



Filing ID #10001700

# FINANCIAL DISCLOSURE REPORT

---

Clerk of the House of Representatives • Legislative Resource Center • B-106 Cannon Building • Washington, DC 20515

---

## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2013  
**Filing Date:** 08/13/2014

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

| Asset  | Owner | Value of Asset | Income Type(s)              | Income            | Tx. > \$1,000?                      |
|--|-------|----------------|-----------------------------|-------------------|-------------------------------------|
| Book ⇒<br>Book<br><br>DESCRIPTION: Memoir                      |       | Undetermined   | None                        |                   | <input type="checkbox"/>            |
| Charles Schwab #1-72 ⇒<br>Schwab U.S. Broad Market ETF (SCHB)  |       | None           | Capital Gains               | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #1-72 ⇒<br>Schwab U.S. Large-Cap ETF (SCHX)     |       | None           | Capital Gains               | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #1-72 ⇒<br>Schwab US Dividend Equity ETF (SCHD) |       | None           | Capital Gains               | \$2,501 - \$5,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #1-72 ⇒<br>TIAA-CREF High-Yield Fund (TIYRX)    |       | None           | Capital Gains,<br>Dividends | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>iShares intl ETF (IFGL)              | SP    | None           | Capital Gains               | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>iShares MSCI GRMNY (EWG)             | SP    | None           | Capital Gains               | \$201 - \$1,000   | <input checked="" type="checkbox"/> |

| Asset  | Owner | Value of Asset | Income Type(s)           | Income            | Tx. > \$1,000?                      |
|--|-------|----------------|--------------------------|-------------------|-------------------------------------|
| Charles Schwab #2-83 ⇒ iShares MSCI Hong Kong (EWH)    | SP    | None           | Capital Gains            | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒ Mathews Asia Dividend (MAPIX)   | SP    | None           | Dividends                | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒ Powershares QQQ Trust (QQQ)     | SP    | None           | Capital Gains            | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒ SCH US DIV Equity ETF (SCHD)    | SP    | None           | Capital Gains, Dividends | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒ SCH US REIT ETF (SCHH)          | SP    | None           | Capital Gains, Dividends | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒ SCHW US LCAP ETF (SCHX)         | SP    | None           | Capital Gains            | \$2,501 - \$5,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒ SCHW US LCAP VAL ETF (SCHV)     | SP    | None           | Capital Gains            | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒ SCHW US SCAP ETF (SCHA)         | SP    | None           | Capital Gains, Dividends | \$2,501 - \$5,000 | <input type="checkbox"/>            |
| Charles Schwab #2-83 ⇒ Vanguard Div Appreciation (VIG) | SP    | None           | Capital Gains            | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒ Vanguard REIT (VNQ)             | SP    | None           | Capital Gains            | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒ Vanguard Total Stock Mkt (VTI)  | SP    | None           | Capital Gains            | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #3-01 ⇒ Bay Area Toll Auth (bond)       |       | None           | Interest                 | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #3-01 ⇒ California St for 5%23 (bond)   |       | None           | Interest                 | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #3-01 ⇒ California St PUB (bond)        |       | None           | Interest                 | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #3-01 ⇒ District of Columbia (bond)     |       | None           | Interest                 | \$201 - \$1,000   | <input checked="" type="checkbox"/> |

| Asset  | Owner | Value of Asset | Income Type(s) | Income          | Tx. > \$1,000?                      |
|--|-------|----------------|----------------|-----------------|-------------------------------------|
| Charles Schwab #3-01 ⇒<br>District of Columbia 5%19 (bond) |       | None           | Interest       | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Florida St (bond)                |       | None           | Interest       | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Lamar Tex Cons (bond)            |       | None           | Interest       | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Massachusetts St SC (bond)       |       | None           | Interest       | \$201 - \$1,000 | <input type="checkbox"/>            |
| Charles Schwab #3-01 ⇒<br>Montana FAC (bond)               |       | None           | Interest       | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Nebraska PUB5%19 (bond)          |       | None           | Interest       | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>New Jersey Econ (bond)           |       | None           | Interest       | \$201 - \$1,000 | <input type="checkbox"/>            |
| Charles Schwab #3-01 ⇒<br>New Jersey St TPK (bond)         |       | None           | Interest       | \$201 - \$1,000 | <input type="checkbox"/>            |
| Charles Schwab #3-01 ⇒<br>New York NY (bond)               |       | None           | Interest       | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>North Carolina Mun (bond)        |       | None           | Interest       | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Ohio State (bond)                |       | None           | Interest       | \$201 - \$1,000 | <input type="checkbox"/>            |
| Charles Schwab #3-01 ⇒<br>Oklahoma St WTR (bond)           |       | None           | Interest       | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Orange County (bond)             |       | None           | Interest       | \$201 - \$1,000 | <input type="checkbox"/>            |
| Charles Schwab #3-01 ⇒<br>Pennsylvania Econ (bond)         |       | None           | Interest       | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Rhose Island Clean (bond)        |       | None           | Interest       | \$201 - \$1,000 | <input checked="" type="checkbox"/> |

| Asset   | Owner | Value of Asset | Income Type(s)              | Income            | Tx. > \$1,000?                      |
|---|-------|----------------|-----------------------------|-------------------|-------------------------------------|
| Charles Schwab #3-01 ⇒<br>Virginia St Res (bond)          |       | None           | Interest                    | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Washington State-FOR (bond)     |       | None           | Interest                    | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒<br>Powershares QQQ                 | SP    | None           | Capital Gains               | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒<br>SCHW US BRD MKT ETF (SCHB)      | SP    | None           | Capital Gains,<br>Dividends | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒<br>SCHW US LCAP ETF (SCHX)         | SP    | None           | Capital Gains,<br>Dividends | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒<br>SCHW US LCAP VAL ETF (SCHV)     | SP    | None           | Capital Gains,<br>Dividends | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒<br>SCHW US SCAP ETF (SCHA)         | SP    | None           | Capital Gains               | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒<br>SPDR S&P 500 (SPY)              | SP    | None           | Capital Gains               | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒<br>Vanguard Div Appreciation (VIG) | SP    | None           | Capital Gains               | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒<br>Vanguard Total Stock Mkt (VTI)  | SP    | None           | Capital Gains               | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒<br>Wisdomtree Div (DTN)            | SP    | None           | Capital Gains               | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒<br>Wisdomtree Japan Hdgd Eq (DXJ)  | SP    | None           | Capital Gains               | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>Guggenheim (RYF)                |       | None           | Capital Gains               | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>Guggenheim ETF (RYH)            |       | None           | Capital Gains               | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>iShares intl ETF (IFGL)         |       | None           | Capital Gains               | \$201 - \$1,000   | <input checked="" type="checkbox"/> |

| Asset   | Owner | Value of Asset          | Income Type(s)           | Income               | Tx. > \$1,000?                      |
|---|-------|-------------------------|--------------------------|----------------------|-------------------------------------|
| Charles Schwab #5-14 ⇒<br>iShares MSCI GRMNY (EWG)      |       | None                    | Capital Gains            | \$201 - \$1,000      | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>iShares MSCI HK ETF (EWH)     |       | None                    | Capital Gains            | \$201 - \$1,000      | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>iShares TR Healthcare (IYH)   |       | None                    | Capital Gains            | \$1,001 - \$2,500    | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>iShares TR Russell 2000 (IWM) |       | None                    | Capital Gains            | \$201 - \$1,000      | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ)   |       | \$100,001 - \$250,000   | Capital Gains, Dividends | \$5,001 - \$15,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCH US DIV Equity ETF (SCHD)  |       | None                    | Capital Gains, Dividends | \$5,001 - \$15,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCH US REIT ETF (SCHH)        |       | None                    | Capital Gains            | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW INTL EQ ETF (SCHF)       |       | None                    | Capital Gains            | \$201 - \$1,000      | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW US BRD MKT (SCHB)        |       | None                    | Capital Gains            | \$201 - \$1,000      | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX)       |       | \$500,001 - \$1,000,000 | Capital Gains, Dividends | \$50,001 - \$100,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP VAL (SCHV)       |       | None                    | Capital Gains, Dividends | \$1,001 - \$2,500    | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)           |       | None                    | Capital Gains, Dividends | \$5,001 - \$15,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>Schwab Target 2015 (SWGRX)    |       | None                    | Capital Gains            | \$1,001 - \$2,500    | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>Sector SPDR FINCL (XLF)       |       | None                    | Capital Gains            | \$201 - \$1,000      | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>Sector SPDR INDL (XLI)        |       | None                    | Capital Gains            | \$201 - \$1,000      | <input checked="" type="checkbox"/> |

| Asset  | Owner | Value of Asset | Income Type(s) | Income            | Tx. > \$1,000?                      |
|--|-------|----------------|----------------|-------------------|-------------------------------------|
| Charles Schwab #5-14 ⇒ SPDR Dow Jones (DIA)      |       | None           | Capital Gains  | \$1,001 - \$2,500 | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒ Vanguard Div Apprec (VIG) |       | None           | Capital Gains  | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒ Vanguard FTSE ETF (VEA)   |       | None           | Capital Gains  | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒ Vanguard REIT (VNQ)       |       | None           | Capital Gains  | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒ EgShares ETF              | SP    | None           | Capital Gains  | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒ iShares Intl FTSE         | SP    | None           | Capital Gains  | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒ iShares MSCI GRMNY        | SP    | None           | Capital Gains  | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒ iShares MSCI Hong Kong    | SP    | None           | Capital Gains  | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒ iShares Russell           | SP    | None           | Capital Gains  | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒ Powershares QQQ           | SP    | None           | Capital Gains  | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒ Powershares S&P ETF       | SP    | None           | Capital Gains  | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒ Vanguard FTSE Emerging    | SP    | None           | Capital Gains  | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒ Vanguard FTSE ETF         | SP    | None           | Capital Gains  | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒ Vanguard REIT             | SP    | None           | Capital Gains  | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒ Vanguard Total Stock      | SP    | None           | Capital Gains  | \$201 - \$1,000   | <input checked="" type="checkbox"/> |

| Asset   | Owner | Value of Asset       | Income Type(s)              | Income             | Tx. > \$1,000?                      |
|---|-------|----------------------|-----------------------------|--------------------|-------------------------------------|
| Charles Schwab #6-38 ⇒<br>Wisdomtree Japan Hedge    | SP    | None                 | Capital Gains               | \$201 - \$1,000    | <input type="checkbox"/>            |
| ETrade-23 ⇒<br>Dodge & Cox Stock Fund (DODGX)       |       | \$1,001 - \$15,000   | None                        |                    | <input checked="" type="checkbox"/> |
| ETrade-23 ⇒<br>TCW Funds (TSI)                      |       | \$1,001 - \$15,000   | None                        |                    | <input checked="" type="checkbox"/> |
| ETrade-23 ⇒<br>Wisdomtree Dividend (DTN)            |       | \$1,001 - \$15,000   | None                        |                    | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>Apple Inc. (AAPL)                    |       | None                 | Capital Gains               | \$201 - \$1,000    | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>Dodge & Cox Stock Fund (DODGX)       |       | None                 | Capital Gains,<br>Dividends | \$201 - \$1,000    | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>Goodhaven Fund (GOODX)               |       | \$15,001 - \$50,000  | None                        |                    | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>Matthews Asia Dividend (MAPIX)       |       | None                 | Capital Gains,<br>Dividends | \$1,001 - \$2,500  | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>Sector SPDR FINCL (XLF)              |       | None                 | Capital Gains               | \$201 - \$1,000    | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>Smead Value Fund (SMVLX)             |       | None                 | Capital Gains               | \$201 - \$1,000    | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>SPDR Dow Jones Small Cap (SLY)       |       | \$1,001 - \$15,000   | None                        |                    | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>SPDR S&P 500 ETF Trust (SPY)         |       | None                 | Capital Gains               | \$2,501 - \$5,000  | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>T Rowe Price Health Sciences (PRHSX) |       | \$50,001 - \$100,000 | Capital Gains,<br>Dividends | \$5,001 - \$15,000 | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>T Rowe Price Value Fund (TRVLX)      |       | None                 | Capital Gains               | \$201 - \$1,000    | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>Vanguard Sector Financials (VFH)     |       | None                 | Capital Gains,<br>Dividends | \$201 - \$1,000    | <input checked="" type="checkbox"/> |

