

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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) Carman, Mark L.	2. Court or Organization Wyoming District Court, Yellowstone National Park	3. Date of Report 09/19/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge; Full Time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address Yellowstone Judicial Center P.O. Box 387 Yellowstone National Park, WY 82190		
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. Insert signature on last page.		

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.	Trustee	Trust # 1
2.	Trustee	Trust # 2
3.	Trustee	Trust # 3
4.	Trustee	Trust # 4
5.	President	Ronald McDonald Charities of Montana
6.	President	Carman Law Office, P.C.
7.		

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 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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. _____

FINANCIAL DISCLOSURE REPORT

Page 3 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*SOURCEDESCRIPTIONVALUE

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

FINANCIAL DISCLOSURE REPORT

Page 4 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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. Brokerage Account #1									
2. -Schwab Money Market	A	Dividend	L	T					
3. -3M Company	A	Dividend	K	T					
4. -Abbott Laboratories	A	Dividend	J	T					
5. -Abbvie Inc	A	Dividend	J	T					
6. -Air Products & Chemicals Inc	A	Dividend	J	T	Sold (part)	7/22/13	J	A	
7. -American Express Company	A	Dividend	K	T	Sold (part)	3/19/13	J	D	
8. -Apache Corp	A	Dividend			Sold	4/16/13	J	A	
9. -Apple Inc	A	Dividend	K	T	Sold (part)	9/24/13	J	A	
10. -AT&T Inc	A	Dividend	J	T	Sold (part)	9/9/13	J	A	
11. -Auto Data Processing	A	Dividend	J	T	Sold (part)	12/13/13	J	D	
12. -Baxter International Inc	A	Dividend	J	T					
13. -Borg Warner Inc	A	Dividend	K	T					
14. -Coca Cola Company	A	Dividend	J	T	Sold (part)	8/20/13	J	A	
15. -Danaher Corp	A	Dividend	K	T					
16. -Deere & Company	A	Dividend			Sold	11/1/13	J	A	
17. -EMC Corp	A	Dividend	J	T	Sold (part)	10/23/13	J	B	

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 (See Columns C1 and D3)	J ~\$15,000 or less 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 ~\$250,000,001 - \$50,000,000	Q ~Appraisal U ~Book Value	R ~Cost (Real Estate Only) V ~Other	P4 ~More than \$50,000,000 S ~Assessment W ~Estimated	T ~Cash Market

FINANCIAL DISCLOSURE REPORT

Page 5 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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)
18. -Equifax Inc	A	Dividend	K	T					
19. -Express Scripts Holding Company	A	Dividend	K	T	Sold (part)	9/24/13	J	B	
20. -Exxon Mobil Corporation	A	Dividend	K	T	Sold (part)	10/3/13	J	A	
21. -Franklin Resources	A	Dividend	K	T					
22. -Google Inc	A	Dividend	K	T					
23. -Home Depot Inc	A	Dividend	J	T					
24. -International Business Machines	A	Dividend	J	T	Sold (part)	7/18/13	J	B	
25. -iShares Dow Jones US Home Construction	A	Dividend			Sold	8/15/13	J	A	
26. -Johnson & Johnson	A	Dividend	K	T					
27. -JP Morgan Chase & Co	A	Dividend	K	T					
28. -Juniper Networks Inc	A	Dividend			Sold	4/24/13	J	A	
29. -Kimberly#Clark Corp	A	Dividend	J	T					
30. -McDonalds Corp	A	Dividend	J	T					
31. -Microsoft Corp	A	Dividend	J	T	Sold (part)	4/26/13	J	A	
32. -Nike Inc Class B	A	Dividend	J	T	Sold (part)	9/24/13	J	B	
33. -Norfolk Southern Corp	A	Dividend	J	T	Sold (part)	9/4/13	J	A	
34. -Omnicom Group Inc	A	Dividend	J	T	Sold (part)	9/24/13	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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)

