

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) Wardlaw, Kim M.	2. Court or Organization NINTH CIRCUIT COURT OF APPEALS	3. Date of Report 07/17/2014
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. CIRCUIT JUDGE - ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2013 to 12/31/2013
7. Chambers or Office Address U.S. COURT OF APPEALS 125 S. GRAND AVENUE PASADENA, CA 91105		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

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

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

☒ NONE (No reportable agreements.)

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

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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.)*

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		
2.		
3.		
4.		

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

DATE	SOURCE AND TYPE
1.	
2.	
3.	
4.	

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

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1.				
2.				
3.				
4.				
5.				

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
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.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.	CitiBank	Line of Credit	PI
2.			
3.			
4.			
5.			

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. ROTH IRA									
2. CAPITAL GROUP (formerly American Funds) CORE BOND FUND	D	Dividend	N	T					
3. CAPITAL GROUP (formerly American Funds) WORLD GROWTH & INCOME FD CL F2	E	Dividend	O	T					
4. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F2	D	Dividend	O	T	Sold (part)	01/25/13	J	A	
5.					Sold (part)	04/25/13	J	A	
6.					Sold (part)	07/25/13	J	A	
7.					Sold (part)	10/24/13	J	A	
8. SSGA US Gov Money Market Fund	A	Dividend	J	T					
9. Schwab Pension Acct (IRA)									
10. Abbott Labs Com Stock	A	Dividend	K	T	Buy	09/09/13	J		Abbvie spinoff from Abbott
11. Abbvie	A	Dividend	K	T	Spinoff (from line 10)	01/02/13	K		Spinoff from Abbott
12. American Express Com Stock	A	Dividend	K	T					
13. Apache Corp Com Stock	A	Dividend	K	T					
14. Apple Corp Com Stock	A	Dividend	K	T					
15. Barrick Gold Corp	A	Dividend			Sold	10/30/13	J		
16. Berkshire Hathaway		None	K	T					

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	F ~\$50,001 - \$100,000 J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$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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17. BHP Billiton Com Stock	A	Dividend	K	T					
18. Blackrock Inc Com Stock	B	Dividend	K	T					
19. Broadcom Corp Com Stock	A	Dividend			Sold	10/24/13	J		
20. Cerner Corp Com Stock		None	K	T					
21. Chevron Corp Com Stock	B	Dividend	K	T					
22. Citicorp	A	Dividend	K	T	Buy	09/27/13	K		
23. Colgate-Palmolive Com Stock	A	Dividend	K	T					
24. Conocophillips Com Stock	B	Dividend	K	T	Buy	02/05/13	J		
25. Cummins Inc.	A	Dividend	K	T					
26. CVS Caremark	A	Dividend	K	T	Buy	09/27/13	K		
27. Danaher Corp Com Stock	A	Dividend	K	T	Sold (part)	09/24/13	J	D	
28. The Walt Disney Co. Com Stock	A	Dividend	K	T					
29. DuPont Co Com Stock	A	Dividend	K	T					
30. EMC Corp Com Stock	A	Dividend	K	T					
31. GE Com Stock	B	Dividend	K	T	Sold (part)	10/30/13	J	C	
32. Google Inc Com Stock		None	K	T	Sold (part)	09/24/13	J	C	
33. IBM Com Stock	A	Dividend	K	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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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34. Intel Corp Com Stock	A	Dividend	K	T					
35. Intuit Inc	A	Dividend	K	T					
36. JP Morgan Chase Com Stock	A	Dividend	K	T					
37. Lowes Companies	A	Dividend	K	T	Sold (part)	09/24/13	K	D	
38. Mead Johnson	A	Dividend			Sold	05/21/13	K	C	
39. Merck & Co Com Stock	B	Dividend	K	T					
40. Nextera Energy	B	Dividend	K	T	Sold (part)	10/30/13	J	C	
41. Nike Inc Com Stock	A	Dividend	K	T					
42. Novo - Nordisk	A	Dividend	K	T	Buy	05/24/13	K		
43. Oracle Corp	A	Dividend	K	T					
44. Pepsico Inc Com Stock	B	Dividend	K	T					
45. Proctor & Gamble Com Stock	A	Dividend	K	T					
46. Qualcomm Inc. Com Stock	A	Dividend	K	T					
47. Roche Hldg Ltd	B	Dividend	K	T	Sold (part)	02/25/13	J	C	
48. Schlumberger Ltd	A	Dividend	K	T					
49. Sempra Energy Com Stock	B	Dividend	K	T	Sold (part)	10/30/13	J	D	
50. Target Corp Com Stock	A	Dividend	K	T					

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51. Teva Pharm ADR Com Stock	A	Dividend			Sold	09/24/13	K	A	
52. Union Pacific Corp Com Stock	A	Dividend	K	T	Sold (part)	09/24/13	J	C	
53. Verizon Com Stock	B	Dividend	K	T					
54. 1 Shares MSCI Brazil Index	A	Dividend			Sold	09/24/13	J		
55. 1Shares MSCI Index Fund	D	Dividend	M	T	Sold (part)	10/30/13	K	C	
56. 1Shares Small Cap Index Fund	B	Dividend	L	T	Sold (part)	10/30/13	K	D	
57. Vanguard Emerging Market Fund	B	Dividend	L	T	Buy	11/04/13	K		
58. CAPITAL TRUST ACCOUNT									
59. ABBVIE INC	A	Dividend	K	T	Buy	07/12/13	J		
60.					Buy	07/15/13	J		
61.					Buy	12/20/13	J		
62. ACCENTURE PLC USS	A	Dividend	K	T					
63. ACE LTD	A	Dividend	L	T	Buy	12/10/13	J		
64.					Buy	12/11/13	J		
65.					Sold (part)	02/11/13	J	B	
66. AFLAC INC	A	Dividend			Sold (part)	03/15/13	J	B	
67.					Sold (part)	03/18/13	J	B	

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68.					Sold	04/26/13	J	B	
69. AGILENT TECHNOLOGIES INC	A	Dividend			Sold	08/02/13	J	D	
70. AIR PRODUCTS & CHEMICALS	B	Dividend	L	T					
71. ALEGHENY TECHNOLOGIES INC	A	Dividend	K	T	Buy	06/26/13	J		
72.					Buy	06/27/13	J		
73. ALLERGAN INC	A	Dividend	K	T	Sold (part)	06/03/13	J	D	
74.					Sold (part)	06/04/13	J	D	
75.					Sold (part)	06/06/13	J	C	
76. AMERICAN TOWER CORP	A	Dividend	L	T	Buy	11/01/13	J		
77. AON PLC	A	Dividend	K	T					
78. APPLE INC	B	Dividend	L	T	Buy	02/08/13	J		
79. AUTOMATIC DATA PROCESSING INC	A	Dividend	K	T	Buy	08/13/13	J		
80.					Buy	08/14/13	J		
81.					Buy	09/06/13	J		
82. AVAGO TECHNOLOGIES LTD	A	Dividend	K	T	Buy	10/21/13	J		
83.					Buy	10/22/13	J		
84. BARRICK GOLD	A	Dividend			Sold (part)	06/18/13	J	A	

