



Filing ID #10008916

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Hon. Luis V. Gutierrez
Status: Member
State/District: IL04

FILING INFORMATION

Filing Type: Amendment Report
Filing Year: 2014
Filing Date: 11/5/2015

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Book ⇒ Book DESCRIPTION: Memoir		\$1,001 - \$15,000	royalties	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Dodge & Cox Stock Fund (DODGX) COMMENTS: Listed as asset in ETRADE-23 in FDF 2013. Total asset transferred to Charles Schwab #1-72 on 4/9/2014.		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Janus Global Life (JAGLX)		None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Powershares QQQ (QQQ)		\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCH US LCAP ETF (SCHX)		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCH US SCAP ETF (SCHA)		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ TCW FUNDS (TSI)		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
COMMENTS: Listed as asset in ETRADE-23 in FDF 2013. Total asset transferred to Charles Schwab #1-72 on 4/9/2014.					
Charles Schwab #1-72 ⇒ Wisdomtree Div		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
COMMENTS: Listed as asset in ETRADE-23 in FDF 2013. Total asset transferred to Charles Schwab #1-72 on 4/9/2014.					
Charles Schwab #4-11 ⇒ TIAA CREF HIGH YIELD (TIYRX)	SP	None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ AMERICAN CENTURY HIGH YIELD (ABHYX)	SP	None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ Apple Inc. (AAPL)	SP	None	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ POWERSHARES (QQQ)	SP	\$100,001 - \$250,000	Capital Gains, Interest	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCH US DIV EQUITY	SP	None	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCH US MID CAP ETF (SCHM)	SP	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	\$250,001 - \$500,000	Capital Gains, Dividends	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ T ROWE PRICE HEALTH (PRHSX)	SP	\$50,001 - \$100,000	None		<input type="checkbox"/>
COMMENTS: Listed as asset in ETRADE-23 in FDF 2013. Total asset transferred to Charles Schwab #5-14 in 2014.					
ETrade-76 ⇒ Goodhaven Fund (GOODX)		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Pacific Life Annuity ⇒ Amer Cent VP Mid Value		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ American Asset Allocation		None	Capital Gains	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Equity Index		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Fidelity VIP Contrafund		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ FT Founding Funds		None	Capital Gains	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Health Sciences		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Large Cap Value		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Main Street Core		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ MFS Utilities Series		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Real Estate		\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Value Advantage		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
PNC Checking Account		\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
Prudential Annuity ⇒ BlackRock Global Strategies	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ BlackRock iShares ETF	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Boston Partners Large Cap Value	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Prudential Annuity ⇒ Cohen & Steers	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Franklin Templtn FF Plus	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Goldman Sachs Concentrated Growth	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Goldman Sachs Large Cap	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Goldman Sachs Large Cap Value Port	SP	\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Goldman Sachs Mid Cap Growth	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Goldman Sachs Small Cap Value	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ International Growth	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Jennison Large Cap Growth	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Parametric Emerging Markets Equity	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ PIMCO Total Return Bond	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Prudential Core Bond Portfolio	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ QMA US Equity Alpha	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Western Asset Core Plus Bond	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

* Asset class details available at the bottom of this form.

SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Book ⇒ Book (Memoir)		05/6/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
LOCATION: US DESCRIPTION: Royalty payment from Santillana USA, publisher					
Charles Schwab #1-72 ⇒ Comcast Corporation - Class A (CMCSA)		02/25/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Dodge & Cox Stock Fund (DODGX)		08/19/2014	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
COMMENTS: Listed as asset in ETRADE-23 in FDF 2013. Total asset transferred to Charles Schwab #1-72 on 4/9/2014.					
Charles Schwab #1-72 ⇒ Goodhaven Fund (GOODX)		01/30/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
COMMENTS: Asset transferred from ETrade-76 on 01/27/2014					
Charles Schwab #1-72 ⇒ Guggenheim ETF (RYU)		04/24/2014	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ Guggenheim ETF (RYU)		06/6/2014	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ Guggenheim ETF (RYU)		08/8/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ Janus Global Life (JAGLX)		03/3/2014	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ Janus Global Life (JAGLX)		03/7/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Janus Global Life (JAGLX)		08/19/2014	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Powershares QQQ (QQQ)		08/8/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Powershares QQQ (QQQ)		08/19/2014	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Sch Fnd Intl LG (FNDF)		04/21/2014	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #1-72 ⇒ Sch Fnd Intl LG (FNDF)		05/27/2014	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ Sch Fnd Intl LG (FNDF)		05/28/2014	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ Sch Fnd Intl LG (FNDF)		06/3/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Sch Fnd Intl LG (FNDF)		07/11/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Sch Fnd Intl LG (FNDF)		08/11/2014	S	\$50,001 - \$100,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ SCH INTL EQ (SCHF)		07/11/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCH INTL EQ (SCHF)		07/14/2014	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ SCH INTL EQ (SCHF)		08/8/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ SCH US LCAP ETF (SCHX)		04/7/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCH US LCAP ETF (SCHX)		04/28/2014	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCH US LCAP ETF (SCHX)		08/11/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCH US LCAP ETF (SCHX)		08/14/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCH US LCAP ETF (SCHX)		08/21/2014	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCH US LCAP ETF (SCHX)		12/4/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒		12/18/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
SCH US LCAP ETF (SCHX)					
Charles Schwab #1-72 ⇒ Sch US Reit (SCHH)		05/21/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Sch US Reit (SCHH)		05/22/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ SCH US SCAP ETF (SCHA)		08/11/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCH US SCAP ETF (SCHA)		08/19/2014	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB INTL CORE EQUITY (SICNX)		05/22/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCHWAB INTL CORE EQUITY (SICNX)		05/23/2014	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ SCHWAB INTL CORE EQUITY (SICNX)		05/30/2014	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ SCHWAB INTL CORE EQUITY (SICNX)		08/8/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB INTL CORE EQUITY (SICNX)		08/19/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ SECTOR SPDR CONSUMER (XLY)		02/24/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SECTOR SPDR CONSUMER (XLY)		02/27/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SECTOR SPDR CONSUMER (XLY)		04/28/2014	S	\$50,001 - \$100,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ SECTOR SPDR FINCL (XLF)		01/15/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SECTOR SPDR FINCL (XLF)		02/27/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #1-72 ⇒ SECTOR SPDR INDL (XLI)	01/3/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SECTOR SPDR INDL (XLI)	04/4/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SECTOR SPDR INDL (XLI)	04/28/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SECTOR SPDR INDL (XLI)	08/7/2014	S	\$50,001 - \$100,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ SECTOR SPDR NUVEEN (HYMB)	05/21/2014	P	\$50,001 - \$100,000	
Charles Schwab #1-72 ⇒ SECTOR SPDR NUVEEN (HYMB)	05/23/2014	S	\$50,001 - \$100,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ SECTOR SPDR TECH (XLK)	01/3/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SECTOR SPDR TECH (XLK)	02/7/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ Sector Spdr Trust Technology (XLK)	01/3/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SPDR S&P EXPL (XOP)	04/24/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SPDR S&P EXPL (XOP)	05/5/2014	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ SPDR S&P EXPL (XOP)	05/27/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ SPDR Small Cap (SLY)	01/30/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
COMMENTS: This asset was listed as asset of ETrade-76 on FDF 2013. Total asset was transferred to Charles Schwab #1-72 on 1/27/2014.				
Charles Schwab #1-72 ⇒ TCW FUNDS (TSI)	08/19/2014	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
COMMENTS: Listed as asset in ETRADE-23 on FDF 2013. Total asset transferred to Charles Schwab #1-72 on 4/9/2014.				