35. -Peabody Energy Corp	A	Dividend	J	T					
36. -Procter & Gamble Co	A	Dividend	J	T	Sold (part)	7/30/13	J	A	
37. -Schlumberger LTD	A	Dividend	K	T					
38. -Sherwin Williams Co	A	Dividend	J	T	Sold (part)	9/24/13	J	C	
39. -Snap#On Inc	A	Dividend	J	T					
40. -Stryker Corp	A	Dividend	J	T					
41. -United Parcel Service Inc	A	Dividend	J	T	Sold (part)	7/15/13	J	A	
42. -Wal#Mart Stores Inc	A	Dividend	J	T					
43. -Wells Fargo & Co	A	Dividend	K	T	Sold (part)	10/7/13	J	A	
44. -iShares Russell 2000 Value Index	A	Dividend	K	T					
45. -iShares S&P SmallCap 600 Index	A	Dividend	L	T	Buy (add'l)	6/7/13	J		
46.					Buy (add'l)	9/6/13	K		
47. -iShares S&P MidCap 400 Growth Index	A	Dividend			Sold	6/18/13	K	A	
48. -SPDR S&P MidCap 400	A	Dividend	L	T	Buy (add'l)	6/18/13	K		
49. -iShares MSCI Canada Index	A	Dividend	K	T					
50. -iShares MSCI EMU Index	A	Dividend	L	T	Buy (add'l)	4/12/13	J		
51.					Buy (add'l)	10/11/13	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 7 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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)

52. -iShares MSCI Germany Index	A	Dividend	K	T	Buy (add'l)	8/5/13	J		
53. -iShares MSCI Pacific exJapan Index	B	Dividend	K	T					
54. -iShares MSCI United Kingdom Index	A	Dividend	K	T	Buy (add'l)	9/24/13	J		
55. -Market Vectors Gold Miners	A	Dividend			Sold	3/4/13	J	B	
56. -Vanguard FTSE All Wld Ex USSml Cap	A	Dividend	K	T	Buy (add'l)	4/25/13	J		
57. -Driehaus Emerging Markets Growth	A	Dividend	K	T	Buy (add'l)	5/7/13	J		
58.					Buy (add'l)	9/24/13	J		
59. -Powershares DWA Emer Mkts Technical Ldrs	A	Dividend	K	T	Buy (add'l)	5/22/13	J		
60. -Vanguard Emerging Market	A	Dividend	K	T	Buy (add'l)	5/10/13	J		
61. -Vanguard IntermedTerm Tax Ex Adm	D	Interest	L	T	Buy (add'l)	4/30/13	J		
62.					Sold (part)	5/22/13	M	D	
63.					Buy (add'l)	5/31/13	J		
64.					Buy (add'l)	6/28/13	J		
65.					Buy (add'l)	7/31/13	J		
66.					Buy (add'l)	8/30/13	J		
67.					Buy (add'l)	9/30/13	J		
68.					Buy (add'l)	10/31/13	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 8 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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)
69.					Buy (add'l)	11/29/13	J		
70.					Buy (add'l)	12/31/13	J		
71. -Vanguard Ltd#Term Tax Ex Adm	B	Interest	N	T	Buy (add'l)	4/30/13	J		
72.					Buy (add'l)	5/31/13	J		
73.					Buy (add'l)	6/28/13	J		
74.					Buy (add'l)	7/31/13	J		
75.					Sold (part)	8/6/13	K	A	
76.					Buy (add'l)	8/30/13	J		
77.					Buy (add'l)	9/30/13	J		
78.					Buy (add'l)	10/31/13	J		
79.					Buy (add'l)	11/29/13	J		
80.					Buy (add'l)	12/31/13	J		
81. -iShares Gold Trust	A	Dividend			Sold	4/15/13	K	B	
82. -PowerShares DB Commodity Index Tracking Fund	A	Dividend	K	T					
83. -Vanguard REIT Index ETF	A	Dividend	K	T	Buy (add'l)	6/14/13	K		
84. Ford Motor	A	Dividend	J	T	Buy	9/20/13	J		
85. General Dynamics Corp	A	Dividend	J	T	Buy	11/15/13	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 9 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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)

