



Filing ID #10008211

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Charles H. Norris  
**Status:** Congressional Candidate  
**State/District:** CO01

## FILING INFORMATION

**Filing Type:** Candidate Report  
**Filing Year:** 2014  
**Filing Date:** 07/14/2015  
**Period Covered:** 01/01/2014– 06/30/2015

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Checking Accounts ⇒ UMB Checking	JT	\$14,250.32	Interest	\$1.13	\$2.05
Checking Accounts ⇒ Wells Fargo Checking	JT	\$10,788.1	Interest	\$3.43	\$4.87
CHN IRAs ⇒ LPL CHN IRA Roth ⇒ Accelerate Diagnostics, Inc. (AXDX)		\$14,453.6	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA Roth ⇒ Ballard Power Systems, Inc. - Common Shares (BLDP)		\$73.15	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA Roth ⇒ Cash		\$72.99	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA Roth ⇒ Genie Energy Limited PFD SER 2012 A (GNE'A)		\$63.45	Tax-Deferred		
DESCRIPTION: Stock not found by lookup by lookup in "Stocks (including ADRs)"					
CHN IRAs ⇒ LPL CHN IRA Roth ⇒		\$162.72	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
IDT Corporation Class B (IDT)					
CHN IRAs ⇒ LPL CHN IRA Roth ⇒ Principal Global Diversified Incm Cl C (PGDCX)		\$18,968.56	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA Roth ⇒ Southwest Airlines Company (LUV)		\$992.7	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA Roth ⇒ Straight Path Communications Inc. Class B (STRP)		\$131.16	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA traditional ⇒ Blackrock Global Samll Cap Investor Cl A (MDGCX)		\$11,662.16	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA traditional ⇒ Cash		\$415.4	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA traditional ⇒ Ishares U S Health Care Providers ETF IHF		\$16,582.2	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA traditional ⇒ Principal Global Diversified Incm Cl C (PGDCX)		\$3,322.25	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA traditional ⇒ Proshares Short 80+ Yr Treasury 1X ETF TBF		\$2,124.63	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA traditional ⇒ Sector Financial Select Sector SPDR ETF XLF		\$5,821.2	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA traditional ⇒ SPDR Series Trust S&P Homebuilders ETF XH8		\$2,783.12	Tax-Deferred		
CHN IRAs ⇒ WF CHN IRA Traditional ⇒ IVY Funds Inc Science & Tech FD Cl C (WSTCX)		\$11,060.96	Tax-Deferred		
CHN IRAs ⇒ WF CHN IRA Traditional ⇒ TEKLA World Healthcare Fd (THW)		\$5,002.55	Tax-Deferred		
CHN IRAs ⇒ WF CHN IRA Traditional ⇒ Wells Fargo Bank NA		\$136.07	Tax-Deferred		
CHN SEP ⇒ Vanguard Dividend Growth Fund (VDIGX)		\$8,767.38	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Denver Condo LOCATION: Denver, CO, US	JT	\$246,700	Rent	\$14,400	\$14,400
Ft Collins Condo LOCATION: Ft. Collins, CO, US	JT	\$114,400	Rent	\$9,540	\$9,540
Insurance ⇒ John Hancock Whole Life Policy		\$1,001 - \$15,000	Interest	\$1 - \$200	\$115.89
LPL Investments ⇒ Citibank NA	JT	\$749.39	Interest	None	\$.53
LPL Investments ⇒ Columbia Div Opp A (INUTX) DESCRIPTION: sold 20140211	JT	None	Capital Gains	None	\$1,348.4
LPL Investments ⇒ Columbia Hi Yld Bd A (INEAX) DESCRIPTION: sold 20140211 for capital gains loss; -\$563.20	JT	None	Capital Gains	None	None
LPL Investments ⇒ Comcast Corporation - Class A (CMCSA)	JT	\$4,510.5	Dividends	\$1 - \$200	\$113.66
LPL Investments ⇒ Corporate Property Associates 18 Global Inc CL C 22004E208 DESCRIPTION: ordinary dividend - 142.66 nonqualifying dividend - 100.39 non-dividend distribution - 459.20	JT	\$21,347.55	combined income	\$201 - \$1,000	\$702.25
LPL Investments ⇒ Fidelity Advisor New Insights CL C (FNICX) DESCRIPTION: All long-term capital gains	JT	\$24,301.5	Capital Gains	\$1,001 - \$2,500	\$1,790.14
LPL Investments ⇒ First Trust Mun Incm SEL 66 MO CE RE 30285T752 DESCRIPTION: combined income from tax-exempt dividends, tax-exempt dividend ATMs, nonqualified dividends, and nondividend distributions	JT	\$9,395.43	combined income	\$201 - \$1,000	\$465.64
LPL Investments ⇒ Hartford Floating Rate CL C (HFLCX) DESCRIPTION: all nonqualified dividends	JT	\$10,320.74	Dividends	\$201 - \$1,000	\$328.32
LPL Investments ⇒ Lord Abbett Growth Opptys CL C (LMGCX) DESCRIPTION: qualified dividends - 83.39 short-term capital gains - 281.40 long-term capital gains - 1138.14	JT	\$9,988.94	combined income	\$1,001 - \$2,500	\$1,502.93

