

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2012

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Wardlaw, Kim M.	2. Court or Organization NINTH CIRCUIT COURT OF APPEALS	3. Date of Report 08/05/2013
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. CIRCUIT JUDGE - ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2012 to 12/31/2012
7. Chambers or Office Address U.S. COURT OF APPEALS 125 S. GRAND AVENUE PASADENA, CA 91105		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Board member	
2.	Board member	
3.	Advisory member	
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☒ NONE (No reportable agreements.)

	<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

INCOME

(yours, not spouse's)

1.

2.

3.

4.

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

1.

2.

3.

4.

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 3 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☒ NONE *(No reportable liabilities.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. IRA									
2. AMERICAN FUNDS CAPITAL CORE BOND FUND (CCBPX)	D	Dividend	N	T	Buy	01/27/12	J		
3. AMERICAN FUNDS CAPITAL CORE BOND FUND (CCBPX)					Buy	02/27/12	J		
4. AMERICAN FUNDS CAPITAL CORE BOND FUND (CCBPX)					Buy	03/29/12	J		
5. AMERICAN FUNDS CAPITAL CORE BOND FUND (CCBPX)					Buy	04/27/12	J		
6. AMERICAN FUNDS CAPITAL CORE BOND FUND (CCBPX)					Buy	05/30/12	J		
7. AMERICAN FUNDS CAPITAL CORE BOND FUND (CCBPX)					Buy	06/28/12	J		
8. AMERICAN FUNDS CAPITAL CORE BOND FUND (CCBPX)					Buy	07/30/12	J		
9. AMERICAN FUNDS CAPITAL CORE BOND FUND (CCBPX)					Buy	08/30/12	J		
10. AMERICAN FUNDS CAPITAL CORE BOND FUND (CCBPX)					Buy	09/27/12	J		
11. AMERICAN FUNDS CAPITAL CORE BOND FUND (CCBPX)					Buy	10/31/12	J		
12. AMERICAN FUNDS CAPITAL CORE BOND FUND (CCBPX)					Buy	11/29/12	J		
13. AMERICAN FUNDS CAPITAL CORE BOND FUND (CCBPX)					Buy	12/13/12	J		
14. AMERICAN FUNDS CAPITAL WORLD GROWTH & INCOME FD CL F2	D	Dividend	O	T	Buy	03/16/12	J		
15. AMERICAN FUNDS CAPITAL WORLD GROWTH & INCOME FD CL F2					Buy	06/15/12	J		
16. AMERICAN FUNDS CAPITAL WORLD GROWTH & INCOME FD CL F2					Buy	09/21/12	J		
17. AMERICAN FUNDS CAPITAL WORLD GROWTH & INCOME FD CL F2					Buy	12/14/12	J		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market

FINANCIAL DISCLOSURE REPORT

Page 5 of 63

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	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F2 (ANWFX)	D	Dividend	O	T	Sold (part)	1/25/12	J		
19. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F2 (ANWFX)					Sold (part)	4/25/12	J		
20. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F2 (ANWFX)					Sold (part)	7/25/12	J		
21. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F2 (ANWFX)					Sold (part)	8/23/12	J		
22. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F2 (ANWFX)					Sold (part)	10/23/12	J		
23. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F2 (ANWFX)					Sold (part)	12/21/12	J		
24. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F2 (ANWFX)					Sold (part)	12/24/12	J		
25. SSGA US GOV MONEY MARKET FUND (SSGXX)		None	J	T					
26. TRUST #1									
27. Citibank Money Market Act	A	Interest			Closed	8/22/12	K		
28. Schwab Pension Acct (IRA)									
29. Abbott Labs Com Stock	A	Dividend	K	T					
30. Allscripts Healthcare	A	Dividend			Buy	02/22/12	K		
31. Allscripts Healthcare					Sold	11/19/12	K		
32. American Express Com Stock	A	Dividend	K	T					
33. Apache Corp Com Stock	A	Dividend	K	T					
34. Apple Corp Com Stock	A	Dividend	K	T	Sold (part)	03/28/12	J	C	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Page 6 of 63

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

35. Barrick Gold Corp	A	Dividend	K	T	Buy	06/07/12	K		
36. Berkshire Hathaway		None	K	T					
37. BHP Billiton Com Stock	A	Dividend	K	T					
38. Blackrock Inc Com Stock	A	Dividend	K	T					
39. Broadcom Corp Com Stock	A	Dividend	K	T					
40. Cerner Corp Com Stock		None	K	T					
41. Chevron Corp Com Stock	B	Dividend	K	T					
42. Cisco Systems Com Stock	A	Dividend			Sold	03/28/12	K		
43. Colgate-Palmolive Com Stock	A	Dividend	K	T					
44. Conocophillips Com Stock	B	Dividend	K	T					
45. Cummins Inc	A	Dividend	K	T	Buy	03/28/12	K		
46. Danaher Corp Com Stock	A	Dividend	K	T					
47. The Walt Disney Co. Com Stock	A	Dividend	K	T					
48. DuPont Co Com Stock	A	Dividend	K	T					
49. EMC Corp Com Stock		None	K	T	Sold (part)	02/23/12	J	A	
50. GE Com Stock	B	Dividend	K	T					
51. Google Inc Com Stock		None	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 7 of 63

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52. Home Depot Inc Com Stock	A	Dividend			Sold	5/24/12	K	D	
53. IBM Com Stock	A	Dividend	K	T					
54. Intel Corp Com Stock	A	Dividend	K	T					
55. Intuit Inc	A	Dividend	K	T	Buy	2/24/12	K		
56. JP Morgan Chase Com Stock	A	Dividend	K	T					
57. Lowes Companies	A	Dividend	K	T	Buy	05/23/12	K		
58. Mead Johnson	A	Dividend	K	T	Buy	08/01/12	K		
59. Merck & Co Com Stock	B	Dividend	K	T					
60. Nextera Energy	B	Dividend	K	T	Sold (part)	05/23/12	J	B	
61. Nike Inc Com Stock	B	Dividend	K	T					
62. Oracle Corp	A	Dividend	K	T					
63. Pepsico Inc Com Stock	B	Dividend	K	T					
64. Proctor & Gamble Com Stock	A	Dividend	K	T					
65. Qualcomm Inc. Com Stock	A	Dividend	K	T	Sold (part)	02/29/12	J	B	
66. Roche Hldg Ltd		None	K	T					
67. SEI Investments	A	Dividend			Sold	01/11/12	K		
68. Schlumberger Ltd	A	Dividend	K	T					

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FINANCIAL DISCLOSURE REPORT

Page 8 of 63

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Wardlaw, Kim M.

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69. Sempra Energy Com Stock	A	Dividend	K	T					
70. Target Corp Com Stock	A	Dividend	K	T	Sold (part)	08/06/12	J	A	
71. Teva Pharm ADR Com Stock	A	Dividend	K	T	Sold (part)	03/28/12	J	A	
72. Transocean Inc Com Stock		None			Sold	02/21/12	K		
73. Union Pacific Corp Com Stock	A	Dividend	K	T	Sold (part)	05/23/12	J	A	
74. Verizon Com Stock	B	Dividend	K	T	Sold (part)	05/23/12	J	B	
75. Zimmer Holdings Com Stock	A	Dividend			Sold	11/19/12	K		
76. 1 Shares MSCI Brazil Index	A	Dividend	L	T					
77. 1Shares MSCI Index Fund	C	Dividend	M	T					
78. 1Shares Small Cap Index Fund	A	Dividend	L	T					
79. Vanguard Emerging Market Fund	A	Dividend	K	T					
80. CAPITAL TRUST ACCOUNT									
81. 3M COMPANY (MMM)	B	Dividend			Sold (part)	02/22/12	K	D	
82. 3M COMPANY (MMM)					Sold	11/13/12	L	D	
83. ACCENTURE PLC USS (ACN)	B	Dividend	K	T	Buy	1/12/12	J		
84. ACCENTURE PLC USS (ACN)					Buy	1/17/12	K		
85. ACCENTURE PLC USS (ACN)					Buy	1/18/12	J		

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FINANCIAL DISCLOSURE REPORT

Page 9 of 63

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86. ACCENTURE PLC USS (ACN)					Buy	1/19/12	J		
87. ACCENTURE PLC USS (ACN)					Buy	1/20/12	J		
88. ACCENTURE PLC USS (ACN)					Sold (part)	8/17/12	J	A	
89. ACCENTURE PLC USS (ACN)					Sold (part)	8/20/12	J	A	
90. ACCENTURE PLC USS (ACN)					Sold (part)	09/27/12	K	C	
91. ACCENTURE PLC USS (ACN)					Sold (part)	12/6/12	K	D	
92. ACE LTD (ACE)	B	Dividend	J	T	Buy	09/25/12	J		
93. ACE LTD (ACE)					Buy	09/26/12	K		
94. ACE LTD (ACE)					Sold (part)	09/27/12	K	A	
95. ACE LTD (ACE)					Sold (part)	12/6/12	K	D	
96. AFLAC INC (AFL)	B	Dividend	K	T	Sold (part)	9/27/12	J	A	
97. AFLAC INC (AFL)					Sold (part)	12/6/12	K	C	
98. AGILENT TECHNOLOGIES INC (A)	A	Dividend	J	T	Sold (part)	1/19/12	J	C	
99. AGILENT TECHNOLOGIES INC (A)					Sold (part)	12/6/12	J	C	
100. AIR PRODUCTS & CHEMICALS INC (APD)	C	Dividend	L	T	Sold (part)	9/27/12	K	E	
101. AIR PRODUCTS & CHEMICALS INC (APD)					Sold (part)	12/6/12	K	D	
102. ALLEGHENY TECHNOLOGIES INC (ATI)	B	Dividend	K	T	Sold (part)	5/24/12	J	A	