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85.					Sold	09/18/13	J	A	
86. BAY AREA TOLL AUTH 06C2 CA VAR 04/01/45	C	Interest	M	T					
87. BB & T CORP	B	Dividend	L	T					
88. B/E AEROSPACE		None	L	T	Buy	07/09/13	J		
89.					Buy	07/10/13	J		
90.					Buy	07/11/13	J		
91.					Buy	07/18/13	J		
92.					Buy	07/22/13	J		
93. BEAM INC	A	Dividend	L	T					
94. BLACKROCK INC	B	Dividend	L	T					
95. BOEING CO	A	Dividend	L	T	Buy	05/24/13	J		
96.					Buy	06/10/13	J		
97.					Buy	06/26/13	J		
98. BRISTOL-MYERS SQUIBB CO	C	Dividend	M	T					
99. BROADCOM CORP	A	Dividend	K	T	Buy	02/11/13	J		
100.					Buy	02/12/13	J		
101.					Sold (part)	11/04/13	K	A	

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102. CA ED FAC UNIV OF SAN FRANCISCO 5.0% 10/01/21	C	Interest	M	T					
103. CAE INC US	A	Dividend			Sold (part)	10/11/13	J	A	
104.					Sold (part)	10/22/13	J	A	
105.					Sold (part)	10/23/13	J	A	
106.					Sold (part)	10/23/13	J	A	
107.					Sold	10/24/13	J	A	
108. CA HLTH FAC CEDAR-SINAI MED 5.0% 8/15/21	D	Interest	M	T					
109. CA PUB WKS REGENTS UNIV CA C1 5.0% 03/01/19	D	Interest	M	T					
110. CA ST ECON REC 09A 5.0% 07/01/20	C	Interest	M	T					
111. CA ST GO 5.0% 02/01/20	C	Interest	M	T					
112. CA ST GO NATL 5.0% 06/01/15	D	Interest	M	T					
113. CA ST JOSEPHS HLTH HOSP CA-F AGM 5.25% 07/11/16	D	Interest	M	T					
114. CA ST UNIV SYSTEMWIDE REV SER A AMBAC 5.0% 11/01/17	C	Interest	M	T					
115. CA STWD ST JOSEPH HLTH FSA 4.5% 07/01/18	D	Interest	M	T					
116. CALIFORNIA ST ECON REC 09A 5% 07/01/19	C	Interest	M	T					
117. CARNIVAL CORP COMMON PAIRED STOCK	B	Dividend	L	T	Sold (part)	05/01/13	J	A	
118. CATERPILLAR INC	A	Dividend	K	T					

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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)
119. CENOVUS ENERGY INC US\$	B	Dividend			Sold (part)	10/28/13	K	B	
120.					Sold (part)	12/11/13	J	A	
121.					Sold (part)	12/11/13	J	A	
122.					Sold (part)	12/12/13	J	A	
123.					Sold (part)	12/12/13	J	A	
124.					Sold (part)	12/13/13	J	A	
125.					Sold (part)	12/16/13	J	A	
126.					Sold (part)	12/17/13	J	A	
127.					Sold	12/18/13	J	A	
128. CENTRAL VLY COGEN CARSON-ICE 3.5% 07/01/14	D	Interest	M	T					
129. CENTENE CORP		None	L	T					
130. CERNER CORP		None	K	T	Sold (part)	02/07/13	J	C	
131. CLEARWATER FL WTR/SWR B 5.0% 12/01/18	D	Interest	M	T					
132. CHARTER COMMUNICATIONS INC CL		None	K	T	Buy	06/19/13	K		
133. CHEVRON CORP	B	Dividend	L	T					
134. CME GROUP INC	B	Dividend	L	T					
135. COACH INC	B	Dividend	L	T	Buy	02/27/13	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	

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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)
136.					Buy	03/04/13	J		
137.					Buy	03/21/13	J		
138.					Buy	03/26/13	J		
139. COBALT INTERNATIONAL ENERGY		None	J	T	Sold (part)	12/11/13	J	A	
140. COMCAST CORP CL A (NEW)	B	Dividend	M	T					
141. CONOCOPHILLIPS	B	Dividend	K	T					
142. DAIMLER AG ADR		None	K	T	Buy	07/15/13	J		
143.					Buy	10/17/13	J		
144. DANAHER CORP	A	Dividend	L	T					
145. DARDEN RESTAURANTS INC	B	Dividend	K	T	Sold (part)	04/30/13	K	A	
146. DELPHI AUTOMOTIVE PLC	A	Dividend	J	T	Buy	07/03/13	J		
147. DIAGEO PLC SPONSORED ADR	A	Dividend	J	T					
148. DOW CHEMICAL CO	A	Dividend	K	T					
149. DRILL-QUIP		None			Sold (part)	07/11/13	J	C	
150.					Sold (part)	07/16/13	J	C	
151.					Sold (part)	07/23/13	J	C	
152.					Sold	07/31/13	J	B	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,001 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)
153. EAST BAY CA SER A1 SF VAR 06/01/2025	A	Interest	J	T					
154. EATON CORP PLC	C	Dividend	J	T					
155. EBAY		None			Donated				
156. ECOLAB INC	A	Dividend			Sold (part)	07/01/13	K	D	
157.					Sold	07/02/13	K	D	
158. EMERSON ELECTRIC CO	A	Dividend	K	T	Sold (part)	10/21/13	J	C	
159.					Sold (part)	10/22/13	J	B	
160. ENCANA CORP COM US\$		None			Sold (part)	01/11/13	J	A	
161.					Sold (part)	01/14/13	J	A	
162.					Sold (part)	01/14/13	J	A	
163.					Sold (part)	01/15/13	J	A	
164.					Sold (part)	01/16/13	J	A	
165.					Sold (part)	01/17/13	J	A	
166.					Sold (part)	01/17/13	J	A	
167.					Sold	01/18/13	J	A	
168. ENSCO PLC-CL A	B	Dividend	K	T	Buy	02/20/13	J		
169. EOG RESOURCES INC	A	Dividend	K	T	Sold (part)	02/08/13	J	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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Name of Person Reporting