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
LPL Investments ⇒ Oppenheimer Intl Diversified CL C (OIDCX)	JT	\$21,507.3	None		
LPL Investments ⇒ Oppenheimer Rising Dividends CL C (OCRDY)	JT	\$12,384.77	combined income	\$1,001 - \$2,500	\$1,135.54
DESCRIPTION: nonqualified dividends - 6.88 qualified dividends - 189.11 short-term capital gains - 95.21 long-term capital gains - 844.34					
LPL Investments ⇒ Peabody Energy Corporation (BTU)	JT	\$1,095	Dividends	\$1 - \$200	None
LPL Investments ⇒ Straight Path Communications Inc. Class B (STRP)	JT	\$8,197.5	Dividends	None	None
LPL Investments ⇒ Vanguard Dividend Growth Investor CL (VDIGX)	JT	\$13,673.43	combined income	\$201 - \$1,000	\$457.98
DESCRIPTION: long-term capital gain - 153.20 short-term capital gain - 29.95 qualified dividend - 274.83					
Office in personal residence	JT	\$476,800	Rent	\$2,472	\$2,472
LOCATION: Denver, CO, US					
Protective ProSaver Secure II	JT	\$64,181.73	Tax-Deferred		
Savings Accounts ⇒ Wells Fargo Savings	JT	\$13,873.11	Interest	\$4.62	\$14.77
SHT IRAs ⇒ LPL SHT IRA roth ⇒ Cash	SP	\$.57	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA roth ⇒ Principal Global Diversified Incm Cl C (PGDCX)	SP	\$18,215.35	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA Traditional ⇒ American Beacon Sim High Yield Opportunities Cl C (SHOCX)	SP	\$25,577.02	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA Traditional ⇒ Cash	SP	\$596.32	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA Traditional ⇒ Fidelity Advisor New Insights Cl C (FNICX)	SP	\$46,185.76	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA Traditional ⇒ First Trust Hi Yld & Shrt TRS ETF 13 MO CE RE 30283M700	SP	\$22,121.26	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
SHT IRAs ⇒ LPL SHT IRA Traditional ⇒ IShares U S Health Care Providers ETF IHF	SP	\$26,445.75	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA Traditional ⇒ Lord Abbett Value Opptys Cl C (LVOCX)	SP	\$22,962.86	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA Traditional ⇒ Oppenheimer Intl Diversified Cl C (OIDCX)	SP	\$19,125.76	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA Traditional ⇒ Oppenheimer Rising Dividends Cl C (OCRDX)	SP	\$34,236.84	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA Traditional ⇒ PIMCO Income Cl C (PONCX)	SP	\$41,853.37	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA Traditional ⇒ Powershares QQQ ETF QQQ	SP	\$10,278.72	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA Traditional ⇒ SPDR Series Trust S&P Retail ETF XRT	SP	\$4,143.72	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA Traditional ⇒ Vanguard Dividend Appreciation ETF VIG	SP	\$16,894.7	Tax-Deferred		
SHT IRAs ⇒ WF SHT IRA traditional ⇒ IVY Funds Inc Science & Tech FD CL C (WSTCX)	SP	\$20,577.87	Tax-Deferred		
SHT IRAs ⇒ WF SHT IRA traditional ⇒ Principal Invs Fd Global Real Estate Cl A (POSAX)	SP	\$22,163.25	Tax-Deferred		
SHT IRAs ⇒ WF SHT IRA traditional ⇒ TEKLA World Heathcare FD (THW)	SP	\$5,002.55	Tax-Deferred		
SHT IRAs ⇒ WF SHT IRA traditional ⇒ Wells Fargo Bank NA	SP	\$17.25	Tax-Deferred		
SHT SEP ⇒ Vanguard Target Retirement 2015 Fund (VTXVX)	SP	\$5,409.5	Tax-Deferred		
Wells Fargo Investments ⇒ Dreyfus Advantage Fds Opportunistic Midcap Value Fund Cl A (DMCVX)	JT	\$26,056.52	combined income	\$201 - \$1,000	\$2,717.69
DESCRIPTION: Ordinary dividends - 709.75 capital gains - 2007.94					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Wells Fargo Investments ⇒ Federated Muni & Stock Advantage Fund-B (FMNBX)	JT	\$24,674.62	Dividends	\$201 - \$1,000	\$434.51
Wells Fargo Investments ⇒ First Trust Sabrient Bakers Dozen Port 2015 SER REIN  DESCRIPTION: acquired 20150130	JT	\$36,672.59	Dividends	\$201 - \$1,000	None
Wells Fargo Investments ⇒ Goldman Sachs Tr Mid Cap Equity Fd Cl A (GCMAX)  DESCRIPTION: ordinary dividends - 1263.50 capital gains - 3397.66	JT	\$25,503.52	Dividends	\$1,001 - \$2,500	\$4,661.16
Wells Fargo Investments ⇒ MFS Utilities Fd Cl B (MMUBX)  DESCRIPTION: 2014 income: ordinary dividends - 1115.42 capital gains - 1752.95 Asset sold 20150130 2015 income capital gains - 3648.93 dividends - 76.41	JT	None	combined income	\$3,725.34	\$2,868.37
Wells Fargo Investments ⇒ Oppenheimer Intl Bond Fd CL A (OIBAX)	JT	\$24.28	Dividends	\$1 - \$200	\$.16
Wells Fargo Investments ⇒ Oppenheimer Strategic Income Fund CL A (OPSIX)	JT	\$50.54	Dividends	\$1 - \$200	\$2.61
Wells Fargo Investments ⇒ TEKLA World Healthcare Fd (THW)	JT	\$15,007.65	Dividends	\$1 - \$200	None
Wells Fargo Investments ⇒ USA Mutuals Barrier Fd Cl C ( VICCX)  DESCRIPTION: Previous asset name Vice Fund Cl C Asset sold 20141029 capital gains on sale - 1734.90 dividends - 490.46	JT	None	combined income	None	\$2,225.36
Wells Fargo Investments ⇒ Wells Fargo Bank NA	JT	\$199.08	Interest	None	\$.28