| Asset   | Owner | Value of Asset        | Income Type(s) | Income             | Tx. > \$1,000?                      |
|---|-------|-----------------------|----------------|--------------------|-------------------------------------|
| ETrade-76 ⇒<br>Vanguard Windsor Fund (VWNDX)              |       | None                  | Capital Gains  | \$201 - \$1,000    | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>Wisdomtree Trust ETF                       |       | None                  | Capital Gains  | \$1,001 - \$2,500  | <input checked="" type="checkbox"/> |
| New York Life Insurance Annuity (Fixed)                   |       | None                  | Interest       | \$5,001 - \$15,000 | <input checked="" type="checkbox"/> |
| DESCRIPTION: Sold in Jan 2013                             |       |                       |                |                    |                                     |
| Pacific Life Annuity ⇒<br>American Asset Alloc            |       | \$100,001 - \$250,000 | Tax-Deferred   | None               | <input checked="" type="checkbox"/> |
| Pacific Life Annuity ⇒<br>FT Founding Funds               |       | \$100,001 - \$250,000 | Tax-Deferred   | None               | <input checked="" type="checkbox"/> |
| PNC Checking Account                                      |       | \$15,001 - \$50,000   | Interest       | \$1 - \$200        | <input type="checkbox"/>            |
| Prudential Annuity ⇒<br>BlackRock Global Strategies       |       | \$1,001 - \$15,000    | Tax-Deferred   | None               | <input type="checkbox"/>            |
| Prudential Annuity ⇒<br>BlackRock iShares ETF             |       | \$15,001 - \$50,000   | Tax-Deferred   | None               | <input type="checkbox"/>            |
| Prudential Annuity ⇒<br>Franklin Templtn FF Plus          |       | \$15,001 - \$50,000   | Tax-Deferred   | None               | <input type="checkbox"/>            |
| Prudential Annuity ⇒<br>Goldman Sachs Concentrated Growth |       | \$15,001 - \$50,000   | Tax-Deferred   | None               | <input checked="" type="checkbox"/> |
| Prudential Annuity ⇒<br>Goldman Sachs Large Cap           |       | \$1,001 - \$15,000    | Tax-Deferred   | None               | <input checked="" type="checkbox"/> |
| Prudential Annuity ⇒<br>Goldman Sachs Mid Cap             |       | \$1,001 - \$15,000    | Tax-Deferred   | None               | <input checked="" type="checkbox"/> |
| Prudential Annuity ⇒<br>Goldman Sachs Small Cap Value     |       | \$1,001 - \$15,000    | Tax-Deferred   | None               | <input checked="" type="checkbox"/> |
| Prudential Annuity ⇒<br>International Growth              |       | \$15,001 - \$50,000   | Tax-Deferred   | None               | <input checked="" type="checkbox"/> |
| Prudential Annuity ⇒<br>Jennison Large Cap                |       | \$1,001 - \$15,000    | Tax-Deferred   | None               | <input checked="" type="checkbox"/> |



| Asset  | Owner | Value of Asset      | Income Type(s) | Income | Tx. > \$1,000?                      |
|--|-------|---------------------|----------------|--------|-------------------------------------|
| Prudential Annuity ⇒<br>PIMCO Total Return Bond        |       | \$15,001 - \$50,000 | Tax-Deferred   | None   | <input type="checkbox"/>            |
| Prudential Annuity ⇒<br>Prudential Core Bond Portfolio |       | \$1,001 - \$15,000  | Tax-Deferred   | None   | <input checked="" type="checkbox"/> |
| Prudential Annuity ⇒<br>Western Asset Core Plus Bond   |       | \$15,001 - \$50,000 | Tax-Deferred   | None   | <input checked="" type="checkbox"/> |

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

SCHEDULE B: TRANSACTIONS

| Asset  | Owner | Date       | Tx. Type | Amount               | Cap. Gains > \$200?                 |
|--|-------|------------|----------|----------------------|-------------------------------------|
| Charles Schwab #1-72 ⇒<br>Schwab International Equity ETF (SCHF) |       | 04/5/2013  | P        | \$1,001 - \$15,000   |                                     |
| Charles Schwab #1-72 ⇒<br>Schwab International Equity ETF (SCHF) |       | 04/9/2013  | S        | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| Charles Schwab #1-72 ⇒<br>Schwab Target 2015 (SWGRX)             |       | 05/13/2013 | P        | \$50,001 - \$100,000 |                                     |
| Charles Schwab #1-72 ⇒<br>Schwab Target 2015 (SWGRX)             |       | 05/20/2013 | P        | \$15,001 - \$50,000  |                                     |
| Charles Schwab #1-72 ⇒<br>Schwab Target 2015 (SWGRX)             |       | 06/25/2013 | S        | \$50,001 - \$100,000 | <input type="checkbox"/>            |
| Charles Schwab #1-72 ⇒<br>Schwab U.S. Broad Market ETF (SCHB)    |       | 03/28/2013 | P        | \$1,001 - \$15,000   |                                     |
| Charles Schwab #1-72 ⇒<br>Schwab U.S. Broad Market ETF (SCHB)    |       | 04/4/2013  | P        | \$15,001 - \$50,000  |                                     |
| Charles Schwab #1-72 ⇒<br>Schwab U.S. Broad Market ETF (SCHB)    |       | 04/5/2013  | P        | \$15,001 - \$50,000  |                                     |
| Charles Schwab #1-72 ⇒<br>Schwab U.S. Broad Market ETF (SCHB)    |       | 04/9/2013  | S        | \$50,001 - \$100,000 | <input checked="" type="checkbox"/> |

| Asset  | Owner | Date       | Tx. Type    | Amount                | Cap. Gains > \$200?                 |
|--|-------|------------|-------------|-----------------------|-------------------------------------|
| Charles Schwab #1-72 ⇒<br>Schwab U.S. Large-Cap ETF (SCHX)     |       | 03/28/2013 | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #1-72 ⇒<br>Schwab U.S. Large-Cap ETF (SCHX)     |       | 04/4/2013  | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #1-72 ⇒<br>Schwab U.S. Large-Cap ETF (SCHX)     |       | 04/5/2013  | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #1-72 ⇒<br>Schwab U.S. Large-Cap ETF (SCHX)     |       | 04/9/2013  | S           | \$50,001 - \$100,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #1-72 ⇒<br>Schwab US Dividend Equity ETF (SCHD) |       | 03/26/2013 | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #1-72 ⇒<br>Schwab US Dividend Equity ETF (SCHD) |       | 03/27/2013 | P           | \$50,001 - \$100,000  |                                     |
| Charles Schwab #1-72 ⇒<br>Schwab US Dividend Equity ETF (SCHD) |       | 03/28/2013 | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #1-72 ⇒<br>Schwab US Dividend Equity ETF (SCHD) |       | 04/4/2013  | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #1-72 ⇒<br>Schwab US Dividend Equity ETF (SCHD) |       | 04/5/2013  | P           | \$50,001 - \$100,000  |                                     |
| Charles Schwab #1-72 ⇒<br>Schwab US Dividend Equity ETF (SCHD) |       | 04/9/2013  | S (partial) | \$100,001 - \$250,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #1-72 ⇒<br>Schwab US Dividend Equity ETF (SCHD) |       | 04/10/2013 | S           | \$100,001 - \$250,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #1-72 ⇒<br>TIAA-CREF High-Yield Fund (TIYRX)    |       | 02/5/2013  | S           | \$50,001 - \$100,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>Guggenheim ETF (GSY)                 | SP    | 01/25/2013 | S           | \$1,001 - \$15,000    | <input type="checkbox"/>            |
| Charles Schwab #2-83 ⇒<br>iShares ETF (QLTA)                   | SP    | 01/25/2013 | S           | \$1,001 - \$15,000    | <input type="checkbox"/>            |
| Charles Schwab #2-83 ⇒<br>iShares Gold Trust ETF (IAU)         | SP    | 01/25/2013 | S           | \$1,001 - \$15,000    | <input type="checkbox"/>            |

| Asset  | Owner | Date       | Tx. Type | Amount              | Cap. Gains > \$200?                 |
|--|-------|------------|----------|---------------------|-------------------------------------|
| Charles Schwab #2-83 ⇒<br>iShares intl ETF (IFGL)            | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>iShares MSCI GRMNY (EWG)           | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>iShares MSCI Hong Kong (EWH)       | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>iShares TR Barclays 1-3Y (SHY)     | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #2-83 ⇒<br>iShares TR Barclays 7-10y (IEF)    | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #2-83 ⇒<br>iShares TR Barclays TIPS (TIP)     | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #2-83 ⇒<br>Matthews Asia Dividend (MAPIX)     | SP    | 02/1/2013  | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #2-83 ⇒<br>Matthews Asia Dividend (MAPIX)     | SP    | 03/5/2013  | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #2-83 ⇒<br>Matthews Asia Dividend (MAPIX)     | SP    | 07/10/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #2-83 ⇒<br>PIMCO Exch TF                      | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #2-83 ⇒<br>Powershares DB Commodity ETF (DBC) | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #2-83 ⇒<br>Powershares Exch TF (PCY)          | SP    | 01/17/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #2-83 ⇒<br>Powershares QQQ Trust (QQQ)        | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #2-83 ⇒<br>Powershares QQQ Trust (QQQ)        | SP    | 08/15/2013 | P        | \$15,001 - \$50,000 |                                     |
| Charles Schwab #2-83 ⇒                                       | SP    | 09/17/2013 | S        | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |

| Asset  | Owner | Date       | Tx. Type    | Amount               | Cap. Gains > \$200?                 |
|--|-------|------------|-------------|----------------------|-------------------------------------|
| Powershares QQQ Trust (QQQ)                            |       |            |             |                      |                                     |
| Charles Schwab #2-83 ⇒<br>Powershares S&P ETF (SPLV)   | SP    | 01/25/2013 | S           | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| Charles Schwab #2-83 ⇒<br>SCH US DIV Equity ETF (SCHD) | SP    | 01/29/2013 | P           | \$15,001 - \$50,000  |                                     |
| Charles Schwab #2-83 ⇒<br>SCH US DIV Equity ETF (SCHD) | SP    | 01/30/2013 | P           | \$15,001 - \$50,000  |                                     |
| Charles Schwab #2-83 ⇒<br>SCH US DIV Equity ETF (SCHD) | SP    | 02/1/2013  | P           | \$1,001 - \$15,000   |                                     |
| Charles Schwab #2-83 ⇒<br>SCH US DIV Equity ETF (SCHD) | SP    | 02/21/2013 | P           | \$1,001 - \$15,000   |                                     |
| Charles Schwab #2-83 ⇒<br>SCH US DIV Equity ETF (SCHD) | SP    | 06/18/2013 | P           | \$15,001 - \$50,000  |                                     |
| Charles Schwab #2-83 ⇒<br>SCH US DIV Equity ETF (SCHD) | SP    | 06/27/2013 | P           | \$15,001 - \$50,000  |                                     |
| Charles Schwab #2-83 ⇒<br>SCH US DIV Equity ETF (SCHD) | SP    | 06/28/2013 | P           | \$15,001 - \$50,000  |                                     |
| Charles Schwab #2-83 ⇒<br>SCH US DIV Equity ETF (SCHD) | SP    | 02/27/2013 | S (partial) | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>SCH US DIV Equity ETF (SCHD) | SP    | 03/5/2013  | S (partial) | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>SCH US DIV Equity ETF (SCHD) | SP    | 03/6/2013  | S (partial) | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>SCH US DIV Equity ETF (SCHD) | SP    | 07/2/2013  | S           | \$50,001 - \$100,000 | <input type="checkbox"/>            |
| Charles Schwab #2-83 ⇒<br>SCH US REIT ETF (SCHH)       | SP    | 01/29/2013 | P           | \$1,001 - \$15,000   |                                     |
| Charles Schwab #2-83 ⇒<br>SCH US REIT ETF (SCHH)       | SP    | 02/1/2013  | P           | \$1,001 - \$15,000   |                                     |

| Asset  | Owner | Date       | Tx. Type    | Amount                | Cap. Gains > \$200?                 |
|--|-------|------------|-------------|-----------------------|-------------------------------------|
| Charles Schwab #2-83 ⇒<br>SCH US REIT ETF (SCHH)     | SP    | 03/28/2013 | S           | \$1,001 - \$15,000    | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>SCHW EMG MKT EQ ETF (SCHE) | SP    | 01/30/2013 | P           | \$1,001 - \$15,000    |                                     |
| Charles Schwab #2-83 ⇒<br>SCHW EMG MKT EQ ETF (SCHE) | SP    | 03/22/2013 | S           | \$15,001 - \$50,000   | <input type="checkbox"/>            |
| Charles Schwab #2-83 ⇒<br>SCHW INTL EQ ETF (SCHF)    | SP    | 01/29/2013 | P           | \$1,001 - \$15,000    |                                     |
| Charles Schwab #2-83 ⇒<br>SCHW INTL EQ ETF (SCHF)    | SP    | 01/30/2013 | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #2-83 ⇒<br>SCHW INTL EQ ETF (SCHF)    | SP    | 02/27/2013 | S           | \$15,001 - \$50,000   | <input type="checkbox"/>            |
| Charles Schwab #2-83 ⇒<br>SCHW US LCAP ETF (SCHX)    | SP    | 01/29/2013 | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #2-83 ⇒<br>SCHW US LCAP ETF (SCHX)    | SP    | 01/30/2013 | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #2-83 ⇒<br>SCHW US LCAP ETF (SCHX)    | SP    | 02/8/2013  | S           | \$50,001 - \$100,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>SCHW US LCAP ETF (SCHX)    | SP    | 06/7/2013  | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #2-83 ⇒<br>SCHW US LCAP ETF (SCHX)    | SP    | 07/8/2013  | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #2-83 ⇒<br>SCHW US LCAP ETF (SCHX)    | SP    | 07/10/2013 | S           | \$50,001 - \$100,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>SCHW US LCAP ETF (SCHX)    | SP    | 07/23/2013 | P           | \$250,001 - \$500,000 |                                     |
| Charles Schwab #2-83 ⇒<br>SCHW US LCAP ETF (SCHX)    | SP    | 07/26/2013 | S (partial) | \$50,001 - \$100,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>SCHW US LCAP ETF (SCHX)    | SP    | 08/1/2013  | S           | \$100,001 - \$250,000 | <input checked="" type="checkbox"/> |