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #1-72 ⇒ VANGUARD FTSE EUR (VGK)		01/3/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ VANGUARD FTSE EUR (VGK)		07/9/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ VANGUARD FTSE EUR (VGK)		08/19/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ Visa Inc. (V)		02/25/2014	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Visa Inc. (V)		03/11/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ WISDOMTREE DIV		08/19/2014	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
COMMENTS: Listed as asset in ETRADE-23 in FDF 2013. Total asset transferred to Charles Schwab #1-72 on 4/9/2014.					
Charles Schwab #4-11 ⇒ SCH US REIT ETF (SCHH)	SP	06/11/2014	P	\$15,001 - \$50,000	
Charles Schwab #4-11 ⇒ SCH US REIT ETF (SCHH)	SP	06/18/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2010 FUND	SP	02/24/2014	P	\$15,001 - \$50,000	
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2010 FUND	SP	02/25/2014	P	\$1,001 - \$15,000	
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2010 FUND	SP	02/26/2014	P	\$1,001 - \$15,000	
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2010 FUND	SP	02/27/2014	P	\$1,001 - \$15,000	
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2010 FUND	SP	02/28/2014	P	\$1,001 - \$15,000	
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2010 FUND	SP	03/3/2014	P	\$15,001 - \$50,000	
Charles Schwab #4-11 ⇒	SP	03/4/2014	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
SCHWAB TARGET 2010 FUND					
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2010 FUND	SP	03/7/2014	P	\$15,001 - \$50,000	
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2010 FUND	SP	04/1/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2010 FUND	SP	04/3/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2010 FUND	SP	04/4/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2010 FUND	SP	04/7/2014	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2010 FUND	SP	05/1/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2015 FUND (SWGRX)	SP	02/25/2014	P	\$1,001 - \$15,000	
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2015 FUND (SWGRX)	SP	02/26/2014	P	\$1,001 - \$15,000	
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2015 FUND (SWGRX)	SP	02/27/2014	P	\$1,001 - \$15,000	
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2015 FUND (SWGRX)	SP	02/28/2014	P	\$1,001 - \$15,000	
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2015 FUND (SWGRX)	SP	03/3/2014	P	\$15,001 - \$50,000	
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2015 FUND (SWGRX)	SP	03/4/2014	P	\$15,001 - \$50,000	
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2015 FUND (SWGRX)	SP	03/7/2014	P	\$15,001 - \$50,000	
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2015 FUND (SWGRX)	SP	04/1/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2015 FUND (SWGRX)	SP	04/3/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2015 FUND (SWGRX)	SP	04/4/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2015 FUND (SWGRX)	SP	04/7/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #4-11 ⇒ SCHWAB TARGET 2015 FUND (SWGRX)	SP	04/16/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #4-11 ⇒ SCHWAB TARGET FUND 2015 (SWGRX)	SP	02/24/2014	P	\$15,001 - \$50,000	
Charles Schwab #4-11 ⇒ TIAA CREF HIGH YIELD (TIYRX)	SP	03/10/2014	P	\$15,001 - \$50,000	
Charles Schwab #4-11 ⇒ TIAA CREF HIGH YIELD (TIYRX)	SP	04/4/2014	P	\$15,001 - \$50,000	
Charles Schwab #4-11 ⇒ TIAA CREF HIGH YIELD (TIYRX)	SP	06/11/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #4-11 ⇒ TIAA CREF HIGH YIELD (TIYRX)	SP	07/9/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ AMERICAN CENTURY HIGH YIELD (ABHYX)	SP	03/7/2014	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ AMERICAN CENTURY HIGH YIELD (ABHYX)	SP	03/10/2014	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ AMERICAN CENTURY HIGH YIELD (ABHYX)	SP	03/11/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ AMERICAN CENTURY HIGH YIELD (ABHYX)	SP	03/31/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ AMERICAN CENTURY HIGH YIELD (ABHYX)	SP	04/4/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ AMERICAN CENTURY HIGH YIELD (ABHYX)	SP	04/23/2014	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ Apple Inc. (AAPL)	SP	01/28/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ Apple Inc. (AAPL)	SP	01/30/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Apple Inc. (AAPL)	SP	02/4/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ Apple Inc. (AAPL)	SP	02/10/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ Apple Inc. (AAPL)	SP	02/11/2014	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ DODGE & COX INTL STOCK FUND (DODFX)	SP	01/3/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ DODGE & COX INTL STOCK FUND (DODFX)	SP	10/16/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ GUGGENHEIM ETF EQUAL WT (RSP)	SP	02/24/2014	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ GUGGENHEIM ETF EQUAL WT (RSP)	SP	03/4/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	03/7/2014	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	03/13/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	03/31/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	09/8/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	10/16/2014	S	\$50,001 - \$100,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	10/24/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	11/4/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	11/5/2014	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	11/6/2014	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ POWERESHARES (QQQ)	SP	01/24/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ POWERESHARES (QQQ)	SP	01/15/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ POWERESHARES (QQQ)	SP	02/4/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ POWERESHARES (QQQ)	SP	03/13/2014	P	\$100,001 - \$250,000	
Charles Schwab #5-14 ⇒ POWERESHARES (QQQ)	SP	03/31/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ POWERESHARES (QQQ)	SP	02/10/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ POWERESHARES (QQQ)	SP	04/1/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ POWERESHARES (QQQ)	SP	04/4/2014	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ POWERESHARES (QQQ)	SP	04/3/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ POWERESHARES (QQQ)	SP	04/28/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ POWERESHARES (QQQ)	SP	10/16/2014	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ POWERSHARES (QQQ)	SP	10/21/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ POWERSHARES (QQQ)	SP	12/10/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ SCH US DIV EQUITY (SCHD)	SP	05/13/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCH US DIV EQUITY (SCHD)	SP	07/22/2014	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCH US MID CAP ETF (SCHM)	SP	01/15/2014	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	03/11/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	03/18/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	04/2/2014	S	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	04/4/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	04/9/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	04/17/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	04/28/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	04/29/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	05/5/2015	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒	SP	05/8/2014	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