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)
170. AMERICAN FUNDS EUROPACIFIC GROWTH FUND	E	Dividend	P1	T	Buy	12/26/13	K		
171. GENERAL ELECTRIC	A	Dividend			Sold	07/12/13	K	B	
172. GENPACT LTD		None	K	T					
173. GILEAD SCIENCES		None	M	T	Sold (part)	04/30/13	J	D	
174. GOLDMAN SACHS GROUP INC	A	Dividend	L	T	Buy	01/07/13	J		
175.					Buy	02/11/13	J		
176. GOOGLE		None	L	T					
177. GUAM BUS PRIVILEGE TAX 11A 5.0% 01/01/18	D	Interest	M	T					
178. HALLIBURTON	A	Dividend	L	T	Buy	01/11/13	J		
179.					Buy	06/26/13	J		
180.					Buy	06/28/13	J		
181.					Buy	07/01/13	J		
182. HARRIS CO TX CHRISTUS HLTH A4 FSA ARC SF	A	Interest			Sold	11/27/13	M	A	
183. HEXCEL CORP		None	K	T	Buy	09/17/13	J		
184.					Buy	09/18/13	J		
185. HOME DEPOT INC	B	Dividend	M	T	Sold (part)	10/21/13	J	B	
186. IDEX CORP	A	Dividend	J	T	Buy	02/25/13	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	
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Name of Person Reporting

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187. INTERNATIONAL BUSINESS MACHINES CORP	A	Dividend			Sold (part)	07/11/13	K	E	
188.					Sold	07/12/13	K	E	
189. IRON MOUNTAIN INC	B	Dividend	K	T					
190. IRONWOOD PHARMACEUTICALS INC CL A		None	J	T	Buy	01/29/13	J		
191.					Buy	01/30/13	J		
192.					Buy	01/31/13	J		
193.					Buy	02/01/13	J		
194.					Buy	02/04/13	J		
195.					Buy	02/05/13	J		
196.					Buy	02/11/13	J		
197.					Buy	02/21/13	J		
198.					Buy	02/22/13	J		
199.					Buy	02/27/13	J		
200.					Buy	03/05/13	J		
201.					Buy	03/18/13	J		
202.					Buy	03/20/13	J		
203.					Buy	05/16/13	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
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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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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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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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204.					Buy	05/20/13	J		
205.					Sold (part)	11/06/13	J	A	
206. ISHARES US PREFERRED STOCK ETF	B	Dividend			Sold (part)	02/08/13	L	B	
207.					Sold	03/26/13	K	A	
208. JABIL CIRCUIT INC	A	Dividend	K	T					
209. JACK HENRY & ASSOC INC	B	Dividend	L	T					
210. JP MORGAN CHASE & CO	B	Dividend	L	T					
211. KINDER MORGAN INC	B	Dividend			Sold (part)	10/14/13	K	A	
212.					Sold	10/14/13	J	A	
213. KLA-TENCOR CORP	A	Dividend			Sold (part)	10/21/13	J	D	
214.					Sold (part)	10/21/13	J	C	
215.					Sold (part)	10/22/13	J	C	
216.					Sold	10/23/13	J	C	
217. LA CO CA MTA SALES TAX REV D 5.0% 07/01/16	C	Interest			Sold	04/16/13	M	D	
218. MARSH & MCLENNAN COS INC	B	Dividend	L	T					
219. MICROSOFT CORP	B	Dividend	K	T	Sold (part)	01/10/13	J	A	
220.					Sold (part)	03/19/13	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 \$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

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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)
221. MOSANTO CO NEW COM	B	Dividend	L	T	Sold (part)	07/01/13	J	C	
222.					Sold (part)	07/02/13	J	C	
223. MOSAIC CO/THE	A	Dividend	K	T	Buy	07/11/13	J		
224.					Sold (part)	12/12/13	J	A	
225.					Sold (part)	12/13/13	J	A	
226. NATIONAL GRID PLC - SP ADR	B	Dividend	K	T					
227. AMERICAN FUNDS NEW WORLD FUND CL F2	D	Dividend	O	T	Buy	12/26/13	J		
228. NEWELL RUBBERMAID INC	B	Dividend	M	T	Buy	01/10/13	J		
229. NIELSON HOLDINGS NV US\$	B	Dividend	M	T	Buy	08/02/13	J		
230.					Buy	08/05/13	J		
231.					Buy	08/22/13	J		
232.					Buy	08/23/13	J		
233.					Buy	08/26/13	J		
234. NIKE INC CL B	A	Dividend	K	T	Buy	01/10/13	J		
235.					Buy	02/12/13	J		
236. NOBLE ENERGY	A	Dividend	L	T	Buy	06/07/13	J		
237. NORFOLD SOUTHERN CORP	B	Dividend	L	T	Buy	02/11/13	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	
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Name of Person Reporting

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238. NOVO NORDISK A/S CL B ADR	A	Dividend	K	T					
239. NUCOR CORP	A	Dividend	K	T					
240. ORACLE CORP	A	Dividend	L	T	Sold (part)	02/11/13	J	A	
241. OR PROVIDENCE HLTH C SIFMA+100 FRN (MPT)	A	Interest	M	T	Buy	09/12/13	L		
242. PEPSICO INC	A	Dividend	K	T	Sold (part)	02/11/13	J	B	
243. PFIZER INC	A	Dividend	K	T	Sold (part)	02/13/13	J	B	
244. PHILIP MORRIS INTERNATIONAL INC	B	Dividend	K	T	Sold (part)	03/13/13	J	B	
245.					Sold (part)	03/14/13	J	C	
246. PROCTER & GAMBLE CO	A	Dividend	K	T	Buy	03/12/13	J		
247.					Buy	03/13/13	J		
248.					Buy	05/15/13	J		
249.					Buy	05/16/13	J		
250. PROGRESSIVE CORP OHIO	A	Dividend	J	T	Sold (part)	09/11/13	K	D	
251. QUALCOMM INC	A	Dividend	K	T	Sold (part)	02/08/13	J	B	
252. REPUBLIC SERVICES INC	A	Dividend			Sold (part)	10/16/13	K	B	
253.					Sold	10/17/13	J	A	
254. RIO TINTO PLC ADR SPON	A	Dividend			Sold	06/10/13	J	C	

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

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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)

255. ROSS STORES	A	Dividend	L	T	Buy	09/11/13	J		
256.					Buy	09/12/13	J		
257.					Buy	09/13/13	J		
258.					Buy	09/16/13	J		
259.					Buy	10/03/13	J		
260.					Buy	10/04/13	J		
261.					Buy	10/08/13	J		
262.					Buy	10/29/13	J		
263. SAN DIEGO CA REGL AIRPORT A 5.0% 07/01/18	C	Interest	M	T					
264. SAN DIEGO WTR 5.0% 07/01/16	C	Interest	M	T					
265. SAN DIEGO WTR NATL FGIC 5.25% 05/01/17	D	Interest	M	T					
266. SAN FRAN ARPT 2ND 06F NATL-FGIC 5.25% 05/01/20	D	Interest	M	T					
267. SCHLUMBERGER LTD	B	Dividend	L	T	Sold (part)	10/24/13	J		
268. SCHWAB CHARLES NEW	A	Dividend	K	T					
269. SCPPA MAGNOLIA PWR 11-A 5.00% 07/01/20	C	Interest	M	T					
270. SCPPA MEAD-ADELANTO 12A 5.0% 07/01/18	D	Interest	M	T					
271. SCRIPPS NETWORKS INTERACTIVE CL A	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 \$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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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)

