



Filing ID #10015203

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2016  
**Filing Date:** 08/7/2017

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Betterment ⇒ iShares Barclays Short Treas BF (SHV)		None	None		<input checked="" type="checkbox"/>
Betterment ⇒ iShares Core MSCI Emerg Mkts (IEMG)		None	None		<input checked="" type="checkbox"/>
Betterment ⇒ iShares iBoxx Corp Bond Fd (LQD)		None	Capital Gains	\$1 - \$200	<input checked="" type="checkbox"/>
Betterment ⇒ iShares iBoxx Corp Bond Fd (LQD)		None	Capital Gains	\$1 - \$200	<input checked="" type="checkbox"/>
Betterment ⇒ iShares Natl AMT MUNI (MUB)		None	Capital Gains, Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Betterment ⇒ iShares Russell 2000 Value Index (IWN)		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Betterment ⇒ iShares Russell Midcap Value (IWS)		None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Betterment ⇒		None	Capital Gains,	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
iShares S&P 500 Value (IVE)			Dividends		
Betterment ⇒ Schwab Intl Equity (SCHF)		None	Capital Gains	\$1 - \$200	<input checked="" type="checkbox"/>
Betterment ⇒ Schwab US Broad Market (SCHB)		None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Betterment ⇒ Vanguard Emerging Mkts Govt BF (VWOB)		None	Capital Gains, Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Betterment ⇒ Vanguard FTSE Dev Mkts (VEA)		None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Betterment ⇒ Vanguard FTSE Emerging Markets (VWO)		None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Betterment ⇒ Vanguard Mid Cap Value (VOE)		None	None		<input checked="" type="checkbox"/>
Betterment ⇒ Vanguard Sh Term Inflation-Prot Fund (VTIP)		None	Capital Gains	\$1 - \$200	<input checked="" type="checkbox"/>
Betterment ⇒ Vanguard Small Cap (VBR)		None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Betterment ⇒ Vanguard Total Intl Bond Fund (BNDX)		None	Capital Gains, Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Betterment ⇒ Vanguard Total Stock (VTI)		None	None		<input checked="" type="checkbox"/>
Betterment ⇒ Vanguard Value (VTV)		None	Capital Gains, Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Book ⇒ Book		\$1,001 - \$15,000	royalties	\$5,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Memoir					
Charles Schwab #1-72 ⇒ Charles Schwab US MC (SCHM)		None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Charles Schwab US REIT (SCHH)		None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Charles Schwab #1-72 ⇒ Matthews Asia Dividend Fund (MAPIX)		None	None		<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Powershares QQQ Trust (QQQ)		\$1,001 - \$15,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Schwab Fund US Broad Mkt (FNDB)		\$15,001 - \$50,000	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Schwab US Aggregate Bond F (SCHZ)		None	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Schwab US Broad Market (SCHB)		\$250,001 - \$500,000	Capital Gains, Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		\$15,001 - \$50,000	Capital Gains, Dividends	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Schwab US Small Cap (SCHA)		None	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Schwab US Tips (SCHP)		None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	None	None		<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ POWERSHARES (QQQ)	SP	None	None		<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	None	Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ Schwab Health Care Fund (SWHFX)	SP	None	None		<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ T ROWE PRICE HEALTH (PRHSX)	SP	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
COMMENTS: .					
Pacific Life Annuity ⇒ AFIS Capital Builder Inc		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒		None	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
AFIS Global Growth					
Pacific Life Annuity ⇒ AFIS Growth		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ AFIS High Income Bond		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ BR iShares Alt Strat		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ BR iShares Dyn Fixed Inc		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Fidelity VIP Contrafund		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Franklin Rising Dividend		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ FTA Div & Inc Allocation		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Invesco V.I. Eqty & Inc		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Janus Focused Growth		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Lord Abbett Bond Debent		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Lord Abbett Total Return		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ MS Real Estate		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Oppenheimer Main Street		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ PIMCO Inflation Managed		None	Tax-Deferred		<input checked="" type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income</b>	<b>Tx. &gt; \$1,000?</b>
Pacific Life Annuity ⇒ PIMCO VIT All Asset/Auth		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ Port Opt Growth		None	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ T Rowe Dividend Growth		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>
Pacific Life Annuity ⇒ WAMCO Diversified Bond		None	Tax-Deferred		<input checked="" type="checkbox"/>
PNC Checking Account		\$15,001 - \$50,000	Interest	\$1 - \$200	<input type="checkbox"/>
Prudential Annuity ⇒ BlackRock/Loomis Sayles Bond	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bond	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Lord Abbett Core Fixed Income Port	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ MFS Large-Cap Value	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Neuberger Berman/LSV Mid-Cap Value	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Prudential Core Bond Portfolio	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ QMA US Equity Alpha	SP	\$15,001 - \$50,000	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ RCM World Trends	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ Small Cap Value	SP	\$1 - \$1,000	Tax-Deferred		<input checked="" type="checkbox"/>
Prudential Annuity ⇒ WEDGE Capital Mid-Cap Value	SP	\$1,001 - \$15,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Prudential Annuity ⇒ Western Asset Core Plus Bond	SP	\$15,001 - \$50,000	Tax-Deferred		<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?
Betterment ⇒ iShares Barclays Short Treas BF (SHV)		02/29/2016	P	\$100,001 - \$250,000	
Betterment ⇒ iShares Barclays Short Treas BF (SHV)		03/2/2016	S	\$100,001 - \$250,000	<input type="checkbox"/>
