Transaction
ΤĽ	SPDR S&P	P	N/A	05-19-10	\$1,001 - \$15,000
JŢ	SPDR S&P	S	o	05-25-10	\$1,001 - \$15,000
JT	MFB NORTHERN FDS MULTI MANAGER GLOBAL REALESTATE FD (Northern Trust Co.)	ס	N/A	10-06-10	\$1,001 - \$15,000
JT	MFB NORTHERN FDS MULTI MANAGER GLOBAL REALESTATE FD (Northern Trust Co.)	S	No	11-18-10	\$1,001 - \$15,000
JĽ	MFB NORTHERN FDS BD INDEX FD (Northern Trust Co.)	ď	N/A	09-21-10	\$15,001 - \$50,000
JT	MFB NORTHERN FDS BD INDEX FD (Northern Trust Co.)	S	No	11-18-10	\$15,001 - \$50,000
JT	MFB NORTHERN MULTI-MANAGER INTL EQTY (Northern Trust Co.)		N/A	09-21-10	\$1,001 - \$15,000
JT	MFB NORTHERN MULTI-MANAGER INTL EQTY (Northern Trust Co.)	S	No	11-18-10	\$1,001 - \$15,000
JT	MFB NORTHERN FDS BD INDEX FD (Northern Trust Co.)	Р	N/A	09-21-10	\$100,001 - \$250,000
Ţ	MFB NORTHERN FDS BD INDEX FD (Northern Trust Co.)	S	No	12-16-10	\$100,001 - \$250,000
Ţ	MFB NORTHN HI YIELD EXD INC(Northern Trust Co.)	ס	N/A	09-21-10	\$50,001 - \$100,000

Name Luis V. Gutierrez

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

SP, DC,	Asset	Type of Transaction	Capital Gain in Excess of \$2007	Date	Amount of Transaction
JT	MFB NORTHN HI YIELD EXD INC (Northern Trust Co.)	S	Yes	12-16-10	\$50,001 - \$100,000
JT	MFB NORTHN SHORT INTER GOVT (Northern Trust Co.)	P	N/A	09-21-10	\$100,001 - \$250,000
JT	MFB NORTHN SHORT INTER GOVT (Northern Trust Co.)	S	No	12-16-10	\$100,001 - \$250,000
JŢ	PNC Investments Managed Account	ס	N A	05-14-10	\$50,001 - \$100,000
7	PNC Investments Managed Account (not listed in Schedule III because it did not meet the reporting threshold/ account closed)	S	No	06-01-10	\$50,001 - \$100,000
JT	MFB NORTHERN FDS STK INDEX FD(part of Northern Trust Co)	ס .	NA	09-21-10	\$100,001 - \$250,000
JT	MFB NORTHN FDS MULTI-MANAGER EMERGING MKTS EQTY FD (Northern Trust Co.)	ס	N/A	09-21-10	\$50,001 - \$100,000
JT	MFB NRTHRN MULTIMGR MID(Northern Trust Co.)	ס	N/A	10-06-10	\$1,001 - \$15,000
ĴΤ	MFB NRTHRN MULTIMGR MID(Northern Trust Co.)	S	N _o	11-18-10	\$1,001 - \$15,000
JT	MFC SPDR GOLD TR GOLD SHS (part of Northern Trust Co)	ס	N/A	09-24-10	\$15,001 - \$50,000
JŦ	MFC SPDR GOLD TR GOLD SHS (part of Northern Trust Co)	S	8	12-31-10	\$15,001 - \$50,000

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SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$2007	Date	Amount of Transaction
	MFC SPDR GOLD TR GOLD SHS (part of Northern Trust Co)	P	N/A	10-12-10	\$15,001 - \$50,000
	MFC SPDR GOLD TR GOLD SHS (part of Northern Trust Co)	S	No	12-31-10	\$15,001 - \$50,000
	MFC SPDR GOLD TR GOLD SHS (part of Northern Trust Co)	P	N/A	11-24-10	\$15,001 - \$50,000
	MFC SPDR GOLD TR GOLD SHS (part of Northern Trust Co)	S	N _o	12-31-10	\$15,001 - \$50,000
	MFB NORTHN FDS INTER TX EXMP BD BOND FUND (part of Northern Trust Co)	ים.	N/A	09-21-10	\$50,001 - \$100,000