| Asset   | Owner | Date       | Tx. Type | Amount                | Cap. Gains > \$200?                 |
|---|-------|------------|----------|-----------------------|-------------------------------------|
| Charles Schwab #2-83 ⇒<br>SCHW US LCAP ETF (SCHX)     | SP    | 11/11/2013 | P        | \$100,001 - \$250,000 |                                     |
| Charles Schwab #2-83 ⇒<br>SCHW US LCAP ETF (SCHX)     | SP    | 11/13/2013 | S        | \$50,001 - \$100,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>SCHW US LCAP ETF (SCHX)     | SP    | 12/2/2013  | P        | \$50,001 - \$100,000  |                                     |
| Charles Schwab #2-83 ⇒<br>SCHW US LCAP ETF (SCHX)     | SP    | 12/20/2013 | S        | \$50,001 - \$100,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>SCHW US LCAP VAL ETF (SCHV) | SP    | 01/29/2013 | P        | \$1,001 - \$15,000    |                                     |
| Charles Schwab #2-83 ⇒<br>SCHW US LCAP VAL ETF (SCHV) | SP    | 01/30/2013 | P        | \$15,001 - \$50,000   |                                     |
| Charles Schwab #2-83 ⇒<br>SCHW US LCAP VAL ETF (SCHV) | SP    | 03/5/2013  | S        | \$15,001 - \$50,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>SCHW US SCAP ETF (SCHA)     | SP    | 01/29/2013 | P        | \$15,001 - \$50,000   |                                     |
| Charles Schwab #2-83 ⇒<br>SCHW US SCAP ETF (SCHA)     | SP    | 01/30/2013 | P        | \$15,001 - \$50,000   |                                     |
| Charles Schwab #2-83 ⇒<br>SCHW US SCAP ETF (SCHA)     | SP    | 02/27/2013 | S        | \$15,001 - \$50,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>SCHW US SCAP ETF (SCHA)     | SP    | 12/2/2013  | P        | \$15,001 - \$50,000   |                                     |
| Charles Schwab #2-83 ⇒<br>SCHW US SCAP ETF (SCHA)     | SP    | 12/3/2013  | P        | \$15,001 - \$50,000   |                                     |
| Charles Schwab #2-83 ⇒<br>SCHW US SCAP ETF (SCHA)     | SP    | 12/4/2013  | P        | \$15,001 - \$50,000   |                                     |
| Charles Schwab #2-83 ⇒<br>SCHW US SCAP ETF (SCHA)     | SP    | 12/10/2013 | P        | \$1,001 - \$15,000    |                                     |

| Asset   | Owner | Date       | Tx. Type       | Amount               | Cap. Gains > \$200?                 |
|---|-------|------------|----------------|----------------------|-------------------------------------|
| Charles Schwab #2-83 ⇒<br>SCHW US SCAP ETF (SCHA)           | SP    | 12/20/2013 | S<br>(partial) | \$50,001 - \$100,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>SCHW US SCAP ETF (SCHA)           | SP    | 12/27/2013 | S              | \$50,001 - \$100,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>SPDR Barclays ETF 1-3Y (SCPB)     | SP    | 01/25/2013 | S              | \$15,001 - \$50,000  | <input type="checkbox"/>            |
| Charles Schwab #2-83 ⇒<br>TIAA-CREF High-Yield Fund (TIYRX) | SP    | 02/1/2013  | P              | \$1,001 - \$15,000   |                                     |
| Charles Schwab #2-83 ⇒<br>TIAA-CREF High-Yield Fund (TIYRX) | SP    | 06/7/2013  | S<br>(partial) | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| Charles Schwab #2-83 ⇒<br>TIAA-CREF High-Yield Fund (TIYRX) | SP    | 08/14/2013 | S              | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| Charles Schwab #2-83 ⇒<br>Vanguard Bond Index Fund (BND)    | SP    | 01/25/2013 | S              | \$15,001 - \$50,000  | <input type="checkbox"/>            |
| Charles Schwab #2-83 ⇒<br>Vanguard Div Appreciation (VIG)   | SP    | 01/25/2013 | S              | \$1,001 - \$15,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>Vanguard REIT (VNQ)               | SP    | 01/25/2013 | S              | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>Vanguard Total Stock Mkt (VTI)    | SP    | 01/25/2013 | S              | \$1,001 - \$15,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #2-83 ⇒<br>Wisdomtree Japan Hdgd Eq (DXJ)    | SP    | 01/17/2013 | P              | \$1,001 - \$15,000   |                                     |
| Charles Schwab #2-83 ⇒<br>Wisdomtree Japan Hdgd Eq (DXJ)    | SP    | 01/25/2013 | S              | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| Charles Schwab #3-01 ⇒<br>American Century One (ARFIX)      |       | 04/9/2013  | P              | \$1,001 - \$15,000   |                                     |
| Charles Schwab #3-01 ⇒<br>American Century One (ARFIX)      |       | 04/10/2013 | P              | \$1,001 - \$15,000   |                                     |
| Charles Schwab #3-01 ⇒<br>American Century One (ARFIX)      |       | 05/13/2013 | P              | \$1,001 - \$15,000   |                                     |

| Asset   | Owner | Date       | Tx. Type | Amount              | Cap. Gains > \$200?      |
|---|-------|------------|----------|---------------------|--------------------------|
| Charles Schwab #3-01 ⇒<br>American Century One (ARFIX)      |       | 05/22/2013 | P        | \$15,001 - \$50,000 |                          |
| Charles Schwab #3-01 ⇒<br>American Century One (ARFIX)      |       | 06/25/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Bay Area Toll Auth (bond)         |       | 03/22/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>California St for 5%23 (bond)     |       | 03/22/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>California St PUB (bond)          |       | 03/19/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>District of Columbia (bond)       |       | 03/13/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>District of Columbia 5%19 (bond)  |       | 03/21/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Florida St (bond)                 |       | 03/14/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Intermountain Power Agency (bond) |       | 02/25/2013 | P        | \$15,001 - \$50,000 |                          |
| Charles Schwab #3-01 ⇒<br>Intermountain Power Agency (bond) |       | 03/27/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Lamar Tex Cons (bond)             |       | 03/18/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Lower Col River (bond)            |       | 03/8/2013  | P        | \$15,001 - \$50,000 |                          |
| Charles Schwab #3-01 ⇒<br>Lower Col River (bond)            |       | 03/25/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Massachusetts St SC (bond)        |       | 03/25/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒                                      |       | 02/27/2013 | P        | \$15,001 - \$50,000 |                          |



| Asset  | Owner | Date       | Tx. Type | Amount              | Cap. Gains > \$200?      |
|--|-------|------------|----------|---------------------|--------------------------|
| Massachusetts Sta Wtr (bond)                             |       |            |          |                     |                          |
| Charles Schwab #3-01 ⇒<br>Massachusetts Sta Wtr (bond)   |       | 03/26/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Metropolitan Trans 5%24 (bond) |       | 03/27/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Montana FAC (bond)             |       | 03/13/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Nebraska PUB5%19 (bond)        |       | 03/27/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>New Jersey Econ (bond)         |       | 03/13/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>New Jersey St TPK (bond)       |       | 03/14/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>New Jersey St TR (bond)        |       | 03/27/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>New York NY (bond)             |       | 03/20/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>North Carolina Mun (bond)      |       | 03/21/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Ohio State (bond)              |       | 03/20/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Oklahoma St WTR (bond)         |       | 03/15/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Orange County (bond)           |       | 02/14/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Pennsylvania Econ (bond)       |       | 03/26/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒<br>Rhode Island Clean (bond)      |       | 03/15/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/> |

| Asset   | Owner | Date       | Tx. Type    | Amount                | Cap. Gains > \$200?      |
|---|-------|------------|-------------|-----------------------|--------------------------|
| Charles Schwab #3-01 ⇒ Schwab Target 2015 (SWGRX)     |       | 04/9/2013  | P           | \$15,001 - \$50,000   |                          |
| Charles Schwab #3-01 ⇒ Schwab Target 2015 (SWGRX)     |       | 04/10/2013 | P           | \$15,001 - \$50,000   |                          |
| Charles Schwab #3-01 ⇒ Schwab Target 2015 (SWGRX)     |       | 04/11/2013 | P           | \$15,001 - \$50,000   |                          |
| Charles Schwab #3-01 ⇒ Schwab Target 2015 (SWGRX)     |       | 04/12/2013 | P           | \$15,001 - \$50,000   |                          |
| Charles Schwab #3-01 ⇒ Schwab Target 2015 (SWGRX)     |       | 05/14/2013 | P           | \$1,001 - \$15,000    |                          |
| Charles Schwab #3-01 ⇒ Schwab Target 2015 (SWGRX)     |       | 06/7/2013  | S (partial) | \$50,001 - \$100,000  | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒ Schwab Target 2015 (SWGRX)     |       | 06/17/2013 | S (partial) | \$15,001 - \$50,000   | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒ Schwab Target 2015 (SWGRX)     |       | 06/25/2013 | S           | \$15,001 - \$50,000   | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒ Schwab Target 2020 (SWCRX)     |       | 04/9/2013  | P           | \$15,001 - \$50,000   |                          |
| Charles Schwab #3-01 ⇒ Schwab Target 2020 (SWCRX)     |       | 04/11/2013 | P           | \$1,001 - \$15,000    |                          |
| Charles Schwab #3-01 ⇒ Schwab Target 2020 (SWCRX)     |       | 04/12/2013 | P           | \$15,001 - \$50,000   |                          |
| Charles Schwab #3-01 ⇒ Schwab Target 2020 (SWCRX)     |       | 06/17/2013 | S           | \$50,001 - \$100,000  | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒ Virginia St Res (bond)         |       | 03/13/2013 | S           | \$15,001 - \$50,000   | <input type="checkbox"/> |
| Charles Schwab #3-01 ⇒ Washington State-FOR (bond)    |       | 03/18/2013 | S           | \$15,001 - \$50,000   | <input type="checkbox"/> |
| Charles Schwab #4-11 ⇒ American Century Inter (TWTIX) | SP    | 01/11/2013 | S           | \$100,001 - \$250,000 | <input type="checkbox"/> |

| Asset  | Owner | Date       | Tx. Type | Amount              | Cap. Gains > \$200?                 |
|--|-------|------------|----------|---------------------|-------------------------------------|
| Charles Schwab #4-11 ⇒<br>Ishares IBOXX (LQD)      | SP    | 01/9/2013  | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #4-11 ⇒<br>iShares Intl ETF (IFGL)  | SP    | 01/16/2013 | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #4-11 ⇒<br>iShares Intl ETF (IFGL)  | SP    | 07/11/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #4-11 ⇒<br>iShares MSCI Grmny (EWG) | SP    | 01/16/2013 | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #4-11 ⇒<br>iShares MSCI Grmny (EWG) | SP    | 02/4/2013  | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #4-11 ⇒<br>iShares MSCI Grmny (EWG) | SP    | 04/9/2013  | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #4-11 ⇒<br>iShares MSCI HK (EWH)    | SP    | 01/16/2013 | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #4-11 ⇒<br>iShares MSCI HK (EWH)    | SP    | 04/9/2013  | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #4-11 ⇒<br>Powershares QQQ          | SP    | 01/14/2013 | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #4-11 ⇒<br>Powershares QQQ          | SP    | 01/15/2013 | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #4-11 ⇒<br>Powershares QQQ          | SP    | 02/4/2013  | P        | \$15,001 - \$50,000 |                                     |
| Charles Schwab #4-11 ⇒<br>Powershares QQQ          | SP    | 02/27/2013 | S        | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒<br>SCH US REIT (SCHH)       | SP    | 01/14/2013 | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #4-11 ⇒<br>SCH US REIT (SCHH)       | SP    | 01/15/2013 | P        | \$1,001 - \$15,000  |                                     |

| Asset  | Owner | Date       | Tx. Type    | Amount             | Cap. Gains > \$200?                 |
|--|-------|------------|-------------|--------------------|-------------------------------------|
| Charles Schwab #4-11 ⇒<br>SCH US REIT (SCHH)         | SP    | 03/21/2013 | S           | \$1,001 - \$15,000 | <input type="checkbox"/>            |
| Charles Schwab #4-11 ⇒<br>SCHW EMG MKT EQ (SCHE)     | SP    | 01/14/2013 | P           | \$1,001 - \$15,000 |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW EMG MKT EQ (SCHE)     | SP    | 01/15/2013 | P           | \$1,001 - \$15,000 |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW EMG MKT EQ (SCHE)     | SP    | 03/22/2013 | S           | \$1,001 - \$15,000 | <input type="checkbox"/>            |
| Charles Schwab #4-11 ⇒<br>SCHW INTL EQ ETF (SCHF)    | SP    | 01/14/2013 | P           | \$1,001 - \$15,000 |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW INTL EQ ETF (SCHF)    | SP    | 01/15/2013 | P           | \$1,001 - \$15,000 |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW INTL EQ ETF (SCHF)    | SP    | 02/4/2013  | P           | \$1,001 - \$15,000 |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW INTL EQ ETF (SCHF)    | SP    | 02/27/2013 | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/>            |
| Charles Schwab #4-11 ⇒<br>SCHW INTL EQ ETF (SCHF)    | SP    | 04/9/2013  | S           | \$1,001 - \$15,000 | <input type="checkbox"/>            |
| Charles Schwab #4-11 ⇒<br>SCHW US BRD MKT ETF (SCHB) | SP    | 01/15/2013 | P           | \$1,001 - \$15,000 |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW US BRD MKT ETF (SCHB) | SP    | 02/1/2013  | P           | \$1,001 - \$15,000 |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW US BRD MKT ETF (SCHB) | SP    | 03/5/2013  | S (partial) | \$1,001 - \$15,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒<br>SCHW US BRD MKT ETF (SCHB) | SP    | 03/6/2013  | S           | \$1,001 - \$15,000 | <input type="checkbox"/>            |
| Charles Schwab #4-11 ⇒<br>SCHW US LCAP ETF (SCHX)    | SP    | 01/15/2013 | P           | \$1,001 - \$15,000 |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW US LCAP ETF (SCHX)    | SP    | 01/16/2013 | P           | \$1,001 - \$15,000 |                                     |