Betterment ⇒ iShares Core MSCI Emerg Mkts (IEMG)		01/11/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Betterment ⇒ iShares iBoxx Corp Bond Fd (LQD)		01/21/2016	P	\$1,001 - \$15,000	
Betterment ⇒ iShares iBoxx Corp Bond Fd (LQD)		02/29/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares iBoxx Corp Bond Fd (LQD)		03/2/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares Natl AMT MUNI (MUB)		01/21/2016	P	\$15,001 - \$50,000	
Betterment ⇒ iShares Natl AMT MUNI (MUB)		02/29/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares Natl AMT MUNI (MUB)		03/2/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Betterment ⇒ iShares Russell 2000 Value Index (IWN)		01/19/2016	P	\$1,001 - \$15,000	
Betterment ⇒ iShares Russell 2000 Value Index (IWN)		01/21/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares Russell 2000 Value Index (IWN)		02/29/2016	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Betterment ⇒ iShares Russell Midcap Value (IWS)		01/21/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares Russell Midcap Value (IWS)		01/25/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares S&P 500 Value (IVE)		01/11/2016	P	\$15,001 - \$50,000	
Betterment ⇒ iShares S&P 500 Value (IVE)		01/21/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares S&P 500 Value (IVE)		02/17/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ iShares S&P 500 Value (IVE)		02/29/2016	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Betterment ⇒ Schwab Intl Equity (SCHF)		01/15/2016	P	\$50,001 - \$100,000	
Betterment ⇒ Schwab Intl Equity (SCHF)		01/21/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Schwab Intl Equity (SCHF)		02/29/2016	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Betterment ⇒ Schwab Intl Equity (SCHF)		03/2/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Schwab US Broad Market (SCHB)		01/25/2016	P	\$15,001 - \$50,000	
Betterment ⇒ Schwab US Broad Market (SCHB)		02/29/2016	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Betterment ⇒ Vanguard Emerging Mkts Govt BF (VWOB)		01/21/2016	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Emerging Mkts Govt BF (VWOB)		02/29/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒		03/2/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Vanguard Emerging Mkts Govt BF (VWOB)					
Betterment ⇒ Vanguard FTSE Dev Mkts (VEA)		01/19/2016	S	\$50,001 - \$100,000	<input type="checkbox"/>
Betterment ⇒ Vanguard FTSE Emerging Markets (VWO)		01/11/2016	P	\$15,001 - \$50,000	
Betterment ⇒ Vanguard FTSE Emerging Markets (VWO)		01/21/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard FTSE Emerging Markets (VWO)		02/29/2016	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Betterment ⇒ Vanguard Mid Cap Value (VOE)		01/25/2016	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Mid Cap Value (VOE)		02/29/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Sh Term Inflation-Prot Fund (VTIP)		02/29/2016	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Sh Term Inflation-Prot Fund (VTIP)		03/2/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Small Cap (VBR)		01/19/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Total Intl Bond Fund (BNDX)		01/21/2016	P	\$1,001 - \$15,000	
Betterment ⇒ Vanguard Total Intl Bond Fund (BNDX)		02/29/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Total Intl Bond Fund (BNDX)		03/2/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Total Stock (VTI)		01/21/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Total Stock (VTI)		01/25/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Betterment ⇒ Vanguard Value (VTV)		01/11/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Betterment ⇒ Vanguard Value (VTV)		02/29/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ Charles Schwab US MC (SCHM)		03/7/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Charles Schwab US MC (SCHM)		05/2/2016	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Charles Schwab US REIT (SCHH)		03/11/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Charles Schwab US REIT (SCHH)		03/22/2016	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ Charles Schwab US REIT (SCHH)		04/1/2016	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ Charles Schwab US REIT (SCHH)		04/13/2016	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ Charles Schwab US REIT (SCHH)		05/2/2016	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ Charles Schwab US REIT (SCHH)		05/25/2016	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Matthews Asia Dividend Fund (MAPIX)		01/21/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ Powershares QQQ Trust (QQQ)		10/13/2016	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ Schwab Fund US Broad Mkt (FNDB)		11/23/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Schwab US Aggregate Bond F (SCHZ)		03/10/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Schwab US Aggregate Bond F (SCHZ)		04/1/2016	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #1-72 ⇒ Schwab US Aggregate Bond F (SCHZ)		05/2/2016	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Schwab US Broad Market (SCHB)		03/7/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Schwab US Broad Market (SCHB)		03/10/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Schwab US Broad Market (SCHB)		03/15/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Schwab US Broad Market (SCHB)		03/17/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Schwab US Broad Market (SCHB)		04/1/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Schwab US Broad Market (SCHB)		04/13/2016	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ Schwab US Broad Market (SCHB)		05/2/2016	S	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Schwab US Broad Market (SCHB)		02/22/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Schwab US Broad Market (SCHB)		03/1/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Schwab US Broad Market (SCHB)		07/13/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Schwab US Broad Market (SCHB)		09/9/2016	P	\$50,001 - \$100,000	