17 pages of transactions

Name LUIS V. GUTIERREZ

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		Capital		
DC, Asset	Type of Transaction	Gain in Excess of \$200?	Date	Amount of Transaction
Annaly Capital Mgmt	ס	N/A	07-27-10	\$1,001 - \$15,000
Annaly Capital Mgmt	Ø	No 1	08-25-10	\$1,001 - \$15,000
Appleseed Fd		N/A	06-14-10	\$1,001 - \$15,000
Appleseed Fd	o	N _O	09-14-10	\$1,001 - \$15,000
Appleseed Fd	70	N/A	06-16-10	\$1,001 - \$15,000
Appleseed Fd	P	N/A	07-09-10	\$1,001 - \$15,000
Appleseed Fd	8	No	10-11-10	\$1,001 - \$15,000
Appleseed Fd	P	N/A	07-30-10	\$1,001 - \$15,000
Appleseed Fd	S	8	11-03-10	\$1,001 - \$15,000
Avalonbay Cmntys		N/A	07-27-10	\$1,001 - \$15,000
Avalonbay Cmntys	W	N o	08-17-10	\$1.001 - \$15.000

SP, DC,	Asset	Type of Transaction	Capital Gain in Excess of \$2007	Date	Amount of Transaction
	Ave Maria Rising	סי	N/A	07-27-10	\$1,001 - \$15,000
	Ave Maria Rising	S	No	09-16-10	\$1,001 - \$15,000
; ; ;	Ave Maria Rising	ס	N/A	07-27-10	\$1,001 - \$15,000
	Ave Maria Rising	S	No	09-17-10	\$1,001 - \$15,000
	Berkshire Hataway B	י	N	05-10-10	\$1,001 - \$15,000
	Berkshire Hathaway B	S	No !	05-27-10	\$1,001 - \$15,000
:	Boston Properties Inc	7	N/A	07-27-10	\$1,001 - \$15,000
· .	Boston Properties Inc	8	No	08-17-10	\$1,001 - \$15,000
	Copano Energy LLC	- O	N/A	07-20-10	\$1,001 - \$15,000
	Copano Energy LLC	S	8	08-25-10	\$1,001 - \$15,000
	DuPont E I DE Nemour&Co	ָ סר	N/A	05-13-10	\$1,001 - \$15,000

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Name LUIS V. GUTIERREZ

Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
DuPont E I DE Nemour&Co	S	No	06-18-10	\$1,001 - \$15,000
Family Dollar Stores Inc	· · · · · · · · · · · · · · · · · · ·	N/A	05-26-10	\$1,001 - \$15,000
Family Dollar Stores Inc	8	No	07-09-10	\$1,001 - \$15,000
FBR Large Cap	<u></u> ס	NA	06-14-10	\$1,001 - \$15,000
FBR Large Cap	S	No.	07-09-10	\$1,001 - \$15,000
FBR Small Cap	· •	N/A	06-15-10	\$1,001 - \$15,000
FBR Small Cap	S	No	07-21-10	\$1,001 - \$15,000
Foot Locker Inc	70 .	NIA	11-22-10	\$1,001 - \$15,000
Foot Locker Inc	S	No	12-10-10	\$1,001 - \$15,000
Health Care REIT	TO	N/A	07-27-10	\$1,001 - \$15,000
Health Care REIT	S	N	08-17-10	\$1,001 - \$15,000
	Asset DuPont E I DE Nemour&Co Family Dollar Stores Inc Family Dollar Stores Inc FBR Large Cap FBR Small Cap FBR Small Cap Foot Locker Inc Foot Locker REIT Health Care REIT	es Inc S P S P S S	set Type of Excess Fransaction No Type of Excess Fransaction No P N/A P N/A P N/A P N/A S No S No	sset Type of Type of Excess Transaction S No es Inc S No P N/A P N/A P N/A S No S No No No No No No No No No No