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FINANCIAL DISCLOSURE REPORT

Page 10 of 63

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103. ALLEGHENY TECHNOLOGIES INC (ATI)					Sold (part)	05/25/12	J	A	
104. ALLEGHENY TECHNOLOGIES INC (ATI)					Sold (part)	05/29/12	J	B	
105. ALLEGHENY TECHNOLOGIES INC (ATI)					Sold (part)	05/30/12	J	A	
106. ALLEGHENY TECHNOLOGIES INC (ATI)					Sold (part)	05/31/12	J	A	
107. ALLEGHENY TECHNOLOGIES INC (ATI)					Sold (part)	06/01/12	J	A	
108. ALLEGHENY TECHNOLOGIES INC (ATI)					Sold (part)	06/04/12	J	A	
109. ALLEGHENY TECHNOLOGIES INC (ATI)					Sold (part)	09/27/12	K	A	
110. ALLEGHENY TECHNOLOGIES INC (ATI)					Sold (part)	12/6/12	J	A	
111. ALLERGAN INC (AGN)	A	Dividend	L	T	Sold (part)	7/9/12	J	C	
112. ALLERGAN INC (AGN)					Sold (part)	7/10/12	J	C	
113. ALLERGAN INC (AGN)					Sold (part)	7/11/12	J	C	
114. ALLERGAN INC (AGN)					Sold (part)	09/27/12	K	E	
115. ALLERGAN INC (AGN)					Sold (part)	12/6/12	K	E	
116. ALLSTATE CORP (THE) (ALL)	A	Dividend			Sold (part)	09/25/12	J	C	
117. ALLSTATE CORP (THE) (ALL)					Sold (part)	09/26/12	J	C	
118. ALLSTATE CORP (THE) (ALL)					Sold (part)	09/27/12	J	B	
119. ALLSTATE CORP (THE) (ALL)					Sold	09/27/12	K	D	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 11 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. AMERICAN TOWER COALLERGAN INC (AGN) RP CL A	B	Dividend	L	T	Buy	1/10/12	K		
121. AMERICAN TOWER COALLERGAN INC (AGN) RP CL A					Sold (part)	05/25/12	K	D	
122. AMERICAN TOWER COALLERGAN INC (AGN) RP CL A					Sold (part)	09/27/12	K	D	
123. AMERICAN TOWER COALLERGAN INC (AGN) RP CL A					Sold (part)	12/6/12	L	E	
124. AON CORP	A	Dividend	K	T	Sold (part)	12/6/12	J	B	
125. APPLE INC (AAPL)	B	Dividend	L	T	Buy	01/10/12	L		
126. APPLE INC (AAPL)					Sold (part)	12/6/12	L	E	
127. AT&T, INC.		None			Sold	1/4/12	J	A	
128. BARRICK GOLD CORP USS (ABX)	A	Dividend	K	T	Sold (part)	1/24/12	J	C	
129. BARRICK GOLD CORP USS (ABX)					Sold (part)	5/24/12	K	D	
130. BARRICK GOLD CORP USS (ABX)					Sold (part)	09/27/12	J	C	
131. BARRICK GOLD CORP USS (ABX)					Sold (part)	12/6/12	J	B	
132. BAY AREA TOLL AUTH CA VAR 04/01/45	A	Interest	M	T	Buy	8/24/12	M		
133. BB&T CORP (BBT)	C	Dividend	L	T	Buy	1/13/12	J		
134. BB&T CORP (BBT)					Sold (part)	9/27/12	K	D	
135. BB&T CORP (BBT)					Sold (part)	12/6/12	K	B	
136. BEAM INC (BEAM)		None	K	T	Buy	11/9/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 12 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. BEAM INC (BEAM)					Buy	11/12/12	J		
138. BEAM INC (BEAM)					Buy	11/13/12	J		
139. BEAM INC (BEAM)					Buy	11/13/12	J		
140. BEAM INC (BEAM)					Buy	11/14/12	J		
141. BEAM INC (BEAM)					Buy	11/14/12	J		
142. BEAM INC (BEAM)					Buy	11/15/12	J		
143. BEAM INC (BEAM)					Buy	11/16/12	J		
144. BEAM INC (BEAM)					Buy	11/19/12	J		
145. BEAM INC (BEAM)					Buy	11/20/12	J		
146. BEAM INC (BEAM)					Buy	11/20/12	J		
147. BEAM INC (BEAM)					Buy	11/26/12	J		
148. BEAM INC (BEAM)					Buy	11/27/12	J		
149. BEAM INC (BEAM)					Sold (part)	12/6/12	K	B	
150. BLACKROCK INC (BLK)	B	Dividend	K	T	Buy	2/2/12	K		
151. BLACKROCK INC (BLK)					Buy	2/10/12	K		
152. BLACKROCK INC (BLK)					Buy	3/5/12	K		
153. BLACKROCK INC (BLK)					Buy	5/23/12	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 13 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. BLACKROCK INC (BLK)					Sold (part)	9/27/12	K	A	
155. BLACKROCK INC (BLK)					Sold (part)	12/6/12	K	A	
156. BOEING CO (BA)	A	Dividend	K	T	Sold (part)	9/27/12	J	C	
157. BOEING CO (BA)					Sold (part)	12/6/12	J	D	
158. BRISTON MYERS SQUIBB CO (BMY)	D	Dividend	L	T	Buy	1/10/12	K		
159. BRISTON MYERS SQUIBB CO (BMY)					Buy	4/13/12	K		
160. BRISTON MYERS SQUIBB CO (BMY)					Buy	4/13/12	J		
161. BRISTON MYERS SQUIBB CO (BMY)					Buy	4/16/12	J		
162. BRISTON MYERS SQUIBB CO (BMY)					Buy	4/16/12	J		
163. BRISTON MYERS SQUIBB CO (BMY)					Buy	4/16/12	J		
164. BRISTON MYERS SQUIBB CO (BMY)					Buy	4/17/12	J		
165. BRISTON MYERS SQUIBB CO (BMY)					Buy	4/17/12	J		
166. BRISTON MYERS SQUIBB CO (BMY)					Buy	4/18/12	K		
167. BRISTON MYERS SQUIBB CO (BMY)					Sold (part)	9/27/12	L	A	
168. BRISTON MYERS SQUIBB CO (BMY)					Sold (part)	12/6/12	L	C	
169. BROADCOM CORP (BRCM)	B	Dividend	K	T	Sold (part)	9/27/12	K	B	
170. BROADCOM CORP (BRCM)					Sold (part)	12/6/12	K	D	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 14 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. BROCADE COMMUNICATIONS SYS INC		None			Sold (part)	1/4/12	J	C	
172. BROCADE COMMUNICATIONS					Sold	1/5/12	J	B	
173. BURKE GA OGLETHORPE PWR E SF 7.0 % 01/01/23	D	Interest			Sold	9/28/12	M	E	
174. CA ED FAC UNIV OF SAN FRANCISCO 5.0% 10/01/21	C	Interest	M	T					
175. CA HLTH FAC CEDAR-SINAI MED 5.0% 8/15/21	D	Interest	M	T	Buy	2/6/12	M		
176. CA PUB WKS REGENTS UNIV CA C1 5% 03/01/19	D	Interest	M	T					
177. CA ST DWR PWR SUPPLY REV 5.0% 05/01/21	C	Interest			Sold	09/28/12	M	E	
178. CA ST ECON REC 09A 5.0% 07/01/20	B	Interest	M	T	Buy	01/12/12	M		
179. CA ST GO 6.25% 09/1/12	B	Interest			Matured	09/04/12	M	A	
180. CA ST GO 5.0% 02/01/20	A	Interest	M	T	Buy	09/05/12	M		
181. CA ST GO NATL 5.0% 06/01/15	D	Interest	M	T					
182. CA ST JOSEPH HELTH HOSP CA-F AGM 5.25% 07/11/16	D	Interest	M	T					
183. CA ST RANS 11A2 2.0% 06/26/12	B	Interest			Matured	06/26/12	L	A	
184. CA ST UNIV SYSTEMWIDE REV SER A AMBAC 5.0% 11/01/17	D	Interest	M	T					
185. CA STWD JOHN MUIR HLTH W/1 5% 8/15/2021	E	Interest			Sold	09/28/12	N	E	
186. CA STWD ST JOSEPHS HLTH FSA 4.5% 07/01/18	D	Interest	M	T					
187. CAE	A	Dividend	K	T	Buy	01/19/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 15 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. CAE					Buy	01/20/12	J		
189. CAE					Buy	01/24/12	J		
190. CAE					Buy	01/25/12	J		
191. CAE					Buy	01/26/12	J		
192. CAE					Buy	01/30/12	J		
193. CAE					Buy	02/01/12	J		
194. CAE					Buy	02/02/12	J		
195. CAE					Sold (part)	09/27/12	J	A	
196. CAE					Sold (part)	12/6/12	J	A	
197. CALIFORNIA ST ECON REC 09A 5% 07/01/19	B	Interest	M	T					
198. CALIFORNIA ST G/O BDS SER 5% 11/01/2013	C	Interest			Sold	09/28/12	M	C	
199. CANON INC ADR	A	Dividend			Sold (part)	01/06/12	J	B	
200. CANON INC ADR					Sold	01/09/12	J	C	
201. CARNIVAL CORP COMMON PAIRED STOCK	D	Dividend	J	T	Buy	01/13/12	J		
202. CARNIVAL CORP COMMON PAIRED STOCK					Buy	01/18/12	K		
203. CARNIVAL CORP COMMON PAIRED STOCK					Buy	01/20/12	J		
204. CARNIVAL CORP COMMON PAIRED STOCK					Buy	04/26/12	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 16 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. CARNIVAL CORP COMMON PAIRED STOCK					Sold (part)	09/27/12	L	D	
206. CARNIVAL CORP COMMON PAIRED STOCK					Sold (part)	12/6/12	K	D	
207. CATERPILLAR INC	B	Dividend	K	T	Buy	7/13/12	J		
208. CATERPILLAR INC					Buy	07/26/12	K		
209. CATERPILLAR INC					Buy	07/27/12	J		
210. CATERPILLAR INC					Buy	07/30/12	J		
211. CATERPILLAR INC					Sold (part)	09/27/12	K	A	
212. CATERPILLAR INC					Sold (part)	12/6/12	K	A	
213. CENOVIOUS ENERGY INC USS	B	Dividend	L	T	Sold (part)	09/27/12	K	A	
214. CENOVIOUS ENERGY INC USS					Sold (part)	12/6/12	K	A	
215. CENTERNE CORP		None	K	T	Buy	05/01/12	K		
216. CENTERNE CORP					Buy	05/02/12	K		
217. CENTERNE CORP					Buy	05/03/12	J		
218. CENTERNE CORP					Sold (part)	12/6/12	K	C	
219. CERNER CORP		None	K	T	Sold (part)	12/6/12	K	C	
220. CENTRAL VLY COGEN CARSON-ICE 3.5% 07/01/14	D	Interest	M	T					
221. CHEVRON CORP	C	Dividend	L	T	Buy	1/10/12	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 17 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222. CHEVRON CORP					Sold (part)	09/27/12	K	B	
223. CHEVRON CORP					Sold (part)	12/6/12	K	C	
224. CITIZENS PPTY INS CORP FL A1 6.0% 06/01/16	C	Interest			Sold	09/27/12	M	E	
225. CLEARWATER FL WTR/SWR B 5.0% 12/01/18	D	Interest	M	T					
226. CME GROUP INC	B	Dividend	K	T	Buy	08/29/12	J		
227. CME GROUP INC					Buy	08/30/12	J		
228. CME GROUP INC					Buy	08/31/12	J		
229. CME GROUP INC					Buy	09/04/12	J		
230. CME GROUP INC					Buy	09/05/12	J		
231. CME GROUP INC					Buy	09/07/12	J		
232. CME GROUP INC					Buy	09/10/12	J		
233. CME GROUP INC					Buy	09/11/12	J		
234. CME GROUP INC					Buy	09/12/12	J		
235. CME GROUP INC					Buy	09/13/12	J		
236. CME GROUP INC					Buy	09/14/12	J		
237. CME GROUP INC					Buy	09/17/12	J		
238. CME GROUP INC					Buy	09/18/12	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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FINANCIAL DISCLOSURE REPORT

