

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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 United States Court of Appeals for the Ninth Circuit	3. Date of Report 08/09/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2015 to 12/31/2015
7. Chambers or Office Address United States Court of Appeals for the Ninth Circuit 125 South Grand Avenue, Suite 500 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.	Board 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.		

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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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE 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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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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.		

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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.)

☐ 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. ROTH IRA									
2. CAPITAL GROUP CORE BOND FUND	D	Dividend	O	T					
3. CAPITAL WORLD GROWTH & INCOME FD	E	Dividend	O	T					
4. AMERICAN FUNDS NEW PERSPECTIVE FUND	D	Dividend	O	T	Sold (part)	01/29/15	J	A	
5.					Sold (part)	04/30/15	J	A	
6.					Sold (part)	07/30/15	J	A	
7.					Sold (part)	10/29/15	J	A	
8. SSGA US GOV MONEY MARKET FUND		None	J	T					
9. Schwab Pension Acct (IRA)									
10. Abbott Labs Com Stock	A	Dividend	K	T					
11. Alphabet (formerly Google Inc) Com Stock		None	K	T					
12. American Express Com Stock	A	Dividend	K	T					
13. Apache Corp Com Stock	A	Dividend			Sold	08/24/15	J		
14. Apple Corp Com Stock	A	Dividend	K	T					
15. Berkshire Hathaway		None	K	T					
16. BHP Billiton Com Stock	A	Dividend			Sold	12/09/15	J	B	
17. Blackrock Inc Com Stock	B	Dividend	L	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	

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18. Boeing Co.	A	Dividend	K	T					
19. Celgene Corp		None	K	T					
20. Cerner Corp Com Stock		None	K	T					
21. Chevron Corp Com Stock	B	Dividend	K	T	Buy	08/24/15	J		
22. Citicorp	A	Dividend	K	T					
23. Colgate-Palmolive Com Stock	A	Dividend	K	T					
24. Conocophillips Com Stock	B	Dividend	K	T					
25. Costco Wholesale Inc.	A	Dividend	K	T	Buy	12/09/15	K		
26. Cummings Inc.	A	Dividend	K	T					
27. Danaher Corp Com Stock	A	Dividend	K	T					
28. The Walt Disney Co. Com Stock	A	Dividend	L	T	Sold (part)	07/28/15	J	D	
29. EMC Corp Com Stock	A	Dividend	K	T					
30. Ebay Inc.		None			Sold	10/22/15	K	C	
31. GE Com Stock	B	Dividend	K	T					
32. Gilead Sciences Inc.	A	Dividend	L	T					
33. Holly Frontier Corp	A	Dividend	J	T					
34. IBM Com Stock	A	Dividend			Sold	02/17/15	K	D	

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(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		

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35. Intel Corp Com Stock	A	Dividend	K	T					
36. Intuit Inc	A	Dividend	K	T					
37. JP Morgan Chase Com Stock	B	Dividend	K	T					
38. Lowes Companies	A	Dividend	L	T					
39. Merck & Co Com Stock	B	Dividend	K	T					
40. Nextera Energy	B	Dividend	K	T					
41. Nike Inc Com Stock	A	Dividend	K	T	Sold (part)	09/25/15	K	D	
42. Novo - Nordisk	A	Dividend	K	T					
43. Oracle Corp	A	Dividend	K	T					
44. Paypal Holdings Inc		None	K	T	Spinoff (from line 30)	07/20/15	K		From Ebay Inc
45. Penske Auto	A	Dividend	K	T	Buy	09/25/15	K		
46. Pepsico Inc Com Stock	B	Dividend	K	T					
47. Proctor & Gamble Com Stock	A	Dividend	K	T					
48. Qualcomm Inc. Com Stock	A	Dividend	K	T					
49. Roche Hldg Ltd	B	Dividend	K	T					
50. Schlumberger Ltd	A	Dividend	K	T					
51. Sempra Energy Com Stock	A	Dividend	K	T					

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52. Target Corp Com Stock	B	Dividend	K	T					
53. TCP Capital Corp	B	Dividend	J	T					
54. Union Pacific Corp Com Stock	A	Dividend	K	T					
55. Verizon Com Stock	B	Dividend	K	T	Buy	09/25/15	J		
56. iShares MSCI Index Fund	C	Dividend	M	T					
57. iShares Small Cap Index Fund	B	Dividend	L	T					
58. Vanguard Emerging Market Fund	B	Dividend	L	T					
59. CAPITAL TRUST ACCOUNT									
60. ABBVIE INC	B	Dividend	K	T	Sold (part)	10/13/15	J	A	
61.					Sold (part)	10/14/15	J	A	
62.					Sold (part)	10/15/15	J	A	
63. AIR PRODUCTS & CHEMICALS INC	A	Dividend			Sold (part)	01/29/15	K	E	
64.					Sold (part)	04/20/15	J	D	
65.					Sold (part)	06/23/15	J	E	
66.					Sold	06/24/15	J	A	
67. ACCENTURE PLC	A	Dividend	K	T					
68. ACE LTD	B	Dividend	K	T	Sold (part)	02/02/15	K	B	

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69. ALPHABET INC CL A (formerly Google Inc.)		None	K	T	Donated (part)	12/02/15			
70. AMERICAN TOWER COPR	A	Dividend	K	T	Sold (part)	01/28/15	K	C	
71.					Sold (part)	01/29/15	J	C	
72. AMERISOURCEBERGEN CORP	A	Dividend	L	T					
73. AON PLC	A	Dividend	K	T					
74. APPLE INC	B	Dividend	L	T					
75. ASTRAZENECA PLC ADR	B	Dividend	L	T	Buy	04/22/15	J		
76.					Buy	10/19/15	J		
77. AUTOMATIC DATA PROCESSING INC	B	Dividend	L	T	Buy	02/10/15	J		
78. AVAGO TECHNOLOGIES LTD	A	Dividend	L	T	Sold (part)	04/20/15	K	D	
79.					Sold (part)	04/21/15	J	C	
80. B/E AEROSPACE INC	A	Dividend			Sold (part)	06/23/15	K	A	
81.					Sold (part)	12/09/15	J	A	
82.					Sold	12/10/15	J	A	
83. BB&T CORP	A	Dividend			Sold	02/12/15	L	C	
84. BAY AREA TOLL AUTH 06C2 CA VAR 04/01/45	C	Interest	M	T					
85. BOEING CO	B	Dividend	L	T					