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SP,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	ISHARES MSCI CDA IDX	ס	N/A	07-27-10	\$1,001 - \$15,000
1	ISHARES MSCI CDA IDX	S	No	08-25-10	\$1,001 - \$15,000
1	ISHARES S&P		N/A	07-27-10	\$1,001 - \$15,000
ar anns Arthurson Arthurson	ISHARES S&P	D	N/A 	05-14-10	\$1,001 - \$15,000
	ISHARES S&P	S	No	05-27-10	\$1,001 - \$15,000
	ISHARES SILVER	70	N/A	11-22-10	\$1,001 - \$15,000
:	ISHARES SILVER	S	8	12-10-10	\$1,001 - \$15,000
	ISHARES TR RUSSELL 2000	ָּטְּ	N/A	06-16-10	\$1,001 - \$15,000
	ISHARES TR RUSSELL 2000	S	N O	06-23-10	\$1,001 - \$15,000
	ISHARES TR RUSSELL 2000	70	N/A	07-27-10	\$15,001 - \$50,000
	ISHARES TR RUSSELL 2000	ω ΄.	o O	07-27-10	\$15,001 - \$50,000

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SP, DC,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	JENSEN PORTFOLIO	סי	N/A	05-12-10	\$1,001 - \$15,000
	JENSEN PORTFOLIO	8	No	08-13-10	\$1,001 - \$15,000
	JENSEN PORTFOLIO	7	NA	05-16-10	\$1,001 - \$15,000
! !	JENSEN PORTFOLIO	S	N _O	09-16-10	\$1,001 - \$15,000
	MANNING & NAPIER PRO	P	N	10-11-10	\$1,001 - \$15,000
	MANNING & NAPIER PRO	S	No	10-11-10	\$1,001 - \$15,000
	MONETTA YOUNG INV	7	N/A	10-11-10	\$1,001 - \$15,000
ļ	MONETTA YOUNG INV	S	No	10-11-10	\$1,001 - \$15,000
	MONETTA YOUNG INV	0	NA	12-08-10	\$1,001 - \$15,000
	MONETTA YOUNG INV	σ ⁻	Yes	12-09-10	\$1,001 - \$15,000
	OAKMARK EQUITY INCOME	.	N/A	05-11-10	\$1,001 - \$15,000

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

SP,			Capital		
크, ^C	Asset	Type of Transaction	Excess of \$200?	Date	
	OAKMARK EQUITY INCOME	တ	No	08-13-10	,
	PARNASSUS EQUITY INC	"	N/A	06-14-10	
	PARNASSUS EQUITY INC	σ	No	09-14-10	
A Allow and framedon	PARNASSUS EQUITY INC	0	N/A	06-14-10	0
	PARNASSUS EQUITY INC	8	No	11-03-10	10
	PARNASSUS FUND	P	NA	05-11-10	10
· (PARNASSUS FUND	S	8	06-23-10	0
	PARNASSUS WORKPLACE FD	ט	N/A	06-14-10	0
	PARNASSUS WORKPLACE FD	σ.	No '	09-17-10	10
····	PARNASSUS WORKPLACE FD	• • • • • • • • • • • • • • • • • • •	N/A	06-14-10	10
	PARNASSUS WORKPLACE FD	တ	Yes	12-09-10	10