Page 18 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

239. CME GROUP INC					Buy	09/19/12	J		
240. CME GROUP INC					Buy	09/24/12	J		
241. CME GROUP INC					Buy	09/25/12	J		
242. CME GROUP INC					Sold (part)	12/6/12	L	A	
243. COACH INC	B	Dividend	K	T	Sold (part)	09/27/12	K	D	
244. COACH INC					Sold (part)	12/6/12	J	B	
245. COBALT INTERNATIONAL ENERGY		None	K	T	Buy	03/02/12	J		
246. COBALT INTERNATIONAL ENERGY					Buy	03/05/12	J		
247. COBALT INTERNATIONAL ENERGY					Buy	03/06/12	J		
248. COBALT INTERNATIONAL ENERGY					Buy	04/03/12	J		
249. COBALT INTERNATIONAL ENERGY					Buy	04/04/12	J		
250. COBALT INTERNATIONAL ENERGY					Sold (part)	12/6/12	K	A	
251. COLGATE-PALMOLIVE CO	A	Dividend			Sold (part)	07/27/12	K	D	
252. COLGATE-PALMOLIVE CO					Sold	07/27/12	K	D	
253. COMCAST CORP CL A (NEW)	C	Dividend	M	T	Sold (part)	09/27/12	L	E	
254. COMCAST CORP CL A (NEW)					Sold (part)	12/7/12	L	E	
255. CONOCOPHILLIPS		None	K	T	Buy	11/12/12	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 19 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

256. CONTRA COSTA CA WTR SER A 3.5% 10/01/13	D	Interest			Sold	09/27/12	M	B	
257. COSTCO WHOLESALE CORP		None			Sold (part)	01/06/12	J	C	
258. COSTCO WHOLESALE CORP					Sold	01/09/12	K	D	
259. DANAHER CORP	A	Dividend	J	T	Sold (part)	09/27/12	K	E	
260. DANAHER CORP					Sold (part)	12/6/12	K	E	
261. DARDEN RESTAURANTS INC	B	Dividend	K	T	Buy	04/17/12	J		
262. DARDEN RESTAURANTS INC					Buy	04/18/12	J		
263. DARDEN RESTAURANTS INC					Buy	04/19/12	K		
264. DARDEN RESTAURANTS INC					Buy	04/20/12	J		
265. DARDEN RESTAURANTS INC					Buy	04/23/12	J		
266. DARDEN RESTAURANTS INC					Buy	04/24/12	J		
267. DARDEN RESTAURANTS INC					Buy	04/25/12	J		
268. DARDEN RESTAURANTS INC					Buy	04/26/12	J		
269. DARDEN RESTAURANTS INC					Sold (part)	09/27/12	K	C	
270. DARDEN RESTAURANTS INC					Sold (part)	12/6/12	K	A	
271. DAVITA HEALTHCARE PARTNERS INC		None			Sold (part)	01/20/12	J	C	
272. DAVITA HEALTHCARE PARTNERS INC					Sold (part)	01/20/12	K	D	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 20 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

273. DAVITA HEALTHCARE PARTNERS INC					Sold (part)	01/23/12	K	D	
274. DAVITA HEALTHCARE PARTNERS INC					Sold	06/04/12	K	E	
275. DIAGEO PLC SPONSORED ADR	A	Dividend	J	T	Buy	01/12/12	J		
276. DIAGEO PLC SPONSORED ADR					Sold (part)	12/6/12	J	C	
277. DISCOVERY COMMUNICATIONS INC CL A		None			Sold (part)	12/6/12	J	D	
278. DISCOVERY COMMUNICATIONS INC CL A					Sold (part)	12/19/12	J	C	
279. DISCOVERY COMMUNICATIONS INC CL A					Sold	12/19/12	J	C	
280. DOW CHEMICAL CO	B	Dividend	J	T	Buy	01/03/12	K		
281. DOW CHEMICAL CO					Buy	01/04/12	J		
282. DOW CHEMICAL CO					Sold (part)	09/27/12	J	A	
283. DOW CHEMICAL CO					Sold (part)	12/6/12	J	A	
284. DRIL-QUIP INC		None	K	T	Sold (part)	09/27/12	K	B	
285. DRIL-QUIP INC					Sold (part)	12/6/12	J	B	
286. EAST BAY CA SER A1 SF VAR 06/01/2025	A	Interest			Sold	12/6/12	M	A	
287. EATON CORP	C	Dividend	M	T	Buy	01/10/12	J		
288. EATON CORP					Buy	01/11/12	J		
289. EATON CORP					Buy	01/12/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 21 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290. EATON CORP					Buy	01/18/12	J		
291. EATON CORP					Buy	01/19/12	J		
292. EATON CORP					Buy	01/20/12	J		
293. EATON CORP					Buy	02/27/12	J		
294. EATON CORP					Buy	02/28/12	J		
295. EATON CORP					Buy	02/29/12	J		
296. EATON CORP					Buy	03/01/12	J		
297. EATON CORP					Buy	04/24/12	J		
298. EATON CORP					Buy	04/26/12	J		
299. EATON CORP					Buy	05/03/12	J		
300. EATON CORP					Buy	05/04/12	J		
301. EATON CORP					Buy	10/31/12	J		
302. EATON CORP					Sold (part)	09/27/12	K	A	
303. EBAY INC		None	K	T	Sold (part)	01/24/12	K	D	
304. EBAY INC					Sold (part)	12/6/12	K	D	
305. ECOLAB INC	A	Dividend	K	T	Sold (part)	07/27/12	K	E	
306. ECOLAB INC					Sold (part)	12/6/12	K	D	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 22 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

307. EDISON INTERNATIONAL	A	Dividend			Sold (part)	01/24/12	J	B	
308. EDISON INTERNATIONAL					Sold (part)	01/24/12	J	B	
309. EDISON INTERNATIONAL					Sold	05/15/12	K	D	
310. EMERSON ELECTRIC CO (EMR)	C	Dividend	K	T	Sold (part)	03/01/12	K	A	
311. EMERSON ELECTRIC CO (EMR)					Sold (part)	03/02/12	J	A	
312. EMERSON ELECTRIC CO (EMR)					Sold (part)	05/24/12	K	D	
313. EMERSON ELECTRIC CO (EMR)					Sold (part)	09/27/12	K	D	
314. EMERSON ELECTRIC CO (EMR)					Sold (part)	10/12/12	J	B	
315. EMERSON ELECTRIC CO (EMR)					Sold (part)	10/12/12	J	C	
316. EMERSON ELECTRIC CO (EMR)					Sold (part)	12/6/12	K	D	
317. ENCANA CORP	B	Dividend	K	T	Buy	02/01/12	J		
318. ENCANA CORP					Buy	02/02/12	J		
319. ENCANA CORP					Buy	02/28/12	K		
320. ENCANA CORP					Buy	02/29/12	J		
321. ENCANA CORP					Buy	08/15/12	J		
322. ENCANA CORP					Buy	08/17/12	J		
323. ENCANA CORP					Sold (part)	09/27/12	K	A	

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 23 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324. ENCANA CORP					Sold (part)	12/6/12	K	B	
325. ENSCO PLC ADR	B	Dividend	K	T	Buy	02/16/12	J		
326. ENSCO PLC ADR					Buy	02/17/12	J		
327. ENSCO PLC ADR					Buy	02/21/12	J		
328. ENSCO PLC ADR					Buy	02/23/12	J		
329. ENSCO PLC ADR					Buy	02/24/12	J		
330. ENSCO PLC ADR					Buy	02/27/12	J		
331. ENSCO PLC ADR					Buy	02/28/12	J		
332. ENSCO PLC ADR					Buy	02/29/12	J		
333. ENSCO PLC ADR					Buy	03/06/12	J		
334. ENSCO PLC ADR					Buy	03/09/12	J		
335. ENSCO PLC ADR					Buy	03/15/12	J		
336. ENSCO PLC ADR					Sold (part)	9/27/12	K	A	
337. ENSCO PLC ADR					Sold (part)	12/6/12	K	A	
338. EOG RESOURCES INC	A	Dividend	K	T	Sold (part)	09/27/12	K	D	
339. EOG RESOURCES INC					Sold (part)	12/6/12	K	D	
340. AMERICAN FUNDS EUROPACIFIC GROWTH FUND CL-F2	E	Dividend	P1	T	Sold (part)	12/6/12	P1	F	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 24 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