SCH US REIT (SCHH)					
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	05/12/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	05/23/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	05/27/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	05/28/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	06/9/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	06/10/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	06/18/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	07/2/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	07/3/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	07/9/2014	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	07/14/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	07/22/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	08/14/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	08/19/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	09/18/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	09/23/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	10/16/2014	S (partial)	\$250,001 - \$500,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	11/4/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	11/5/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	11/6/2014	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ SCH US REIT (SCHH)	SP	12/18/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCH US TIPS (SCHP)	SP	06/6/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCH US TIPS (SCHP)	SP	06/11/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW INTL EQ (SCHF)	SP	01/27/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW INTL EQ (SCHF)	SP	01/29/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW INTL EQ (SCHF)	SP	01/30/2014	S	\$50,001 - \$100,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW LCAP GROW (SCHG)	SP	02/28/2014	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ SCHW LCAP GROW (SCHG)	SP	03/3/2014	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ SCHW LCAP GROW (SCHG)	SP	03/4/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	01/13/2014	P	\$100,001 - \$250,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	01/16/2014	P	\$100,001 - \$250,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	01/14/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	01/15/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	01/16/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	01/21/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	01/24/2014	P	\$100,001 - \$250,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	01/29/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	02/4/2014	P	\$100,001 - \$250,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	02/6/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	02/7/2014	S (partial)	\$250,001 - \$500,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	02/10/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	02/11/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	02/12/2014	P	\$50,001 - \$100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	02/13/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	02/19/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	03/3/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	03/4/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	03/6/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	03/13/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	03/18/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	03/31/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	04/1/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	04/4/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	04/4/2014	P	\$100,001 - \$250,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	04/7/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	04/9/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	04/28/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	05/1/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	05/12/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	05/22/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	05/23/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	05/27/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	05/28/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	05/30/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	06/6/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	06/24/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	07/3/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	07/9/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	07/11/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	07/14/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	07/16/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	07/23/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒	SP	07/24/2014	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
SCHW US LCAP (SCHX)			(partial)		
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	08/5/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	08/6/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	08/7/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	08/21/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	09/8/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	09/17/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	09/23/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	10/16/2014	S (partial)	\$250,001 - \$500,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	10/21/2014	P	\$250,001 - \$500,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	10/24/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	10/28/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	10/31/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	11/4/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	11/7/2014	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	11/10/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	11/17/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	