Charles Schwab #1-72 ⇒ Schwab US Broad Market (SCHB)		10/11/2016	P	\$50,001 - \$100,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		01/22/2016	P	\$250,001 - \$500,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		01/22/2016	S	\$500,001 - \$1,000,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		02/22/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		02/26/2016	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		03/11/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		03/17/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		04/1/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		04/13/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		05/2/2016	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		02/29/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		03/3/2016	P	\$50,001 - \$100,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		03/7/2016	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		07/13/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		08/9/2016	S (partial)	\$100,001 - \$250,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		02/29/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		03/3/2016	P	\$50,001 - \$100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		03/10/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		03/17/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		04/1/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		04/13/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ SCHWAB US LARGE CAP ETF (SCHX)		10/11/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Schwab US Small Cap (SCHA)		03/7/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Schwab US Small Cap (SCHA)		04/1/2016	P	\$1,001 - \$15,000	
Charles Schwab #1-72 ⇒ Schwab US Small Cap (SCHA)		05/2/2016	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #1-72 ⇒ Schwab US Tips (SCHP)		03/10/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Schwab US Tips (SCHP)		04/1/2016	P	\$15,001 - \$50,000	
Charles Schwab #1-72 ⇒ Schwab US Tips (SCHP)		05/2/2016	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Charles Schwab #1-72 ⇒ Schwab US Tips (SCHP)		05/10/2016	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Charles Schwab #5-14 ⇒ JANUS GLOBAL LIFE SCIENCES (JAGLX)	SP	01/20/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ Powershares QQQ Trust (QQQ)	SP	01/20/2006	S	\$50,001 - \$100,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒	SP	01/19/2016	S	\$100,001 -	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
SCHW US LCAP (SCHX)				\$250,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	01/20/2016	S (partial)	\$1,000,001 - \$5,000,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	01/21/2016	S (partial)	\$500,001 - \$1,000,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	05/2/2016	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	05/10/2016	S (partial)	\$250,001 - \$500,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	05/25/2016	S	\$100,001 - \$250,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	01/21/2016	P	\$1,000,001 - \$5,000,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	01/26/2016	P	\$100,001 - \$250,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	01/27/2016	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	01/28/2016	P	\$15,001 - \$50,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	01/29/2016	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ SCHW US LCAP (SCHX)	SP	02/1/2016	P	\$50,001 - \$100,000	
Charles Schwab #5-14 ⇒ Schwab Health Care Fund (SWHFX)	SP	10/11/2016	P	\$1,001 - \$15,000	
Charles Schwab #5-14 ⇒ Schwab Health Care Fund (SWHFX)	SP	11/23/2016	S	\$1,001 - \$15,000	<input type="checkbox"/>
Charles Schwab #5-14 ⇒ T ROWE PRICE HEALTH (PRHSX)	SP	05/2/2016	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Pacific Life Annuity ⇒ AFIS Capital Builder Inc		11/16/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ AFIS Capital Inc Builder		07/1/2016	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ AFIS Global Growth		07/1/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ AFIS Growth		07/1/2016	S	\$50,001 - \$100,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ AFIS High Income Bond		07/1/2016	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ AFIS High Income Bond		11/16/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ BR iShares Alt Strat		07/1/2016	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ BR iShares Alt Strat		11/16/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ BR iShares Dyn Fixed Inc		07/1/2016	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ BR iShares Dyn Fixed Inc		11/16/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Fidelity VIP Contrafund		07/1/2016	S	\$50,001 - \$100,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Franklin Rising Dividend		07/1/2016	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Franklin Rising Dividend		11/16/2016	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ FTA Div & Inc Allocation		11/16/2016	P	\$50,001 - \$100,000	
Pacific Life Annuity ⇒ Invesco V.I. Eqty & Inc		11/16/2016	P	\$50,001 - \$100,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Pacific Life Annuity ⇒ Janus Focused Growth		07/1/2016	S	\$50,001 - \$100,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Lord Abbett Bond Debent		07/1/2016	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Lord Abbett Bond Debent		11/16/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Lord Abbett Total Return		07/1/2016	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ Lord Abbett Total Return		11/16/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ MS Real Estate		11/16/2016	P	\$50,001 - \$100,000	
Pacific Life Annuity ⇒ Oppenheimer Main Street		11/16/2016	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ PIMCO Inflation Managed		07/1/2016	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ PIMCO Inflation Managed		11/16/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ PIMCO VIT All Asset/Auth		07/1/2016	P	\$15,001 - \$50,000	
Pacific Life Annuity ⇒ PIMCO VIT All Asset/Auth		11/16/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ Port Opt Growth		07/1/2016	S	\$100,001 - \$250,000	<input type="checkbox"/>
Pacific Life Annuity ⇒ T Rowe Dividend Growth		11/16/2016	P	\$50,001 - \$100,000	
Pacific Life Annuity ⇒ WAMCO Diversified Bond		07/1/2016	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Pacific Life Annuity ⇒ WAMCO Diversified Bond		11/16/2016	S	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ BlackRock/Loomis Sayles Bond	SP	07/22/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ BlackRock/Loomis Sayles Bond	SP	10/13/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bond	SP	01/4/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bond	SP	01/11/2016	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ Investment Grade Bond	SP	02/2/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bond	SP	03/2/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bond	SP	04/4/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bond	SP	06/2/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bond	SP	06/28/2016	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ Investment Grade Bond	SP	07/5/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bond	SP	08/2/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bond	SP	09/2/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bond	SP	10/3/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bond	SP	10/13/2016	P	\$15,001 - \$50,000	