341. AMERICAN FUNDS EUROPACIFIC GROWTH FUND CL-F2					Buy	12/26/12	K		
342. EXPRESS SCRIPTS INC		None			Buy	1/12/12	J		
343. EXPRESS SCRIPTS INC					Sold	5/30/12	M	D	
344. EXXON MOBIL CORP	A	Dividend			Sold	07/16/12	L	E	
345. FACEBOOK INC-A		None			Buy	05/17/12	K		
346. FACEBOOK INC-A					Buy	05/21/12	J		
347. FACEBOOK INC-A					Buy	05/22/12	J		
348. FACEBOOK INC-A					Sold	06/25/12	L		
349. FEDEX CORP	A	Dividend			Sold (part)	06/14/12	J	C	
350. FEDEX CORP					Sold	06/14/12	K	D	
351. FIRST SOLAR INV		None			Sold (part)	04/09/12	J	A	
352. FIRST SOLAR INV					Sold	04/10/12	J	A	
353. FL WTR PCR SER A SF 4.75% 01/15/25	D	Interest			Sold	09/28/12	M	E	
354. FLUOR CORP	A	Dividend			Sold (part)	01/18/12	J	D	
355. FLUOR CORP					Sold	01/18/12	J	D	
356. GENERAL ELECTRIC CO (USD)	A	Dividend	K	T	Buy	09/19/12	L		
357. GENERAL ELECTRIC CO (USD)					Sold (part)	12/6/12	K	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 25 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
358. GENERAL MILLS INC	A	Dividend			Sold (part)	01/24/12	K	C	
359. GENERAL MILLS INC					Sold	02/03/12	K	D	
360. GENPACT LTD	D	Dividend	K	T	Sold (part)	01/11/12	J	A	
361. GENPACT LTD					Sold (part)	01/11/12	J	A	
362. GENPACT LTD					Sold (part)	01/12/12	J	B	
363. GENPACT LTD					Buy	02/13/12	J		
364. GENPACT LTD					Buy	02/14/12	J		
365. GENPACT LTD					Buy	02/15/12	J		
366. GENPACT LTD					Sold (part)	09/27/12	J	A	
367. GENPACT LTD					Sold (part)	12/6/12	J	A	
368. GILEAD SCIENCES INC		None	M	T		01/19/12	J		Asset Rv'd Pharmasset, 546
369. GILEAD SCIENCES INC					Buy	01/20/12	J		
370. GILEAD SCIENCES INC					Buy	01/23/12	J		
371. GILEAD SCIENCES INC					Buy	01/24/12	J		
372. GILEAD SCIENCES INC					Buy	01/25/12	J		
373. GILEAD SCIENCES INC					Buy	01/26/12	J		
374. GILEAD SCIENCES INC					Buy	01/27/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375. GILEAD SCIENCES INC					Buy	01/30/12	J		
376. GILEAD SCIENCES INC					Buy	01/31/12	J		
377. GILEAD SCIENCES INC					Buy	02/01/12	K		
378. GILEAD SCIENCES INC					Buy	02/02/12	J		
379. GILEAD SCIENCES INC					Buy	06/15/12	J		
380. GILEAD SCIENCES INC					Buy	07/09/12	J		
381. GILEAD SCIENCES INC					Sold (part)	09/27/12	J	D	
382. GILEAD SCIENCES INC					Sold (part)	12/6/12	L	E	
383. GOLDEN ST TOBACCO ST APPROP AMBAC 5.5% 6/1/14	C	Interest			Sold	12/7/12	M	C	
384. GOLDEN STATE TOBACCO CA 2003A SF PREREF 6.7% 6/1/39	D	Interest			Sold	09/28/12	M	A	
385. GOLDMAN SACHS GROUP INC	B	Dividend	L	T	Sold (part)	05/24/12	K	A	
386. GOLDMAN SACHS GROUP INC					Sold (part)	09/27/12	K	C	
387. GOLDMAN SACHS GROUP INC					Sold (part)	12/6/12	K	D	
388. GOOGLE INC CL A		None	L	T	Sold (part)	09/24/12	K	E	
389. GOOGLE INC CL A					Sold (part)	12/6/12	L	E	
390. GUAM BUS PRIVILEGE TAX 11A 5.0% 01/01/18	C	Interest	M	T					
391. HALLIBURTON CO	A	Dividend	K	T	Buy	01/17/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 27 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
392. HALLIBURTON CO					Buy	07/18/12	J		
393. HALLIBURTON CO					Buy	07/31/12	J		
394. HALLIBURTON CO					Sold (part)	09/27/12	K	D	
395. HALLIBURTON CO					Sold (part)	12/6/12	K	C	
396. HARRIS CO TX CHRISTUS HLTH A4 FSA ARC SF	B	Interest	M	T					
397. HOME DEPOT INC	C	Dividend	L	T	Sold (part)	09/27/12	L	E	
398. HOME DEPOT INC					Sold (part)	12/6/12	L	E	
399. ILLINOIS TOOL WORKS INC	A	Dividend			Sold (part)	01/23/12	K	C	
400. ILLINOIS TOOL WORKS INC					Sold (part)	02/28/12	K	D	
401. ILLINOIS TOOL WORKS INC					Sold	02/29/12	K	C	
402. IMPERIAL OIL LTD USS	A	Dividend			Sold	01/04/12	J	B	
403. IND LOCAL PUB IMPNATL-RE PREREF 5.5% 7/1/14	D	Interest			Redeemed	07/02/12	M	A	
404. INTERNATIONAL BUSINESS MACHINES CORP	C	Dividend	L	T	Sold (part)	09/27/12	L	E	
405. INTERNATIONAL BUSINESS MACHINES CORP					Sold (part)	10/19/12	K	E	
406. INTERNATIONAL BUSINESS MACHINES CORP					Sold (part)	10/22/12	K	D	
407. INTERNATIONAL BUSINESS MACHINES CORP					Sold (part)	12/6/12	K	E	
408. INTERNATIONAL GAME TECHNOLOGY	A	Dividend			Buy	1/12/12	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

FINANCIAL DISCLOSURE REPORT

Page 28 of 63

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
409. INTERNATIONAL GAME TECHNOLOGY					Sold (part)	10/19/12	J	A	
410. INTERNATIONAL GAME TECHNOLOGY					Sold (part)	10/22/12	J	A	
411. INTERNATIONAL GAME TECHNOLOGY					Sold (part)	10/23/12	J	A	
412. INTERNATIONAL GAME TECHNOLOGY					Sold (part)	10/24/12	J	A	
413. INTERNATIONAL GAME TECHNOLOGY					Sold (part)	10/25/12	J	A	
414. INTERNATIONAL GAME TECHNOLOGY					Sold	10/26/12	J	A	
415. IRON MOUNTAIN INC	D	Dividend	L	T	Buy	01/17/12	J		
416. IRON MOUNTAIN INC					Buy	01/20/12	J		
417. IRON MOUNTAIN INC					Buy	02/24/12	J		
418. IRON MOUNTAIN INC					Sold (part)	09/27/12	K	D	
419. IRON MOUNTAIN INC					Sold (part)	12/6/12	K	D	
420. ISHARES S&P US PREFERRED STOCK INDEX FND	D	Dividend	L	T	Buy	07/02/12	J		
421. ISHARES S&P US PREFERRED STOCK INDEX FND					Buy	07/03/12	J		
422. ISHARES S&P US PREFERRED STOCK INDEX FND					Buy	07/05/12	M		
423. ISHARES S&P US PREFERRED STOCK INDEX FND					Buy	07/06/12	K		
424. ISHARES S&P US PREFERRED STOCK INDEX FND					Buy	07/09/12	K		
425. ISHARES S&P US PREFERRED STOCK INDEX FND					Sold (part)	09/27/12	M	B	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
426. ISHARES S&P US PREFERRED STOCK INDEX FND					Sold (part)	12/6/12	L	A	
427. JABIL CIRCUIT INC	A	Dividend	K	T	Buy	02/09/12	J		
428. JABIL CIRCUIT INC					Buy	02/10/12	J		
429. JABIL CIRCUIT INC					Buy	02/13/12	J		
430. JABIL CIRCUIT INC					Buy	05/15/12	J		
431. JABIL CIRCUIT INC					Sold (part)	09/27/12	J	A	
432. JABIL CIRCUIT INC					Buy	11/5/12	J		
433. JABIL CIRCUIT INC					Buy	11/6/12	J		
434. JABIL CIRCUIT INC					Buy	11/7/12	J		
435. JABIL CIRCUIT INC					Buy	11/8/12	J		
436. JABIL CIRCUIT INC					Sold (part)	12/6/12	K	A	
437. JACK HENRY & ASSOC INC	B	Dividend	L	T	Buy	01/23/12	J		
438. JACK HENRY & ASSOC INC					Buy	01/24/12	J		
439. JACK HENRY & ASSOC INC					Buy	02/01/12	J		
440. JACK HENRY & ASSOC INC					Buy	02/02/12	J		
441. JACK HENRY & ASSOC INC					Sold (part)	09/27/12	K	C	
442. JACK HENRY & ASSOC INC					Sold (part)	12/6/12	K	D	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

443. JPMORGAN CHASE & CO	C	Dividend	L	T	Sold (part)	05/24/12	K	A	
444. JPMORGAN CHASE & CO					Sold (part)	09/27/12	K	B	
445. JPMORGAN CHASE & CO					Sold (part)	12/6/12	K	D	
446. KINDER MORGAN INC	A	Dividend	K	T	Buy	10/12/12	K		
447. KINDER MORGAN INC					Sold (part)	12/6/12	J	A	
448. KLA-TENCOR CORP	B	Dividend	K	T	Sold (part)	07/26/12	J	C	
449. KLA-TENCOR CORP					Sold (part)	09/27/12	J	C	
450. KLA-TENCOR CORP					Sold (part)	12/6/12	K	D	
451. LA CA HARBOR SER C 5.0% 08/01/26	D	Interest			Sold	09/28/12	M	E	
452. LA CITY CA WSTWTR NATL 5.0% 06/01/27	C	Interest			Redeemed	05/24/12	M	B	
453. LA CO CA MTA SALES TAX REV D 5% 7/1/16	D	Interest	M	T					
454. LOOPNET INC		None			Sold (part)	01/13/12	J	A	
455. LOOPNET INC					Sold (part)	01/17/12	J	C	
456. LOOPNET INC					Sold	01/18/12	J	B	
457. LOUISIANA ST LEASE REV 5.0% 03/01/16	D	Interest			Sold	09/28/12	M	D	
458. MARSH & MCLENNAN COS INC	B	Dividend	J	T	Sold (part)	09/27/12	K	C	
459. MARSH & MCLENNAN COS INC					Sold (part)	12/6/12	K	D	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

460. MAXIM INTEGRATED PRODS INC	A	Dividend			Sold (part)	01/03/12	J	A	
461. MAXIM INTEGRATED PRODS INC					Sold (part)	01/04/12	J	B	
462. MAXIM INTEGRATED PRODS INC					Sold (part)	01/05/12	J	B	
463. MAXIM INTEGRATED PRODS INC					Sold (part)	01/06/12	J	B	
464. MAXIM INTEGRATED PRODS INC					Sold (part)	01/09/12	J	B	
465. MAXIM INTEGRATED PRODS INC					Sold (part)	01/10/12	J	B	
466. MAXIM INTEGRATED PRODS INC					Sold (part)	01/11/12	J	A	
467. MAXIM INTEGRATED PRODS INC					Sold (part)	01/12/12	J	A	
468. MAXIM INTEGRATED PRODS INC					Sold (part)	01/12/12	J	A	
469. MAXIM INTEGRATED PRODS INC					Sold (part)	01/12/12	J	A	
470. MAXIM INTEGRATED PRODS INC					Sold (part)	01/17/12	J	A	
471. MAXIM INTEGRATED PRODS INC					Sold (part)	01/18/12	J	C	
472. MAXIM INTEGRATED PRODS INC					Sold	04/17/12	L	E	
473. METROPOLITAN WTR DIST SO UTHN CALIF REF 3% 7/1/15	D	Interest			Sold	09/28/12	M	C	
474. METROPOLITAN WTR DIST SOUTH CAL SER B3 7/1/35	A	Interest			Redeemed	12/07/12	M	A	
475. MICROCHIP TECHNOLOGY INC	A	Dividend			Sold (part)	05/04/12	J	B	
476. MICROCHIP TECHNOLOGY INC					Sold (part)	05/04/12	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

477. MICROCHIP TECHNOLOGY INC					Sold (part)	05/07/12	J	A	
478. MICROCHIP TECHNOLOGY INC					Sold (part)	05/08/12	J	A	
479. MICROCHIP TECHNOLOGY INC					Sold (part)	05/09/12	J	A	
480. MICROCHIP TECHNOLOGY INC					Sold (part)	05/10/12	J	B	
481. MICROCHIP TECHNOLOGY INC					Sold	05/11/12	J	B	
482. MICROSOFT CORP	C	Dividend	K	T	Sold (part)	04/18/12	K	C	
483. MICROSOFT CORP					Sold (part)	09/27/12	K	D	
484. MICROSOFT CORP					Sold (part)	12/6/12	K	C	
485. MONSANTO CO NEW COM	B	Dividend	L	T	Buy	08/17/12	J		
486. MONSANTO CO NEW COM					Buy	09/21/12	K		
487. MONSANTO CO NEW COM					Sold (part)	09/27/12	L	E	
488. MONSANTO CO NEW COM					Sold (part)	12/6/12	L	E	
489. MOSAIC CO/THE	A	Dividend	J	T	Buy	10/18/12	J		
490. MOSAIC CO/THE					Buy	10/19/12	K		
491. MOSAIC CO/THE					Buy	10/22/12	J		
492. MOSAIC CO/THE					Buy	11/5/12	J		
493. MOSAIC CO/THE					Sold (part)	12/6/12	K	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