272. SEATTLE GENETICS INC		None	L	T					
273. SIEMENS AG ADR		None	K	T	Buy	07/15/13	K		
274. SIGNET JEWELERS LTD	A	Dividend	K	T					
275. SIRIUS XM HOLDINGS INC		None	K	T	Buy	04/24/13	K		
276. SO CA PUB PWR AUTH SF 6.0% 07/01/27	D	Interest			Sold	11/29/13	M	E	
277. STANLEY BLACK & DECKER INC	A	Dividend			Sold (part)	04/05/13	J	B	
278.					Sold (part)	04/08/13	J	B	
279.					Sold (part)	04/08/13	J	B	
280.					Sold (part)	04/09/13	J	B	
281.					Sold (part)	04/10/13	J	C	
282.					Sold (part)	04/11/13	J	C	
283.					Sold	04/25/13	J	A	
284. STARBUCKS CORP	A	Dividend	K	T					
285. TARGET	A	Dividend	K	T	Sold (part)	05/13/13	J	C	
286.					Sold (part)	08/14/13	J	D	
287.					Sold (part)	08/15/13	J	B	
288. TE CONNETIVITY LTD US\$	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 \$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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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)
289. TEXAS INSTRUMENTS INC	B	Dividend	L	T	Buy	03/15/13	K		
290. THE WALT DISNEY CO		None			Sold	10/21/13	J	C	
291. TIFFANY & CO NEW	B	Dividend	L	T	Sold (part)	08/23/13	J	C	
292.					Sold (part)	08/23/13	J	C	
293.					Sold (part)	08/26/13	J	C	
294. TIME WARNER CABLE INC	A	Dividend			Sold (part)	05/06/13	J	C	
295.					Sold	05/07/13	J	C	
296. TOWERS WATSON & COMPANY CL A		None	K	T	Buy	07/20/13	K		
297. TUOLOMNE WIND REV CA TURLOCK IRR DT 5.25% 01/01/24	D	Interest	M	T					
298. UC REGENTS CA LTD PROJ 12G 5.0% 05/15/22	D	Interest	M	T					
299. UNION PACIFIC CORP	A	Dividend			Sold	02/08/13	J	D	
300. UNITED PARCEL SERVICE		None			Sold	01/14/13	J	B	
301. UNITED TECHNOLOGIES CORP	B	Dividend	L	T					
302. UNITED HEALTH GROUP	A	Dividend	K	T	Sold (part)	02/11/13	J	D	
303. VERISIGN INC		None	L	T	Buy	02/08/13	K		
304. VERIZON		None	K	T	Buy	10/25/13	K		
305. VISA	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
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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)
306. WASTE CONNECTIONS INC	A	Dividend	K	T	Buy	05/10/13	K		
307. SSGA US GOV MONEY MARKET FUND	A	Dividend	N	T					
308. TRUST #2 (4306)									
309. CAPITAL GROUP ALTERNATIVE STRATEGIES FUND, LP		None	O	T	Buy	12/24/13	N		
310. CAPITAL GROUP (formerly American Funds) CA CORE MUNICIPAL FUND	D	Dividend	N	T	Sold (part)	04/25/13	J		
311.					Sold (part)	07/25/13	J		
312.					Sold (part)	10/24/13	J		
313.					Sold (part)	12/18/13	N		
314. CAPITAL GROUP (formerly American Funds) CORE MUNICIPAL FUND	D	Dividend	M	T	Sold (part)	12/18/13	M		
315. AMERICAN FUNDS CAPITAL INCOME BUILDER CL F2	D	Dividend	N	T					
316. AMERICAN FUNDS EUROPACIFIC GROWTH FUND CL F2	B	Dividend	M	T					
317. AMERICAN FUNDS FUNDAMENTAL INVESTORS CL F2	D	Dividend	O	T					
318. AMERICAN FUNDS GROWTH FUND OF AMERICA F2	B	Dividend	N	T	Buy	02/01/13	M		
319. AMERICAN FUNDS INVESTMENT COMPANY OF AMERICA CL F2	C	Dividend	M	T					
320. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F2	C	Dividend	N	T	Buy	02/01/13	M		
321. AMERICAN FUNDS NEW WORLD FUND CL F2	C	Dividend	N	T					
322. AMERICAN FUNDS SMALL CAP FUND CL F2		None	L	T					

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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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	(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)

323. SSGA US GOVT MONEY MARKET FUND	A	Dividend	N	T					
324. MS Brokerage Asset Acct.									
325. Alhambra CA Sch Dist 3.0% 8/1/26	C	Interest	L	T					
326. Alvord CA Sch Dist 5.0% 8/1/27	D	Interest			Distributed	03/18/13	N		to Citi Account
327. Aruba Network Service (X)		None	L	T					
328. Banning CA Sch Dist. 4.75% 8/1/23	B	Interest	K	T					
329. Belmont CA Fing Auth 4.0% 9/1/26	C	Interest	M	T					
330. Berkley CA Sch Dist. 3.875% 8/01/18	D	Interest			Redeemed	08/01/13	M	B	
331. Burbank CA Pub Fling 5.250% 12/1/17	D	Interest			Redeemed	12/02/13	L	A	
332. Buttonwillow CA Sch Dist 5.5% 11/1/27	C	Interest	L	T					
333. CA ST Dept Wtr 5.00% 5/1/21	C	Interest	L	T					
334. CA ed FACS 4.250% 10/1/18	B	Interest	L	T					
335. Cal ST GO 4.500% 8/01/26	E	Interest			Distributed	03/18/13	N		to Citi Account
336. CA ST GO 5.0% 8/1/27	C	Interest	M	T					
337. CA ST GO 4.75% 9/1/28	B	Interest	L	T					
338. Cal ST Pub Works 5.25% 12/1/26	D	Interest	M	T					
339. Cal ST Pub Works 4.0% 6/1/27		None			Distributed	03/18/13	N		to Citi Account