86.					Buy (add'l)	12/4/13	J		
87. NASDAQ Stock Market Inc	A	Dividend	J	T	Buy	6/25/13	J		
88.					Buy (add'l)	10/1/13	J		
89. iShares S&P Midcap 400 Growth	B	Dividend	L	T	Buy	8/5/13	K		
90. IQ Hedge Multi-Strategy Tracker	A	Dividend	L	T	Buy	5/29/13	K		
91.					Buy (add'l)	8/27/13	K		
92. New York Life SEP Premium Plus Elite Variable Annuity									
93. -Templeton Investment Counsel In.	A	Int./Div.	K	T					
94. -Templeton Global Advisors	A	Int./Div.	K	T					
95. -MainStay VP Int'l Equity	D	Int./Div.	K	T					
96. -MainStay VP Hi Yd BD	D	Int./Div.	K	T					
97. -Fidelity Contrafund	E	Int./Div.	L	T					
98. -Fidelity VIP Mid Cap SC2	D	Int./Div.	K	T					
99. -MainStay VP U.S. Small Cap	D	Int./Div.	K	T					
100. -MainStay Mid Cap Core	D	Int./Div.	K	T					
101. -MainStay VP MFS Utilities	D	Int./Div.	K	T					
102. Thrivent Municipal Cond Fund-A	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 \$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 10 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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)
103. Thrivent Diversified Income Plus Fund A	A	Dividend	J	T					
104. Pacific Life Insurance Whole Life Policy	A	Interest	J	T					
105. Brokerage Acct #2									
106. -American FD Capital World Growth	B	Dividend	L	T	Sold (part)	11/8/13	J	A	
107.					Sold (part)	12/9/13	J	A	
108. -Northern Calif Pwr Bond	A	Interest	J	T					
109. -Berkshire Hathaway		None	L	T					
110. -Schwab Cash	A	Interest	K	T					
111. IRA # 1 Microsoft	A	Dividend	J	T					
112. IRA # 2									
113. -Schwab Money Market	A	Interest	J	T					
114. --iShares Barclays 1#3 Year Credit Bond	A	Interest	J	T	Sold (part)	4/15/13	J	A	
115. -iShares Barclays Aggregate Bond	A	Interest	J	T	Sold (part)	4/11/13	J	A	
116. -iShares S&P 500 Citigroup Value Index	A	Dividend	J	T	Sold (part)	10/8/13	J	A	
117. -iShares S&P 500 Growth Index	A	Dividend	J	T	Sold (part)	4/8/13	J	A	
118.					Buy (add'l)	10/8/13	J		
119. -iShares S&P MidCap 400 Growth Index	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	

FINANCIAL DISCLOSURE REPORT

Page 11 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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. -SPDR S&P MidCap 400	A	Dividend	J	T	Sold (part)	4/15/13	J	A	
121. -iShares S&P SmallCap 600 Citigroup Growth In	A	Dividend	J	T	Buy (add'l)	4/15/13	J		
122. -iShares Russell 2000 Value Index	A	Dividend			Sold	8/30/13	J	A	
123. -Vanguard FTSE All Wld Ex USSml Cap	A	Dividend	J	T	Buy (add'l)	4/15/13	J		
124. -iShares MSCI Pacific ex#Japan Index	A	Dividend	J	T	Buy (add'l)	4/15/13	J		
125. -Vanguard European Stock	A	Dividend	J	T	Buy (add'l)	4/15/13	J		
126. -Vanguard Emerging Market	A	Dividend	J	T	Buy (add'l)	4/15/13	J		
127. -PowerShares DB -Commodity Index Tracking Fund	A	Dividend	J	T	Buy (add'l)	4/15/13	J		
128.					Sold (part)	7/10/13	J	A	
129. -Vanguard REIT Index ETF	A	Dividend	J	T	Sold (part)	4/15/13	J	A	
130. IQ Hedge Multi-Strategy Tracker	A	Dividend	J	T	Buy	7/10/13	J		
131. iShares S&P SmallCap 600 Index	A	Dividend	J	T	Buy	8/30/13	J		
132. Trust #1									
133. -Schwab Money Market	A	Interest	J	T					
134. -iShares Barclays Intermediate Credit Bond	A	Interest	J	T	Sold (part)	4/15/13	J	A	
135.					Sold (part)	12/31/13	J	A	
136. -iShares Barclays 1#3 Year Credit Bond	A	Interest	J	T	Sold (part)	4/15/13	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	