494. NATIONAL GRID PLC - SP ADR	B	Dividend	K	T	Sold (part)	12/6/12	K	A	
495. NATIONAL INSTRUMENTS CORP		None			Sold (part)	01/11/12	J	C	
496. NATIONAL INSTRUMENTS CORP					Sold	01/12/12	J	C	
497. NC ST GO SER A 5.0% 03/01/14	D	Interest			Sold	09/28/12	M	C	
498. NESTLE NAM SPON ADR		None			Sold	03/29/12	L	E	
499. AMERICAN FUNDS NEW WORLD FUND CL F2	D	Dividend	O	T	Sold (part)	12/6/12	N	F	
500. AMERICAN FUNDS NEW WORLD FUND CL F2					Buy	12/26/12	J		
501. NEWELL RUBBERMAID INC	A	Dividend	L	T	Buy	11/12/12	J		
502. NEWELL RUBBERMAID INC					Buy	11/13/12	J		
503. NEWELL RUBBERMAID INC					Buy	11/14/12	J		
504. NEWELL RUBBERMAID INC					Buy	11/15/12	K		
505. NEWELL RUBBERMAID INC					Buy	11/16/12	J		
506. NEWELL RUBBERMAID INC					Buy	11/19/12	J		
507. NEWELL RUBBERMAID INC					Buy	11/20/12	J		
508. NEWELL RUBBERMAID INC					Buy	11/21/12	J		
509. NEWELL RUBBERMAID INC					Buy	11/26/12	J		
510. NEWELL RUBBERMAID INC					Buy	11/27/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

511. NEWELL RUBBERMAID INC					Buy	11/28/12	J		
512. NEWELL RUBBERMAID INC					Buy	11/29/12	J		
513. NEWELL RUBBERMAID INC					Buy	11/30/12	J		
514. NEWELL RUBBERMAID INC					Buy	12/3/12	J		
515. NIELSON HOLDINGS NV US\$		None	K	T	Sold (part)	09/27/12	K	C	
516. NIELSON HOLDINGS NV US\$					Sold (part)	12/6/12	K	B	
517. NIKE INC CL B	A	Dividend	K	T	Buy	1/12/12	J		
518. NIKE INC CL B					Sold (part)	12/6/12	J	B	
519. NOBLE ENERGY INC	A	Dividend	L	T	Sold (part)	09/27/12	K	C	
520. NOBLE ENERGY INC					Sold (part)	12/6/12	K	D	
521. NORDSTROM INC		None			Sold	01/11/12	J	D	
522. NORFOLK SOUTHERN CORP	B	Dividend	L	T	Buy	3/27/12	J		
523. NORFOLK SOUTHERN CORP					Buy	9/20/12	K		
524. NORFOLK SOUTHERN CORP					Sold (part)	09/27/12	K	A	
525. NORFOLK SOUTHERN CORP					Sold (part)	12/6/12	K	A	
526. NOVO NORDISK A/S CL B ADR	A	Dividend	K	T	Sold (part)	09/27/12	K	D	
527. NOVO NORDISK A/S CL B ADR					Sold (part)	12/6/12	K	D	

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

528. NUCOR CORP	B	Dividend	K	T	Sold (part)	09/27/12	J	B	
529. NUCOR CORP					Sold (part)	12/6/12	J	B	
530. OMNICOM GROUP INC	A	Dividend			Sold (part)	1/10/12	J	B	
531. OMNICOM GROUP INC					Sold (part)	1/11/12	J	B	
532. OMNICOM GROUP INC					Sold	1/12/12	J	C	
533. OR ST DEPT OF ADMIN COPS 5.0% 05/01/2018	C	Interest			Sold	09/28/12	M	E	
534. ORACLE CORP	B	Dividend	L	T	Buy	01/10/12	J		
535. ORACLE CORP					Buy	04/18/12	J		
536. ORACLE CORP					Sold (part)	09/27/12	K	C	
537. ORACLE CORP					Sold (part)	12/6/12	K	D	
538. PEPSICO INC	B	Dividend	K	T	Sold (part)	01/30/12	L	D	
539. PEPSICO INC					Sold (part)	12/6/12	J	C	
540. PFIZER INC	B	Dividend	K	T	Sold (part)	09/27/12	J	B	
541. PFIZER INC					Sold (part)	12/6/12	K	C	
542. PG&E CORP	B	Dividend			Buy	1/13/12	J		
543. PG&E CORP					Sold (part)	4/4/12	K	A	
544. PG&E CORP					Sold (part)	4/5/12	K	A	

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

545. PG&E CORP					Sold	4/9/12	K	A	
546. PHARMASSET INC		None			Merged (with line 368)	01/19/12	J		See Gilead
547. PHILIP MORRIS INTERNATIONAL INC	C	Dividend	K	T	Buy	02/03/12	J		
548. PHILIP MORRIS INTERNATIONAL INC					Buy	07/16/12	J		
549. PHILIP MORRIS INTERNATIONAL INC					Sold (part)	09/27/12	K	D	
550. PHILIP MORRIS INTERNATIONAL INC					Sold (part)	12/6/12	K	D	
551. POLYCOM INC		None			Sold (part)	01/04/12	J	A	
552. POLYCOM INC					Sold (part)	01/05/12	J	A	
553. POLYCOM INC					Sold	01/05/12	J	C	
554. PROGRESSIVE CORP OHIO	C	Dividend	K	T	Sold (part)	01/23/12	J	A	
555. PROGRESSIVE CORP OHIO					Sold (part)	01/23/12	J	B	
556. PROGRESSIVE CORP OHIO					Sold (part)	09/27/12	J	B	
557. PROGRESSIVE CORP OHIO					Sold (part)	12/6/12	K	C	
558. PULTE GROUP INC		None			Sold	01/04/12	K	D	
559. QUALCOMM INC	B	Dividend	K	T	Sold (part)	09/27/12	K	D	
560. QUALCOMM INC					Sold (part)	12/6/12	K	D	
561. REPUBLIC SERVICES INC	B	Dividend	K	T	Buy	01/11/12	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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562. REPUBLIC SERVICES INC					Sold (part)	09/27/12	K	A	
563. REPUBLIC SERVICES INC					Sold (part)	11/12/12	J	A	
564. REPUBLIC SERVICES INC					Sold (part)	11/12/12	J	A	
565. REPUBLIC SERVICES INC					Sold (part)	11/16/12	K	A	
566. REPUBLIC SERVICES INC					Sold (part)	12/6/12	J	A	
567. RIO TINTO PLC ADR	B	Dividend	J	T	Sold (part)	08/28/12	K	A	
568. SAN DIEGO CA REGL AIRPORT A 5.0% 7/1/18	C	Interest	M	T					
569. SAN DIEGO CO WTR 5.0% 07/01/16	C	Interest	M	T					
570. SAN DIEGO WTR NATL FGIC 5.25% 05/01/17	D	Interest	M	T					
571. SAN FRAN ARPT 2ND 06F NATL-FGIC 5.25% 5/1/20	D	Interest	M	T					
572. SANTA MARGARITA TALEGA CFD 99-1 11A 5.0% 9/1/22	D	Interest			Sold	12/07/12	M	B	
573. SAP AG SPON ADR		None			Sold (part)	04/18/12	K	D	
574. SAP AG SPON ADR					Sold (part)	04/18/12	J	C	
575. SAP AG SPON ADR					Sold	04/19/12	K	D	
576. SCHLUMBERGER LTD	C	Dividend	L	T	Buy	01/31/12	K		
577. SCHLUMBERGER LTD					Buy	07/16/12	J		
578. SCHLUMBERGER LTD					Sold (part)	12/6/12	L	E	

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2. Value Codes: (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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579. SCHWAB CHARLES NEW	B	Dividend	J	T	Sold (part)	02/07/12	J	A	
580. SCHWAB CHARLES NEW					Sold (part)	02/08/12	J	A	
581. SCHWAB CHARLES NEW					Sold (part)	02/09/12	J	A	
582. SCHWAB CHARLES NEW					Sold (part)	02/10/12	J	A	
583. SCHWAB CHARLES NEW					Sold (part)	09/27/12	J	A	
584. SCHWAB CHARLES NEW					Sold (part)	11/9/12	J	A	
585. SCHWAB CHARLES NEW					Sold (part)	11/12/12	J	A	
586. SCHWAB CHARLES NEW					Sold (part)	11/13/12	J	A	
587. SCHWAB CHARLES NEW					Sold (part)	12/6/12	J	A	
588. SCPPA MAGNOLIA PWR 11-A 5.00% 07/01/20	C	Interest	M	T					
589. SCPPA MEAD ADELANTO 12A 5.0% 07/01/18	B	Interest	M	T	Buy	8/16/12	M		
590. SCRIPPS NETWORKS INTERACTIVE CL A	A	Dividend	K	T	Sold (part)	09/27/12	K	D	
591. SCRIPPS NETWORKS INTERACTIVE CL A					Sold (part)	12/6/12	K	D	
592. SEATTLE GENETICS INC		None	K	T	Sold (part)	09/27/12	K	D	
593. SEATTLE GENETICS INC					Sold (part)	12/6/12	K	D	
594. SHIRE PLC ADR	A	Dividend			Sold (part)	09/25/12	J	C	
595. SHIRE PLC ADR					Sold (part)	09/26/12	J	C	