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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340. CA ST Pub Works 5.25% 6/1/20	C	Interest	L	T					
341. CA ST Pub Works 4.200% 5/1/19	C	Interest	M	T					
342. CA ST Pub Works 5.000% 6/1/18	D	Interest	M	T					
343. Carmichael CA WTR Dist 5.0% 11/1/25	B	Interest	L	T					
344. Chino Hills CA Tax Rev 4.25% 9/1/24	B	Interest	L	T					
345. Chula Vista CA Pub Fing 3.875% 9/1/17	C	Interest	L	T					
346. Chula Vista CA Sch Dist 4.0% 8/1/26	C	Interest	M	T					
347. Coachella CA Sch Dist 5.000% 8/1/19	C	Interest	L	T					
348. Colton CA Sch Dist 3.25% 8/1/26	C	Interest	L	T					
349. Compton CA WTR Rev 5.625% 8/1/27	D	Interest	L	T					
350. Cupertino CA CTFS 3.0% 7/1/26	C	Interest	M	T					
351. Delano CA Sch Dist 4.000% 2/1/25	C	Interest	M	T					
352. Delano CA Sch Dist 4.5% 8/1/27	C	Interest	L	T					
353. Desert CA Cmnty Coll. 5.00% 8/1/23	B	Interest	L	T					
354. Dublin CA Sch Dist 4.125% 8/1/21	D	Interest			Redeemed	11/26/13	M	A	
355. Dublin CA Sch Dist 5.0% 8/1/25	B	Interest	L	T					
356. East Bay CA Util Dist. 5.000% 6/1/18	B	Interest			Redeemed	06/03/13	L	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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357. East Side Sch Dist 5.0% 8/1/24	C	Interest	L	T					
358. El Monte CA Sch Dist. 5.000% 6/1/22	C	Interest	M	T					
359. Escondido CA CTFS 4.250% 9/1/19	D	Interest	M	T					
360. Fairfield CA Sch. Dist. 4.000% 8/7/27	C	Interest	L	T					
361. Fontana CA Pub Fing 4.000% 9/1/18	D	Interest	M	T					
362. Fremont CA Sch Dist 5.0% 8/1/25	C	Interest	L	T					
363. Fresno CA Sch Dist 5.25% 8/1/27	C	Interest			Distributed	04/18/13	M		to Citi Account
364. Fresno CA Sch Dist 3.5% 8/1/26	B	Interest			Distributed	04/18/13	M		to Citi Account
365. Gilroy CA Fing Auth. 4.000% 11/01/24	C	Interest			Distributed	04/18/13	M		to Citi Account
366. Hemet CA Sch Dist 4.0% 8/1/23	C	Interest	M	T					
367. Hollister CA Fing Auth. 5.000% 6/01/25		None			Distributed	04/18/13	L		to Citi Account
368. Huntington Beach CA Pub Fing 5.0% 9/1/25	C	Interest	M	T					
369. Imperial CNTY CA Sch Dist 3.25% 6/1/23	B	Interest	L	T					
370. Infoblox		None	L	T	Buy	03/28/13	K		
371. Jefferson CA Sch Dist. 5.000% 8/1/26	C	Interest	M	T					
372. Jefferson CA Sch Dist 5.0% 7/15/26	C	Interest	M	T					
373. Kern CNTY CA Wtr Dist 5.0% 5/1/28		None			Distributed	03/18/13	M		to Citi Account

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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374. Lake Arrowhead CA Dist Wtr 4.500% 10/1/26	C	Interest	L	T					
375. Liberty CA High Sch 4.250% 8/1/26	B	Interest	L	T					
376. Lincoln CA Sch Dist. 4.500% 8/1/19	D	Interest	M	T					
377. Lodi CA Elec Sys 4.5% 7/1/25	C	Interest	L	T					
378. Los Angeles CA Comm College 5.0% 8/1/26	B	Interest	K	T					
379. Los Angeles CA DWP 5.0% 7/1/26	D	Interest	M	T					
380. Los Angeles CA Sch Dist 4.75% 7/1/25	C	Interest	M	T					
381. Los Angeles CA Sch Dist. 4.50% 7/1/22	B	Interest	L	T					
382. Madera Co CTFS 4.250% 8/1/22	C	Interest	L	T					
383. Malibu CA CTFS 4.5% 7/1/27	C	Interest	M	T					
384. Montclair CA Fing Auth 3.875% 10/1/16	C	Interest	M	T					
385. Mountain View CA High School 4.125% 8/1/16	D	Interest	M	T					
386. Napa Co CTFS 3.600% 2/1/17	D	Interest	M	T					
387. Oceanside CA Sch Dist 4.5% 8/1/28	C	Interest			Distributed	03/18/13	M		to Citi Account
388. Oxnard CA Fing Auth. 4.750% 6/1/24	D	Interest	M	T					
389. Palmdate CA Redev Agy 3.800% 9/1/16	D	Interest	M	T					
390. Palm Desert CTFS 5.00% 4/01/22	B	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
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)
391. Pasadena CA CTFS 5.0% 2/1/24	C	Interest	M	T					
392. Pasadena CA Elec Rev 4.0% 8/1/24	B	Interest	L	T					
393. Placentia-Yorba Linda CA Sch Dist 2.75% 8/1/26	B	Interest	L	T					
394. Port Oakland CA Rev Ref 5.00% 11/01/21	B	Interest	L	T					
395. Redding CA Elec Sys 5.0% 6/1/27	B	Interest	L	T					
396. Redlands CA Sch Dist. 5.000% 7/1/25	D	Interest	M	T					
397. Redondo Beach CA Sch Dist 4.0% 8/1/25	C	Interest	M	T					
398. Redwood City CA Sch Dist 3.0% 8/1/26	B	Interest			Distributed	03/18/13	M		to Citi Account
399. Riverside Co CTFS 3.875% 11/1/14	C	Interest	M	T					
400. Ruckus Wireless Inc.		None	K	T	Buy	06/21/13	J		
401. Sacramento CA Util Dist 5.000% 5/15/14	D	Interest	M	T					
402. Sacramento CA CTFS 5.000% 12/01/21	B	Interest	K	T					
403. Salinas CA CTFS 4.500% 9/1/20	C	Interest	M	T					
404. San Diego PFFA 5.0% 10/15/25	C	Interest	M	T	Buy	07/22/13	M		
405. San Diego Co Wtr Auth 4.000% 5/1/20	D	Interest	M	T					
406. San Diego CA Sch Dist 5.5% 7/1/24	D	Interest	M	T					
407. San Diego CNTY CA Regl Trans 5.0% 4/1/29	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		

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Name of Person Reporting

Wardlaw, Kim M.

Date of Report

07/17/2014

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)
408. San Francisco CA Pub Util 5.0% 11/1/25	C	Interest	M	T					
409. San Francisco CA Pub Util 5.0% 11/1/26	C	Interest	L	T					
410. San Gabriel CA Sch Dist 5.25% 8/1/24	D	Interest	M	T					
411. San Juan CA Sch Dist 5.0% 8/1/25	B	Interest	L	T	Buy	08/01/13	L		
412. San Juan Capistrano Co Fing Auth 4.000% 12/1/17	C	Interest	M	T					
413. San Leandro CA Sch Dist 4.5% 8/1/26	C	Interest	L	T					
414. San Luis Obispo CA CAP IMPR 4.0% 12/1/27		None			Distributed	03/18/13	M		to Citi Account
415. Santa Clara CA Sch Dist 3.500% 7/1/24	C	Interest			Distributed	03/18/13	M		to Citi Account
416. Santa Cruz Co CTFS 3.875% 8/1/16	D	Interest	M	T					
417. Santa Cruz Co CTFS 4.200% 8/1/19	C	Interest	L	T					
418. Santa Rosa CA Sch Dist 3.800% 8/1/17	C	Interest	L	T					
419. Santa Rosa CA Wtr Rev 5.0% 9/1/26	D	Interest	M	T					
420. So Cal Logistics 4.125% 12/1/20	C	Interest	L	T					
421. So CA Pub Pwr Auth 5.150% 7/1/15	D	Interest	M	T					
422. So Gate CA fing Auth 5.250% 9/1/19	B	Interest	K	T					
423. Stockton CA Sch Dist 5.000% 8/1/24	B	Interest			Distributed	03/18/13	L		to Citi Account
424. The Pantry common stock		None	K	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		

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Wardlaw, Kim M.

