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SCHEDULE I — EARNED INCOME (INCLUDING HONORARIA)

Jose Penalosa

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

Exclude: Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

		The state of the s	
	Time	Amount	Wint
Course (include date of leception individuals)	- }	Current Year to Filing	Preceding Year
XYZ Corporation, Houston, TX	Salary	\$6,300	\$28,450
	Director's Fee	\$400	\$3,200
XYZ Trade Association, Chicago, IL (Rec'd December 2)	Honorarium	0	\$1,000
Harris County, Texas Public Schools	Spouse Salary	NA	¥
Penalosa & Associates, P.C., Attorneys Phoenix, Az	Salary	\$31,500.00	\$ 84,000.00
Penalosa & Associates, P.C., Attorneys Phoenix, AZ	Spouse Salary	NA	NA
Penalosa & Associates, P.C., Attorneys Phoenix, AZ	K-1 Shareholders Share of Income	Not Known	\$18,584.00
Penalosa & Associates, P.C., Attorneys Phoenix, AZ	Daughter's Salary	NA	NA
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	 NY Disa	SP NY	Rot	UT An Ge	Pr		DC, Examples:	SP.	For rental or other real property held for investment, provide a complete address. For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A. Exclude: Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); any deposits totaling \$5,000 or less in personal checking or savings accounts; and any financial interest in, or income derived from, a federal refirement program, including the Thrift Savings Plan. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held with your spouse (JT), in the optional column on the far left. For a detailed discussion of Schedule III requirements, please refer to the instruction booklet.	provide only the name of the institution holding the account and its value at the end of the reporting period.	Provide complete names of stocks and mutual funds (do not use ticker symbols). For all IRAs and other retirement plans (such as 401(k) plans) that are self-directed (i.e., plans in which you have the power, even if not exercised, to select the specific investments), provide the value for each asset held in the account that exceeds the reporting thresholds.	Identify (a) each asset held for investment or production of income with a fair market value exceeding \$1,000 at the end of the reporting period, and (b) any other reportable asset or sources of income which generated more than \$200 in "unearned" income during the year.	Asse
	Life bili	Life Annui	JP MORGAN Roth IRA	NY Life Mainstay Investments	Premium			SP	or other n complete a mership into publicly transture of Block A. Your person of vacation ring the reg or less in and any and any and any and any or less is that savings Plate (choose, yource is that of the instant of the instant of the instant complete the property of the property of the instant of the i	the nar	icker syn icker syn and othe are self-c re, even ants), pro nt that e	ach asse th a fair I the repo sset or so	BLOCK A Asset and/or Income Source
'	(+	c+	RAN	me l	1	1st Bank of Paducah, KY accounts	Simon & Schuster	Mega Corp. Stock	er real property held for investment, to address. Interest in a privately-held business y traded, state the name of the businest of its activities, and its geographic of its activities, and its geographic and its properties of its activities, and its geographic and its properties of its activities, and its geographic and its properties of its personal checking or savings financial interest in, or income address retirement program, including plan. That of your spouse (SP) or depending the properties of the pro	ne of at the	mes onbols) retire frecte frot wide to	theld marke inting jurces	BLOCK A
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		×		$\overline{\mathbf{x}}$	×		=			В С	method used. If an asset was sold during the reporting year and is included only because it generated income, the value should be "None."	Indicate value of asset at close of reporting year. If you use a valuation method other than fair market value, please specify the	
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•									EXCEPTED/BLIND TRUST	_	Divi	nns to	BLOCK C
		-					Royalties		Other Type of Income (Specify: e.g., Partnership Income or Farm Income)		plans or IRAs), you may check the "None" column. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if the asset generated no income during the reporting period.	Check all columns that apply. F retirement accounts that do n allow you to choose specifinestments or that generate tachefored income (such as 401).	BLOCK C .
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									\$201 - \$1,000	5 I			
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									\$5,001 - \$15,000 \leq \(\begin{array}{c} \text{S} \\		For all cincome below. gains, closed income	reti hoo tax-	
									\$2,501 - \$5,000	š	For all other assets, indicate the income by checking the approblem. Dividends, interest, augains, even if reinvested, muclosed as income. Check "Nincome was earned or generated.	remose se s	
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•	 					×	×		\$2,501 – \$5,000 < 0	3	For all other assets, indicate the category of income by checking the appropriate box below. Dividends, interest, and capital gains, even if reinvested, must be disclosed as income. Check "None" if no income was earned or generated.	For retirement accounts that do not allow you to choose specific investments or that generate tax-deferred income (such as 401(k) plans or IRAs), you may check the "None" column.	
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SCHEDULE II — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Ξ 8 SP, NY Life Annuity Scholar's Met Co. Scholar's ΥY AZ Stat Credit NY Life Mainstay Investments Asset and/or Income Source Land Accounts Chase Wells ŝ Life State Life in Savings te & Sa Banking Fargo Ø **BLOCK A** Simple Insurance Eloy, Insurance Edge Edge Saving Account Bond ΑZ 529 IRA ζ, × None 8 × \$1 - \$1,000 × × × × O × \$1,001 - \$15,000 × × × \$15,001 **-** \$50,000 Value of Asset O \$50,001 - \$100,000 m BLOCK B Ŧ \$100,001 - \$250,000 G \$250,001 - \$500,000 \$500,001 - \$1,000,000 I \$1,000,001 - \$5,000,000 <u>_</u> \$5,000,001 - \$25,000,000 \$25,000,001 - \$50,000,000 ㅈ Over \$50,000,000 NONE ⋈ × × DIVIDENDS \bowtie × RENT Type of Income INTEREST BLOCK C **CAPITAL GAINS EXCEPTED/BLIND TRUST** Other Type of Income (Specify: e.g., Partnership Income or Farm Income) × × × × × × \bowtie × None \bowtie \$1 - \$200 \sim \$201 - \$1,000 Current Year \$1,001 - \$2,500 \$2,501 - \$5,000 \$5,001 - \$15,000 \$15,001 - \$50,000 \$50,001 - \$100,000 Amount of Income \$100,001 - \$1,000,000 \$1,000,001 - \$5,000,000 BLOCK D Over \$5,000,000 × × None × × × × হৰ \$1 - \$200 X X V V V V V V X X \$201 - \$1,000 Preceding Year \$1,001 - \$2,500 \$2,501 - \$5,000 \$5,001 - \$15,000 \$15,001 - \$50,000 \$50,001 - \$100,000 \$100,001 - \$1,000,000 \$1,000,001 - \$5,000,000 × Over \$5,000,000