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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596. SHIRE PLC ADR					Sold (part)	09/27/12	J	C	
597. SHIRE PLC ADR					Sold (part)	09/28/12	K	D	
598. SHIRE PLC ADR					Sold (part)	10/1/12	J	C	
599. SHIRE PLC ADR					Sold (part)	10/2/12	J	C	
600. SHIRE PLC ADR					Sold (part)	10/2/12	J	C	
601. SHIRE PLC ADR					Sold (part)	10/3/12	K	D	
602. SHIRE PLC ADR					Sold (part)	10/4/12	J	C	
603. SHIRE PLC ADR					Sold (part)	10/5/12	J	C	
604. SHIRE PLC ADR					Sold (part)	10/5/12	K	D	
605. SHIRE PLC ADR					Sold (part)	10/8/12	J	C	
606. SHIRE PLC ADR					Sold (part)	10/8/12	J	C	
607. SHIRE PLC ADR					Sold (part)	10/10/12	J	D	
608. SHIRE PLC ADR					Sold	10/19/12	J	D	
609. SIGNET JEWELERS LTD	A	Dividend	K	T	Buy	01/23/12	J		
610. SIGNET JEWELERS LTD					Buy	01/24/12	J		
611. SIGNET JEWELERS LTD					Sold (part)	09/27/12	J	C	
612. SIGNET JEWELERS LTD					Sold (part)	12/6/12	K	D	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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613. SO CA PUB PWR AUTH 6% 7/1/27	D	Interest	M	T					
614. SPECTRA ENERGY CORP		None			Sold (part)	1/10/12	J	D	
615. SPECTRA ENERGY CORP					Sold	1/11/12	J	C	
616. SSGA US GOV MONEY MARKET FUND	A	Dividend	M	T					
617. STANLEY BLACK & DECKER INC	B	Dividend	J	T	Buy	01/20/12	J		
618. STANLEY BLACK & DECKER INC					Sold (part)	09/27/12	K	D	
619. STANLEY BLACK & DECKER INC					Sold (part)	12/6/12	K	C	
620. STARBUCKS CORP		None	K	T	Buy	11/28/12	J		
621. STARBUCKS CORP					Buy	11/29/12	J		
622. SUNCOR ENERGY INC NEW		None			Sold	1/4/12	K	D	
623. TARGET CORP	C	Dividend	L	T	Buy	1/13/12	J		
624. TARGET CORP					Sold (part)	02/14/12	K	A	
625. TARGET CORP					Sold (part)	09/27/12	J	C	
626. TARGET CORP					Sold (part)	12/6/12	K	D	
627. TE CONNECTIVITY LTD US\$	A	Dividend	K	T	Sold (part)	01/24/12	J	B	
628. TE CONNECTIVITY LTD US\$					Sold (part)	01/25/12	K	D	
629. TE CONNECTIVITY LTD US\$					Sold (part)	09/27/12	J	C	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
630. TE CONNECTIVITY LTD US\$					Sold (part)	12/6/12	K	D	
631. THE WALT DISNEY CO	B	Dividend	K	T	Sold (part)	01/23/12	K	D	
632. THE WALT DISNEY CO					Sold (part)	11/19/12	K	D	
633. THE WALT DISNEY CO					Sold (part)	12/6/12	K	D	
634. TIFFANY & CO NEW	B	Dividend	K	T	Buy	07/31/12	K		
635. TIFFANY & CO NEW					Sold (part)	09/27/12	K	D	
636. TIFFANY & CO NEW					Sold (part)	12/6/12	K	D	
637. TIME WARNER CABLE INC	A	Dividend	K	T	Sold (part)	09/27/12	J	C	
638. TIME WARNER CABLE INC					Sold (part)	12/6/12	J	C	
639. TUOLUMNE WIND REV CA TURLOCK IRR DT 5.25% 01/01/24	D	Interest	M	T					
640. UC REGENTS CA LTD PROJ 12G 5.0% 05/15/22	B	Interest	M	T	Buy	07/27/12	M		
641. UNION PACIFIC CORP	B	Dividend	K	T	Sold (part)	1/23/12	J	D	
642. UNION PACIFIC CORP					Sold (part)	12/6/12	J	D	
643. UNITED PARCEL SERVICE INC CL B	A	Dividend	J	T	Sold (part)	06/27/12	K	C	
644. UNITED PARCEL SERVICE INC CL B					Sold (part)	11/12/12	J	A	
645. UNITED TECHNOLOGIES CORP	C	Dividend	L	T	Buy	1/11/12	K		
646. UNITED TECHNOLOGIES CORP					Sold (part)	09/27/12	K	A	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
647. UNITED TECHNOLOGIES CORP					Sold (part)	12/6/12	K	A	
648. UNITEDHEALTH GROUP INC	A	Dividend	K	T	Sold (part)	01/23/12	K	E	
649. UNITEDHEALTH GROUP INC					Sold (part)	05/25/12	K	D	
650. UNITEDHEALTH GROUP INC					Sold (part)	12/6/12	K	D	
651. URBAN OUTFITTERS INC		None			Sold (part)	1/11/12	K	A	
652. URBAN OUTFITTERS INC					Sold	1/12/12	J	C	
653. VERIZON COMMUNICATIONS	A	Dividend			Sold (part)	1/10/12	K	D	
654. VERIZON COMMUNICATIONS					Sold	1/11/12	J	A	
655. VISA INC CL A	A	Dividend	K	T	Buy	1/12/12	J		
656. VISA INC CL A					Sold (part)	02/13/12	K	D	
657. VISA INC CL A					Sold (part)	02/14/12	K	E	
658. VISA INC CL A					Sold (part)	12/6/12	K	D	
659. WESTLANDS CA WTR DIST MBIA 5.25% 9/1/17	D	Interest			Sold	11/26/12	M	A	
660. TRUST #2									
661. AMERICAN FUNDS CAPITAL CALIFORNIA CORE MUNICIPAL FUND	D	Dividend	O	T	Buy	01/10/12	J		
662. AMERICAN FUNDS CAPITAL CALIFORNIA CORE MUNICIPAL FUND					Buy	06/11/12	J		
663. AMERICAN FUNDS CAPITAL CALIFORNIA CORE MUNICIPAL FUND					Buy	09/26/12	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
664. AMERICAN FUNDS CAPITAL CORE MUNICIPAL FUND	C	Dividend	N	T	Buy	02/14/12	J		
665. AMERICAN FUNDS CAPITAL CORE MUNICIPAL FUND					Buy	09/26/12	J		
666. AMERICAN FUNDS CAPITAL INCOME BUILDER CL F2	D	Dividend	M	T	Buy	1/10/12	J		
667. AMERICAN FUNDS AMERICAN FUNDS CAPITAL INCOME BUILDER CL F2					Buy	09/21/12	J		
668. AMERICAN FUNDS EUROPACIFIC GROWTH FUND CL F2	C	Dividend	M	T	Buy	09/26/12	J		
669. AMERICAN FUNDS FUNDAMENTAL INVESTORS CL F2	D	Dividend	N	T	Buy	01/10/12	J		
670. AMERICAN FUNDS FUNDAMENTAL INVESTORS CL F2					Buy	02/14/12	J		
671. AMERICAN FUNDS FUNDAMENTAL INVESTORS CL F2					Buy	06/11/12	J		
672. AMERICAN FUNDS FUNDAMENTAL INVESTORS CL F2					Buy	09/26/12	J		
673. AMERICAN FUNDS GROWTH FUND OF AMERICA	B	Dividend	M	T	Buy	09/26/12	J		
674. AMERICAN FUNDS INVESTMENT COMPANY OF AMERICA CL F2	C	Dividend	M	T	Buy	09/26/12	J		
675. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F2	B	Dividend	L	T	Buy	09/26/12	J		
676. AMERICAN FUNDS NEW WORLD FUND CL F2	D	Dividend	N	T	Buy	06/11/12	J		
677. AMERICAN FUNDS NEW WORLD FUND CL F2					Buy	09/26/12	J		
678. AMERICAN FUNDS SMALLCAP WORLD FUND CL F2	B	Dividend	L	T	Buy	06/11/12	J		
679. AMERICAN FUNDS SMALLCAP WORLD FUND CL F2					Buy	09/26/12	J		
680. SSGA US GOV MONEY MARKET FUND	A	Dividend	N	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes: (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes: (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

681. MS Brokerage Asset Acct.									
682. Alameda Co CTFS 5.375% 12/1/16	C	Interest			Sold	05/14/12	M	A	
683. Alhambra CA Sch Dist 3.0% 8/1/26	C	Interest	L	T	Buy	08/01/12	L		
684. Alvord CA Sch Dist 5.0% 8/1/27	D	Interest	N	T	Buy	05/14/12	M		
685. Alvord CA Sch Dist 5.0% 8/1/27					Buy	05/30/12	M		
686. Aruba Network Service (X)		None	L	T					
687. Banning CA Sch Dist. 4.75% 8/1/23	B	Interest	K	T					
688. Belmont CA Fing Auth 4.0% 9/1/26	C	Interest	M	T	Buy	07/17/12	M		
689. Berkeley CA Sch Dist. 3.875% 8/01/18	D	Interest	M	T					
690. Burbank CA Pub Fling 5.250% 12/1/17	D	Interest	M	T					
691. Buttonwillow CA Sch Dist 5.5% 11/1/27	C	Interest	L	T	Buy	03/28/12	L		
692. CA ST Dept Wtr 5.00% 5/1/21	B	Interest	L	T					
693. CA ed FACS 4.250% 10/1/18	B	Interest	L	T					
694. Cal ST GO 4.500% 8/01/26	E	Interest	N	T					
695. CA ST GO 5.0% 8/1/27	C	Interest	M	T	Buy	1/17/12	M		
696. CA ST GO 4.75% 9/1/28	B	Interest	L	T	Buy	11/1/12	L		
697. Cal ST Pub Works 5.25% 12/1/26	D	Interest	M	T	Buy	5/30/12	M		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
698. Cal ST Pub Works 4.0% 6/1/27	D	Interest	N	T	Buy	5/14/12	M		
699. Cal ST Pub Works 4.0% 6/1/27					Buy	5/30/12	M		
700. CA St Pub Works 5.25% 6/1/20	C	Interest	L	T					
701. CA ST Pub Works 4.600% 12/1/20	C	Interest			Redeemed	12/3/12	L	A	
702. CA ST Pub Works 4.200% 5/1/19	C	Interest	M	T					
703. CA ST Pub Works 5.000% 6/1/18	D	Interest	M	T					
704. Carmichael CA WTR Dist 5.0% 11/1/25	B	Interest	L	T	Buy	7/12/12	L		
705. Chino Hills CA Tax Rev 4.25% 9/1/24	B	Interest	L	T					
706. Chula Vista CA Pub Fing 3.875% 9/1/17	C	Interest	L	T					
707. Chula Vista CA Sch Dist 4.0% 8/1/26	C	Interest	M	T	Buy	7/12/12	M		
708. Coachella CA Sch Dist 5.000% 8/1/19	C	Interest	L	T					
709. Colton CA Sch Dist 3.25% 8/1/26	C	Interest	M	T	Buy	7/12/12	M		
710. Compton CA WTR Rev 5.625% 8/1/27	D	Interest	M	T	Buy	3/28/12	M		
711. Cupertino CA CTFS 3.0% 7/1/26	C	Interest	M	T	Buy	5/30/12	M		
712. Delano CA Sch Dist 4.000% 2/1/25	C	Interest	M	T					
713. Delano CA Sch Dist 4.5% 8/1/27	C	Interest	M	T	Buy	1/17/12	M		
714. Desert CA Cmnty Coll. 5.00% 8/1/23	B	Interest	M	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