FINANCIAL DISCLOSURE REPORT

Page 12 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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)
137.					Sold (part)	12/31/13	J	A	
138. -iShares Core Total US Bond	A	Interest	J	T	Sold (part)	4/11/13	J	A	
139. -iShares S&P 500 Value Index	A	Dividend	J	T	Sold (part)	5/1/13	J	A	
140.					Sold (part)	8/5/13	J	A	
141.					Sold (part)	9/23/13	J	A	
142.					Sold (part)	10/8/13	J	A	
143.					Sold (part)	12/31/13	J	A	
144. -iShares S&P 500 Growth Index	A	Dividend	J	T	Sold (part)	4/8/13	J	A	
145.					Sold (part)	5/1/13	J	A	
146.					Sold (part)	8/5/13	J	A	
147.					Buy (add'l)	10/8/13	J		
148.					Sold (part)	12/31/13	J	A	
149. -iShares S&P MidCap 400 Growth Index	A	Dividend	J	T	Sold (part)	7/10/13	J	A	
150.					Sold (part)	7/10/13	J	A	
151. -SPDR S&P MidCap 400	A	Dividend	J	T	Sold (part)	8/5/13	J	A	
152. -iShares S&P SmallCap 600 Citigroup Growth Inde	A	Dividend	J	T	Sold (part)	12/31/13	J	A	
153. -iShares Russell 2000 Value Index	A	Dividend			Sold (part)	8/5/13	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	

FINANCIAL DISCLOSURE REPORT

Page 13 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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.					Sold	8/30/13	J	A	
155. -Vanguard FTSE All Wld Ex USSml Cap	A	Dividend	J	T	Buy	4/15/13	J		
156.					Sold (part)	9/23/13	J	A	
157. -iShares MSCI Pacific exJapan Index	A	Dividend	J	T	Buy	4/15/13	J		
158.					Sold (part)	9/23/13	J	A	
159. -Vanguard European Stock	A	Dividend	J	T	Buy (add'l)	4/15/13	J		
160.					Sold (part)	8/5/13	J	A	
161.					Sold (part)	9/23/13	J	A	
162.					Buy (add'l)	10/8/13	J		
163.					Sold (part)	12/31/13	J	A	
164. -Vanguard Emerging Market	A	Dividend	J	T	Buy (add'l)	4/15/13	J		
165.					Sold (part)	8/5/13	J	A	
166.					Sold (part)	9/23/13	J	A	
167. -PowerShares DB Commodity Index Tracking Fund	A	Dividend	J	T	Buy	4/15/13	J		
168.					Sold (part)	7/10/13	J	A	
169. -Vanguard REIT Index ETF	A	Dividend	J	T					
170. IQ Hedge Multi-Strategy Tracker	A	Dividend	J	T	Buy	7/10/13	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 14 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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)
171. iShares S&P SmallCap 600 Index	A	Dividend	J	T	Buy	8/30/13	J		
172. Trust #2									
173. -Schwab Money Market	A	Interest	J	T					
174. -iShares Barclays 1#3 Year Credit Bond	A	Interest	J	T	Sold (part)	5/15/13	J	A	
175.					Sold (part)	7/10/13	J	A	
176.					Sold (part)	12/31/13	J	A	
177. -iShares Barclays Intermediate Credit Bond	A	Interest	J	T	Sold (part)	4/15/13	J	A	
178.					Sold (part)	12/31/13	J	A	
179. -iShares Barclays Total US Bond Market	A	Interest	J	T	Sold (part)	4/11/13	J	A	
180.					Sold (part)	9/3/13	J	A	
181. -iShares S&P 500 Citigroup Value Index	A	Dividend	J	T	Sold (part)	4/8/13	J	A	
182.					Sold (part)	5/7/13	J	A	
183.					Sold (part)	9/3/13	J	A	
184.					Buy (add'l)	10/8/13	J		
185.					Sold (part)	12/31/13	J	A	
186. -iShares S&P 500 Growth Index	A	Dividend	J	T	Sold (part)	4/8/13	J	A	
187.	A	Dividend	J	T	Sold (part)	5/7/13	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	