SP, DC,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	PERRIGO CO	P	N/A	05-26-10	\$1,001 - \$15,000
	PERRIGO CO	S	N _O	05-27-10	\$1,001 - \$15,000
	PIMCO TOTAL RETURN	70	N/A	05-13-10	\$1,001 - \$15,000
	PIMCO TOTAL RETURN	S	No	09-07-10	\$1,001 - \$15,000
	PIMCO TOTAL RETURN	70	N/A	05-13-10	\$1,001 - \$15,000
ct c	PIMCO TOTAL RETURN	S	Yes	09-22-10	\$1,001 - \$15,000
;	POWERSHS QQQ TRUST	7	N/A	06-14-10	\$1,001 - \$15,000
1	POWERSHS QQQ TRUST	S	S	06-23-10	\$1,001 - \$15,000
	POWERSHS QQQ TRUST	TO	N/A	06-16-10	\$1,001 - \$15,000
	POWERSHS QQQ TRUST	ω	8	06-23-10	\$1,001 - \$15,000
	REALTY INCOME	סד	N/A	07-26-10	\$1,001 - \$15,000

SP, DC,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	REALTY INCOME	S	No	08-17-10	\$1,001 - \$15,000
	SPDR S&P 500	σ	N/A	06-14-10	\$1,001 - \$15,000
To compare the second	SPDR S&P 500	S	No	06-23-10	\$1,001 - \$15,000
·	SPDR S&P 500		N/A	07-29-10	\$50,001 - \$100,000
	SPDR S&P 500	S	No	07-29-10	\$50,001 - \$100,000
,	SCHW US LCAP	ס	NIA	06-10-10	\$1,001 - \$15,000
	SCHW US LCAP	S	No.	06-10-10	\$1,001 - \$15,000
ŧ	SCHWAB TARGET 2020	P	N/A	05-11-10	\$1,001 - \$15,000
ŧ	SCHWAB TARGET 2020	6	8	06-18-10	\$1,001 - \$15,000
	SCHWAB TARGET 2025	70 .	N/A	05-11-10	\$1,001 - \$15,000
	SCHWAB TARGET 2025	G	Z o	06-18-10	\$1,001 - \$15,000

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Asset	Type of Transaction	Gain in Excess of \$200?	Date	Amount of Transaction
SCHWAB TARGET 2030	ס	N/A	05-11-10	\$1,001 - \$15,000
SCHWAB TARGET 2030	8	S _O	06-18-10	\$1,001 - \$15,000
SCHWAB TARGET 2035	-	N/A	05-11010	\$1,001 - \$15,000
SCHWAB TARGET 2035	S	Z	05-25-10	\$1,001 - \$15,000
SECTOR SPDR	7	N/A	05-26-10	\$1,001 - \$15,000
SECTOR SPDR	S	N _o	06-23-10	\$1,001 - \$15,000
SECTOR SPDR	D	N/A	06-11-10	\$1,001 - \$15,000
SECTOR SPDR	S	No o	06-23-10	\$1,001 - \$15,000
SECTOR SPDR ENGY	70	N/A	06-14-10	\$1,001 - \$15,000
SECTOR SPDR ENGY	S	Z o	06-23-10	\$1,001 - \$15,000
SECTOR SPDR TR	סד	N/A	06-14-10	\$1,001 - \$15,000
	SCHWAB TARGET 2030 SCHWAB TARGET 2030 SCHWAB TARGET 2035 SCHWAB TARGET 2035 SECTOR SPDR SECTOR SPDR SECTOR SPDR ENGY SECTOR SPDR ENGY SECTOR SPDR TR	ם מ ס ס ס ס ס ס ס	Type of Transaction P S S S S S S S S S S S S S S S S S S	Type of Excess of \$200? P N/A S No No No No No No No No No No

SP, DC, JT	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	SECTOR SPDR TR	S	No	06-23-10	\$1,001 - \$15,000
	SIMON PPTY GP	0	NA	07-27-10	\$1,001 - \$15,000
	SIMON PPTY GP	8	No	08-17-10	\$1,001 - \$15,000
	SKECHERS USA	7	N/A	11-22-10	\$1,001 - \$15,000
	SKECHERS USA	S	No	12-10-10	\$1,001 - \$15,000
	SPDR GOLD TR		N/A	09-08-10	\$1,001 - \$15,000
	SPDR GOLD TR	S	8	09-14-10	\$1,001 - \$15,000
•	SPDR GOLD TR	0	N/A	09-23-10	\$1,001 - \$15,000
	SPDR GOLD TR	o :	Yes	11-04-10	\$1,001 - \$15,000
	SPRINT NEXTEL	יס ^ר ::	N/A	05-26-10	\$1,001 - \$15,000
	SPRINT NEXTEL	Ø	8	05-27-10	\$1,001 - \$15,000