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Prudential Annuity ⇒ Investment Grade Bond	SP	11/2/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bond	SP	12/2/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Investment Grade Bonds	SP	05/2/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Lord Abbett Core Fixed Income Port	SP	07/22/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ Lord Abbett Core Fixed Income Port	SP	10/13/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ MFS Large-Cap Value	SP	07/22/2016	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ MFS Large-Cap Value	SP	08/2/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ MFS Large-Cap Value	SP	09/2/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ MFS Large-Cap Value	SP	10/3/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ MFS Large-Cap Value	SP	10/13/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ MFS Large-Cap Value	SP	11/2/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ MFS Large-Cap Value	SP	12/2/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ Neuberger Berman/LSV Mid-Cap Value	SP	07/22/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ Neuberger Berman/LSV Mid-Cap Value	SP	10/13/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒	SP	07/22/2016	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Prudential Core Bond Portfolio					
Prudential Annuity ⇒ Prudential Core Bond Portfolio	SP	10/13/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ QMA US Equity Alpha	SP	07/22/2016	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ QMA US Equity Alpha	SP	08/2/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ QMA US Equity Alpha	SP	09/2/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ QMA US Equity Alpha	SP	10/3/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ QMA US Equity Alpha	SP	10/13/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ QMA US Equity Alpha	SP	11/2/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ QMA US Equity Alpha	SP	12/2/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ RCM World Trends	SP	01/4/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ RCM World Trends	SP	01/11/2016	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ RCM World Trends	SP	02/2/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ RCM World Trends	SP	03/2/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ RCM World Trends	SP	04/4/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ RCM World Trends	SP	05/2/2016	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Prudential Annuity ⇒ RCM World Trends	SP	06/2/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ RCM World Trends	SP	06/28/2016	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Prudential Annuity ⇒ RCM World Trends	SP	07/5/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ RCM World Trends	SP	07/22/2016	S	\$100,001 - \$250,000	<input type="checkbox"/>
Prudential Annuity ⇒ Small Cap Value	SP	07/22/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ Small Cap Value	SP	10/13/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ WEDGE Capital Mid-Cap Value	SP	07/22/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ WEDGE Capital Mid-Cap Value	SP	10/13/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Western Asset Core Plus Bond	SP	07/22/2016	P	\$15,001 - \$50,000	
Prudential Annuity ⇒ Western Asset Core Plus Bond	SP	08/2/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ Western Asset Core Plus Bond	SP	09/2/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ Western Asset Core Plus Bond	SP	10/3/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ Western Asset Core Plus Bond	SP	10/13/2016	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Annuity ⇒ Western Asset Core Plus Bond	SP	11/2/2016	P	\$1,001 - \$15,000	
Prudential Annuity ⇒ Western Asset Core Plus Bond	SP	12/2/2016	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?