11/18/2014	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	11/24/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	12/10/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	12/18/2014	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	01/6/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	01/16/2014	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	01/27/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	01/29/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	01/30/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	02/4/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	02/7/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	02/10/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	02/12/2014	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	02/13/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	03/3/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	03/13/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	03/18/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	03/31/2014	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	04/1/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	04/4/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	04/7/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	04/28/2015	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	05/1/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	05/12/2014	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	05/22/2014	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	05/23/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	06/4/2014	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	07/14/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	07/23/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	08/8/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	10/16/2014	S (partial)	\$50,001 - \$100,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	11/4/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	11/5/2014	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	11/18/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA)	SP	11/20/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SECTOR SPDR HEALTH FUND (XLV)	SP	04/4/2014	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ SECTOR SPDR HEALTH FUND (XLV)	SP	05/27/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	03/7/2014	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	03/10/2014	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	03/18/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	04/1/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	04/17/2014	P	\$50,001 - \$100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	04/28/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	04/29/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	05/5/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	05/8/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	05/12/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	05/22/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	05/30/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	06/3/2014	P	\$100,001 - \$250,000	
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	06/5/2014	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	06/6/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	06/9/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	06/10/2014	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	06/18/2014	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	07/2/2014	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒	SP	07/3/2014	S	\$100,001 -	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
SPDR NUVEEN S&P MUNI BOND (HYMB)			(partial)	\$250,000	
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	07/9/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	07/16/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	08/5/2014	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	08/7/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	08/14/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SPDR NUVEEN S&P MUNI BOND (HYMB)	SP	08/25/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ T ROWE PRICE HEALTH (PRHSX)	SP	12/15/2014	P	\$1,001 - \$15,000	
Comcast Corporation - Class A (CMCSA)	JT	03/31/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
ETrade-76 ⇒ Goodhaven Fund (GOODX)		01/15/2014	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
COMMENTS: The balance of this asset was transferred to Charles Schwab #1-72 on 1/27/2014.					
ETrade-76 ⇒ SPDR S&P 500 ETF (SPY)		01/6/2014	P	\$15,001 - \$50,000	
ETrade-76 ⇒ SPDR S&P 500 ETF (SPY)		01/21/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ AFIS Intl Growth		05/16/2014	P	\$1,001 - \$15,000	
Pacific Life Annuity ⇒ AFIS Intl Growth		09/26/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Amer Cent VP Mid Value		05/2/2014	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Pacific Life Annuity ⇒ Amer Cent VP Mid Value		05/16/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Amer Cent VP Mid Value		09/26/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ American Asset Alloc		03/12/2014	S	\$100,001 - \$250,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Diversified Bond		05/16/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Diversified Bond		09/26/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Equity Index		05/2/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Equity Index		09/26/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Fidelity VIP Contrafund		09/26/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Fidelity VIP Strat Inc		05/16/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Fidelity VIP Strat Inc		09/26/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Focused Growth		03/12/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Focused Growth		03/31/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Focused Growth		05/2/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Franklin Mutual Global Disc		05/16/2014	P	\$1,001 - \$15,000	
Pacific Life Annuity ⇒		09/26/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Franklin Mutual Global Disc					
Pacific Life Annuity ⇒ FT Founding Funds		03/31/2014	S	\$100,001 - \$250,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Growth		03/12/2014	P	\$1,001 - \$15,000	
Pacific Life Annuity ⇒ Growth		03/31/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Growth		05/2/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Health Sciences		03/12/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Health Sciences		03/31/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Health Sciences		05/2/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Health Sciences		09/26/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ High Yield Bond		03/12/2014	P	\$1,001 - \$15,000	