| Asset   | Owner | Date       | Tx. Type    | Amount               | Cap. Gains > \$200?                 |
|---|-------|------------|-------------|----------------------|-------------------------------------|
| Charles Schwab #4-11 ⇒<br>SCHW US LCAP ETF (SCHX)     | SP    | 02/4/2013  | P           | \$50,001 - \$100,000 |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW US LCAP ETF (SCHX)     | SP    | 02/8/2013  | S           | \$50,001 - \$100,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒<br>SCHW US LCAP ETF (SCHX)     | SP    | 02/11/2013 | P           | \$50,001 - \$100,000 |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW US LCAP ETF (SCHX)     | SP    | 02/21/2013 | P           | \$15,001 - \$50,000  |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW US LCAP ETF (SCHX)     | SP    | 02/27/2013 | S           | \$50,001 - \$100,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒<br>SCHW US LCAP ETF (SCHX)     | SP    | 03/13/2013 | P           | \$50,001 - \$100,000 |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW US LCAP ETF (SCHX)     | SP    | 03/21/2013 | P           | \$1,001 - \$15,000   |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW US LCAP ETF (SCHX)     | SP    | 03/22/2013 | S (partial) | \$15,001 - \$50,000  | <input type="checkbox"/>            |
| Charles Schwab #4-11 ⇒<br>SCHW US LCAP ETF (SCHX)     | SP    | 03/28/2013 | S           | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒<br>SCHW US LCAP VAL ETF (SCHV) | SP    | 01/14/2013 | P           | \$1,001 - \$15,000   |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW US LCAP VAL ETF (SCHV) | SP    | 01/15/2013 | P           | \$15,001 - \$50,000  |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW US LCAP VAL ETF (SCHV) | SP    | 02/21/2013 | P           | \$1,001 - \$15,000   |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW US LCAP VAL ETF (SCHV) | SP    | 02/27/2013 | S           | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒<br>SCHW US SCAP ETF (SCHA)     | SP    | 01/14/2013 | P           | \$1,001 - \$15,000   |                                     |
| Charles Schwab #4-11 ⇒                                | SP    | 01/15/2013 | P           | \$1,001 - \$15,000   |                                     |

| Asset   | Owner | Date       | Tx. Type | Amount              | Cap. Gains > \$200?                 |
|---|-------|------------|----------|---------------------|-------------------------------------|
| SCHW US SCAP ETF (SCHA)                                   |       |            |          |                     |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW US SCAP ETF (SCHA)         | SP    | 01/22/2013 | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW US SCAP ETF (SCHA)         | SP    | 02/4/2013  | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW US SCAP ETF (SCHA)         | SP    | 02/21/2013 | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #4-11 ⇒<br>SCHW US SCAP ETF (SCHA)         | SP    | 02/27/2013 | S        | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒<br>Simon PPTY Group (SPG)          | SP    | 01/11/2013 | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #4-11 ⇒<br>Simon PPTY Group (SPG)          | SP    | 03/22/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #4-11 ⇒<br>SPDR Barclays ETF (CWB)         | SP    | 01/15/2013 | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #4-11 ⇒<br>SPDR Barclays ETF (CWB)         | SP    | 03/5/2013  | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #4-11 ⇒<br>SPDR S&P 500 (SPY)              | SP    | 01/25/2013 | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #4-11 ⇒<br>SPDR S&P 500 (SPY)              | SP    | 03/5/2013  | S        | \$1,001 - \$15,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒<br>Vanguard Div Appreciation (VIG) | SP    | 01/15/2013 | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #4-11 ⇒<br>Vanguard Div Appreciation (VIG) | SP    | 03/5/2013  | S        | \$1,001 - \$15,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒<br>Vanguard Total Stock Mkt (VTI)  | SP    | 01/15/2013 | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #4-11 ⇒<br>Vanguard Total Stock Mkt (VTI)  | SP    | 01/16/2013 | P        | \$15,001 - \$50,000 |                                     |

| Asset   | Owner | Date       | Tx. Type    | Amount              | Cap. Gains > \$200?                 |
|---|-------|------------|-------------|---------------------|-------------------------------------|
| Charles Schwab #4-11 ⇒ Vanguard Total Stock Mkt (VTI) | SP    | 01/16/2013 | S (partial) | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #4-11 ⇒ Vanguard Total Stock Mkt (VTI) | SP    | 03/5/2013  | S           | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒ Wisdomtree Asia (ALD)          | SP    | 01/16/2013 | P           | \$1,001 - \$15,000  |                                     |
| Charles Schwab #4-11 ⇒ Wisdomtree Asia (ALD)          | SP    | 02/5/2013  | S           | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #4-11 ⇒ Wisdomtree Div (DTN)           | SP    | 01/18/2013 | P           | \$1,001 - \$15,000  |                                     |
| Charles Schwab #4-11 ⇒ Wisdomtree Div (DTN)           | SP    | 04/19/2013 | S           | \$1,001 - \$15,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒ Wisdomtree Japan Hdgd Eq (DXJ) | SP    | 01/22/2013 | P           | \$1,001 - \$15,000  |                                     |
| Charles Schwab #4-11 ⇒ Wisdomtree Japan Hdgd Eq (DXJ) | SP    | 01/30/2013 | S           | \$1,001 - \$15,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #4-11 ⇒ Wisdomtree Japan Hdgd Eq (DXJ) | SP    | 02/8/2013  | P           | \$1,001 - \$15,000  |                                     |
| Charles Schwab #4-11 ⇒ Wisdomtree Japan Hdgd Eq (DXJ) | SP    | 04/16/2013 | S           | \$1,001 - \$15,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒ EGSSHARES (ECON)               |       | 01/25/2013 | S           | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒ Guggenheim (RYF)               |       | 06/27/2013 | P           | \$15,001 - \$50,000 |                                     |
| Charles Schwab #5-14 ⇒ Guggenheim (RYF)               |       | 06/28/2013 | P           | \$1,001 - \$15,000  |                                     |
| Charles Schwab #5-14 ⇒ Guggenheim (RYF)               |       | 07/11/2013 | S           | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒ Guggenheim ETF (RYH)           |       | 06/27/2013 | P           | \$15,001 - \$50,000 |                                     |

| Asset   | Owner | Date       | Tx. Type | Amount               | Cap. Gains > \$200?                 |
|---|-------|------------|----------|----------------------|-------------------------------------|
| Charles Schwab #5-14 ⇒<br>Guggenheim ETF (RYH)          |       | 07/10/2013 | S        | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>iShares ETF (QLTA)            |       | 01/25/2013 | S        | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>iShares Gold (IAU)            |       | 01/25/2013 | S        | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>iShares intl ETF (IFGL)       |       | 01/25/2013 | S        | \$1,001 - \$15,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>iShares MSCI GRMNY (EWG)      |       | 01/25/2013 | S        | \$1,001 - \$15,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>iShares MSCI HK ETF (EWH)     |       | 01/25/2013 | S        | \$1,001 - \$15,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>iShares TR Bond 7-10y (IEF)   |       | 01/25/2013 | S        | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>iShares TR Healthcare (IYH)   |       | 09/17/2013 | S        | \$50,001 - \$100,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>iShares TR Russell 2000 (IWM) |       | 01/25/2013 | S        | \$1,001 - \$15,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>Market Vectors (GDX)          |       | 01/25/2013 | S        | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>Powershares DB (DBC)          |       | 01/25/2013 | S        | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ)   |       | 01/25/2013 | S        | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ)   |       | 06/5/2013  | P        | \$15,001 - \$50,000  |                                     |
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ)   |       | 06/19/2013 | P        | \$15,001 - \$50,000  |                                     |



| Asset   | Owner Date | Tx. Type    | Amount               | Cap. Gains > \$200?                 |
|---|------------|-------------|----------------------|-------------------------------------|
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ) | 06/20/2013 | P           | \$1,001 - \$15,000   |                                     |
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ) | 06/26/2013 | P           | \$1,001 - \$15,000   |                                     |
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ) | 07/10/2013 | S           | \$50,001 - \$100,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ) | 08/15/2013 | P           | \$15,001 - \$50,000  |                                     |
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ) | 08/20/2013 | P           | \$15,001 - \$50,000  |                                     |
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ) | 08/21/2013 | P           | \$15,001 - \$50,000  |                                     |
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ) | 09/16/2013 | S           | \$50,001 - \$100,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ) | 10/22/2013 | P           | \$50,001 - \$100,000 |                                     |
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ) | 11/1/2013  | P           | \$15,001 - \$50,000  |                                     |
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ) | 11/5/2013  | S (partial) | \$15,001 - \$50,000  | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ) | 11/6/2013  | S           | \$50,001 - \$100,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ) | 11/7/2013  | P           | \$50,001 - \$100,000 |                                     |
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ) | 11/11/2013 | P           | \$50,001 - \$100,000 |                                     |
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ) | 11/13/2013 | S (partial) | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ) | 12/3/2013  | P           | \$15,001 - \$50,000  |                                     |

| Asset  | Owner | Date       | Tx. Type       | Amount               | Cap. Gains > \$200?                 |
|--|-------|------------|----------------|----------------------|-------------------------------------|
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ)  |       | 12/12/2013 | P              | \$15,001 - \$50,000  |                                     |
| Charles Schwab #5-14 ⇒<br>Powershares QQQ Trust (QQQ)  |       | 12/19/2013 | P              | \$15,001 - \$50,000  |                                     |
| Charles Schwab #5-14 ⇒<br>Powershares S&P ETF (SPLV)   |       | 01/25/2013 | S              | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCH US DIV Equity ETF (SCHD) |       | 01/28/2013 | P              | \$15,001 - \$50,000  |                                     |
| Charles Schwab #5-14 ⇒<br>SCH US DIV Equity ETF (SCHD) |       | 02/27/2013 | S              | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCH US DIV Equity ETF (SCHD) |       | 03/21/2013 | P              | \$1,001 - \$15,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCH US DIV Equity ETF (SCHD) |       | 03/22/2013 | P              | \$15,001 - \$50,000  |                                     |
| Charles Schwab #5-14 ⇒<br>SCH US DIV Equity ETF (SCHD) |       | 03/28/2013 | P              | \$15,001 - \$50,000  |                                     |
| Charles Schwab #5-14 ⇒<br>SCH US DIV Equity ETF (SCHD) |       | 04/9/2013  | S<br>(partial) | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCH US DIV Equity ETF (SCHD) |       | 04/10/2013 | S              | \$50,001 - \$100,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCH US DIV Equity ETF (SCHD) |       | 04/15/2013 | P              | \$15,001 - \$50,000  |                                     |
| Charles Schwab #5-14 ⇒<br>SCH US DIV Equity ETF (SCHD) |       | 04/16/2013 | S              | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCH US DIV Equity ETF (SCHD) |       | 04/18/2013 | P              | \$50,001 - \$100,000 |                                     |
| Charles Schwab #5-14 ⇒<br>SCH US DIV Equity ETF (SCHD) |       | 04/19/2013 | S<br>(partial) | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒                                 |       | 04/22/2013 | S              | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |

| Asset  | Owner | Date       | Tx. Type    | Amount                | Cap. Gains > \$200?                 |
|--|-------|------------|-------------|-----------------------|-------------------------------------|
| SCH US DIV Equity ETF (SCHD)                           |       |            |             |                       |                                     |
| Charles Schwab #5-14 ⇒<br>SCH US DIV Equity ETF (SCHD) |       | 07/9/2013  | P           | \$1,001 - \$15,000    |                                     |
| Charles Schwab #5-14 ⇒<br>SCH US DIV Equity ETF (SCHD) |       | 07/11/2013 | S           | \$1,001 - \$15,000    | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCH US DIV Equity ETF (SCHD) |       | 09/17/2013 | P           | \$100,001 - \$250,000 |                                     |
| Charles Schwab #5-14 ⇒<br>SCH US DIV Equity ETF (SCHD) |       | 09/18/2014 | S           | \$100,001 - \$250,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCH US DIV Equity ETF (SCHD) |       | 12/18/2013 | S (partial) | \$100,001 - \$250,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCH US DIV Equity ETF (SCHD) |       | 12/19/2013 | S           | \$50,001 - \$100,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCH US REIT ETF (SCHH)       |       | 03/8/2013  | P           | \$1,001 - \$15,000    |                                     |
| Charles Schwab #5-14 ⇒<br>SCH US REIT ETF (SCHH)       |       | 03/22/2013 | P           | \$1,001 - \$15,000    |                                     |
| Charles Schwab #5-14 ⇒<br>SCH US REIT ETF (SCHH)       |       | 03/28/2013 | P           | \$1,001 - \$15,000    |                                     |
| Charles Schwab #5-14 ⇒<br>SCH US REIT ETF (SCHH)       |       | 04/10/2013 | S           | \$15,001 - \$50,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW EMG MKT EQ ETF (SCHE)   |       | 01/28/2013 | P           | \$1,001 - \$15,000    |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW EMG MKT EQ ETF (SCHE)   |       | 02/27/2013 | S           | \$1,001 - \$15,000    | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW INTL EQ ETF (SCHF)      |       | 01/28/2013 | P           | \$1,001 - \$15,000    |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW INTL EQ ETF (SCHF)      |       | 03/8/2013  | P           | \$1,001 - \$15,000    |                                     |