715. Dublin CA Sch Dist 4.125% 8/1/21	D	Interest	M	T					
716. Dublin CA Sch Dist 5.0% 8/1/25	B	Interest	L	T	Buy	1/17/12	L		
717. East Bay CA Util Dist. 5.000% 6/1/18	C	Interest	L	T					
718. East Side Sch Dist 5.0% 8/1/24	C	Interest	L	T	Buy	2/2/12	L		
719. El Monte CA Sch Dist. 5.000% 6/1/22	C	Interest	M	T					
720. Escondido CA CTFS 4.250% 9/1/19	D	Interest	M	T					
721. Fairfield CA Sch. Dist. 4.000% 8/7/27	C	Interest	L	T					
722. Fontana CA Pub Fing 4.000% 9/1/18	D	Interest	M	T					
723. Fremont CA Sch Dist 5.0% 8/1/25	C	Interest	M	T	Buy	7/12/12	M		
724. Fresno CA Sch Dist 5.25% 8/1/27	D	Interest	M	T	Buy	1/17/12	M		
725. Fresno CA Sch Dist 3.5% 8/1/26	C	Interest	M	T	Buy	7/12/12	M		
726. Gilroy CAFing Auth. 4.000% 11/01/24	C	Interest	M	T					
727. Hemet CA Sch Dist 4.0% 8/1/23	C	Interest	M	T	Buy	7/13/12	M		
728. Hollister CA Fing Auth. 5.000% 6/01/25	C	Interest	L	T					
729. Huntington Beach CA Pub Fing 5.0% 9/1/25	C	Interest	M	T	Buy	1/17/12	M		
730. Imperial CNTY CA Sch Dist 3.25% 6/1/23	B	Interest	L	T	Buy	7/13/12	L		
731. Jefferson CA Sch Dist. 5.000% 8/1/26	C	Interest	M	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
732. Jefferson CA Sch Dist. 5.0% 7/15/26	C	Interest	M	T	Buy	7/13/12	M		
733. Kern CNTY CA Wtr Dist 5.0% 5/1/28	C	Interest	M	T	Buy	7/13/12	M		
734. Lake Arrowhead CA Dist Wtr 4.500% 10/1/26	C	Interest	L	T					
735. Liberty CA High Sch. 4.250% 8/1/26	B	Interest	L	T					
736. Lincoln CA Sch Dist. 4.500% 8/1/19	D	Interest	M	T					
737. Lodi CA Elec Sys 4.5% 7/1/25	C	Interest	L	T	Buy	1/17/12	L		
738. Los Angeles CA Comm College 5.0% 8/1/26	B	Interest	K	T	Buy	1/18/12	K		
739. Los Angeles CA DWP 5.0% 7/1/26	C	Interest	M	T	Buy	7/13/12	M		
740. Los Angeles CA Sch Dist 4.75% 7/1/25	C	Interest	M	T	Buy	1/17/12	M		
741. Los Angeles CA Sch Dist. 4.50% 7/1/22	B	Interest	L	T					
742. Madera Co CTFS 4.250% 8/1/22	C	Interest	M	T					
743. Malibu CA CTFS 4.5% 7/1/27	C	Interest	M	T	Buy	7/16/12	M		
744. Montclair CA Fing Auth 3.875% 10/1/16	C	Interest	M	T					
745. Mountain View CA High School 4.125% 8/1/16	D	Interest	M	T					
746. Napa Co CTFS 3.600% 2/1/17	D	Interest	M	T					
747. Oceanside CA Sch Dist 4.5% 8/1/28	C	Interest	M	T	Buy	7/13/12	M		
748. Oxnard CA Fing Auth. 4.750% 6/1/24	D	Interest	M	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
749. Palmdale CA Redev Agy 3.800% 9/1/16	D	Interest	M	T					
750. Palm Desert CTFS 5.00% 4/01/22	B	Interest	L	T					
751. Pasadena CA Elec Rev 5.000% 6/1/16	C	Interest			Sold	5/14/12	M	A	
752. Pasadena CA CTFS 5.0% 2/1/24	C	Interest	M	T	Buy	7/16/12	M		
753. Pasadena CA Elec Rev 4.0% 8/1/24	B	Interest	L	T	Buy	2/2/12	L		
754. Placentia-Yorba Linda CA Sch Dist 2.75% 8/1/26	A	Interest	L	T	Buy	11/28/12	M		
755. Port Oakland CA Rev Ref 5.00% 11/01/21	B	Interest	L	T					
756. Redding CA Elec Sys 5.0% 6/1/27	B	Interest	L	T	Buy	5/31/12	L		
757. Redlands CA Sch Dist. 5.000% 7/1/25	D	Interest	M	T					
758. Redondo Beach CA Sch Dist 4.0% 8/1/25	C	Interest	M	T	Buy	7/12/12	M		
759. Redwood City CA Sch Dist 3.0% 8/1/26	B	Interest	M	T	Buy	7/12/12	M		
760. Riverside Co CTFS 3.875% 11/1/14	C	Interest	M	T					
761. Sacramento CA Util Dist 5.000% 5/15/14	D	Interest	M	T					
762. Sacramento CA CTFS 5.000% 12/01/21	B	Interest	K	T					
763. Salinas CA CTFS 4.500% 9/1/20	C	Interest	M	T					
764. San Diego Co Wtr Auth 4.000% 5/1/20	D	Interest	M	T					
765. San Diego CA Sch Dist 5.5% 7/1/24	C	Interest	M	T	Buy	7/13/12	M		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
766. San Diego CNTY CA Regl Trans 5.0% 4/1/29	C	Interest	M	T	Buy	7/13/12	M		
767. San Francisco CA Pub Util 5.0% 11/1/25	C	Interest	M	T	Buy	7/12/12	M		
768. San Francisco CA Pub Util 5.0% 11/1/26	C	Interest	L	T	Buy	3/28/12	L		
769. San Gabriel CA Sch Dist 5.25% 8/1/24	D	Interest	M	T	Buy	2/2/12	M		
770. San Juan Capistrano Co Fing Auth 4.000% 12/1/17	C	Interest	M	T					
771. San Leandro CA Sch Dist 4.5% 8/1/26	B	Interest	L	T	Buy	7/12/12	L		
772. San Luis Obispo CA CAP IMPR 4.0% 12/1/27	C	Interest	M	T	Buy	5/30/12	M		
773. Santa Clara CA Sch Dist 3.500% 7/1/24	D	Interest	M	T					
774. Santa Cruz Co CTFS 3.875% 8/1/16	D	Interest	M	T					
775. Santa Cruz Co CTFS 4.200% 8/1/19	C	Interest	L	T					
776. Santa Rosa CA Sch Dist 3.800% 8/1/17	C	Interest	L	T					
777. Santa Rosa CA Wtr Rev 5.0% 9/1/26	C	Interest	M	T	Buy	5/30/12	M		
778. So Cal Logistics 4.125% 12/1/20	C	Interest	L	T					
779. So CA Pub Pwr Auth 5.150% 7/1/15	D	Interest	M	T					
780. So Gate CA fing Auth 5.250% 9/1/19	B	Interest	K	T					
781. Stockton CA Sch Dist 5.000% 8/1/24	C	Interest	L	T					
782. The Pantry common stock		None	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
783. Tracy CA Jt Powers 4.200% 9/2/17	B	Interest	K	T					
784. Turlock CA Pub Fing 4.300% 9/15/16	B	Interest	K	T					
785. Western Riverside WTR 4.250% 9/1/21	C	Interest	L	T					
786. Yountville CA Fin Auth 4.375% 10/1/24	B	Interest	L	T					
787. MS Bank Deposit	A	Interest	K	T					
788. FS Equity Partners IV									
789. Sur La Table		None	M	U					
790. Ross-Simmons		None	M	U					
791. FS Equity Partners V									
792. N.E.W. Companies common stock	G	Dividend			Sold	5/17/12	P1	H1	
793. H.H. Gregg Inc common stock		None	N	U					
794. Bright Now Inc common stock		None	N	U					
795. Mattress Giant Corp common stock		None			Sold	5/21/12	J		
796. Savers Inc common stock		None			Sold	7/9/12	P2	H2	
797. PETCO Animal Supply common stock	G	Dividend	N	U	Sold (part)	12/28/12	P1	H1	
798. El Polo Loco Inc common stock		None	N	U					
799. FS Equity Partners VI									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
800. Paradies Holdings common stock		None	N	U					
801. BECO Holding Co common stock	G	Dividend	O	U					
802. Floor and Decor common stock		None	O	U					
803. Boot Barn common stock		None	N	U					
804. First Watch common stock		None	N	U					
805. MicroStar Common Stocks		None	O	U	Buy	12/28/12	O		
806. Riordan Venture Assoc. (L.P. Inc.)									
807. RLH Silversado Dividend Pref. Stock debt	A	Interest			Sold	3/14/12	K	B	
808. Cymetrix Corp common stock		None	J	U					
809. Con-Cise Lens Co common stock		None			Sold	10/25/12	K	D	
810. Saebro Inc common stock		None	J	U					
811. Maxit common stock		None			Sold	8/14/12	M	F	
812. Triple 7 Group common stock		None	J	U					
813. TW Holdings common stock		None	J	U					
814. Cyber Coders Holdings common stock		None	J	U					
815. Creative Circle preferred and common stock		None			Sold	9/27/12	K	E	
816. Apothecary Shops preferred stock		None	J	U					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
817. Secure Mission Solutions LLC		None	K	U					
818. ONE Industries common stock		None	J	U					
819. Bluewolf Group LLC		None	K	U					
820. Siteworx		None	J	U	Buy	10/26/12	J		
821. Charter Group		None	J	U	Buy	11/20/12	J		
822. RGM Group		None	J	U	Buy	6/25/12	J		
823. DCRX Infusion		None	J	U	Buy	11/27/12	J		
824. Bistro 45 common stock	A	Dividend	J	U					
825. MS Retire Accts (401k-profit)									
826. Invesco Pacific Growth Fund	A	Dividend	M	T					
827. MSDW Liquit Asset Account Trust Fund	A	Dividend	K	T					
828. Hewlett Packard common stock	A	Dividend	J	T					
829. Procter & Gamble common stock	C	Dividend	M	T					
830. CVS Corp. common stock	A	Dividend			Sold	3/29/12	K	E	
831. Altria Group common stock	A	Dividend	K	T					
832. Cisco Sys common stock	B	Dividend	K	T					
833. Kraft Foods Inc common stock	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
834. Mondelez Int'l common stock	A	Dividend	J	T	Spinoff (from line 833)	10/2/12	J		
835. Philip Morris	B	Dividend	K	T					
836. Invesco Div. Growth Fund	C	Dividend	M	T					
837. American Funds New World Fund	C	Dividend	N	T	Buy	1/30/12	L		
838. American Funds New World Fund					Buy	10/2/12	K		
839. R&M Encelle Partners (Partnership Interest)		None	K	U					
840. Trust #3 (M/S UTM)									
841. General Elec common stock	A	Dividend	J	T					
842. American Funds New World Fund	A	Dividend	J	T					
843. TRUST #4 (IR)									
844. American Funds Capital Core Municipal Fund	A	Dividend	K	T	Sold (part)	10/22/12	J	A	
845. American Funds Capital Income Builder Inc CL F2	B	Dividend	K	T	Buy	1/10/12	J		
846. American Funds Capital World Growth & Income Fund CL F2	B	Dividend	K	T	Sold (part)	7/25/12	J	A	
847. American Funds EuroPacific Growth Fund CL F2	A	Dividend	K	T					
848. American Funds Fundamental Investors Inc CLF2	B	Dividend	L	T	Sold (part)	1/24/12	J	A	
849. American Funds Fundamental Investors Inc CLF2					Sold (part)	4/26/12	J	A	
850. American Funds Growth Fund of America Inc CL R5	A	Dividend	K	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
851. American Funds Investment Company of America CL F2	A	Dividend	K	T					
852. American Funds New Perspective Fund CL F2	A	Dividend	K	T					
853. American Funds New World Fund CL F2	A	Dividend	K	T					
854. American Funds SmallCap World Fund CL F2	A	Dividend	J	T					
855. American Funds Cash Mgmt Trust of America	B	Dividend	P1	T					
856. Trust #5 (IR-)									
857. American Funds Capital Core Municipal Fund	A	Dividend	K	T	Sold (part)	10/29/12	J	A	
858. American Funds Capital Income Builder Inc CL R5	B	Dividend	K	T	Buy	1/10/12	J		
859. American Funds Capital World Growth & Income	B	Dividend	K	T	Sold (part)	7/25/12	J	A	
860. American Funds EuroPacific Growth Fund CL F2	A	Dividend	K	T					
861. American Funds Fundamental Investors Inc CL F2	B	Dividend	L	T	Sold (part)	1/24/12	J	A	
862. American Funds Fundamental Investors Inc CL F2					Sold (part)	4/26/12	J	A	
863. American Funds Growth Fund of America Inc CL R5	A	Dividend	K	T					
864. American Funds Investment Company of America CL F2	A	Dividend	K	T					
865. American Funds New Perspective Fund CL F2	A	Dividend	K	T					
866. American Funds New World Fund CL F2	A	Dividend	K	T					
867. American Funds SmallCap World Fund CL F2	A	Dividend	J	T					