Date of Report

07/17/2014

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)
425. Tracy CA Jt Powers 4.200% 9/2/17	B	Interest	K	T					
426. Turlock CA Pub Fing 4.300% 9/15/16	B	Interest			Redeemed	09/16/13	K	A	
427. Western Riverside WTR 4.250% 9/1/21	C	Interest	L	T					
428. Yountville CA Fin Auth 4.375% 10/1/24	B	Interest	L	T					
429. Yosemite CA Comm. College 5.0% 8/1/25	B	Interest	M	T	Buy	05/29/13	M		
430. MS Bank Deposit	A	Interest	J	T					
431. FS Equity Partners IV									
432. Sur La Table		None	M	U					
433. Ross-Simmons		None	M	U					
434. FS Equity Partners V									
435. H.H. Gregg Inc common stock		None	N	U					
436. Smile Brands (formerly Bright Now) Inc common stock		None	N	U					
437. PETCO Animal Supply common stock		None	N	U					
438. El Pollo Loco Inc common stock		None	N	U					
439. FS Equity Partners VI									
440. Paradise Holdings common stock	G	Dividend	N	U					
441. BECO Holding Co common stock		None	O	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)

442. Floor and Decor common stock	G	Dividend	O	U					
443. Boot Barn common stock		None	N	U					
444. First Watch common stock		None	N	U					
445. MicroStar Common Stock		None	O	U	Sold (part)	03/20/13	M		
446. Arhaus Common Stock		None	O	U	Buy	12/30/13	O		
447. Riordan Venture Association									
448. Cymetrix Corp common stock		None	J	U					
449. Installer's Edge (formerly Saebro Inc) common stock		None	J	U					
450. TW Holdings common stock		None	J	U					
451. Cyber Coders Holdings common stock		None			Sold	12/31/13	K	C	
452. Avella, Inc. (formerly Apothecary Shops) preferred stock		None	J	U					
453. Secure Mission Solutions LLC		None	K	U					
454. ONE Industries common stock		None	J	U					
455. Bluewolf Group LLC		None	K	U					
456. Siteworks		None	J	U					
457. Chartis Group		None	J	U					
458. RGM Group		None	J	U					

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

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

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

459. DCRX Infusion		None	J	U					
460. Bistro 45 common stock	A	Dividend	J	U					
461. MS Retire Accts (401k-profit)									
462. Invesco Pacific Growth Fund	B	Dividend	M	T					
463. MSDW Liquid Asset Account Trust Fund	A	Dividend	K	T					
464. Hewlett Packard common stock	A	Dividend	K	T					
465. Proctor & Gamble common stock	C	Dividend	M	T					
466. Altria Group common stock	B	Dividend	K	T					
467. Cisco Sys common stock	B	Dividend	K	T					
468. Kraft Foods Inc common stock	A	Dividend	J	T					
469. Mondelez Int'l common stock	A	Dividend	J	T					
470. Philip Morris	B	Dividend	K	T					
471. Invesco Div. Growth Fund	C	Dividend	M	T					
472. American Funds New World Fund	C	Dividend	O	T	Buy	01/03/13	K		
473.					Buy	01/22/13	K		
474. R&M Encelle Partners (Partnership Interest)		None			Sold	12/18/13	J		
475. Trust #3 (M/S UTM-K)									

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

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)

476. General Elec common stock	A	Dividend	J	T					
477. American Funds New World Fund	A	Dividend	J	T					
478. TRUST 44 (IR-W)									
479. CAPITAL GROUP ALTERNATIVE STRATEGIES FUND, LP		None	O	T	Buy	12/24/13	N		
480. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	N	T	Buy	01/22/13	M		
481.					Buy	03/07/13	M		
482.					Buy	04/24/13	M		
483.					Buy	06/28/13	M		
484.					Buy	08/02/13	M		
485.					Sold (part)	10/24/13	J		
486.					Sold (part)	12/18/13	J		
487. CAPITAL GROUP (formerly American Funds) CAPITAL CORE MUNICIPAL FUND	C	Dividend	M	T	Buy	01/22/13	K		
488.					Buy	03/07/13	K		
489.					Buy	04/24/13	K		
490.					Buy	06/28/13	K		
491.					Buy	08/02/13	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 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)
492.					Sold (part)	12/18/13	J		
493. AMERICAN FUNDS CAPITAL INCOME BUILDER CL F2	C	Dividend	M	T	Buy	01/22/13	J		
494.					Buy	03/07/13	J		
495.					Buy	04/24/13	J		
496.					Buy	06/28/13	J		
497.					Buy	08/02/13	J		
498. AMERICAN FUNDS CAPITAL WORLD GROWTH & INCOME FD CL	D	Dividend	N	T	Buy	01/22/13	K		
499.					Buy	03/07/13	K		
500.					Buy	04/24/13	K		
501.					Buy	06/28/13	K		
502.					Buy	08/02/13	K		
503. AMERICAN FUNDS EUROPACIFIC GROWTH FUND CL F2	B	Dividend	M	T	Buy	01/22/13	J		
504.					Buy	03/07/13	J		
505.					Buy	04/24/13	J		
506.					Buy	06/28/13	J		
507.					Buy	08/02/13	J		
508. AMERICAN FUNDS FUNDAMENTAL INVESTORS CL F2	D	Dividend	N	T	Buy	01/22/13	L		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 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)
509.					Buy	03/07/13	L		
510.					Buy	04/24/13	L		
511.					Buy	06/28/13	L		
512.					Buy	08/02/13	L		
513. AMERICAN FUNDS GROWTH FUND OF AMERICA F2	B	Dividend	N	T	Buy	01/22/13	L		
514.					Buy	03/07/13	L		
515.					Buy	04/24/13	L		
516.					Buy	06/28/13	L		
517.					Buy	08/02/13	L		
518. AMERICAN FUNDS INVESTMENT COMPANY OF AMERICA		None			Sold (part)	01/22/13	J		
519.					Sold (part)	03/07/13	J		
520.					Sold (part)	04/24/13	J		
521.					Sold (part)	06/28/13	J		
522.					Sold	08/02/13	J		
523. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F2	B	Dividend	N	T	Buy	01/22/13	K		
524.					Buy	03/07/13	K		
525.					Buy	04/24/13	K		