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T ROWE PRICE HEALTH VANGUARD DIV APP	VANGUARD DIV APP	VANGUARD DIV APP	· www. 4:11 minut with the	VANGUARD DIV APP	VANGUARD DIV APP	VANGUARD DIV APP VANGUARD DIV APP
S	ס					
So	NA	No NA	N O N	N N N	N N N N N	No So
07-21-10	05-11-10	05-11-10	05-11-10 07-27-10 06-14-10	05-11-10 07-27-10 06-14-10 07-27-10	05-11-10 07-27-10 06-14-10 07-27-10 06-23-10	05-11-10 07-27-10 06-14-10 07-27-10 06-23-10 07-27-10
	,	1	4 4 4	\$1,0 \$1,0	\$1,00 \$1,00 \$1,00	\$1,001 - \$15,000 \$1,001 - \$15,000 \$1,001 - \$15,000 \$1,001 - \$15,000 \$1,001 - \$15,000

SP,	Asset	Type of Transaction	Capital Gain in Excess of \$200?	Date	Amount of Transaction
	VANGUARD DIV APP	S	No	07-27-10	\$1,001 - \$15,000
! :	VANGUARD DIV APP		N/A	07-01-10	\$1,001 - \$15,000
	VANGUARD DIV APP	S	No	07-27-10	\$1,001 - \$15,000
V Valentine of the latest and the la	VANGUARD DIV APP	ס	N/A	07-09-10	\$1,001 - \$15,000
	VANGUARD DIV APP	S	No	07-27-10	\$1,001 - \$15,000
1	VANGUARD DIV APP	7	N/A	07-09-10	\$1,001 - \$15,000
;	VANGUARD DIV APP	S	No :	07-27-10	\$1,001 - \$15,000
	VANGUARD DIV APP		N/A	07-13-10	\$1,001 - \$15,000
	VANGUARD DIV APP	S	8	07-27-10	\$1,001 - \$15,000
	VANGUARD DIV APP	\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \	N/A	07-13-10	\$15,001 - \$50,000
	VANGUARD DIV APP	Ø	Yes	07-27-10	\$15,001 - \$50,000

SP, DC,	Asset	Type of Transaction	Capital Gain in Excess of \$2007	Date	Amount of Transaction
	VANGUARD DIV APP	ס	N/A	07-21-10	\$1,001 - \$15,000
!	VANGUARD DIV APP	8	No	07-27-10	\$1,001 - \$15,000
	VANGUARD DIV APP	P .	N/A	07-21-10	\$1,001 - \$15,000
	VANGUARD DIV APP	S	S	07-27-10	\$1,001 - \$15,000
	VANGUARD DIV APP	ס	N/A	08-10-10	\$1,001 - \$15,000
; !	VANGUARD DIV APP	Ø	No	08-25-10	\$1,001 - \$15,000
	VANGUARD DIV APP	ט	N/A	08-10-10	\$1,001 - \$15,000
:	VANGUARD DIV APP	S	No :	08-25-10	\$1,001 - \$15,000
:	VANGUARD DIV APP	סר	N/A	08-11-10	\$15,001 - \$50,000
^	VANGUARD DIV APPP	σ	8	08-25-10	\$15,001 - \$50,000
	VANGUARD DIV APP	סי	NA	08-12-10	\$1,001 - \$15,000