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	F ~\$50,001 - \$100,000 J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
868. American Funds Cash Mgmt Trust of America	B	Dividend	P1	T					
869. Trust #6 (98-)									
870. Invesco Dividend Growth	A	Dividend	L	T					
871. American Funds New World Fund	C	Dividend	N	T					
872. MSDW Active Money Trust	A	Dividend	J	T					
873. N.E.W. Companies common stock	C	Dividend			Sold	5/17/12	O	G	
874. HH Gregg Inc common stock		None	J	U					
875. Bright Now Inc common stock		None	J	U					
876. Mattress Giant Corp common stock		None			Sold	5/21/12	J		
877. Savers Inc common stock		None			Sold	7/9/12	O	G	
878. PETCO Animal Supply common stock	C	Dividend	J	U	Sold (part)	12/28/12	M	G	
879. El Pollo Loco common stock		None	J	U					
880. American Funds Capital California Core Municipal Fund	D	Dividend	O	T	Buy	1/10/12	J		
881. American Funds Capital California Core Municipal Fund					Buy	6/11/12	J		
882. American Funds Capital California Core Municipal Fund					Buy	9/26/12	J		
883. American Funds Capital Core Municipal Fund	C	Dividend	N	T	Buy	2/14/12	J		
884. American Funds Capital Core Municipal Fund					Buy	9/26/12	J		

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
885. American Funds Capital Income Builder Inc CL F2	D	Dividend	M	T	Buy	1/10/12	J		
886. American Funds Capital Income Builder Inc CL F2					Buy	9/21/12	J		
887. American Funds Capital World Growth & Income Fund CL F2	A	Dividend			Sold	9/26/12	K	D	
888. American Funds EuroPacific Growth Fund CL F2	C	Dividend	M	T	Buy	9/26/12	J		
889. American Funds Fundamental Investors Inc CL F2	D	Dividend	N	T	Buy	1/18/12	J		
890. American Funds Fundamental Investors Inc CL F2					Buy	2/14/12	J		
891. American Funds Fundamental Investors Inc CL F2					Buy	6/11/12	J		
892. American Funds Fundamental Investors Inc CL F2					Buy	9/26/12	J		
893. American Funds Growth Fund of America Inc CL R5	B	Dividend	M	T	Buy	9/26/12	J		
894. American Funds Investment Company of America CL F2	C	Dividend	M	T	Buy	9/26/12	J		
895. American Funds New Perspective Fund CL F2	B	Dividend	L	T	Buy	9/26/12	J		
896. American Funds New World Fund CL F2	D	Dividend	N	T	Buy	6/11/12	J		
897. American Funds New World Fund CL F2					Buy	9/26/12	J		
898. American Funds SmallCap World Fund CL F2	B	Dividend	L	T	Buy	6/11/12	J		
899. American Funds SmallCap World Fund CL F2					Buy	9/26/12	J		
900. American Funds Cash Mgmt Trust of America	A	Dividend	N	T					
901. Trust #7 (98-)									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
902. Invesco Dividend Growth	A	Dividend	L	T					
903. American Funds New World Fund	C	Dividend	N	T					
904. MSDW Active Money Trust	A	Dividend	J	T					
905. N.E.W. Companies common stock	C	Dividend			Sold	5/17/12	O	G	
906. HH Gregg Inc common stock		None	J	U					
907. Bright Now Inc common stock		None	J	U					
908. Mattress Giant Corp common stock		None			Sold	5/2/12	J		
909. Savers Inc common stock		None			Sold	7/9/12	O	G	
910. PETCO Animal Supply common stock	C	Dividend	J	U	Sold (part)	12/28/12	M	G	
911. El Pollo Loco common stock		None	J	U					
912. American Funds Capital California Core Muni Fund	D	Dividend	O	T	Buy	1/10/12	J		
913. American Funds Capital California Core Muni Fund					Buy	6/11/12	J		
914. American Funds Capital California Core Muni Fund					Buy	9/26/12	J		
915. American Funds Capital Core Municipal Fund	C	Dividend	N	T	Buy	2/14/12	J		
916. American Funds Capital Core Municipal Fund					Buy	9/26/12	J		
917. American Funds Capital Income Builder Inc CL F2	D	Dividend	M	T	Buy	1/10/12	J		
918. American Funds Capital Income Builder Inc CL F2					Buy	9/21/12	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/05/2013

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ **NONE** (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
919. American Funds Capital World Growth & Income Fund CL F2	A	Dividend			Sold	9/26/12	K	D	
920. American Funds EuroPacific Growth Fund CL F2	C	Dividend	M	T	Buy	9/26/12	J		
921. American Funds Fundamental Investors Inc CL F2	D	Dividend	N	T	Buy	1/10/12	J		
922. American Funds Fundamental Investors Inc CL F2					Buy	2/14/12	J		
923. American Funds Fundamental Investors Inc CL F2					Buy	6/11/12	J		
924. American Funds Fundamental Investors Inc CL F2					Buy	9/26/12	J		
925. American Funds Growth Fund of America Inc CL R5	B	Dividend	M	T	Buy	9/26/12	J		
926. American Funds Investment Company of America CL F2	C	Dividend	M	T	Buy	9/25/12	J		
927. American Funds New Perspective Fund CL F2	B	Dividend	L	T	Buy	9/24/12	J		
928. American Funds New World Fund CL F2	D	Dividend	N	T	Buy	6/12/12	J		
929. American Funds New World Fund CL F2					Buy	9/26/12	J		
930. American Funds SmallCap World Fund CL F2	B	Dividend	L	T	Buy	6/16/12	J		
931. American Funds SmallCap World Fund CL F2					Buy	9/26/12	J		
932. American Funds Cash Mgmt Trust of America	A	Dividend	N	T					
933. Real Estate Partnership - Lau		None	M	U					
934. Real Estate Partnership - W.O.		None	M	U	Buy	11/15/12	L		
935. Real Estate Partnership - Lau W		None	M	U	Buy	8/30/12	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Wardlaw, Kim M.

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08/05/2013

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
936. Dorset Capital Partnership Invest	A	Interest	L	U					
937. Citibank Money Market Fund	D	Interest	P1	T					
938. Citibank Checking	A	Interest	L	T					
939. Citibank Checking	A	Interest	M	T					
940. Fargo Investment Partnership (Y)		None	M	U	Sold (part)	7/30/12	J	A	
941. Bulldog Partners I		None			Sold	3/15/12	J	A	
942. Bulldog Partners II		None			Sold	3/15/12	J	A	
943. Regents Banshares		None			Sold	1/26/12	M	E	
944. JRK Multifamily LP		None	M	U	Buy	5/23/12	L		
945. Clean Diesel Tech, Inc. Common Stock		None			Sold	7/18/12	J		
946. Urban Housing Investment Fund		None	L	U					
947. JP Morgan Account									
948. Bluebay Emerging Market Fund		None	O	T	Buy	10/31/12	O		
949. Gavea Fund		None	P1	T	Buy	10/31/12	P1		
950. Global Access Explorer Fund		None	O	T	Buy	10/31/12	O		
951. Maverick Fund		None	O	T	Buy	10/31/12	O		
952. York Credit Opportunity Fund		None	P1	T	Buy	10/31/12	O		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
953. Blackstone Real Estate Fund		None	O	T	Buy	10/31/12	O		
954. JPM Realty Income Fund	A	Dividend	M	T	Buy	10/12/12	M		
955. BNP Brent CBEN 11/16/13		None	M	T	Buy	10/26/12	M		
956. iPath-UBS Commodity Index Fund		None	M	T	Buy	12/19/12	M		
957. SPDR Gold Trust		None	L	T	Buy	10/12/12	L		
958. JPM Mort-Backed Fund	B	Dividend	N	T	Buy	10/12/12	M		
959. JP Morgan Floating Rate Fund	B	Dividend	N	T	Buy	10/12/12	M		
960. GS MXN Note 12/23/13		None	L	T	Buy	12/7/12	L		
961. Brevan Howard Emerging Market Fund		None	O	T	Buy	11/2/12	O		
962. JPMorgan Tri Ex Fund	A	Dividend	L	T	Buy	10/12/12	L		

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	P4 ~More than \$50,000,000
3. Value Method Codes (See Column C2)	P3 ~\$25,000,001 - \$50,000,000 Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Line 1, IRA covers line 2 through 25

Line 26, Trust 1 covers line 27

Line 28, Schwab Pension Acct (IRA) covers line 29 through 79

Line 80, Capital Trust Account covers line 81 through 659

Line 660, Trust 2 covers 661 through 680

Line 681, MS Brokerage Asset Acct covers line 682 through 786

Line 787, MS Bank Deposit covers line 787

Line 788, FS Equity Partners IV covers line 789 through 790

Line 791, FS Equity Partners V covers line 792 through 798

Line 799, FS Equity Partners VI covers line 800 through 805

Line 806, Riordan Venture Assoc. (L.P. Int.) covers line 807 through 823

Line 824, Bistro 45 common stock covers line 824

Line 825, MS Retire Accts (401k-profit) covers line 826 through 838

Line 839, R&M Encelle Partners (Partnership Interest) covers line 839

Line 840, Trust #3 (M/S UTM-) covers line 841 through 842

Line 843, Trust #4 (IR-) covers line 844 through 855

Line 856, Trust #5 (IR-) covers line 857 through 868

Line 869, Trust #6 (98-) covers line 870 through 900

Line 901, Trust #7 (98-) covers line 902 through 932

Line 933, Real Estate Partnership - Lau, covers line 933

Line 934, Real Estate Partnership - W.O., covers line 934

Line 935, Real Estate Partnership - Lau W, covers line 935

Line 936, Dorset Capital Partnership Invest covers line 936

Line 937, Citibank Money Market Fund covers line 937

Line 938, Citibank Checking covers line 938

Line 939, Citibank Checking covers line 939

Line 940, Fargo Investment Partnership covers line 940

Line 941, Bulldog Partners I, covers line 941

Line 942, Bulldog Partners II, covers line 942

Line 943, Regents Banshares, covers line 943

Line 944, JRK Multifamily LP covers line 944

Line 945, Clean Diesel Tech, Inc. Common Stock covers line 945

Line 946, Urban Housing Investment Fund line 946

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Line 947, JP Morgan Account covers lines 948 through 963

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Kim M. Wardlaw**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544