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

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)
526.					Buy	06/28/13	K		
527.					Buy	08/02/13	K		
528. AMERICAN FUNDS NEW WORLD FUND CL F2	C	Dividend	N	T	Buy	01/22/13	K		
529.					Buy	03/07/13	K		
530.					Buy	04/24/13	K		
531.					Buy	06/28/13	L		
532.					Buy	08/02/13	K		
533. AMERICAN FUNDS SMALL CAP WORLD FUND CL F2		None	M	T	Buy	01/22/13	K		
534.					Buy	03/07/13	K		
535.					Buy	04/24/13	K		
536.					Buy	06/28/13	K		
537.					Buy	08/02/13	K		
538. American Funds Cash Mgmt Trust of America		None	J	T					
539. Trust #5 (IR-K)									
540. CAPITAL GROUP ALTERNATIVE STRATEGIES FUND, LP		None	O	T	Buy	12/24/13	N		
541. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	N	T	Buy	01/22/13	M		
542.					Buy	03/07/13	M		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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)
543.					Buy	04/24/13	M		
544.					Buy	06/28/13	M		
545.					Buy	08/02/13	M		
546.					Sold (part)	10/24/13	J	A	
547.					Sold (part)	12/18/13	N	A	
548. CAPITAL GROUP (formerly American Funds) CAPITAL CORE MUNICIPAL FUND	C	Dividend	M	T	Buy	01/22/13	M		
549.					Buy	03/07/13	K		
550.					Buy	04/24/13	K		
551.					Buy	06/28/13	K		
552.					Buy	08/02/13	L		
553.					Sold (part)	12/18/13	M	A	
554. AMERICAN FUNDS CAPITAL INCOME BUILDER CL F2	C	Dividend	M	T	Buy	01/22/13	J		
555.					Buy	03/07/13	J		
556.					Buy	04/24/13	J		
557.					Buy	06/28/13	J		
558.					Buy	08/02/13	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	

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)
559. AMERICAN FUNDS CAPITAL WORLD GROWTH & INCOME FD CL	D	Dividend	N	T	Buy	03/07/13	K		
560.					Buy	04/24/13	K		
561.					Buy	04/28/13	K		
562.					Buy	08/02/13	K		
563. AMERICAN FUNDS EUROPACIFIC GROWTH FUND CL F2	B	Dividend	M	T	Buy	03/07/13	J		
564.					Buy	04/24/13	J		
565.					Buy	06/28/13	J		
566.					Buy	08/02/13	J		
567. AMERICAN FUNDS FUNDAMENTAL INVESTORS CL F2	D	Dividend	N	T	Buy	01/22/13	L		
568.					Buy	03/07/13	L		
569.					Buy	04/24/13	L		
570.					Buy	06/28/13	L		
571.					Buy	08/02/13	L		
572. AMERICAN FUNDS GROWTH FUND OF AMERICA F2	B	Dividend	N	T	Buy	01/22/13	L		
573.					Buy	03/07/13	L		
574.					Buy	04/24/13	L		
575.					Buy	06/28/13	L		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes: (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 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)
576.					Buy	08/02/13	L		
577. AMERICAN FUNDS INVESTMENT COMPANY OF AMERICA CL F2		None			Sold (part)	01/22/13	J	A	
578.					Sold (part)	03/07/13	J	A	
579.					Sold (part)	04/24/13	J	B	
580.					Sold (part)	06/28/13	J	B	
581.					Sold	12/18/13	J	A	
582. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F2	C	Dividend	N	T	Buy	01/22/13	K		
583.					Buy	03/07/13	K		
584.					Buy	04/24/13	K		
585.					Buy	06/28/13	K		
586.					Buy	08/02/13	K		
587. AMERICAN FUNDS NEW WORLD FUND CL F2	C	Dividend	N	T	Buy	01/22/13	K		
588.					Buy	03/07/13	K		
589.					Buy	04/24/13	K		
590.					Buy	06/28/13	L		
591.					Buy	08/02/13	K		
592. AMERICAN FUNDS SMALL CAP WORLD FUND CL F2		None	M	T	Buy	01/22/13	K		

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

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)
593.					Buy	03/07/13	K		
594.					Buy	04/24/13	K		
595.					Buy	06/28/13	K		
596.					Buy	08/02/13	K		
597. AMERICAN FUNDS Cash Mgmt Trust of America		None	J	T					
598. Trust #6 (98-W)									
599. Invesco Divident Growth	B	Dividend	L	T					
600. American Funds New World Fund	C	Dividend	N	T					
601. MSDW Active Money Trust	A	Dividend	J	T					
602. HH Gregg Inc common stock		None	J	U					
603. Smile Brands (formerly Bright Now Inc) common stock		None	J	U					
604. PETCO Animal Supply common stock		None	J	U					
605. El Pollo Loco common stock		None	J	U					
606. Capital Group Alternative Strategies Fund		None	O	T	Buy	12/24/13	N		
607. Capital Groups (fka American Funds Capital) Calif. Core Municipal Fund	D	Dividend	N	T	Sold (part)	12/18/13	N		
608. Capital Groups (formerly American Funds Capital) Core Municipal Fund	D	Dividend	M	T	Sold (part)	12/18/13	M		
609. American Funds Capital Income Builder Inc CL F2	D	Dividend	N	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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)
610. American Funds EuroPacific Growth Fund CL F2	B	Dividend	M	T					
611. American Funds Fundamental Investors Inc CL F2	D	Dividend	O	T					
612. American Funds Growth Fund of America Inc CL R5	B	Dividend	N	T					
613. American Funds Investment Company of America CL F2	C	Dividend	M	T					
614. American Funds New Perspective Fund CL F2	C	Dividend	N	T	Buy	02/01/13	M		
615. American Funds New World Fund CL F2	C	Dividend	N	T					
616. American Funds SmallCap World Fund CL F2		None	L	T					
617. American Funds Cash Mgmt Trust of America		None	J	T					
618. Trust #7 (98-K)									
619. Invesco Dividend Growth	B	Dividend	L	T					
620. American Funds New World Fund	C	Dividend	N	T					
621. MSDW Active Money Trust	A	Dividend	J	T					
622. HH Gregg Inc common stock		None	J	U					
623. Smile Brands (formerly Bright Now Inc) common stock		None	J	U					
624. PETCO Animal Supply common stock		None	J	U					
625. El Pollo Loco common stock		None	J	U					
626. Capital Group Alternative Strategies Fund		None	O	T	Buy	12/24/13	N		