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86. BRISTOL-MYERS SQUIBB CO	B	Dividend	J	T	Sold (part)	06/02/15	J	C	
87.					Sold (part)	06/03/15	J	B	
88.					Sold (part)	06/25/15	J	D	
89.					Sold (part)	08/10/15	J	C	
90.					Sold (part)	08/11/15	J	D	
91.					Sold (part)	08/12/15	K	E	
92.					Sold (part)	08/21/15	K	E	
93. BROADCOM CORP	A	Dividend	L	T	Buy	02/12/15	J		
94. CA ED FAC UNIV OF SAN FRANCISCO 5.0% 10/01/21	C	Interest	M	T					
95. CA HLTH FAC CEDAR-SINAI MED 5.0% 8/15/21	D	Interest	M	T					
96. CA HLTH HENRY MAYO NEWHALL MEM HOSP AGM 1	C	Interest	M	T					
97. CA INFRA EDB J. PAUL GETTY 15B-1 SIFMA +28BP FRN (MPT) SF 10-01	A	Interest	M	T	Buy	01/23/15	M		
98. CA PUB WKS REGENTS UIV CA C1 5.0% 03/01/19	D	Interest	M	T					
99. CA ST GO NATL 5.0% 06/01/15	C	Interest			Matured	06/01/15	M		
100. CALIFORNIA ST ECON REC 09A 5% 07/01/19	B	Interest			Sold	03/10/15	M	D	
101. CA ST ECON REC 09A 5.0% 07/01/20	C	Interest	M	T					
102. CA ST GO 5.0% 02/01/20	C	Interest	M	T					

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103. CA ST JOSEPH HLTH HOSP CA-F AGM 5.25% 07/01/16	D	Interest	M	T					
104. CA STWD ADVENTIST HLTH SYSTEMS WEST 15A 5.0% 03-01-26	A	Interest	M	T	Buy	06/24/15	M		
105. CA STWD ST JOSEPHS HLTH FSA 4.5% 07/01/18	D	Interest	M	T					
106. CALIFORNIA ST UNIV REVENUE SER A 5.0% 11/01/17	B	Interest			Sold	09/04/15	K	A	
107. CARNIVAL CORP COMMON PAIRED STOCK	A	Dividend	K	T					
108. CATERPILLAR INC	B	Dividend	K	T	Sold (part)	02/05/15	J	A	
109. CERNER CORP		None	L	T	Buy	11/18/15	J		
110. CHARTER COMMUNICATIONS INC		None	L	T					
111. CHEVRON CORP	C	Dividend	L	T	Buy	02/02/15	J		
112.					Buy	12/04/15	J		
113.					Sold (part)	08/17/15	J	A	
114.					Sold (part)	08/18/15	J	A	
115. CLEARWATER FL WTR/SWR B 5.0% 12/01/18	D	Interest	M	T					
116. CME GROUP INC	C	Dividend	L	T					
117. COCA-COLA CO	A	Dividend	J	T	Buy	10/20/15	J		
118. COLUMBIA PIPELINE GROUP INC	A	Dividend	L	T	Buy	10/26/15	K		
119.					Buy	12/02/15	K		

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08/09/2016

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.					Buy	12/10/15	J		
121. COMCAST CORP CL A (NEW)	B	Dividend	L	T	Donated (part)	12/02/15			
122. CONOCOPHILLIPS	C	Dividend	K	T	Buy	01/09/15	K		
123.					Buy	02/03/15	J		
124.					Buy	02/04/15	J		
125.					Buy	08/14/15	J		
126.					Buy	08/17/15	K		
127.					Sold (part)	09/24/15	K	A	
128.					Sold (part)	09/25/15	J	A	
129.					Sold (part)	09/28/15	K	A	
130.					Sold (part)	09/29/15	J	A	
131. CROWN CASTLE INTERNATIONAL CORP	A	Dividend	K	T	Buy	02/10/15	J		
132.					Buy	03/27/15	J		
133. CVS HEALTH CORPORATION	A	Dividend	K	T	Buy	10/19/15	K		
134. DAIMLER AG ADR	B	Dividend	K	T	Buy	02/09/15	J		
135.					Sold (part)	08/17/15	K	A	
136. DANAHER CORP	A	Dividend	L	T	Donated (part)	12/02/15			

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	

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Wardlaw, Kim M.

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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)
137.					Sold (part)	01/28/15	J	C	
138.					Sold (part)	01/29/15	J	D	
139. DELPHI AUTOMOTIVE PLC	A	Dividend	K	T	Sold (part)	02/12/15	K	C	
140. DIAGEO PLC SPONSORED ADR	B	Dividend	L	T	Buy	02/03/15	K		
141.					Buy	06/23/15	J		
142.					Buy	06/24/15	J		
143.					Buy	07/02/15	J		
144.					Buy	07/06/15	J		
145. DISCOVER FINANCIAL SERVICES	A	Dividend	L	T	Buy	02/04/15	K		
146.					Buy	02/19/15	J		
147.					Buy	02/20/15	J		
148.					Buy	02/23/15	J		
149.					Buy	02/24/15	J		
150.					Buy	06/24/15	J		
151. DOW CHEMICAL CO	B	Dividend	K	T					
152. EATON CORP PLC	C	Dividend	L	T	Sold (part)	01/29/15	K	C	
153.					Sold (part)	01/30/15	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	