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

### SCHEDULE C: EARNED INCOME

Source	Type	Amount
Gutierrez for Congress	Spouse salary	N/A

### SCHEDULE D: LIABILITIES

None disclosed.

### SCHEDULE E: POSITIONS

Position	Name of Organization
Member of Advisory Council	Congressional Hispanic Caucus Institute

### SCHEDULE F: AGREEMENTS

None disclosed.

### SCHEDULE G: GIFTS

None disclosed.

### SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
Amer Global Institute & Palestinian Initiative (MIFTA)	05/26/2016	05/31/2016	Washington, DC - Jerusalem - Chicago	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Iniciativa Ciudadana para La Promocion Cultura del Dialogo	11/10/2016	11/13/2016	Chicago - Mexico City - Chicago	1	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

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

None disclosed.

### SCHEDULE A AND B ASSET CLASS DETAILS

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- Betterment  
LOCATION: US  
DESCRIPTION: Brokerage Account
- Book  
LOCATION: US  
DESCRIPTION: Memoir
- Charles Schwab #1-72  
LOCATION: US  
DESCRIPTION: Brokerage Account
- Charles Schwab #5-14 (Owner: SP)  
LOCATION: US  
DESCRIPTION: Brokerage Account
- 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

## CERTIFICATION AND SIGNATURE

☒ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

**Digitally Signed:** Hon. Luis V. Gutierrez , 08/7/2017