| Asset   | Owner | Date       | Tx. Type    | Amount                | Cap. Gains > \$200?                 |
|---|-------|------------|-------------|-----------------------|-------------------------------------|
| Charles Schwab #5-14 ⇒<br>SCHW INTL EQ ETF (SCHF) |       | 04/9/2013  | S           | \$15,001 - \$50,000   | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW INTL EQ ETF (SCHF) |       | 10/18/2013 | P           | \$100,001 - \$250,000 |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW INTL EQ ETF (SCHF) |       | 10/24/2013 | P           | \$50,001 - \$100,000  |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW INTL EQ ETF (SCHF) |       | 10/30/2013 | S (partial) | \$15,001 - \$50,000   | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW INTL EQ ETF (SCHF) |       | 10/31/2013 | S (partial) | \$50,001 - \$100,000  | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW INTL EQ ETF (SCHF) |       | 11/4/2013  | S (partial) | \$15,001 - \$50,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW INTL EQ ETF (SCHF) |       | 11/6/2013  | S (partial) | \$15,001 - \$50,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW INTL EQ ETF (SCHF) |       | 11/10/2013 | P           | \$50,001 - \$100,000  |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW INTL EQ ETF (SCHF) |       | 11/12/2013 | P           | \$50,001 - \$100,000  |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW INTL EQ ETF (SCHF) |       | 11/15/2013 | S (partial) | \$1,001 - \$15,000    | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW INTL EQ ETF (SCHF) |       | 12/2/2013  | P           | \$50,001 - \$100,000  |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW INTL EQ ETF (SCHF) |       | 12/3/2013  | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW INTL EQ ETF (SCHF) |       | 12/20/2013 | S           | \$50,001 - \$100,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US BRD MKT (SCHB)  |       | 01/28/2013 | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US BRD MKT (SCHB)  |       | 02/27/2013 | S           | \$15,001 - \$50,000   | <input type="checkbox"/>            |

| Asset   | Owner | Date       | Tx. Type    | Amount                | Cap. Gains > \$200?                 |
|---|-------|------------|-------------|-----------------------|-------------------------------------|
| Charles Schwab #5-14 ⇒<br>SCHW US BRD MKT (SCHB)  |       | 03/8/2013  | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US BRD MKT (SCHB)  |       | 03/14/2013 | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US BRD MKT (SCHB)  |       | 04/9/2013  | S           | \$50,001 - \$100,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US BRD MKT (SCHB)  |       | 10/16/2013 | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US BRD MKT (SCHB)  |       | 10/17/2013 | S           | \$15,001 - \$50,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 02/27/2013 | S           | \$15,001 - \$50,000   | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 03/8/2013  | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 03/14/2013 | P           | \$50,001 - \$100,000  |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 03/21/2013 | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 03/22/2013 | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 03/28/2013 | P           | \$1,001 - \$15,000    |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 04/9/2013  | S (partial) | \$100,001 - \$250,000 | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 04/10/2013 | S (partial) | \$50,001 - \$100,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 04/16/2013 | S (partial) | \$50,001 - \$100,000  | <input checked="" type="checkbox"/> |

| Asset   | Owner | Date       | Tx. Type       | Amount                  | Cap. Gains > \$200?                 |
|---|-------|------------|----------------|-------------------------|-------------------------------------|
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 04/19/2013 | S<br>(partial) | \$15,001 - \$50,000     | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 04/22/2013 | S              | \$50,001 - \$100,000    | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 05/13/2013 | P              | \$100,001 - \$250,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 05/14/2013 | S              | \$100,001 - \$250,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 05/23/2013 | P              | \$100,001 - \$250,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 05/31/2013 | P              | \$50,001 - \$100,000    |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 06/5/2013  | P              | \$50,001 - \$100,000    |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 06/19/2013 | P              | \$15,001 - \$50,000     |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 06/20/2013 | P              | \$50,001 - \$100,000    |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 06/25/2013 | P              | \$15,001 - \$50,000     |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 06/26/2013 | P              | \$15,001 - \$50,000     |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 06/27/2013 | P              | \$1,001 - \$15,000      |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 07/10/2013 | S<br>(partial) | \$15,001 - \$50,000     | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 07/11/2013 | S              | \$500,001 - \$1,000,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 08/6/2013  | P              | \$100,001 - \$250,000   |                                     |

| Asset   | Owner | Date       | Tx. Type       | Amount                  | Cap. Gains > \$200?                 |
|---|-------|------------|----------------|-------------------------|-------------------------------------|
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 08/7/2013  | P              | \$15,001 - \$50,000     |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 08/8/2013  | S              | \$100,001 - \$250,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 08/8/2013  | P              | \$100,001 - \$250,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 08/9/2013  | P              | \$15,001 - \$50,000     |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 08/15/2013 | P              | \$100,001 - \$250,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 08/20/2013 | P              | \$50,001 - \$100,000    |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 08/21/2013 | P              | \$15,001 - \$50,000     |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 08/23/2013 | P              | \$15,001 - \$50,000     |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 09/13/2013 | S<br>(partial) | \$50,001 - \$100,000    | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 09/16/2013 | S<br>(partial) | \$250,001 - \$500,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 09/17/2013 | S              | \$100,001 - \$250,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 09/20/2013 | P              | \$100,001 - \$250,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 09/20/2013 | S              | \$100,001 - \$250,000   | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 10/11/2013 | P              | \$500,001 - \$1,000,000 |                                     |
| Charles Schwab #5-14 ⇒                            |       | 10/16/2013 | P              | \$100,001 -             |                                     |

| Asset   | Owner | Date       | Tx. Type       | Amount                     | Cap. Gains > \$200?                 |
|---|-------|------------|----------------|----------------------------|-------------------------------------|
| SCHW US LCAP ETF (SCHX)                           |       |            |                | \$250,000                  |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 10/14/2013 | S<br>(partial) | \$100,001 -<br>\$250,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 10/17/2013 | S              | \$500,001 -<br>\$1,000,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 10/17/2013 | P              | \$100,001 -<br>\$250,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 10/18/2013 | P              | \$250,001 -<br>\$500,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 10/18/2013 | S<br>(partial) | \$100,001 -<br>\$250,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 10/21/2013 | P              | \$100,001 -<br>\$250,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 10/22/2013 | S<br>(partial) | \$100,001 -<br>\$250,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 10/23/2013 | P              | \$100,001 -<br>\$250,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 10/28/2013 | S<br>(partial) | \$50,001 -<br>\$100,000    | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 10/29/2013 | S<br>(partial) | \$100,001 -<br>\$250,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 10/30/2013 | P              | \$100,001 -<br>\$250,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 10/31/2013 | S<br>(partial) | \$100,001 -<br>\$250,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 11/1/2013  | S<br>(partial) | \$50,001 -<br>\$100,000    | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 11/4/2013  | S<br>(partial) | \$15,001 - \$50,000        | <input checked="" type="checkbox"/> |



| Asset   | Owner | Date       | Tx. Type    | Amount                | Cap. Gains > \$200?                 |
|---|-------|------------|-------------|-----------------------|-------------------------------------|
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 11/6/2013  | S           | \$100,001 - \$250,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 11/7/2013  | P           | \$100,001 - \$250,000 |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 11/8/2013  | S (partial) | \$50,001 - \$100,000  | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 11/8/2013  | P           | \$50,001 - \$100,000  |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 11/13/2013 | S (partial) | \$50,001 - \$100,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 11/14/2013 | S (partial) | \$15,001 - \$50,000   | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 11/15/2013 | S (partial) | \$15,001 - \$50,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 11/12/2013 | P           | \$100,001 - \$250,000 |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 12/3/2013  | P           | \$50,001 - \$100,000  |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 12/10/2013 | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 12/12/2013 | P           | \$50,001 - \$100,000  |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 12/18/2013 | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 12/20/2013 | P           | \$100,001 - \$250,000 |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 08/7/2013  | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 09/5/2013  | S           | \$50,001 - \$100,000  | <input type="checkbox"/>            |

| Asset   | Owner | Date       | Tx. Type | Amount               | Cap. Gains > \$200?                 |
|---|-------|------------|----------|----------------------|-------------------------------------|
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP ETF (SCHX) |       | 10/16/2013 | P        | \$50,001 - \$100,000 |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP GRO (SCHG) |       | 01/28/2013 | P        | \$1,001 - \$15,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP GRO (SCHG) |       | 02/27/2013 | S        | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP GRO (SCHG) |       | 08/7/2013  | P        | \$15,001 - \$50,000  |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP GRO (SCHG) |       | 08/8/2013  | S        | \$15,001 - \$50,000  | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP VAL (SCHV) |       | 01/28/2013 | P        | \$1,001 - \$15,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP VAL (SCHV) |       | 02/27/2013 | S        | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP VAL (SCHV) |       | 06/17/2013 | P        | \$1,001 - \$15,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP VAL (SCHV) |       | 06/19/2013 | P        | \$1,001 - \$15,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP VAL (SCHV) |       | 06/20/2013 | P        | \$1,001 - \$15,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP VAL (SCHV) |       | 06/25/2013 | P        | \$1,001 - \$15,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP VAL (SCHV) |       | 06/27/2013 | P        | \$1,001 - \$15,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP VAL (SCHV) |       | 07/11/2013 | S        | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP VAL (SCHV) |       | 08/9/2013  | P        | \$15,001 - \$50,000  |                                     |

| Asset   | Owner | Date       | Tx. Type       | Amount              | Cap. Gains > \$200?      |
|---|-------|------------|----------------|---------------------|--------------------------|
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP VAL (SCHV) |       | 08/15/2013 | P              | \$15,001 - \$50,000 |                          |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP VAL (SCHV) |       | 08/20/2013 | P              | \$15,001 - \$50,000 |                          |
| Charles Schwab #5-14 ⇒<br>SCHW US LCAP VAL (SCHV) |       | 08/8/2013  | S<br>(partial) | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)     |       | 01/28/2013 | P              | \$1,001 - \$15,000  |                          |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)     |       | 01/29/2013 | P              | \$1,001 - \$15,000  |                          |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)     |       | 02/27/2013 | S              | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)     |       | 03/21/2013 | P              | \$15,001 - \$50,000 |                          |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)     |       | 03/22/2013 | P              | \$1,001 - \$15,000  |                          |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)     |       | 04/9/2013  | S              | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)     |       | 06/5/2013  | P              | \$15,001 - \$50,000 |                          |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)     |       | 06/17/2013 | P              | \$15,001 - \$50,000 |                          |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)     |       | 06/19/2013 | P              | \$15,001 - \$50,000 |                          |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)     |       | 06/20/2013 | P              | \$1,001 - \$15,000  |                          |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)     |       | 06/25/2013 | P              | \$1,001 - \$15,000  |                          |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)     |       | 06/27/2013 | P              | \$1,001 - \$15,000  |                          |

| Asset                                      | Owner | Date       | Tx. Type    | Amount                | Cap. Gains > \$200?                 |
|--|-------|------------|-------------|-----------------------|-------------------------------------|
| Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA) |       | 07/10/2013 | S           | \$50,001 - \$100,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA) |       | 08/7/2013  | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA) |       | 08/8/2013  | S           | \$15,001 - \$50,000   | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA) |       | 08/9/2013  | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA) |       | 08/15/2013 | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA) |       | 08/20/2013 | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA) |       | 08/23/2013 | P           | \$15,001 - \$50,000   |                                     |
| Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA) |       | 09/13/2013 | S (partial) | \$1,001 - \$15,000    | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA) |       | 09/16/2013 | S (partial) | \$15,001 - \$50,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA) |       | 09/17/2013 | S           | \$50,001 - \$100,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA) |       | 10/17/2013 | S           | \$50,001 - \$100,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA) |       | 10/21/2013 | P           | \$100,001 - \$250,000 |                                     |
| Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA) |       | 10/24/2013 | P           | \$1,001 - \$15,000    |                                     |
| Charles Schwab #5-14 ⇒ SCHW US SCAP (SCHA) |       | 10/27/2013 | P           | \$1,001 - \$15,000    |                                     |
| Charles Schwab #5-14 ⇒                     |       | 10/29/2013 | P           | \$15,001 - \$50,000   |                                     |