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

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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)
154. EMERSON ELECTRIC CO		None			Sold	01/28/15	K	D	
155. ENBRIDGE INC US	A	Dividend	J	T	Buy	01/30/15	J		
156. EOG RESOURCES INC	A	Dividend	K	T					
157. AMERICAN FUNDS EUROPACIFIC GROWTH FUND CL F2	E	Dividend	P1	T	Buy	12/23/15	L		
158. EXPRESS SCRIPTS HOLDING CO		None	L	T	Buy	10/22/15	L		
159. EXXON MOBIL CORP	A	Dividend	K	T	Buy	09/25/15	K		
160. GILEAD SCIENCES INC	A	Dividend	K	T	Buy	07/01/15	K		
161.					Donated (part)	12/02/15			
162. GOLDMAN SACHS GROUP INC	B	Dividend	L	T					
163. GUAM BUS PRIVILEGE TAX 11A 5.0% 01/01/18	D	Interest	M	T					
164. HALLIBURTON CO	A	Dividend	K	T	Sold (part)	01/10/15	K	A	
165. HEXCEL CORP	A	Dividend	L	T	Buy	02/09/15	J		
166.					Buy	02/10/15	J		
167.					Buy	02/11/15	J		
168. HOME DEPOT INC	B	Dividend	K	T	Sold (part)	05/15/15	J	C	
169.					Donated (part)	12/02/15			
170. IDEX CORP	A	Dividend	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	

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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)
171. ILLUMINA INC		None	K	T	Buy	08/25/15	J		
172.					Buy	09/02/15	J		
173.					Buy	11/20/15	J		
174. INCYTE CORP		None	K	T	Buy	01/08/15	J		
175. INTERNATIONAL BUSINESS MACHINES CORP		None	K	T	Buy	11/25/15	J		
176.					Buy	11/27/15	J		
177. IRON MOUNTAIN INCORPORATED	C	Dividend	L	T	Buy	11/20/15	J		
178.					Sold (part)	02/04/15	J	C	
179.					Sold (part)	02/05/15	K	D	
180. IRVINE CA REASSMT DIST 15-2 5.0% 09-02-29	B	Interest	M	T	Buy	07/23/15	M		
181. JABIL CIRCUIT INC	A	Dividend	L	T	Buy	01/29/15	K		
182. JACK HENRY & ASSOC INC	B	Dividend	M	T					
183. JPMORGAN CHASE & CO	B	Dividend	L	T					
184. LA CO CA MTA SALES TAX REV SR PROP C 13A 5.0% 07-01-20	C	Interest	M	T					
185. LAKE ELSINORE CA PUBLIC FING AUTH LOCAL 5.00% 09/01/2027	B	Interest	L	T	Buy	02/26/15	L		
186. LAS VEGAS SANDS CORP	A	Dividend	K	T	Buy	04/15/15	J		
187.					Buy	04/16/15	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		

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Name of Person Reporting

Wardlaw, Kim M.

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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.					Buy	04/17/15	J		
189.					Buy	06/24/15	J		
190. LILLY ELI & CO	A	Dividend	L	T	Buy	06/26/15	J		
191.					Buy	07/10/15	K		
192.					Buy	09/03/15	K		
193.					Buy	10/12/15	J		
194.					Buy	10/19/15	J		
195. MARSH & MCLENNAN COS INC	B	Dividend	M	T					
196. MEAD JOHNSON NUTRITION CO - A	A	Dividend	J	T	Buy	02/05/15	J		
197. MEDTRONIC PLC	A	Dividend	L	T	Buy	01/29/15	K		
198.					Buy	06/17/15	J		
199.					Buy	06/19/15	J		
200.					Buy	06/24/15	K		
201. MICROSOFT CORP	B	Dividend	L	T	Buy	09/03/15	J		
202. MONDELEZ INTERNATIONAL INC	A	Dividend	J	T	Buy	02/05/15	J		
203. MONSANTO CO NEW COM	B	Dividend	L	T	Sold (part)	02/06/15	J	B	
204.					Sold (part)	02/09/15	J	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		

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Wardlaw, Kim M.

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205. MOODYS CORP	A	Dividend	K	T	Buy	03/30/15	J		
206.					Buy	03/31/15	J		
207.					Buy	05/15/15	K		
208. NATIONAL GRID PLC - SP ADR	A	Dividend	K	T					
209. NESTLE NAM SPON ADR		None	L	T	Buy	10/22/15	L		
210. AMERICAN FUNDS NEW WORLD FUND CL F2	D	Dividend	O	T	Buy	12/23/15	J		
211. NEWELL BRANDS INC	B	Dividend	M	T					
212. NIELSEN HOLDINGS PLC	A	Dividend	M	T					
213. NIKE INC CL B	A	Dividend	K	T	Buy	02/12/15	J		
214.					Donated (part)	12/02/15			
215. NOBLE ENERGY INC	A	Dividend			Sold (part)	02/05/15	J	B	
216.					Sold (part)	02/06/15	J	A	
217.					Sold (part)	05/14/15	J	B	
218.					Sold (part)	05/15/15	J	A	
219.					Sold (part)	09/09/15	J	A	
220.					Sold	09/25/15	J	A	
221. NORFOLK SOUTHERN CORP	B	Dividend	L	T	Buy	08/28/15	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	
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222.					Sold (part)	02/06/15	K	D	
223. NORWEGIAN CRUISE LINE HOLDINGS LTD		None	K	T					
224. NOVO NORDISK A/S CL B ADR	A	Dividend	K	T	Donated (part)	12/02/15			
225. ORACLE CORP	A	Dividend	K	T	Sold (part)	01/26/15	J	D	
226.					Sold (part)	07/10/15	J	B	
227.					Sold (part)	07/13/15	J	B	
228.					Sold (part)	09/02/15	J	C	
229. OCCIDENTAL PETROLEUM CORP		None	K	T	Buy	09/29/15	K		
230.					Buy	12/03/15	J		
231. OR PROVIDENCE HLTH C SIFMA+100 FRN (MPT) 10-01-22/09-15-18	B	Interest	M	T					
232. PACWEST BANCORP	A	Dividend	K	T	Buy	03/11/15	J		
233.					Buy	03/12/15	J		
234.					Buy	03/13/15	J		
235. PANERA BREAD CO CL A		None	L	T	Buy	05/05/15	J		
236.					Buy	06/25/15	K		
237.					Buy	09/29/15	K		
238. PASADENA CA COP AMBAC .0% 02-01-20		None	L	T	Buy	12/17/15	L		

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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	
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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)