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Name Jose Penalosa

SCHEDULE III - LIABILITIES

Name Jose Penalosa Page.

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owed during the reporting period. Exclude: Any mortgage on your personal residence (unless there is rental income); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to a spouse, or the child, parent, or sib-Report liabilities of over \$10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount ling of you or your spouse. Report revolving charge accounts (i.e., credit cards) only if the balance at the close of the previous calendar year exceeded \$10,000.

					SP, DC, JT
			None	Example: First Bank of Wilmington, DE	Creditor
				May 1998	Date Liability Incurred mo/year
				Mortgage on 123 Main Street, Dover, DE	Type of Liability
					\$10,001— \$15,000
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					Over \$50,000,000

SCHEDULE IV — POSITIONS

prise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. cer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enter-Report all positions, compensated or uncompensated, held on or before the date of filing during the current calendar year and in the two prior years as an offi-

and positions solely of an honorary nature. Exclude: Positions listed on Schedule I; positions held in any religious, social, fraternal, or political entities (such as a political party or campaign organization);

Position	Name of Organization
President	Penalosa & Associates, P.C., Attorneys at Law, Phoenix, AZ
Board Member	Friends of the Scottsdale Public Library, Scottsdale, AZ
Board Member	Dream Scholarship Fund, Phoenix, AZ

SCHEDULE V - AGREEMENTS

Name Jose Penalosa

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Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	None	

SCHEDULE VI — COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

Report sources of such compensation received by you or your business affiliation for services provided directly by you during the *two* prior years. This includes the names of clients and customers of any corporation, firm, partnership, or other business enterprise, or any nonprofit organization if you directly provided the services generating a fee or payment of more than \$5,000. Exclude: Payments by the U.S. Government and any information considered confidential as a result of a privileged relationship recognized by law. Do not repeat information listed on Schedule I.

Source (Name and Address)	Brief Description of Duties
Example: Doe Jones & Smith, Hometown, Homestate	Accounting services
"Gertain Confidentia, Clients Are not Reported Ports of	Legal Services
Professional Conduct, State Bar of Arizona.	