Pacific Life Annuity ⇒ High Yield Bond		05/2/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Inflation Managed		05/16/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Inflation Managed		09/26/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Large Cap Growth		03/12/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Large Cap Growth		03/31/2014	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Pacific Life Annuity ⇒ Large Cap Growth		05/2/2014	S	\$50,001 - \$100,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Large Cap Value		05/2/2014	P	\$50,001 - \$100,000	
Pacific Life Annuity ⇒ Large Cap Value		09/26/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Lord Abbett Bond Debent		03/12/2014	P	\$1,001 - \$15,000	
Pacific Life Annuity ⇒ Lord Abbett Total Return		05/16/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Lord Abbett Total Return		09/26/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Lord Abett Bond Debent		05/2/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Main Street Core		09/26/2014	P	\$50,001 - \$100,000	
Pacific Life Annuity ⇒ MFS Utilities Series		05/2/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Mid Cap Equity		03/12/2014	P	\$1,001 - \$15,000	
Pacific Life Annuity ⇒ Mid Cap Equity		05/2/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Mid Cap Value		05/2/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Mid Cap Value		05/16/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Precious Metals		03/12/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Precious Metals		09/26/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Pacific Life Annuity ⇒ Real Estate		03/12/2014	P	\$1,001 - \$15,000	
Pacific Life Annuity ⇒ Real Estate		03/31/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Real Estate		05/2/2014	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Small Cap Growth		03/12/2014	P	\$1,001 - \$15,000	
Pacific Life Annuity ⇒ Small Cap Growth		03/31/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Small Cap Growth		05/2/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Small Cap Index		03/12/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Small Cap Index		03/31/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Small Cap Index		05/16/2014	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Small Cap Index		09/26/2015	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Technology		03/12/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Technology		03/31/2014	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Technology		05/2/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Value Advantage		05/2/2014	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Pacific Life Annuity ⇒ Value Advantage		09/26/2014	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ Blackrock Global Strategies	SP	02/25/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Blackrock iShares	SP	02/25/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ Boston Partners Large Cap Value	SP	09/26/2014	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ Cohen & Steers Realty	SP	08/21/2014	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ Defensive Asset Allocation	SP	08/21/2014	P	\$50,001 - \$100,000	
Prudential Annuity ⇒ Defensive Asset Allocation	SP	09/26/2014	S	\$50,001 - \$100,000	<input type="checkbox"/>
Prudential Annuity ⇒ Franklin Templeton FF Plus	SP	02/25/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ Goldman Sachs Concentrated Growth	SP	02/7/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ Goldman Sachs Large Cap Value	SP	02/25/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Goldman Sachs Large Cap Value Port	SP	09/26/2014	P	\$50,001 - \$100,000	
Prudential Annuity ⇒ Goldman Sachs Mid Cap Growth	SP	02/25/2015	S	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Goldman Sachs Small Cap Value	SP	08/21/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ International Growth	SP	02/25/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ Jennison Large Cap Growth	SP	02/25/2014	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Prudential Annuity ⇒ Jennison Large Cap Growth	SP	08/21/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ Loomis Sayles Large Cap Growth	SP	02/7/2014	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ Loomis Sayles Mid Cap Growth	SP	02/25/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ MFS Growth	SP	02/25/2014	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ MFS Growth	SP	08/21/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ Parametric Emerging Markets Equity	SP	09/26/2014	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ PIMCO Total Return Bond	SP	02/25/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ Preservation Asset Allocation	SP	08/21/2014	P	\$50,001 - \$100,000	
Prudential Annuity ⇒ Preservation Asset Allocation	SP	09/26/2014	S	\$50,001 - \$100,000	<input type="checkbox"/>
Prudential Annuity ⇒ Prudential Core Bond Portfolio	SP	02/25/2014	S	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ QMA US Equity Alpha	SP	09/26/2014	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ Small Cap Growth	SP	02/25/2014	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ Small Cap Growth	SP	08/21/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ T Rowe Price Large Cap Growth	SP	02/25/2014	P	\$15,001 - \$50,000	
Prudential Annuity ⇒	SP	08/21/2014	S	\$15,001 - \$50,000	<input type="checkbox"/>

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
The Humpty Dumpty Institute & Azpod	05/30/2014	06/3/2014	DC - Baku - Chicago	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

<ul style="list-style-type: none">Book LOCATION: US DESCRIPTION: MemoirCharles Schwab #1-72 LOCATION: US DESCRIPTION: Brokerage AccountCharles Schwab #4-11 (Owner: SP) LOCATION: US DESCRIPTION: Brokerage AccountCharles Schwab #5-14 (Owner: SP) LOCATION: US DESCRIPTION: Brokerage AccountETrade-76 LOCATION: US DESCRIPTION: Brokerage Account COMMENTS: this account closed in 2014Pacific Life AnnuityPrudential Annuity (Owner: SP)
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EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

IPO: Did you purchase any shares that were allocated as a part of an Initial Public Offering?

☐ Yes ☒ No

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

COMMENTS

Cash in Charles Schwab brokerage account #2-83 transferred to Charles Schwab brokerage account #5-14 in January 2014. Charles Schwab brokerage account #3-01 closed. E-Trade-23 and ETrade-76 closed and remaining assets transferred to other accounts as

noted on a per asset basis.

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. Luis V. Gutierrez , 11/5/2015