239. PHILIP MORRIS INTERNATIONAL INC	C	Dividend	L	T	Buy	08/12/15	J		
240.					Buy	09/09/15	J		
241. PFIZER INC	A	Dividend			Sold	10/12/15	K	D	
242. PNC FINANCIAL SERVICES GROUP INC	B	Dividend	L	T	Buy	02/17/15	J		
243. PRAXAIR INC	B	Dividend	K	T	Buy	01/28/15	J		
244.					Buy	09/29/15	J		
245.					Buy	09/30/15	K		
246.					Sold (part)	08/17/15	J	A	
247.					Sold (part)	08/18/15	K	A	
248. PRICELINE GROUP INC/THE		None	K	T	Buy	01/26/15	K		
249. PROCTOR & GAMBLE CO	B	Dividend	M	T	Buy	02/13/15	J		
250.					Buy	08/11/15	J		
251.					Buy	08/12/15	J		
252.					Buy	08/15/15	J		
253.					Buy	09/25/15	K		
254.					Buy	09/28/15	J		
255. QUALCOMM INC		None			Sold	01/27/15	K	E	

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	

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Wardlaw, Kim M.

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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.)

☐ 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. ROSS STORES INC		None			Sold (part)	02/24/15	J	C	
257.					Sold	02/25/15	J	B	
258. SAN DIEGO CA REGL AIRPORT A 5.0% 07/01/18	C	Interest	M	T					
259. SAN DIEGO CO WTR 5.0% 07/01/16	C	Interest	M	T					
260. SAN DIEGO WTR NATL FGIC 5.25% 05/01/17	D	Interest	M	T					
261. SAN FRAN ARPT 2ND 06F NATL-FGIC 5.25% 05/01/20	D	Interest	M	T					
262. SAN RAMON CA REDEV TAX ALLOC BAM 15A 5.0% 02-01-24	A	Interest	M	T	Buy	06/05/15	M		
263. SCHLUMBERGER LTD	B	Dividend	L	T					
264. SCPPA MAGNOLIA PWR 11-A 5.00% 07/01/20	C	Interest	M	T					
265. SCPPA MEAD-ADELANTO 12A 5.0% 07/01/18	D	Interest	M	T					
266. SCRIPPS NETWORKS INTERACTIVE CL A	A	Dividend	K	T	Sold (part)	09/22/15	J	A	
267.					Sold (part)	09/23/15	J	A	
268. SEATTLE GENETICS INC		None			Sold (part)	01/26/15	J	B	
269.					Sold (part)	01/27/15	J	C	
270.					Sold (part)	01/28/15	J	B	
271.					Sold (part)	01/29/15	J	B	
272.					Sold (part)	01/30/15	J	B	

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	

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Wardlaw, Kim M.

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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.)

☐ 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)
273.					Sold (part)	02/03/15	J	B	
274.					Sold (part)	02/04/15	J	C	
275.					Sold (part)	02/05/15	J	C	
276.					Sold	02/06/15	J	B	
277. SIEMENS AG ADR	A	Dividend	K	T	Buy	02/29/15	J		
278.					Sold (part)	07/10/15	J	A	
279. SIRIUS XM HOLDINGS INC		None	K	T					
280. SSGA US GOV MONEY MARKET FUND		None	M	T					
281. ST JUDE MEDICAL	B	Dividend	L	T	Buy	01/30/15	J		
282. STARBUCKS CORP	A	Dividend	L	T	Buy	01/28/15	J		
283. STATE STREET INSTITUTIONAL TREAS MMKT FD PREM	A	Interest	P2	T	Buy	10/15/15	P2		
284. TEXAS INSTRUMENTS INC	B	Dividend	L	T	Sold (part)	02/13/15	J	C	
285. TIFFANY & CO NEW	A	Dividend			Sold (part)	04/15/15	J	C	
286.					Sold	04/16/15	J	A	
287. TIME WARNER CABLE INC	A	Dividend	J	T	Buy	05/06/15	J		
288. TOWERS WATSON & COMPANY CL A	A	Dividend	L	T	Buy	01/29/15	K		
289.					Buy	01/30/15	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	
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Name of Person Reporting

Wardlaw, Kim M.

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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.)

☐ 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. TUOLUMNE WIND REV CA TURLOCK IRR DT 5.25% 01/01/24	D	Interest	M	T					
291. TURLOCK CA IRR DIST 5.0% 01-01-19	C	Interest	M	T					
292. UC REGENTS CA LTD PROJ 12G 5.0% 05/15/22	D	Interest	M	T					
293. UNILEVER PLC ADR AMER SHS SPON	B	Dividend	L	T					
294. UNITED TECHNOLOGIES CORP	B	Dividend	L	T	Sold (part)	05/14/15	J	C	
295. UNITEDHEALTH GROUP INC	A	Dividend	K	T	Donated (part)	12/02/15			
296.					Sold (part)	02/04/15	K	D	
297. VERISIGN INC		None	K	T	Sold (part)	02/04/15	J	A	
298.					Sold (part)	02/05/15	J	A	
299.					Sold (part)	02/06/15	J	A	
300.					Sold (part)	04/15/15	J	C	
301.					Sold (part)	04/16/15	J	B	
302.					Sold (part)	04/17/15	J	B	
303.					Sold (part)	04/20/15	J	B	
304.					Sold (part)	05/08/15	J	B	
305.					Sold (part)	05/11/15	K	C	
306. VERIZON COMMUNICATIONS	C	Dividend	L	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	

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Name of Person Reporting

Wardlaw, Kim M.

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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.)

☐ 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)
307. VIACOM INC CLASS B	A	Dividend	J	T	Buy	01/30/15	J		
308.					Buy	02/11/15	J		
309.					Sold (part)	10/16/15	K	A	
310. VISA INC CL A	A	Dividend	L	T	Buy	01/29/15	K		
311. WASTE CONNECTIONS INC	A	Dividend	L	T	Buy	02/10/15	J		
312. WASTE MANAGEMENT INC	A	Dividend	K	T	Buy	10/20/15	J		
313.					Buy	10/21/15	J		
314. WELLS FARGO & CO	B	Dividend	L	T	Buy	02/02/15	J		
315. XILINX INC		None	J	T	Buy	12/04/15	J		
316. YUM BRANDS INC	A	Dividend	K	T	Buy	04/16/15	K		
317.					Buy	09/23/15	J		
318.					Buy	09/24/15	J		
319.					Buy	10/06/15	J		
320.					Buy	10/07/15	J		
321. Trust #2 (4306)									
322. AMERICAN FUNDS DEVELOPING WORLD GROWTH FUND	B	Dividend	L	T	Buy	03/29/15	L		
323. HARBOURVEST 2015 GLOBAL FUND L.P.		None	J	T	Buy	07/21/15	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	

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Wardlaw, Kim M.