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)
627. Capital Group (fka American Funds Capital) California Core Muni Fund	D	Dividend	N	T	Sold (part)	12/18/13	N		
628. Capital Group (formerly American Funds Capital) Core Municipal Fund	D	Dividend	M	T	Sold (part)	12/18/13	M		
629. American Funds Capital Income Builder Inc CL F2	D	Dividend	N	T					
630. American Funds EuroPacific Growth Fund CL F2	B	Dividend	M	T					
631. American Funds Fundamental Investors Inc CL F2	D	Dividend	O	T					
632. American Funds Growth Fund of America Inc CL R5	B	Dividend	N	T					
633. American Funds Investment Company of America CL F2	C	Dividend	M	T					
634. American Funds New Perspective Fund CL F2	C	Dividend	N	T	Buy	02/01/13	M		
635. American Funds New World Fund CL F2	C	Dividend	N	T					
636. American Funds SmallCap World Fund LC F2		None	L	T					
637. American Funds Cash Mgmt Trust of America		None	J	T					
638. Real Estate Partnership - Lau		None	M	U					
639. Real Estate Partnership - W.O.		None			Sold	07/09/13	P1	G	
640. Real Estate Partnership - Lau W		None	M	U	Buy	02/21/13	K		
641. Dorset Capital Partnership Invest	A	Interest			Sold	12/31/13	J		
642. Citibank Money Market Fund	C	Interest	N	T					
643. Citibank Checking	A	Interest	L	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes	J = \$15,000 or less (See Columns C1 and D3)	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000 (See Column C2)	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

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)
644. Citibank Checking	A	Interest	L	T					
645. Fargo Investment Partnership		None	M	U	Sold (part)	12/19/13	J	A	
646. JRK Multifamily LP		None	N	U					
647. Urban Housing Investment Fund		None	L	U					
648. JP Morgan Account									
649. Bluebay Emerging Market Fund		None	O	T					
650. Gavea Fund		None	P1	T					
651. Global Access Explorer Fund		None	P1	T					
652. Maverick Fund		None	O	T					
653. York Credit Opportunity Fund		None	P1	T					
654. Blackstone Real Estate Fund		None	O	T					
655. JPM Realty Income Fund	C	Dividend	M	T					
656. BNP Brent CBEN 11/16/13		None			Matured	11/16/13	M	E	
657. iPath-UBS Commodity Index Fund		None	M	T					
658. SPDR Gold Trust		None			Sold	11/01/13	L		
659. Soc. Generale Gold Lev CBEN 10/2/14		None	L	T	Buy	03/27/13	M		
660. Soc. Generale Lev Cont Bank 1/14/15		None	M	T	Buy	11/20/13	M		

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)
661. JPM STRAT Income Fund	A	Dividend	N	T	Buy	11/06/13	N		
662. JPM Mort-Backed Fund	D	Dividend	L	T	Sold (part)	11/01/13	M		
663. JP Morgan Floating Rate Fund	D	Dividend	N	T					
664. GS MXN Note 12/23/13		None			Matured	12/23/13	L		
665. Brevan Howard Emerging Market Fund		None	N	T					
666. JP Morgan Tri Ex Fund	A	Dividend	L	T					
667. Soc. Generale PIMS 2/3/14		None	L	T	Buy	04/28/13	L		
668. Citi Acct									
669. Alvord CA5R Dist 5.0% 8/1/27	D	Interest	N	T	Distributed	03/18/13	N		From MS Brokerage
670. Cal ST GO 4.5% 8/1/26	D	Interest	N	T	Distributed	03/18/13	N		From MS Brokerage
671. Cal ST Pub Works 4.0% 6/1/27	D	Interest	N	T	Distributed	03/18/13	N		From MS Brokerage
672. Fresno CA Sch Dist 5.25% 8/1/27	C	Interest	M	T	Distributed	04/18/13	M		From MS Brokerage
673. Fresno CA Sch Dist 3.5% 8/1/26	B	Interest	M	T	Distributed	04/18/13	M		From MS Brokerage
674. Gilroy CA Fing Auth 4.0% 11/01/24	D	Interest	M	T	Distributed	04/18/13	M		From MS Brokerage
675. Hollister CA Fing Auth 5.0% 6/1/25	C	Interest	L	T	Distributed	04/18/13	L		From MS Brokerage
676. Kern Cnty CA Wtr Dist. 5.0% 5/1/28	D	Interest	M	T	Distributed	03/18/13	M		From MS Brokerage
677. Oceanside CA Sch Dist 4.5% 8/1/28	C	Interest	M	T	Distributed	03/18/13	M		From MS Brokerage

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)
678. Redwood City CA Sch Dist 3.0% 8/1/26	B	Interest	M	T	Distributed	03/18/13	M		From MS Brokerage
679. San Luis Obispo CA CAP IMPR 4.0% 12/1/27	D	Interest	M	T	Distributed	03/18/13	M		From MS Brokerage
680. Santa Clara CA Sch Dist 3.5% 7/1/24	C	Interest	M	T	Distributed	03/18/13	M		From MS Brokerage
681. Stockton CA Sch Dist 5.0% 8/1/24	B	Interest	L	T	Distributed	03/18/13	L		From MS Brokerage

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	

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

Line 1, IRA covers line 2 through 7

Line 8, Trust 1 covers line 9

Line 10, Schwab Pension Acct (IRA) covers line 11 through 67

Line 68, Capital Trust Account covers line 69 through 553

Line 554, MS Brokerage Asset Acct covers line 555 through 618

Line 619, MS Bank Deposit covers line 619

Line 620, FS Equity Partners IV covers line 621 through 622

Line 623, FS Equity Partners V covers line 624 through 631

Line 632, FS Equity Partners VI covers line 633 through 637

Line 638, Riordan Venture Assoc. (L.P. Int.) covers line 639 through 651

Line 652, Bistro 45 common stock covers line 652

Line 653, MS Retire Accts (401k-profit) covers line 654 through 664

Line 665, R&M Encelle Partners (Partnership Interest) covers line 665

Line 666, Trust #3 (M/S UTM-K) covers line 667 through 668

Line 669, Trust #4 (IR-W) covers line 670 through 684

Line 685, Trust #5 (IR-K) covers line 686 through 700

Line 701, Trust #6 (98-W) covers line 702 through 728

Line 729, Trust #7 (98-K) covers line 730 through 756

Line 757, Real Estate Partnership - Lau, covers line 757

Line 758, Real Estate Partnership - W.O., covers line 758

Line 759, Real Estate Partnership - Lau W, covers line 759

Line 760, Dorset Capital Partnership Invest covers line 760

Line 761, Citibank Money Market Fund covers line 761

Line 762, Citibank Checking covers line 762

Line 763, Citibank Checking covers line 763

Line 764, Fargo Investment Partnership covers line 764 through 765

Line 766, Bulldog Partners I, covers line 766

Line 767, Bulldog Partners II, covers line 767

Line 768, Regents Banshares, covers line 768

Line 769, JRK Multifamily LP covers line 769

Line 770, Clean Diesel Tech, Inc. Common Stock covers line 770

Line 771, Urban Housing Investment Fund line 771

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

*Note: Lines 386, 435 are stock splits. I could not show a stock split as there was no option under Column D(1).

IX. CERTIFICATION.

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

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

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

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

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