| Asset  | Owner | Date       | Tx. Type       | Amount                | Cap. Gains > \$200?                 |
|--|-------|------------|----------------|-----------------------|-------------------------------------|
| SCHW US SCAP (SCHA)                                  |       |            |                |                       |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)        |       | 10/31/2013 | S<br>(partial) | \$15,001 - \$50,000   | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)        |       | 11/1/2013  | S<br>(partial) | \$1,001 - \$15,000    | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)        |       | 11/4/2013  | S<br>(partial) | \$50,001 - \$100,000  | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)        |       | 11/8/2013  | S<br>(partial) | \$15,001 - \$50,000   | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)        |       | 11/12/2013 | P              | \$15,001 - \$50,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)        |       | 11/12/2013 | P              | \$15,001 - \$50,000   |                                     |
| Charles Schwab #5-14 ⇒<br>SCHW US SCAP (SCHA)        |       | 11/15/2013 | S              | \$15,001 - \$50,000   | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>Schwab Target 2015 (SWGRX) |       | 04/10/2013 | P              | \$100,001 - \$250,000 |                                     |
| Charles Schwab #5-14 ⇒<br>Schwab Target 2015 (SWGRX) |       | 04/11/2013 | P              | \$100,001 - \$250,000 |                                     |
| Charles Schwab #5-14 ⇒<br>Schwab Target 2015 (SWGRX) |       | 05/20/2013 | P              | \$15,001 - \$50,000   |                                     |
| Charles Schwab #5-14 ⇒<br>Schwab Target 2015 (SWGRX) |       | 05/23/2013 | S<br>(partial) | \$100,001 - \$250,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>Schwab Target 2015 (SWGRX) |       | 05/28/2013 | S<br>(partial) | \$50,001 - \$100,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒<br>Schwab Target 2015 (SWGRX) |       | 06/7/2013  | S<br>(partial) | \$1,001 - \$15,000    | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒<br>Schwab Target 2015 (SWGRX) |       | 06/20/2013 | S              | \$15,001 - \$50,000   | <input type="checkbox"/>            |

| Asset   | Owner | Date       | Tx. Type    | Amount               | Cap. Gains > \$200?                 |
|---|-------|------------|-------------|----------------------|-------------------------------------|
| Charles Schwab #5-14 ⇒ Schwab Target 2020 (SWCRX) |       | 05/14/2013 | P           | \$15,001 - \$50,000  |                                     |
| Charles Schwab #5-14 ⇒ Schwab Target 2020 (SWCRX) |       | 06/17/2013 | S           | \$15,001 - \$50,000  | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒ Schwab Target 2025 (SWHRX) |       | 05/14/2013 | P           | \$50,001 - \$100,000 |                                     |
| Charles Schwab #5-14 ⇒ Schwab Target 2025 (SWHRX) |       | 06/17/2013 | S (partial) | \$15,001 - \$50,000  | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒ Schwab Target 2025 (SWHRX) |       | 06/20/2013 | S           | \$15,001 - \$50,000  | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒ Schwab Target 2030 (SWDRX) |       | 05/14/2013 | P           | \$50,001 - \$100,000 |                                     |
| Charles Schwab #5-14 ⇒ Schwab Target 2030 (SWDRX) |       | 05/23/2013 | P           | \$50,001 - \$100,000 |                                     |
| Charles Schwab #5-14 ⇒ Schwab Target 2030 (SWDRX) |       | 06/17/2013 | S (partial) | \$15,001 - \$50,000  | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒ Schwab Target 2030 (SWDRX) |       | 06/25/2013 | S           | \$50,001 - \$100,000 | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒ Sector SPDR FINCL (XLF)    |       | 06/27/2013 | P           | \$15,001 - \$50,000  |                                     |
| Charles Schwab #5-14 ⇒ Sector SPDR FINCL (XLF)    |       | 07/11/2013 | S           | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒ Sector SPDR INDL (XLI)     |       | 06/27/2013 | P           | \$15,001 - \$50,000  |                                     |
| Charles Schwab #5-14 ⇒ Sector SPDR INDL (XLI)     |       | 07/10/2013 | S           | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒ SPDR Dow Jones (DIA)       |       | 09/17/2013 | P           | \$50,001 - \$100,000 |                                     |
| Charles Schwab #5-14 ⇒ SPDR Dow Jones (DIA)       |       | 09/18/2013 | S           | \$50,001 - \$100,000 | <input checked="" type="checkbox"/> |

| Asset   | Owner | Date       | Tx. Type | Amount                | Cap. Gains > \$200?                 |
|---|-------|------------|----------|-----------------------|-------------------------------------|
| Charles Schwab #5-14 ⇒ SPDR Dow Jones (DIA)                 |       | 12/17/2013 | P        | \$50,001 - \$100,000  |                                     |
| Charles Schwab #5-14 ⇒ SPDR Dow Jones (DIA)                 |       | 12/18/2013 | S        | \$50,001 - \$100,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒ SPDR Gold Trust (GLD)                |       | 01/25/2013 | S        | \$1,001 - \$15,000    | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒ T Rowe Price Health Sciences (PRHSX) |       | 07/11/2013 | S        | \$100,001 - \$250,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒ Vanguard Div Apprec (VIG)            |       | 01/25/2013 | S        | \$1,001 - \$15,000    | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒ Vanguard FTSE EFT (VEA)              |       | 01/25/2013 | S        | \$1,001 - \$15,000    | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒ Vanguard FTSE Emerg (VWO)            |       | 01/25/2013 | S        | \$1,001 - \$15,000    | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒ Vanguard REIT (VNQ)                  |       | 01/25/2013 | S        | \$1,001 - \$15,000    | <input checked="" type="checkbox"/> |
| Charles Schwab #5-14 ⇒ Vanguard Total Stock (VTI)           |       | 01/25/2013 | S        | \$1,001 - \$15,000    | <input type="checkbox"/>            |
| Charles Schwab #5-14 ⇒ Wisdomtree Asia (ALD)                |       | 01/25/2013 | S        | \$1,001 - \$15,000    | <input type="checkbox"/>            |
| Charles Schwab #6-38 ⇒ EgShares ETF                         | SP    | 01/25/2013 | S        | \$1,001 - \$15,000    | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒ iShares Barclays Tips                | SP    | 01/10/2013 | P        | \$1,001 - \$15,000    |                                     |
| Charles Schwab #6-38 ⇒ iShares Barclays Tips                | SP    | 01/25/2013 | S        | \$15,001 - \$50,000   | <input type="checkbox"/>            |
| Charles Schwab #6-38 ⇒ iShares ETF                          | SP    | 01/25/2013 | S        | \$1,001 - \$15,000    | <input type="checkbox"/>            |

| Asset  | Owner | Date       | Tx. Type | Amount              | Cap. Gains > \$200?                 |
|--|-------|------------|----------|---------------------|-------------------------------------|
| Charles Schwab #6-38 ⇒<br>iShares Gold Trust         | SP    | 01/10/2013 | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #6-38 ⇒<br>iShares Gold Trust         | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #6-38 ⇒<br>iShares Intl FTSE          | SP    | 01/25/2013 | S        | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒<br>iShares MSCI GRMNY         | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒<br>iShares MSCI Hong Kong     | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒<br>iShares Russell            | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒<br>iShares TR Barclays        | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #6-38 ⇒<br>Pimco Total Return         | SP    | 01/10/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #6-38 ⇒<br>Powershares DB Commodity   | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #6-38 ⇒<br>Powershares Exch Trad Fund | SP    | 01/17/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #6-38 ⇒<br>Powershares QQQ            | SP    | 01/25/2013 | S        | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒<br>Powershares S&P ETF        | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒<br>SPDR Barclays ETF          | SP    | 01/10/2013 | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #6-38 ⇒<br>SPDR Barclays ETF          | SP    | 01/25/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/>            |
| Charles Schwab #6-38 ⇒<br>SPDR Gold Trust            | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |



| Asset  | Owner | Date       | Tx. Type | Amount              | Cap. Gains > \$200?                 |
|--|-------|------------|----------|---------------------|-------------------------------------|
| Charles Schwab #6-38 ⇒<br>Vanguard Bond Index    | SP    | 01/10/2013 | P        | \$1,001 - \$15,000  |                                     |
| Charles Schwab #6-38 ⇒<br>Vanguard Bond Index    | SP    | 01/25/2013 | S        | \$15,001 - \$50,000 | <input type="checkbox"/>            |
| Charles Schwab #6-38 ⇒<br>Vanguard FTSE Emerging | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒<br>Vanguard FTSE ETF      | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒<br>Vanguard REIT          | SP    | 01/25/2013 | S        | \$15,001 - \$50,000 | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒<br>Vanguard Total Stock   | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input checked="" type="checkbox"/> |
| Charles Schwab #6-38 ⇒<br>Wisdomtree Asia        | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input type="checkbox"/>            |
| Charles Schwab #6-38 ⇒<br>Wisdomtree Japan Hedge | SP    | 01/25/2013 | S        | \$1,001 - \$15,000  | <input checked="" type="checkbox"/> |
| ETrade-23 ⇒<br>Dodge & Cox Stock Fund (DODGX)    |       | 08/12/2013 | P        | \$1,001 - \$15,000  |                                     |
| ETrade-23 ⇒<br>TCW Funds (TSI)                   |       | 05/31/2013 | P        | \$1,001 - \$15,000  |                                     |
| ETrade-23 ⇒<br>Wisdomtree Dividend (DTN)         |       | 07/1/2013  | P        | \$1,001 - \$15,000  |                                     |
| ETrade-76 ⇒<br>Apple Inc. (AAPL)                 |       | 08/26/2013 | P        | \$15,001 - \$50,000 |                                     |
| ETrade-76 ⇒<br>Apple Inc. (AAPL)                 |       | 09/11/2013 | P        | \$15,001 - \$50,000 |                                     |
| ETrade-76 ⇒<br>Apple Inc. (AAPL)                 |       | 09/12/2013 | P        | \$1,001 - \$15,000  |                                     |
| ETrade-76 ⇒                                      |       | 09/13/2013 | P        | \$1,001 - \$15,000  |                                     |

| Asset   | Owner | Date       | Tx. Type       | Amount               | Cap. Gains > \$200?                 |
|---|-------|------------|----------------|----------------------|-------------------------------------|
| Apple Inc. (AAPL)                               |       |            |                |                      |                                     |
| ETrade-76 ⇒<br>Apple Inc. (AAPL)                |       | 09/16/2013 | P              | \$1,001 - \$15,000   |                                     |
| ETrade-76 ⇒<br>Apple Inc. (AAPL)                |       | 09/19/2013 | S<br>(partial) | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>Apple Inc. (AAPL)                |       | 09/23/2013 | S              | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>Dodge & Cox Stock Fund (DODGX)   |       | 03/8/2013  | P              | \$15,001 - \$50,000  |                                     |
| ETrade-76 ⇒<br>Dodge & Cox Stock Fund (DODGX)   |       | 04/23/2013 | S              | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>Financial Invs TR Vulcan (VVPSX) |       | 03/11/2013 | P              | \$1,001 - \$15,000   |                                     |
| ETrade-76 ⇒<br>Financial Invs TR Vulcan (VVPSX) |       | 03/15/2013 | P              | \$1,001 - \$15,000   |                                     |
| ETrade-76 ⇒<br>Financial Invs TR Vulcan (VVPSX) |       | 04/10/2013 | S              | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| ETrade-76 ⇒<br>Goodhaven Fund (GOODX)           |       | 03/4/2013  | P              | \$15,001 - \$50,000  |                                     |
| ETrade-76 ⇒<br>Goodhaven Fund (GOODX)           |       | 04/4/2013  | P              | \$15,001 - \$50,000  |                                     |
| ETrade-76 ⇒<br>Goodhaven Fund (GOODX)           |       | 04/5/2013  | P              | \$15,001 - \$50,000  |                                     |
| ETrade-76 ⇒<br>Goodhaven Fund (GOODX)           |       | 04/23/2013 | S              | \$50,001 - \$100,000 | <input type="checkbox"/>            |
| ETrade-76 ⇒<br>Goodhaven Fund (GOODX)           |       | 08/26/2013 | P              | \$15,001 - \$50,000  |                                     |
| ETrade-76 ⇒<br>Goodhaven Fund (GOODX)           |       | 12/31/2013 | P              | \$15,001 - \$50,000  |                                     |

| Asset  | Owner | Date       | Tx. Type    | Amount               | Cap. Gains > \$200?                 |
|--|-------|------------|-------------|----------------------|-------------------------------------|
| ETrade-76 ⇒<br>Guggenheim S&P Equal Weight (RSP) |       | 10/22/2013 | P           | \$50,001 - \$100,000 |                                     |
| ETrade-76 ⇒<br>Guggenheim S&P Equal Weight (RSP) |       | 10/25/2013 | S           | \$50,001 - \$100,000 | <input type="checkbox"/>            |
| ETrade-76 ⇒<br>Matthews Asia Dividend (MAPIX)    |       | 01/9/2013  | P           | \$15,001 - \$50,000  |                                     |
| ETrade-76 ⇒<br>Matthews Asia Dividend (MAPIX)    |       | 05/20/2013 | P           | \$15,001 - \$50,000  |                                     |
| ETrade-76 ⇒<br>Matthews Asia Dividend (MAPIX)    |       | 07/11/2013 | S (partial) | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>Matthews Asia Dividend (MAPIX)    |       | 08/26/2013 | S (partial) | \$1,001 - \$15,000   | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>Matthews Asia Dividend (MAPIX)    |       | 09/18/2013 | S           | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| ETrade-76 ⇒<br>Oakmark Select Fund (OAKLX)       |       | 03/4/2013  | P           | \$1,001 - \$15,000   |                                     |
| ETrade-76 ⇒<br>Oakmark Select Fund (OAKLX)       |       | 03/8/2013  | P           | \$1,001 - \$15,000   |                                     |
| ETrade-76 ⇒<br>Oakmark Select Fund (OAKLX)       |       | 03/12/2013 | P           | \$1,001 - \$15,000   |                                     |
| ETrade-76 ⇒<br>Oakmark Select Fund (OAKLX)       |       | 04/10/2013 | S           | \$1,001 - \$15,000   | <input type="checkbox"/>            |
| ETrade-76 ⇒<br>Sector SPDR FINCL (XLF)           |       | 09/10/2013 | P           | \$1,001 - \$15,000   |                                     |
| ETrade-76 ⇒<br>Sector SPDR FINCL (XLF)           |       | 09/18/2013 | S           | \$1,001 - \$15,000   | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>Smead Value Fund (SMVLX)          |       | 03/12/2013 | P           | \$1,001 - \$15,000   |                                     |
| ETrade-76 ⇒<br>Smead Value Fund (SMVLX)          |       | 04/5/2013  | P           | \$1,001 - \$15,000   |                                     |