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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.)

☐ 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)
324.					Buy	07/30/15	J		
325. CAPITAL GROUP GLOBAL EQUITY FUND	E	Dividend	P1	T	Sold (part)	04/30/15	J	A	
326.					Sold (part)	07/14/15	J	A	
327.					Sold (part)	07/20/15	J	A	
328.					Sold (part)	07/30/15	J	A	
329.					Sold (part)	10/29/15	J	A	
330. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	O	T					
331. CAPITAL GROUP CA SHORT TERM MUNI FUND	C	Dividend	N	T					
332. CAPITAL GROUP ALTERNATIVE STRATEGIES FUND, LP		None	O	T					
333. SSGA US GOV MONEY MARKET FUND		None	J	T					
334. MS Brokerage Asset Acct.									
335. Alhambra CA Sch Dist 3.0% 08/01/26	C	Interest	M	T					
336. Amazon Inc.		None	J	T					
337. Aruba Network Service (X)		None			Redeemed	05/19/15	L	E	
338. Banning CA Sch Dist. 4.75% 08/01/23	B	Interest	K	T					
339. Belmont CA Fing Auth 4.0% 09/01/26	C	Interest	M	T					
340. Burbank CA Pub Fling 5.250% 12/01/17	C	Interest			Redeemed	04/06/15	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
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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	

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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.)

☐ 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)

341. Buttonwillow CA Sch Dist 5.5% 11/01/27	C	Interest	L	T					
342. CA ST Dept Wtr 5.00% 05/01/21	C	Interest	L	T					
343. CA ed FACS 4.250% 10/01/18	B	Interest	L	T					
344. CA ST GO 5.0% 08/01/27	C	Interest			Redeemed	10/08/15	L		
345. CA ST GO 4.75% 09/01/28	B	Interest	L	T					
346. CA ST GO 3.00% 03/01/29	C	Interest	M	T	Buy	03/06/15	M		
347. Cal ST Pub Works 5.25% 12/01/26	D	Interest	M	T					
348. CA ST Pub Works 5.25% 06/01/20	C	Interest	L	T					
349. CA ST Pub Works 4.200% 05/01/19	C	Interest	M	T					
350. CA ST Pub Works 5.000% 9/1/29	D	Interest	M	T	Buy	08/27/15	M		
351. Carmichael CA WTR Dist 5.0% 11/01/25	B	Interest	L	T					
352. Chino Hills CA Tax Rev 4.25% 09/01/24	B	Interest	L	T					
353. Chula Vista CA Pub Fing 3.875% 09/01/17	C	Interest			Redeemed	09/01/15	L		
354. Chula Vista CA Sch Dist 4.0% 08/01/26	C	Interest	M	T					
355. Coachella CA Sch Dist 5.000% 08/01/19	C	Interest			Redeemed	08/03/15	L		
356. Cocrysal Pharma Inc		None			Sold	12/21/15	L	D	
357. Colton CA Sch Dist 3.25% 08/01/26	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
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358. Compton CA WTR Rev 5.625% 08/01/27	D	Interest	M	T					
359. Contra Costa CA Community Coll. 4.0% 08/01/28	C	Interest	L	T					
360. Cupertino CA CTFS 3.0% 07/01/26	C	Interest	M	T					
361. Delano CA Sch Dist 4.000% 02/01/25	C	Interest	M	T					
362. Desert CA Cmnty Coll. 5.00% 08/01/23	B	Interest			Redeemed	08/03/15	L		
363. Dublin CA Sch Dist 5.0% 08/01/25	B	Interest	L	T					
364. East Side Sch Dist 5.0% 08/01/24	C	Interest	L	T					
365. El Monte CA Sch Dist. 5.000% 06/01/22	C	Interest	M	T					
366. Escondido CA CTFS 4.250% 09/01/19	B	Interest			Redeemed	05/26/15	M		
367. Fairfield CA Sch. Dist. 4.000% 08/07/27	C	Interest	L	T					
368. Fairfield CA Sch Dist. 3.0% 08/01/28	C	Interest	M	T					
369. Fontana CA Pub Fing 4.000% 09/01/18	D	Interest	M	T					
370. Fremont CA Sch Dist 5.0% 08/01/25	C	Interest	L	T					
371. Glendora CA Sch Dist 4.000% 08/01/28	C	Interest	M	T	Buy	03/25/15	M		
372. Gilead Sci Inc.		None	N	T	Buy	07/17/15	K		
373.					Buy	10/01/15	K		
374.					Buy	12/14/15	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
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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	