FINANCIAL DISCLOSURE REPORT

Page 15 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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)
188.	A	Dividend	J	T	Sold (part)	9/3/13	J	A	
189.	A	Dividend	J	T	Buy (add'l)	10/8/13	J		
190.	A	Dividend	J	T	Sold (part)	12/31/13	J	A	
191. iShares MidCap 400 Growth	A	Dividend	J	T	Buy (add'l)	4/15/13	J		
192.					Sold (part)	7/10/13	J	A	
193.					Sold (part)	12/31/13	J	A	
194. -SPDR S&P MidCap 400	A	Dividend	J	T	Sold (part)	12/31/13	J	A	
195.					Sold (part)	12/31/13	J	A	
196. -iShares S&P SmallCap 600 Citigroup Growth Ind	A	Dividend	J	T	Buy (add'l)	4/15/13	J		
197.					Sold (part)	5/7/2013	J	A	
198.					Sold (part)	12/31/13	J	A	
199. iShares Russell 2000 Value	A	Dividend			Buy	4/15/13	J		
200.					Sold	8/30/13	J	A	
201. -iShares MSCI Pacific ex#Japan Index	A	Dividend	J	T	Buy	4/15/13	J		
202.					Sold (part)	5/7/13	J	A	
203.					Buy (add'l)	7/10/13	J		
204.					Sold (part)	10/8/13	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		

FINANCIAL DISCLOSURE REPORT

Page 16 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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)
205.					Sold (part)	12/31/13	J	A	
206. -Vanguard FTSE All Wld Ex USSml Cap	A	Dividend	J	T					
207. -Vanguard European Stock	A	Dividend	J	T	Buy	4/15/13	J		
208.					Sold (part)	5/7/13	J	A	
209.					Buy (add'l)	7/10/13	J		
210.					Sold (part)	9/3/13	J	A	
211.					Buy (add'l)	10/8/13	J		
212.					Sold (part)	12/31/13	J	A	
213. -Vanguard Emerging Market	A	Dividend	J	T	Buy	4/15/13	J		
214.					Sold (part)	5/7/13	J	A	
215.					Buy (add'l)	7/10/13	J		
216.					Sold (part)	9/3/13	J	A	
217.					Sold (part)	12/31/13	J	A	
218. -PowerShares DB Commodity Index Tracking Fund	A	Dividend	J	T	Buy (add'l)	4/15/13	J		
219.					Sold (part)	7/10/13	J	A	
220.					Sold (part)	12/31/13	J	A	
221. -Vanguard REIT Index ETF	A	Dividend	J	T	Sold (part)	12/31/13	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	

FINANCIAL DISCLOSURE REPORT

Page 17 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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)
222. iShares S&P SmallCap 600 Index	A	Dividend	J	T	Buy	8/30/13	J		
223.					Sold (part)	10/8/13	J	A	
224.					Sold (part)	12/31/13	J	A	
225. IQ Hedge Mult-Strategy Tracker	A	Dividend	J	T	Buy	7/10/13	J		
226. Trust #3									
227. -Schwab Money Market	A	Interest	J	T					
228. -iShares Barclays Intermediate Credit Bond	A	Interest			Sold	4/15/13	J	A	
229. -iShares Barclays 1#3 Year Credit Bond	A	Interest	J	T	Sold (part)	4/15/13	J	A	
230. -iShares Barclays Aggregate Bond	A	Interest			Sold	6/12/13	J	A	
231. -iShares S&P 500 Citigroup Value Index	A	Dividend			Sold (part)	6/4/13	J	A	
232.					Sold (part)	7/25/13	J	A	
233.					Sold (part)	10/8/13	J	A	
234.					Sold	12/2/13	J	A	
235. -iShares S&P 500 Growth Index	A	Dividend	K	T	Sold (part)	4/8/13	J	A	
236.					Sold (part)	7/10/13	J	A	
237.					Sold (part)	7/25/13	J	A	
238.					Buy (add'l)	10/8/13	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 H = \$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 18 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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)