| Asset   | Owner | Date       | Tx. Type | Amount                | Cap. Gains > \$200?                 |
|---|-------|------------|----------|-----------------------|-------------------------------------|
| ETrade-76 ⇒<br>Smead Value Fund (SMVLX)             |       | 04/23/2013 | S        | \$1,001 - \$15,000    | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>SPDR Dow Jones Small Cap (SLY)       |       | 10/25/2013 | P        | \$1,001 - \$15,000    |                                     |
| ETrade-76 ⇒<br>SPDR S&P 500 ETF Trust (SPY)         |       | 10/21/2013 | P        | \$50,001 - \$100,000  |                                     |
| ETrade-76 ⇒<br>SPDR S&P 500 ETF Trust (SPY)         |       | 10/23/2013 | P        | \$50,001 - \$100,000  |                                     |
| ETrade-76 ⇒<br>SPDR S&P 500 ETF Trust (SPY)         |       | 10/25/2013 | S        | \$100,001 - \$250,000 | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>T Rowe Price Health Sciences (PRHSX) |       | 03/4/2013  | P        | \$1,001 - \$15,000    |                                     |
| ETrade-76 ⇒<br>T Rowe Price Health Sciences (PRHSX) |       | 03/8/2013  | P        | \$1,001 - \$15,000    |                                     |
| ETrade-76 ⇒<br>T Rowe Price Health Sciences (PRHSX) |       | 03/15/2013 | P        | \$1,001 - \$15,000    |                                     |
| ETrade-76 ⇒<br>T Rowe Price Health Sciences (PRHSX) |       | 04/1/2013  | P        | \$1,001 - \$15,000    |                                     |
| ETrade-76 ⇒<br>T Rowe Price Health Sciences (PRHSX) |       | 04/23/2013 | P        | \$1,001 - \$15,000    |                                     |
| ETrade-76 ⇒<br>T Rowe Price Health Sciences (PRHSX) |       | 04/25/2013 | P        | \$1,001 - \$15,000    |                                     |
| ETrade-76 ⇒<br>T Rowe Price Health Sciences (PRHSX) |       | 05/20/2013 | P        | \$15,001 - \$50,000   |                                     |
| ETrade-76 ⇒<br>T Rowe Price Health Sciences (PRHSX) |       | 05/23/2013 | P        | \$15,001 - \$50,000   |                                     |
| ETrade-76 ⇒<br>T Rowe Price Health Sciences (PRHSX) |       | 08/12/2013 | P        | \$15,001 - \$50,000   |                                     |

| Asset   | Owner Date | Tx. Type | Amount               | Cap. Gains > \$200?                 |
|---|------------|----------|----------------------|-------------------------------------|
| ETrade-76 ⇒<br>T Rowe Price Health Sciences (PRHSX) | 10/16/2013 | P        | \$1,001 - \$15,000   |                                     |
| ETrade-76 ⇒<br>T Rowe Price Health Sciences (PRHSX) | 12/31/2013 | P        | \$15,001 - \$50,000  |                                     |
| ETrade-76 ⇒<br>T Rowe Price Value Fund (TRVLX)      | 03/4/2013  | P        | \$1,001 - \$15,000   |                                     |
| ETrade-76 ⇒<br>T Rowe Price Value Fund (TRVLX)      | 03/8/2013  | P        | \$1,001 - \$15,000   |                                     |
| ETrade-76 ⇒<br>T Rowe Price Value Fund (TRVLX)      | 03/11/2013 | P        | \$1,001 - \$15,000   |                                     |
| ETrade-76 ⇒<br>T Rowe Price Value Fund (TRVLX)      | 03/12/2013 | P        | \$1,001 - \$15,000   |                                     |
| ETrade-76 ⇒<br>T Rowe Price Value Fund (TRVLX)      | 03/15/2013 | P        | \$1,001 - \$15,000   |                                     |
| ETrade-76 ⇒<br>T Rowe Price Value Fund (TRVLX)      | 04/23/2013 | S        | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>Vanguard Sector Financials (VFH)     | 05/20/2013 | P        | \$1,001 - \$15,000   |                                     |
| ETrade-76 ⇒<br>Vanguard Sector Financials (VFH)     | 05/23/2013 | P        | \$15,001 - \$50,000  |                                     |
| ETrade-76 ⇒<br>Vanguard Sector Financials (VFH)     | 07/11/2013 | S        | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>Vanguard Windsor Fund (VWNDX)        | 03/8/2013  | P        | \$15,001 - \$50,000  |                                     |
| ETrade-76 ⇒<br>Vanguard Windsor Fund (VWNDX)        | 04/10/2013 | S        | \$50,001 - \$100,000 | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>Wisdomtree Trust ETF                 | 07/1/2013  | P        | \$1,001 - \$15,000   |                                     |
| ETrade-76 ⇒<br>Wisdomtree Trust ETF                 | 07/2/2013  | P        | \$1,001 - \$15,000   |                                     |

| Asset  | Owner | Date       | Tx. Type    | Amount                | Cap. Gains > \$200?                 |
|--|-------|------------|-------------|-----------------------|-------------------------------------|
| ETrade-76 ⇒<br>Wisdomtree Trust ETF  |       | 07/9/2013  | P           | \$1,001 - \$15,000    |                                     |
| ETrade-76 ⇒<br>Wisdomtree Trust ETF  |       | 07/11/2013 | S           | \$15,001 - \$50,000   | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>Wisdomtree Trust ETF  |       | 09/10/2013 | P           | \$15,001 - \$50,000   |                                     |
| ETrade-76 ⇒<br>Wisdomtree Trust ETF  |       | 09/18/2013 | S           | \$15,001 - \$50,000   | <input checked="" type="checkbox"/> |
| ETrade-76 ⇒<br>Wisdomtree Trust ETF  |       | 10/16/2013 | P           | \$50,001 - \$100,000  |                                     |
| ETrade-76 ⇒<br>Wisdomtree Trust ETF  |       | 10/18/2013 | P           | \$1,001 - \$15,000    |                                     |
| ETrade-76 ⇒<br>Wisdomtree Trust ETF  |       | 10/22/2013 | S           | \$50,001 - \$100,000  | <input checked="" type="checkbox"/> |
| New York Life Insurance Annuity (Fixed) ⇒<br>New York Life Insurance Annuity (Fixed) |       | 01/25/2013 | S           | \$100,001 - \$250,000 | <input type="checkbox"/>            |
| LOCATION: US<br>DESCRIPTION: Annuity matured/sold in full                            |       |            |             |                       |                                     |
| Pacific Life Annuity ⇒<br>American Asset Alloc                                       |       | 08/22/2013 | P           | \$100,001 - \$250,000 |                                     |
| Pacific Life Annuity ⇒<br>DCA 12-Month (fixed)                                       |       | 01/17/2013 | S (partial) | \$1,001 - \$15,000    | <input type="checkbox"/>            |
| Pacific Life Annuity ⇒<br>DCA 12-Month (fixed)                                       |       | 02/17/2013 | S (partial) | \$1,001 - \$15,000    | <input type="checkbox"/>            |
| Pacific Life Annuity ⇒<br>DCA 12-Month (fixed)                                       |       | 03/17/2013 | S (partial) | \$1,001 - \$15,000    | <input type="checkbox"/>            |
| Pacific Life Annuity ⇒<br>DCA 12-Month (fixed)                                       |       | 04/17/2013 | S (partial) | \$1,001 - \$15,000    | <input type="checkbox"/>            |
| Pacific Life Annuity ⇒<br>DCA 12-Month (fixed)                                       |       | 05/17/2013 | S (partial) | \$1,001 - \$15,000    | <input type="checkbox"/>            |

| Asset  | Owner | Date       | Tx. Type       | Amount                | Cap. Gains > \$200?      |
|--|-------|------------|----------------|-----------------------|--------------------------|
| Pacific Life Annuity ⇒<br>DCA 12-Month (fixed)             |       | 06/17/2013 | S<br>(partial) | \$1,001 - \$15,000    | <input type="checkbox"/> |
| Pacific Life Annuity ⇒<br>DCA 12-Month (fixed)             |       | 07/17/2013 | S<br>(partial) | \$1,001 - \$15,000    | <input type="checkbox"/> |
| Pacific Life Annuity ⇒<br>DCA 12-Month (fixed)             |       | 08/17/2013 | S<br>(partial) | \$1,001 - \$15,000    | <input type="checkbox"/> |
| Pacific Life Annuity ⇒<br>DCA 12-Month (fixed)             |       | 08/22/2013 | S              | \$1,001 - \$15,000    | <input type="checkbox"/> |
| Pacific Life Annuity ⇒<br>Dynamix Growth                   |       | 05/22/2013 | P              | \$100,001 - \$250,000 |                          |
| Pacific Life Annuity ⇒<br>Dynamix Growth                   |       | 06/17/2013 | P              | \$1,001 - \$15,000    |                          |
| Pacific Life Annuity ⇒<br>Dynamix Growth                   |       | 07/11/2013 | S              | \$100,001 - \$250,000 | <input type="checkbox"/> |
| Pacific Life Annuity ⇒<br>Dynamix Growth                   |       | 07/17/2013 | P              | \$1,001 - \$15,000    |                          |
| Pacific Life Annuity ⇒<br>Dynamix Growth                   |       | 08/17/2013 | P              | \$1,001 - \$15,000    |                          |
| Pacific Life Annuity ⇒<br>Dynamix Growth                   |       | 08/22/2013 | S              | \$1,001 - \$15,000    | <input type="checkbox"/> |
| Pacific Life Annuity ⇒<br>FT Founding Funds                |       | 08/22/2013 | P              | \$100,001 - \$250,000 |                          |
| Pacific Life Annuity ⇒<br>Port Opt Conservative (variable) |       | 01/15/2013 | S              | \$250,001 - \$500,000 | <input type="checkbox"/> |
| Pacific Life Annuity ⇒<br>Port Opt Conservative (variable) |       | 02/27/2013 | P              | \$250,001 - \$500,000 |                          |
| Pacific Life Annuity ⇒<br>Port Opt Conservative (variable) |       | 05/22/2013 | S              | \$250,001 - \$500,000 | <input type="checkbox"/> |
| Pacific Life Annuity ⇒                                     |       | 07/11/2013 | P              | \$250,001 -           |                          |

| Asset  | Owner | Date       | Tx. Type | Amount                | Cap. Gains > \$200?      |
|--|-------|------------|----------|-----------------------|--------------------------|
| Port Opt Conservative (variable)                           |       |            |          | \$500,000             |                          |
| Pacific Life Annuity ⇒<br>Port Opt Conservative (variable) |       | 08/22/2013 | S        | \$250,001 - \$500,000 | <input type="checkbox"/> |
| Pacific Life Annuity ⇒<br>Port Opt Growth (variable)       |       | 01/15/2013 | P        | \$250,001 - \$500,000 |                          |
| Pacific Life Annuity ⇒<br>Port Opt Growth (variable)       |       | 01/17/2013 | P        | \$1,001 - \$15,000    |                          |
| Pacific Life Annuity ⇒<br>Port Opt Growth (variable)       |       | 02/17/2013 | P        | \$1,001 - \$15,000    |                          |
| Pacific Life Annuity ⇒<br>Port Opt Growth (variable)       |       | 02/27/2013 | S        | \$250,001 - \$500,000 | <input type="checkbox"/> |
| Pacific Life Annuity ⇒<br>Port Opt Growth (variable)       |       | 03/17/2013 | P        | \$1,001 - \$15,000    |                          |
| Pacific Life Annuity ⇒<br>Port Opt Growth (variable)       |       | 04/17/2013 | P        | \$1,001 - \$15,000    |                          |
| Pacific Life Annuity ⇒<br>Port Opt Growth (variable)       |       | 05/17/2013 | P        | \$1,001 - \$15,000    |                          |
| Pacific Life Annuity ⇒<br>Port Opt Growth (variable)       |       | 05/22/2013 | P        | \$100,001 - \$250,000 |                          |
| Pacific Life Annuity ⇒<br>Port Opt Growth (variable)       |       | 06/17/2013 | P        | \$1,001 - \$15,000    |                          |
| Pacific Life Annuity ⇒<br>Port Opt Growth (variable)       |       | 07/11/2013 | S        | \$100,001 - \$250,000 | <input type="checkbox"/> |
| Pacific Life Annuity ⇒<br>Port Opt Growth (variable)       |       | 07/17/2013 | P        | \$1,001 - \$15,000    |                          |
| Pacific Life Annuity ⇒<br>Port Opt Growth (variable)       |       | 08/17/2013 | P        | \$1,001 - \$15,000    |                          |
| Pacific Life Annuity ⇒<br>Port Opt Growth (variable)       |       | 08/22/2013 | S        | \$1,001 - \$15,000    | <input type="checkbox"/> |