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)
375. Hemet CA Sch Dist. 4.0% 08/01/23	C	Interest	M	T					
376. Huntington Beach CA Pub Fing 5.0% 09/01/25	C	Interest	M	T					
377. Imperial CNTY CA Trans. 3.25% 06/01/23	B	Interest	L	T					
378. Incyte Corp		None	M	T					
379. Jefferson CA Sch Dist. 5.000% 08/01/26	C	Interest	M	T					
380. Jefferson CA Sch Dist 5.0% 07/15/26	C	Interest	M	T					
381. Lake Arrowhead CA Dist Wtr 4.500% 10/01/26	C	Interest	L	T					
382. Liberty CA High Sch 4.250% 08/01/26	B	Interest	L	T					
383. Lodi CA Elec Sys 4.5% 07/01/25	C	Interest	L	T					
384. Los Angeles CA Comm College 5.0% 08/01/26	B	Interest	K	T					
385. Los Angeles CA DWP 5.0% 07/01/26	D	Interest	M	T					
386. Los Angeles CA Sch Dist 4.75% 07/01/25	C	Interest	M	T					
387. Los Angeles CA Sch Dist 4.50% 07/01/22	B	Interest	L	T					
388. Madera Co CTFS 4.250% 08/01/22	C	Interest			Redeemed	10/19/15	L		
389. Malibu CA CTFS 4.5% 07/01/27	C	Interest	M	T					
390. Mountain View CA High School 4.125% 08/01/16	A	Interest			Redeemed	02/23/15	M		
391. Oxnard CA Fing Auth 4.750% 06/01/24	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)
392. Palmdale CA Redev Agy 3.800% 09/01/16	D	Interest	M	T					
393. Palm Desert CTFS 5.00% 04/01/22	B	Interest	L	T					
394. Palm Springs Sch Dist. 3.0% 08/01/27	C	Interest	M						
395. Pasadena CA CTFS 5.0% 02/01/24	C	Interest	M	T					
396. Pasadena CA Elec Rev 4.0% 08/01/24	B	Interest	L	T					
397. Perris CA Sch Dist 5.000% 09/01/28	B	Interest	K	T	Buy	11/30/15	K		
398. Placentia-Yorba Linda CA Sch Dist 2.75% 08/01/26	C	Interest	L	T					
399. Port Oakland CA Rev Ref 5.00% 11/01/21	B	Interest	L	T					
400. Redding CA Elec Sys. 5.0% 06/01/27	B	Interest	K	T					
401. Redlands CA Sch Dist. 5.000% 07/01/25	D	Interest	M	T					
402. Redondo Beach CA Sch Dist 4.0% 08/01/25	C	Interest	M	T					
403. Riverside CA Sewer Sys 5.000% 08/01/28	C	Interest	M	T	Buy	06/25/15	M		
404. Rowland CA Sch Dist 3.000% 08/01/29	A	Interest	M	T	Buy	12/01/15	M		
405. Ruckus Wireless Inc.		None	J	T	Sold (part)	05/27/15	J	B	
406. Sacramento CA CTFS 5.000% 12/01/21	B	Interest	K	T					
407. San Bernardino CA Comm College 5.000% 08/01/28	A	Interest	M	T	Buy	10/01/15	M		
408. San Diego CA Conv. Cnt 5.0% 04/15/26	D	Interest	M	T					

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)
409. San Diego PFFA 5.0% 10/15/25	D	Interest	N	T					
410. San Diego Co Wtr Auth 4.000% 05/01/20	B	Interest			Redeemed	05/01/15	M		
411. San Diego CA Sch Dist 5.5% 07/01/24	D	Interest	M	T					
412. San Diego CNTY CA Regl Trans 5.0% 04/01/29	D	Interest	M	T					
413. San Francisco Comm College 5.000% 06/15/27	C	Interest	M	T	Buy	04/22/15	M		
414. San Francisco CA Pub Util 5.0% 11/01/25	C	Interest	M	T					
415. San Francisco CA Pub Util 5.0% 11/01/26	C	Interest	L	T					
416. San Gabriel CA Sch Dist 5.25% 08/01/24	D	Interest	M	T					
417. San Juan CA Sch Dist 5.0% 08/01/25	C	Interest	L	T					
418. San Leandro CA Sch Dist 4.5% 08/01/26	C	Interest	L	T					
419. Santa Clara CA Sch Dist 3.000% 07/01/28	A	Interest	M	R	Buy	05/26/15	M		
420. Santa Cruz Co CTFS 3.875% 08/01/16	D	Interest	M	T					
421. Santa Cruz Co CTFS 4.200% 08/01/19	C	Interest	L	T					
422. Santa Rosa CA Wtr Rev 5.0% 09/01/26	D	Interest	M	T					
423. Seattle Genetics		None	M	T	Buy	07/17/15	J		
424. SCIVAC Therapeutics		None	J	T	Buy	04/29/15	J		
425.					Buy	07/17/15	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)
426. Sonoma CA Comm Dev 5.00% 06/01/29	A	Interest	M	T	Buy	12/01/15	M		
427. So Cal Logistics 4.125% 12/01/20	C	Interest	L	T					
428. So CA Pub Pwr Auth 5.150% 07/01/15	C	Interest			Redeemed	07/01/15	M		
429. Stockton CA Sch Dist 5.000% 08/01/27	C	Interest	M	T					
430. The Pantry common stock		None			Sold	03/17/15	M	E	
431. Western Riverside WTR 4.250% 09/01/21	C	Interest	L	T					
432. Yountville CA Fin Auth 4.375% 10/01/24	B	Interest	L	T					
433. Yosemite CA Comm. College 5.0% 08/01/25	C	Interest	M	T					
434. Yosemite CA Comm College 5.000% 08/01/29	A	Interest	L	T	Buy	09/09/15	L		
435. MS Bank Deposit	A	Interest	J	T					
436. FS Equity Partners IV									
437. Sur La Table		None	M	U					
438. Ross-Simmons		None	M	U					
439. FS Equity Partners V									
440. H.H. Gregg Inc common stock		None	N	U					
441. Smile Brands Inc common stock		None	N	U					
442. PETCO Animal Supply common stock		None	N	U					

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. El Pollo Loco Inc common stock		None	N	U	Sold (part)	05/19/15	M	F	
444. FS Equity Partners VI									
445. Paradise Holdings common stock	G	Dividend			Sold	10/22/15	P1	H1	
446. Floor and Decor common stock	G	Dividend	O	U					
447. Boot Barn common stock	G	Dividend	N	U	Sold (part)	02/25/15	P1	H1	
448. First Watch common stock		None	N	U	Buy	05/27/15	L		
449. MicroStar common stock	G	Dividend	O	U					
450. Arhous common stock		None	O	U					
451. totes Isotoner Holdings Corp. common stock		None	O	U					
452. FS Equity Partners VII									
453. totes Isotoner Holdings Corp common stock		None	M	U					
454. Plantation Products, LLC		None	O	U					
455. Regent Holding Company		None	N	U	Buy	10/30/15	N		
456. Riordan Venture Association									
457. TW Holdings common stock		None	J	U					
458. Avella, Inc. preferred stock		None	J	U					
459. ONE Industries common stock		None			Sold	06/17/15	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)