239.					Sold (part)	12/2/13	J	A	
240. -iShares S&P MidCap 400 Growth Index	A	Dividend	J	T	Sold (part)	10/8/13	J	A	
241. -SPDR S&P MidCap 400	A	Dividend	J	T	Sold (part)	4/15/13	J	A	
242.					Sold (part)	7/25/13	J	A	
243. -iShares S&P SmallCap 600 Citigroup Growth Inde	A	Dividend	J	T	Buy (add'l)	4/15/13	J		
244. Citigroup Growth Inde	A	Dividend			Sold	7/25/13	J	A	
245. -iShares Russell 2000 Value Index	A	Dividend			Sold	7/25/13	J	A	
246. -Vanguard FTSE All Wld Ex USSml Cap	A	Dividend	J	T	Buy (add'l)	4/15/13	J		
247.					Sold (part)	12/2/13	J	A	
248. -iShares MSCI Pacific ex#Japan Index	A	Dividend	J	T	Buy (add'l)	4/15/13	J		
249.					Sold (part)	10/8/13	J	A	
250. -Vanguard European Stock	A	Dividend	J	T	Buy (add'l)	4/15/13	J		
251.					Sold (part)	7/25/13	J	A	
252.					Sold (part)	12/2/13	J	A	
253. -Vanguard Emerging Market	A	Dividend	J	T	Buy (add'l)	4/15/13	J		
254.					Buy (add'l)	7/10/13	J		
255.					Sold (part)	9/3/13	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		

FINANCIAL DISCLOSURE REPORT

Page 19 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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.					Sold (part)	12/2/13	J	A	
257. -PowerShares DB Commodity Index Tracking Fund	A	Dividend	J	T	Buy (add'l)	4/15/13	J		
258. Commodity Index Tracking Fund	A	Dividend	J	T	Sold (part)	7/10/13	J	A	
259. -Vanguard REIT Index ETF	A	Dividend	J	T	Sold (part)	4/15/13	J	A	
260. iShares Core Total US Bond Market	A	Interest	J	T	Buy	7/25/13	J		
261. PowerShares DB Bullish Fund		None			Buy	04/15/13	J		
262.					Sold	7/10/13	J	A	
263. iShares S&P SmallCap 600 Index	A	Dividend			Buy	8/30/13	J		
264.					Sold	12/2/13	J	A	
265. IQHedge Multi-Strategy Tracker	A	Dividend	J	T	Buy	7/10/13	J		
266. Trust #4									
267. -Schwab Money Market	A	Interest	J	T					
268. -WisdomTree Emerging Markets Local Debt	A	Interest			Sold (part)	5/1/13	J	A	
269. -WisdomTree Emerging Markets					Sold	8/13/13	J	A	
270. -Powershares High Yield Corp Bond	A	Dividend	J	T	Sold (part)	4/22/13	J	A	
271. -iShares Barclays 3#7 Yr Treasury Bond	A	Interest	J	T	Sold (part)	04/10/13	J	A	
272. -iShares Barclays Intermediate Credit Bond	A	Interest	J	T	Sold (part)	5/1/13	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	