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SP, DC,	Accet	Type of	Capital Gain in Excess		Amount of Transaction
	VANGUARD DIV APP	S	No	08-25-10	\$1,001 - \$15,000
	VANGUARD DIV APP	70	N/A	08-18-10	\$15,001 - \$50,000
1	VANGUARD DIV APP	S	No	08-25-10	\$15,001 - \$50,000
JOHN ON PROPERTY OF AN AN	VANGUARD EMERG MKT	7	N/A	07-09-10	\$1,001 - \$15,000
	VANGUARD EMERG MKT	S	No	08-25-10	\$1,001 - \$15,000
	VANGUARD EMERG MKT	q	N/A	07-23-10	\$1,001 - \$15,000
	VANGUARD EMERG MKT	S	No.	08-25-10	\$1,001 - \$15,000
	VANGUARD EMERG MKT	70 .	N/A	07-30-10	\$1,001 - \$15,000
	VANGUARD EMERG MKT	S	S _O	08-25-10	\$1,001 - \$15,000
	VANGUARD EMERG MKT	ָּסְר	N/A	08-12-10	\$1,001 - \$15,000
	VANGUARD EMERG MKT	ω `.	S _O	08-25-10	\$1,001 - \$15,000

SP, DC,	Asset VANGUARD EMERG MKT VANGUARD EMERG MKT VANGUARD EMERG MKT VANGUARD EMERG MKT VANGUARD EMERG MKT	Type of Transaction P	of	of Excess of \$200? N/A N/A N/A N/A	
	VANGUARD EMERG MKT	סד ט	ZZ	6 A	
} *	VANGUARD STAR FD	יסי :	N/A	A :	/A 08-20-10
1	VANGUARD STAR FD	o ,	- <u>Z</u>	0	0 08-25-10
	VENTAS INC	**************************************	z	N/A	/A 07-27-10
	VENTAS INC	S	<u>Z</u> .	0	08-17-10
	WESTPORT FD	ָּ סר	Z	N/A	/A 06-18-10

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

SP,			Capital		
ㅋ,ਲ਼ <u>.</u>	Asset	Type of Transaction	Gain in Excess of \$200?	Date	Amount of Transaction
	WESTPORT FD	S	No	09-16-10	\$1,001 - \$15,000
•	WESTPORT FD	0	N/A	06-18-10	\$1,001 - \$15,000
	WESTPORT FD	S	No	09-17-10	\$1,001 - \$15,000
	WESTPORT FD	סר	N/A	06-18-10	\$1,001 - \$15,000
	WESTPORT FD	S	No	12-09-10	\$1,001 - \$15,000
	YACKMAN FD	ס	NA	05-11-10	\$1,001 - \$15,000
	YACKMAN FD	S	No.	08-25-10	\$1,001 - \$15,000
	YACKMAN FD	ס	N/A	06-14-10	\$1,001 - \$15,000
	YACKMAN FD	S	No	09-16-10	\$1,001 - \$15,000
	YACKMAN FD	סי :	N/A	06-18-10	\$1,001 - \$15,000
	YACKMAN FD	S	N _o	09-17-10	\$1,001 - \$15,000

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SP, DC, Asset YACKMAN FD	Type of Transaction	Capital Gain in Excess of \$200?	Date 07-30-10	Amount of Transaction \$1,001 - \$15,000
YACKMAN FD	P		07-30-10	\$1,001 - \$15,000
YACKMAN FD	S	No	11-03-10	\$1,001 - \$15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Luis V. Gutierrez

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spouse or dependent child that is totally independent of his or her relationship to you. 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 sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under 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 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 Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than \$335 received by you,

Source	Date(s)	Point of Departure Destination–Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Lodging? Food? Member Included? (Y/N) (Y/N) (Y/N)	Days not at sponsor's expense
Univision	May 14-15	May 14-15 NYC-Miami-Chicago	Υ	Z	Z	NONE
CARE USA	June 1-6	Chicago-Peru-Chicago	~	~	~	NONE
Puerto Rico Chamber of Commerce	June 26-30	June 26-30 DC-San Juan-Chicago	~	~	Υ	
Puerto Rico Hospital Association	Oct. 21-26	Oct. 21-26 Chicago-San Juan-Chicago	~	~	~	None