460. Bluewolf Group LLC		None	K	U					
461. Siteworx		None	J	U					
462. Chartis Group		None	J	U					
463. RGM Group		None	J	U					
464. Patient Care America (formerly DCRX Infusion)		None	J	U					
465. Clarity Solution Group		None	L	U					
466. Inspirage LLC		None	K	U					
467. Bistro 45 common stock	A	Dividend	J	U					
468. MS Retire Accts (401k-profit)									
469. Invesco Pacific Growth Fund	C	Dividend	M	T					
470. MSDW Liquid Asset Account Trust Fund	A	Dividend	K	T					
471. HP Inc (formerly Hewlett Packard) common stock	A	Dividend	J	T					
472. Proctor & Gamble common stock	C	Dividend	M	T					
473. Altria Group common stock	B	Dividend	K	T					
474. Cisco Sys common stock	B	Dividend	K	T					
475. Kraft Foods Inc common stock	A	Dividend	J	T					
476. Mondelez Int'l 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 \$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)

477. Philip Morris	B	Dividend	K	T					
478. Gilead Science	B	Dividend	L	T	Buy	02/17/15	L		
479. Hewlett Packard Enterprise	A	Dividend	J	T	Spinoff (from line 471)	11/02/15	J		from HP Inc.
480. Invesco Div. Growth Fund	C	Dividend	O	T					
481. American Funds New World Fund	B	Dividend	O	T					
482. Trust #3 (M/S UTM-K)									
483. General Elec Comm Stock	A	Dividend	J	T					
484. American Funds New World Fund	A	Dividend	J	T					
485. Trust #4 (IR-W)									
486. SSGA US GOV MONEY MARKET FUND		None	J	T					
487. AMERICAN FUNDS CAPITAL INCOME BUILDING	C	Dividend	M	T					
488. AMERICAN FUNDS CAPITAL WORLD GROWTH & INCOME FD	D	Dividend	N	T					
489. AMERICAN FUNDS EUROPACIFIC GROWTH FUND	B	Dividend	L	T					
490. AMERICAN FUNDS FUNDAMENTAL INVESTORS	D	Dividend	N	T	Sold (part)	07/30/15	J	A	
491.					Sold (part)	10/29/15	J	A	
492. AMERICAN FUNDS GROWTH FUND OF AMERICA	C	Dividend	N	T	Sold (part)	01/29/15	J	A	
493.					Sold (part)	04/30/15	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	L = \$50,001 - \$100,000 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.					Sold (part)	07/14/15	J	A	
495.					Sold (part)	07/20/15	J	A	
496. AMERICAN FUNDS NEW PERSPECTIVE FUND	C	Dividend	N	T					
497. AMERICAN FUNDS NEW WORLD FUND	C	Dividend	N	T					
498. AMERICAN FUNDS SMALL CAP WORLD FUND		None	M	T					
499. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	N	T					
500. CAPITAL GROUP CORE MUNICIPAL FUND	C	Dividend	M	T					
501. CAPITAL GROUP ALTERNATIVE STRATEGIES FUND, LP		None	O	T					
502. HARBOURVEST 2015 GLOBAL FUND L.P.		None	J	T	Buy	07/21/15	J		
503.					Buy	07/30/15	J		
504. Trust #5 (IR-K)									
505. SSGA US GOV MONEY MARKET FUND		None	J	T					
506. AMERICAN FUNDS CAPITAL INCOME BUILDER	C	Dividend	N	T					
507. AMERICAN FUNDS CAPITAL WORLD GROWTH & INCOME FD	D	Dividend	N	T					
508. AMERICAN FUNDS EUROPACIFIC GROWTH FUND	B	Dividend	L	T					
509. AMERICAN FUNDS FUNDAMENTAL INVESTORS	D	Dividend	N	T	Sold (part)	07/30/15	J	A	
510.					Sold (part)	10/29/15	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 \$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. AMERICAN FUNDS GROWTH FUND OF AMERICA	C	Dividend	N	T	Sold (part)	01/29/15	J	A	
512.					Sold (part)	04/30/15	J	A	
513.					Sold (part)	07/14/15	J	A	
514.					Sold (part)	07/20/15	J	A	
515. AMERICAN FUNDS NEW PERSPECTIVE FUND	C	Dividend	N	T					
516. AMERICAN FUNDS NEW WORLD FUND	C	Dividend	N	T					
517. AMERICAN FUNDS SMALLCAP WORLD FUND		None	M	T					
518. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	N	T					
519. CAPITAL GROUP CORE MUNICIPAL FUND	C	Dividend	M	T					
520. CAPITAL GROUP ALTERNATIVE STRATEGIES FUND, LP		None	O	T					
521. HARBOURVEST 2015 GLOBAL FUND L.P.		None	J	T	Buy	07/21/15	J		
522.					Buy	07/30/15	J		
523. Trust #6 (98-W)									
524. Invesco Divident Growth	A	Dividend	K	T					
525. American Funds New World Fund	B	Dividend	N	T					
526. Incyte Corp		None	K	T					
527. Seattle Genetics Inc		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)

528. MSDW Active Money Trust	A	Dividend	J	T					
529. HH Gregg Inc common stock		None	J	U					
530. Smile Brands common stock		None	J	U					
531. PETCO Animal Supply common stock		None	J	U					
532. El Pollo Loco common stock		None	J	U	Sold (part)	05/19/15	J	C	
533. AMERICAN FUNDS CAPITAL INCOME BUILDER	D	Dividend	N	T	Buy	12/07/15	J		
534. SSGA US GOV MONEY MARKET FUND		None	J	T					
535. HARBOURVEST 2015 GLOBAL FUND L.P.		None	J	T	Buy	07/21/15			
536.					Buy	07/30/15			
537. CAPITAL GROUP ALTERNATIVE STRATEGIES FUND		None	O	T					
538. AMERICAN FUNDS NEW WORLD FUND	C	Dividend	N	T	Buy	12/07/15	J		
539. AMERICAN FUNDS FUNDAMENTAL INVESTORS	D	Dividend	O	T	Sold (part)	01/29/15		A	
540.					Sold (part)	04/30/15		A	
541.					Sold (part)	07/30/15		A	
542.					Sold (part)	10/29/15		A	
543. AMERICAN FUNDS NEW PERSPECTIVE FUND	C	Dividend	N	T	Sold (part)	07/14/15	J	A	
544.					Sold (part)	07/20/15	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 \$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)