FINANCIAL DISCLOSURE REPORT

Page 20 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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. -Vanguard Mortgagebacked Securities Index ETF	A	Dividend	J	T	Sold (part)	4/9/13	J	A	
274. -iShares Dow Jones US Home Construction	A	Dividend	J	T	Sold (part)	8/15/13	J	A	
275. -iShares Dow Jones US (Vanguard) Telecommunications Sector I	A	Dividend	J	T	Buy	3/18/13	J		
276. -First Trust Materials Alphadex	A	Dividend	J	T					
277. -SPDR Consumer Staples Select Sector	A	Dividend	J	T					
278. -SPDR Health Care Select Sector	A	Dividend	J	T	Buy	5/1/13	J		
279.					Sold (part)	7/10/13	J	A	
280.					Sold (part)	10/8/13	J	A	
281. -SPDR Consumer Discretionary Select Sector	A	Dividend	J	T	Sold (part)	5/1/13	J	A	
282. -SPDR Energy Select Sector	A	Dividend	J	T	Sold (part)	5/1/13	J	A	
283.					Sold (part)	10/8/13	J	A	
284. -Rydex S&P Equal Weight Financial	A	Dividend			Sold (part)	5/1/13	J	A	
285.					Sold	10/21/13	J	A	
286. -SPDR Industrial Select Sector	A	Dividend	J	T	Sold (part)	10/8/13	J	A	
287. -iShares Goldman Sachs Technology Index	A	Dividend			Sold (part)	07/10/13	J	A	
288.					Sold	10/8/13	J	A	
289. -iShares S&P MidCap 400 Growth Index	A	Dividend	J	T	Buy	5/1/13	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 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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. -SPDR S&P MidCap 400	A	Dividend	J	T	Sold (part)	10/21/13	J	A	
291. -iShares Russell 2000 Value Index	A	Dividend			Sold	9/5/13	J	A	
292. -iShares S&P SmallCap 600 Citigroup Growth Index	A	Dividend	J	T	Sold (part)	7/10/13	J	A	
293. Citigroup Growth		None			Sold	10/21/13	J	A	
294. -Market Vectors Gold Miners	A	Dividend			Sold	3/25/13	J	A	
295. -Market Vectors Junior Gold Miners	A	Dividend			Sold	3/4/13	J	A	
296. -iShares MSCI Germany Index	A	Dividend	J	T					
297. -Vanguard FTSE All Wld Ex USSml Cap	A	Dividend	J	T	Buy	4/25/13	J		
298. -iShares MSCI Canada Index	A	Dividend	J	T					
299. -iShares MSCI EMU Index	A	Dividend	J	T	Buy	4/12/13	J		
300.					Buy (add'l)	10/8/13	J		
301. -iShares MSCI Pacific ex#Japan Index	A	Dividend	J	T	Buy (add'l)	7/10/13	J		
302. -iShares MSCI Pacific ex#Japan	A	Dividend	J	T	Sold (part)	10/8/13	J	A	
303. -iShares MSCI United Kingdom Index	A	Dividend	J	T	Buy (add'l)	10/8/13	J		
304. -Powershares DWA Emer Mkts Technical Ldrs	A	Dividend	J	T	Buy	3/6/13	J		
305. -Vanguard Emerging Market	A	Dividend	J	T	Buy (add'l)	5/1/13	J		
306.					Buy (add'l)	7/10/13	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 22 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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.					Sold (part)	10/21/13	J	A	
308. -iShares Gold Trust	A	Dividend			Sold	4/15/13	J	A	
309. -PowerShares DB Commodity Index Tracking Fund	A	Dividend	J	T					
310. -Vanguard REIT Index ETF	A	Dividend	J	T					
311. -Powershares DB US Dlr Index Tr		None			Buy	3/4/13	J		
312.					Sold	8/14/13	J	A	
313. -Wasatch Long/Short	A	Dividend	J	T					
314. -AQR N Managed Futures	A	Dividend	J	T					
315. IQ Hedge Multi Strategy Tracker	A	Dividend	K	T	Sold (part)	10/21/13	J	A	
316.					Buy (add'l)	7/10/13	J		
317. First Trust Dow Jones Internet Index	A	Distribution	J	T	Buy	8/16/13	J		
318. iShares Dow Jones US Aerospace & Def	A	Distribution	J	T	Buy	11/6/13	J		
319. PowerShares Dynamic Media Portfolio	A	Distribution	J	T	Buy	5/1/13	J		
320. AQR Diversified Arbitrage I	A	Distribution	J	T	Buy	9/15/13	J		
321. iShares S&P SmallCap 600 Index	A	Distribution	J	T	Buy	9/5/13	J		
322. iShares Nasdaq ETF BioTech		None	J	T	Buy	6/5/13	J		
323. SPDR S&P Insurance ETF		None	J	T	Buy	3/25/13	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 23 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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.									
325.									
326.									
327.									

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 24 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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

FINANCIAL DISCLOSURE REPORT

Page 25 of 25

Name of Person Reporting

Carman, Mark L.

Date of Report

09/19/2014

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/ **Mark L. Carman**

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