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

**SCHEDULE C: EARNED INCOME**

Source	Type	Amount Current Year to Filing	Amount Preceding Year
Geo-Hydro, Inc.	salary	\$53,333	\$40,000.02

SCHEDULE D: LIABILITIES

None disclosed.

SCHEDULE E: POSITIONS

Position	Name of Organization
CEO, Secretary, and Treasurer	Geo-Hydro, Inc

SCHEDULE F: AGREEMENTS

None disclosed.

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

None disclosed.

SCHEDULE A ASSET CLASS DETAILS

<ul style="list-style-type: none"><li>◦ Checking Accounts (Owner: JT) LOCATION: US</li><li>◦ CHN IRAs DESCRIPTION: CHN IRAs</li><li>◦ CHN IRAs ⇒ LPL CHN IRA Roth DESCRIPTION: Roth CHN IRA with LPL Financial</li><li>◦ CHN IRAs ⇒ LPL CHN IRA traditional DESCRIPTION: traditional CHN IRA with LPL Financial</li><li>◦ CHN IRAs ⇒ WF CHN IRA Traditional DESCRIPTION: Traditional CHN IRA with Wells Fargo</li><li>◦ CHN SEP</li><li>◦ Insurance LOCATION: US</li><li>◦ LPL Investments (Owner: JT) LOCATION: US</li><li>◦ Savings Accounts (Owner: JT) LOCATION: US</li><li>◦ SHT IRAs (Owner: SP) DESCRIPTION: SHT IRAs</li><li>◦ SHT IRAs ⇒ LPL SHT IRA roth (Owner: SP) DESCRIPTION: Roth IRA with LPL Financial</li><li>◦ SHT IRAs ⇒ LPL SHT IRA Traditional (Owner: SP) DESCRIPTION: Traditional IRA with LPL Financial</li><li>◦ SHT IRAs ⇒ WF SHT IRA traditional (Owner: SP) DESCRIPTION: traditional IRA with Wells Fargo</li><li>◦ SHT SEP (Owner: SP)</li><li>◦ Wells Fargo Investments (Owner: JT)</li></ul>
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LOCATION: US

DESCRIPTION: Joint account with Wells Fargo Investors

## 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:** Charles H. Norris , 07/14/2015