| Asset   | Owner | Date       | Tx. Type       | Amount              | Cap. Gains > \$200?      |
|---|-------|------------|----------------|---------------------|--------------------------|
| Prudential Annuity ⇒<br>Academic Strategies Asset Alloc |       | 05/22/2013 | P              | \$15,001 - \$50,000 |                          |
| Prudential Annuity ⇒<br>Academic Strategies Asset Alloc |       | 06/24/2013 | S<br>(partial) | \$1,001 - \$15,000  | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Academic Strategies Asset Alloc |       | 07/1/2013  | P              | \$1,001 - \$15,000  |                          |
| Prudential Annuity ⇒<br>Academic Strategies Asset Alloc |       | 07/2/2013  | P              | \$1,001 - \$15,000  |                          |
| Prudential Annuity ⇒<br>Academic Strategies Asset Alloc |       | 08/2/2013  | P              | \$1,001 - \$15,000  |                          |
| Prudential Annuity ⇒<br>Academic Strategies Asset Alloc |       | 08/22/2013 | S              | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Balanced Asset Alloc            |       | 05/22/2013 | P              | \$15,001 - \$50,000 |                          |
| Prudential Annuity ⇒<br>Balanced Asset Alloc            |       | 06/24/2013 | S<br>(partial) | \$1,001 - \$15,000  | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Balanced Asset Alloc            |       | 07/1/2013  | P              | \$1,001 - \$15,000  |                          |
| Prudential Annuity ⇒<br>Balanced Asset Alloc            |       | 07/2/2013  | P              | \$1,001 - \$15,000  |                          |
| Prudential Annuity ⇒<br>Balanced Asset Alloc            |       | 08/2/2013  | P              | \$1,001 - \$15,000  |                          |
| Prudential Annuity ⇒<br>Balanced Asset Alloc            |       | 08/22/2013 | S              | \$15,001 - \$50,000 | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>BlackRock Global Strategies     |       | 08/22/2013 | P              | \$1,001 - \$15,000  |                          |
| Prudential Annuity ⇒<br>BlackRock iShares ETF           |       | 08/22/2013 | P              | \$1,001 - \$15,000  |                          |
| Prudential Annuity ⇒<br>BlackRock iShares ETF           |       | 10/17/2013 | P              | \$15,001 - \$50,000 |                          |

| Asset   | Owner | Date       | Tx. Type       | Amount                | Cap. Gains > \$200?      |
|---|-------|------------|----------------|-----------------------|--------------------------|
| Prudential Annuity ⇒<br>Cohen & Steers Realty           |       | 01/24/2013 | S              | \$1,001 - \$15,000    | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Cohen & Steers Realty           |       | 05/22/2013 | P              | \$15,001 - \$50,000   |                          |
| Prudential Annuity ⇒<br>Cohen & Steers Realty           |       | 06/24/2013 | S<br>(partial) | \$1,001 - \$15,000    | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Cohen & Steers Realty           |       | 07/1/2013  | P              | \$1,001 - \$15,000    |                          |
| Prudential Annuity ⇒<br>Cohen & Steers Realty           |       | 08/22/2013 | S<br>(partial) | \$1,001 - \$15,000    | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Cohen & Steers Realty           |       | 10/17/2013 | S              | \$1,001 - \$15,000    | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Federated Aggressive Growth     |       | 05/22/2013 | P              | \$15,001 - \$50,000   |                          |
| Prudential Annuity ⇒<br>Federated Aggressive Growth     |       | 06/24/2013 | S<br>(partial) | \$1,001 - \$15,000    | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Federated Aggressive Growth     |       | 07/1/2013  | P              | \$1,001 - \$15,000    |                          |
| Prudential Annuity ⇒<br>Federated Aggressive Growth     |       | 08/22/2013 | S              | \$15,001 - \$50,000   | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Franklin Templtn FF Plus        |       | 08/22/2013 | P              | \$1,001 - \$15,000    |                          |
| Prudential Annuity ⇒<br>Franklin Templtn FF Plus        |       | 10/17/2013 | P              | \$1,001 - \$15,000    |                          |
| Prudential Annuity ⇒<br>Franklin Templtn Founding Funds |       | 01/24/2013 | P              | \$100,001 - \$250,000 |                          |
| Prudential Annuity ⇒<br>Franklin Templtn Founding Funds |       | 02/27/2013 | S              | \$100,001 - \$250,000 | <input type="checkbox"/> |

| Asset   | Owner | Date       | Tx. Type    | Amount               | Cap. Gains > \$200?      |
|---|-------|------------|-------------|----------------------|--------------------------|
| Prudential Annuity ⇒<br>Goldman Sachs Concentrated Growth |       | 08/22/2013 | P           | \$1,001 - \$15,000   |                          |
| Prudential Annuity ⇒<br>Goldman Sachs Concentrated Growth |       | 10/17/2013 | P           | \$1,001 - \$15,000   |                          |
| Prudential Annuity ⇒<br>Goldman Sachs Large Cap           |       | 08/22/2013 | P           | \$50,001 - \$100,000 |                          |
| Prudential Annuity ⇒<br>Goldman Sachs Large Cap           |       | 10/2/2013  | S           | \$1,001 - \$15,000   | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Goldman Sachs Large Cap           |       | 10/17/2013 | S (partial) | \$15,001 - \$50,000  | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Goldman Sachs Mid Cap             |       | 10/17/2013 | S           | \$1,001 - \$15,000   | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Goldman Sachs Small Cap GROWTH    |       | 10/17/2013 | P           | \$1,001 - \$15,000   |                          |
| Prudential Annuity ⇒<br>Goldman Sachs Small Cap Value     |       | 08/22/2013 | P           | \$15,001 - \$50,000  |                          |
| Prudential Annuity ⇒<br>Goldman Sachs Small Cap Value     |       | 10/17/2013 | S (partial) | \$1,001 - \$15,000   | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>International Growth              |       | 10/17/2013 | P           | \$15,001 - \$50,000  |                          |
| Prudential Annuity ⇒<br>Investment Grade Bond             |       | 06/24/2013 | P           | \$15,001 - \$50,000  |                          |
| Prudential Annuity ⇒<br>Investment Grade Bond             |       | 07/1/2013  | S (partial) | \$1,001 - \$15,000   | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Investment Grade Bond             |       | 07/2/2013  | S (partial) | \$1,001 - \$15,000   | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Investment Grade Bond             |       | 08/2/2013  | S (partial) | \$1,001 - \$15,000   | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Investment Grade Bond             |       | 10/2/2013  | S           | \$1,001 - \$15,000   | <input type="checkbox"/> |

| Asset   | Owner | Date       | Tx. Type       | Amount               | Cap. Gains > \$200?      |
|---|-------|------------|----------------|----------------------|--------------------------|
| Prudential Annuity ⇒<br>Jennison Large Cap          |       | 08/22/2013 | P              | \$1,001 - \$15,000   |                          |
| Prudential Annuity ⇒<br>JP Morgan Intl Equity       |       | 01/24/2013 | S              | \$15,001 - \$50,000  | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Money Market                |       | 02/27/2013 | P              | \$15,001 - \$50,000  |                          |
| Prudential Annuity ⇒<br>Money Market                |       | 05/22/2013 | S              | \$15,001 - \$50,000  | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Parametric Emerging Markets |       | 08/22/2013 | P              | \$1,001 - \$15,000   |                          |
| Prudential Annuity ⇒<br>Parametric Emerging Markets |       | 10/17/2013 | S              | \$1,001 - \$15,000   | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>PIMCO Total Return Bond     |       | 01/24/2013 | S              | \$50,001 - \$100,000 | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>PIMCO Total Return Bond     |       | 02/27/2013 | P              | \$15,001 - \$50,000  |                          |
| Prudential Annuity ⇒<br>PIMCO Total Return Bond     |       | 05/22/2013 | S<br>(partial) | \$15,001 - \$50,000  | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>PIMCO Total Return Bond     |       | 06/24/2013 | S<br>(partial) | \$1,001 - \$15,000   | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>PIMCO Total Return Bond     |       | 07/1/2013  | P              | \$1,001 - \$15,000   |                          |
| Prudential Annuity ⇒<br>PIMCO Total Return Bond     |       | 08/22/2013 | P              | \$15,001 - \$50,000  |                          |
| Prudential Annuity ⇒<br>PIMCO Total Return Bond     |       | 10/17/2013 | S<br>(partial) | \$15,001 - \$50,000  | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Preservation Asset Alloc    |       | 02/27/2013 | P              | \$50,001 - \$100,000 |                          |
| Prudential Annuity ⇒                                |       | 05/22/2013 | S              | \$15,001 - \$50,000  | <input type="checkbox"/> |

| Asset  | Owner | Date       | Tx. Type       | Amount               | Cap. Gains > \$200?      |
|--|-------|------------|----------------|----------------------|--------------------------|
| Preservation Asset Alloc                               |       |            | (partial)      |                      |                          |
| Prudential Annuity ⇒<br>Preservation Asset Alloc       |       | 06/24/2013 | S<br>(partial) | \$1,001 - \$15,000   | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Preservation Asset Alloc       |       | 07/1/2013  | P              | \$1,001 - \$15,000   |                          |
| Prudential Annuity ⇒<br>Preservation Asset Alloc       |       | 07/2/2013  | P              | \$1,001 - \$15,000   |                          |
| Prudential Annuity ⇒<br>Preservation Asset Alloc       |       | 08/2/2013  | P              | \$1,001 - \$15,000   |                          |
| Prudential Annuity ⇒<br>Preservation Asset Alloc       |       | 08/22/2013 | S              | \$15,001 - \$50,000  | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Prudential Core Bond Portfolio |       | 10/17/2013 | P              | \$1,001 - \$15,000   |                          |
| Prudential Annuity ⇒<br>T. Rowe Price Asset            |       | 01/24/2013 | S              | \$50,001 - \$100,000 | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Western Asset Core Plus Bond   |       | 05/22/2013 | P              | \$15,001 - \$50,000  |                          |
| Prudential Annuity ⇒<br>Western Asset Core Plus Bond   |       | 06/24/2013 | S<br>(partial) | \$1,001 - \$15,000   | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Western Asset Core Plus Bond   |       | 07/1/2013  | P              | \$1,001 - \$15,000   |                          |
| Prudential Annuity ⇒<br>Western Asset Core Plus Bond   |       | 08/22/2013 | S              | \$1,001 - \$15,000   | <input type="checkbox"/> |
| Prudential Annuity ⇒<br>Western Asset Core Plus Bond   |       | 10/17/2013 | P              | \$15,001 - \$50,000  |                          |

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

## SCHEDULE C: EARNED INCOME



| Trip Details  |            |            |   | Inclusions                          |                                     |                                     |
|---|------------|------------|---|-------------------------------------|-------------------------------------|-------------------------------------|
| Source  | Start Date | End Date   | Itinerary                                     | Lodging?                            | Food?                               | Family?                             |
| NAACP   | 07/15/2013 | 07/15/2013 | Chicago - Orlando - Chicago                   | <input type="checkbox"/>            | <input type="checkbox"/>            | <input type="checkbox"/>            |
| COMMENTS: As reflected in post travel disclosure forms, Member traveled there and back in one day, 7/15/2013 (and not 7/14 -7/15/13 as originally listed on pre-travel traveler and sponsor forms). Also per post travel disclosure, trip did not include food. |            |            |   |                                     |                                     |                                     |
| Franklin Center/Ripon Society   | 08/10/2013 | 08/18/2013 | Chicago - Dublin - Chicago                    | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| COMMENTS: 3 days at personal expense  |            |            |   |                                     |                                     |                                     |
| Council of State Governments  | 12/6/2013  | 12/10/2013 | Miami - Puerto Rico - DC                      | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| COMMENTS: 1 day at personal expense   |            |            |   |                                     |                                     |                                     |
| WW Norton & Co.   | 10/18/2013 | 10/19/2013 | Chicago - Albany, NY - New York, NY - Chicago | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/>            |
| COMMENTS: Travel related to book promotion  |            |            |   |                                     |                                     |                                     |

## SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

## SCHEDULE A AND B ASSET CLASS DETAILS

- Book  
LOCATION: US  
DESCRIPTION: Memoir
- Charles Schwab #1-72  
LOCATION: US  
DESCRIPTION: Brokerage Account
- Charles Schwab #2-83 (Owner: SP)  
LOCATION: US  
DESCRIPTION: Brokerage Account
- Charles Schwab #3-01  
LOCATION: US  
DESCRIPTION: Brokerage Account
- Charles Schwab #4-11 (Owner: SP)  
LOCATION: US  
DESCRIPTION: Brokerage Account
- Charles Schwab #5-14 (Owner: SP)  
LOCATION: US  
DESCRIPTION: Brokerage Account
- Charles Schwab #6-38 (Owner: SP)  
LOCATION: US  
DESCRIPTION: Brokerage Account
- ETrade-23

LOCATION: US

DESCRIPTION: Brokerage Account

- ETrade-76

LOCATION: US

DESCRIPTION: Brokerage Account

- New York Life Insurance Annuity (Fixed)

LOCATION: US

- Pacific Life Annuity

- Prudential Annuity (Owner: SP)

## 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

1) American Express Savings Account (listed among assets on FDF 2012) had a zero balance on 12/31/2013, therefore it is not listed among assets on this FDF 2013. 2) Note the accounts attributed to filer's spouse "SP" on the "Sch A & B Asset Class Details," as the SP label does not automatically transfer to all Sch A and Sch B entries.

## 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:** Mr. Luis V. Gutierrez , 08/13/2014