545. AMERICAN FUNDS EUROPACIFIC GROWTH FUND C	C	Dividend	M	T					
546. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	N	T					
547. AMERICAN FUNDS GROWTH FUND OF AMERICA	C	Dividend	O	T					
548. CAPITAL GROUP CORE MUNICIPAL FUND	C	Dividend	M	T					
549. AMERICAN FUNDS SMALLCAP WORLD FUND		None	L	T					
550. AMERICAN FUNDS INVESTMENT COMPANY OF AMERICA	D	Dividend	N	T					
551. Trust #7 (98-K)									
552. Invesco Divident Growth	A	Dividend	K	T					
553. American Funds New World Fund	B	Dividend	N	T					
554. Incyte Corp		None	K	T					
555. Seattle Genetics		None	K	T					
556. MSDW Active Money Trust	A	Dividend	J	T					
557. HH Gregg Inc common stock		None	J	U					
558. Smile Brands common stock		None	J	U					
559. PETCO Animal Supply common stock		None	J	U					
560. El Pollo Loco common stock		None	J	U	Sold (part)	05/19/15	J	C	
561. HARBOUVEST 2015 GLOBAL FUND L.P.		None	J	T	Buy	07/21/15	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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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)
562.					Buy	07/30/15	J		
563. AMERICAN FUNDS CAPITAL INCOME BUILDER	D	Dividend	N	T	Buy	12/07/15	J		
564. AMERICAN FUNDS EUROPACIFIC GROWTH FUND	C	Dividend	M	T					
565. AMERICAN FUNDS NEW WORLD FUND	C	Dividend	N	T	Buy	12/07/15	J		
566. AMERICAN FUNDS NEW PERSPECTIVE FUND	C	Dividend	N	T	Sold (part)	07/14/15	J	A	
567.					Sold (part)	07/20/15	J	A	
568. AMERICAN FUNDS FUNDAMENTAL INVESTORS	D	Dividend	O	T	Sold (part)	01/29/15	J	A	
569.					Sold (part)	04/30/15	J	A	
570.					Sold (part)	07/30/15	J	A	
571.					Sold (part)	10/29/15	J	A	
572. AMERICAN FUNDS GROWTH FUND OF AMERICA	C	Dividend	O	T					
573. AMERICAN FUNDS INVESTMENT COMPANY OF AMERICA	D	Dividend	N	T					
574. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	N	T					
575. CAPITAL GROUP CORE MUNICIPAL FUND	C	Dividend	M	T					
576. AMERICAN FUNDS SMALLCAP WORLD FUND		None	L	T					
577. SSGA US GOV MONEY MARKET FUND		None	J	T					
578. CAPITAL GROUP ALTERNATIVE STRATEGIES FUND, LP		None	O	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
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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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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)
579. Real Estate Partnership - Lau		None	M	U	Buy	02/18/15	K		
580.					Buy	07/10/15	K		
581.					Buy	09/18/15	K		
582. Real Estate Partnership - Lau W		None	M	U	Buy	10/30/15	K		
583.					Buy	12/15/15	J		
584. Citibank Money Market Fund	C	Interest	O	T					
585. Citibank Checking	A	Interest	N	T					
586. Citibank Checking	A	Interest	L	T					
587. Fargo Investment Partnership		None	M	U					
588. JRK Multifamily LP		None	O	U	Buy	12/18/15	K		
589. Urban Housing Investment Fund		None	L	U	Sold (part)	05/26/15	K	E	
590. JP Morgan Account									
591. Bluebay Emerging Market Fund		None			Redeemed	01/25/15	O		
592. Gavea Fund		None			Redeemed	04/13/15	L		
593. Global Access Explorer Fund		None			Redeemed	06/18/15	L		
594. Maverick Fund		None	J	T	Redeemed (part)	02/09/15	O	E	
595. York Credit Opportunity Fund	D	Interest			Redeemed	04/15/15	P1	F	

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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)
596. Blackstone Real Estate Fund	D	Interest	L	T	Redeemed (part)	08/03/15	O	E	
597. Soc. Generale Lev Cont Bank 01/14/15		None			Redeemed	01/18/15	L		
598. Shannon River Partners		None	K	T	Redeemed (part)	03/06/15	N	E	
599. Goldman Sachs Group European Note		None			Redeemed	12/17/15	L		
600. Third Point Partners		None			Redeemed	10/15/15	O	A	
601. Citi Acct									
602. Alvord CA 5R Dist 5.0% 08/01/27	D	Interest	N	T					
603. Cal ST GO 4.5% 08/01/26	E	Interest	N	T					
604. Cal ST Pub Works 4.0% 06/01/27	D	Interest	N	T					
605. Fresno CA Sch Dist 5.25% 08/01/27	D	Interest	M	T					
606. Fresno CA Sch Dist 3.5% 08/01/26	C	Interest	M	T					
607. Gilroy CA Fing Auth 4.0% 11/01/24	D	Interest	M	T					
608. Hollister CA Find Auth 5.0% 06/01/25	C	Interest	L	T					
609. Kern Cnty CA Wtr Dist. 5.0% 05/01/28	D	Interest	M	T					
610. Oceanside CA Sch Dist 4.5% 08/01/28	D	Interest	M	T					
611. Redwood City CA Sch Dist 3.0% 08/01/26	C	Interest	M	T					
612. San Luis Obispo CA CAP IMPR 4.0% 12/01/27	D	Interest	M	T					

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(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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(See Column C2)	U = Book Value	V = Other	W = Estimated		

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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)
613. Santa Clara CA Sch Dist 3.5% 07/01/24	D	Interest	M	T					
614. Stockton CA Sch Dist 5.0% 08/01/24	C	Interest	L	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
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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	

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

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
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