

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2014

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

1. Person Reporting (last name, first, middle initial) Wardlaw, Kim M.	2. Court or Organization United States Court of Appeals for the Ninth Circuit	3. Date of Report 07/15/2015
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 12/31/2014
7. Chambers or Office Address United States Court of Appeals for the Ninth Circuit 125 South Grand Avenue, Suite 500 Pasadena, California 91105		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

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

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

☒ NONE (No reportable agreements.)

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

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 04/01/2014	UCLA - Regent's Lecturer/Teaching	\$7,500.00
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
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.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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

☒ NONE *(No reportable gifts.)*

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

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

☒ NONE *(No reportable liabilities.)*

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. ROTH IRA									
2. AMERICAN FUNDS NEW PERSPECTIVE FUND	D	Dividend	O	T	Sold (part)	01/30/14	J	A	
3.					Sold (part)	05/01/14	J	A	
4.					Sold (part)	07/31/14	J	A	
5.					Sold (part)	10/30/14	J	A	
6. CAPITAL GROUP CORE BOND FUND	D	Dividend	O	T	Buy	09/09/14	L		
7. CAPITAL WORLD GROWTH & INCOME FD	E	Dividend	O	T	Sold (part)	09/09/14	L	E	
8. SSGA US GOV MONEY MARKET FUND		None	J	T					
9. Schwab Pension Acct (IRA)									
10. Abbott Labs Com Stock	A	Dividend	J	T					
11. Abbvie	A	Dividend			Sold	02/25/14	K	D	
12. American Express Com Stock	A	Dividend	K	T	Sold (part)	02/25/14	J	C	
13. Apache Corp Com Stock	A	Dividend	K	T					
14. Apple Corp Com Stock	A	Dividend	K	T					
15. Berkshire Hathaway		None	K	T					
16. BHP Billiton Com Stock	A	Dividend	K	T					
17. Blackrock Inc Com Stock	B	Dividend	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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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18. Boeing Co.	A	Dividend	K	T	Buy	02/25/14	K		
19. Celgene Corp		None	K	T	Buy	02/25/14	K		
20. Cerner Corp Com Stock		None	K	T	Sold (part)	02/14/14	J	D	
21. Chevron Corp Com Stock	B	Dividend	K	T					
22. Citicorp	A	Dividend	K	T					
23. Colgate-Palmolive Com Stock	A	Dividend	K	T					
24. Conocophillips Com Stock	B	Dividend	K	T					
25. Cummings Inc.	A	Dividend	K	T					
26. CVS Caremark	A	Dividend			Sold	01/02/14	K	D	
27. Danaher Corp Com Stock	A	Dividend	K	T					
28. The Walt Disney Co. Com Stock	A	Dividend	L	T	Sold (part)	02/26/14	J	C	
29. DuPont Co Com Stock	A	Dividend			Sold	08/27/14	K	D	
30. EMC Corp Com Stock	A	Dividend	K	T					
31. Ebay Inc.		None	K	T	Buy	01/08/14	K		
32. GE Com Stock	B	Dividend	K	T					
33. Gilead Sciences Inc.		None	K	T	Buy	02/14/14	K		
34.					Buy	03/07/14	J		

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

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35. Google Inc. Com Stock		None	K	T	Sold (part)	02/25/14	J	D	
36. Holly Frontier Corp.	A	Dividend	J	T	Buy	02/26/14	J		
37. IBM Com Stock	A	Dividend	K	T					
38. Intel Corp Com Stock	A	Dividend	K	T					
39. Intuit Inc	A	Dividend	K	T					
40. JP Morgan Chase Com Stock	B	Dividend	K	T					
41. Lowes Companies	A	Dividend	L	T					
42. Merck & Co Com Stock	B	Dividend	K	T					
43. Nextera Energy	B	Dividend	K	T					
44. Nike Inc Com Stock	A	Dividend	K	T	Sold (part)	11/18/14	J	D	
45. Novo - Nordisk	A	Dividend	K	T	Sold (part)	03/07/14	J	B	
46. Oracle Corp	A	Dividend	K	T					
47. Pepsico Inc Com Stock	B	Dividend	K	T					
48. Proctor & Gamble Com Stock	A	Dividend	K	T					
49. Qualcomm Inc. Com Stock	A	Dividend	K	T					
50. Roche Hldg Ltd	B	Dividend	K	T					
51. Schlumberger Ltd	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	
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52. Sempra Energy Com Stock	A	Dividend	K	T					
53. Target Corp Com Stock	B	Dividend	K	T					
54. TCP Capital Corp	B	Dividend	J	T	Buy	07/29/14	K		
55. Union Pacific Corp Com Stock	A	Dividend	L	T					
56. Verizon Com Stock	B	Dividend	K	T					
57. IShares MSCI Index Fund	D	Dividend	M	T					
58. IShares Small Cap Index Fund	B	Dividend	L	T					
59. Vanguard Emerging Market Fund	B	Dividend	L	T					
60. CAPITAL TRUST ACCOUNT									
61. ABBVIE INC	B	Dividend	L	T	Buy	01/07/14	J		
62.					Buy	03/31/14	J		
63.					Buy	04/01/14	J		
64.					Buy	04/02/14	J		
65.					Buy	04/03/14	J		
66.					Sold (part)	10/17/14	J	A	
67. ACCENTURE PLC	A	Dividend	K	T					
68. ACE LTD	B	Dividend	L	T	Buy	01/13/14	J		

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69. AIR PRODUCTS & CHEMICALS INC.	B	Dividend	L	T	Sold (part)	03/31/14	J	D	
70. ALLEGHENY TECHNOLOGIES INC.	A	Dividend			Sold (part)	07/28/14	J	B	
71.					Sold (part)	07/29/14	K	C	
72.					Sold (part)	07/30/14	J	B	
73.					Sold (part)	07/31/14	J	B	
74.					Sold (part)	08/06/14	J	B	
75.					Sold (part)	08/07/14	J	B	
76.					Sold	08/08/14	J	C	
77. ALLERGAN INC.	A	Dividend			Sold (part)	03/27/14	J	D	
78.					Sold	03/28/14	K	E	
79. AMERICAN TOWER CORP	A	Dividend	L	T	Sold (part)	03/31/14	J	B	
80.					Donated (part)	12/11/14			
81. AMERISOURCEBERGEN CORP	A	Dividend	L	T	Buy	05/07/14	J		
82.					Buy	05/08/14	J		
83.					Buy	09/24/14	J		
84.					Buy	09/25/14	J		
85. AON PLC	A	Dividend	K	T	Buy	03/31/14	J		

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86.					Buy	04/01/14	J		
87. APPLE INC	B	Dividend	L	T	Sold (part)	03/27/14	K	C	
88. ASTRAZENECA PLC ADR		None	K	T	Buy	08/26/14	K		
89. AUTOMATIC DATA PROCESSING INC	B	Dividend	L	T	Buy	01/07/14	L		
90.					Buy	03/27/14	K		
91.					Buy	10/28/14	L		
92.					Buy	10/29/14	L		
93. AVAGO TECHNOLOGIES LTD	A	Dividend	L	T	Buy	01/07/14	J		
94.					Buy	03/27/14	K		
95. BAY AREA TOLL AUTH 06C2 CA VAR 04/01/45	C	Interest	M	T					
96. BB&T CORP	B	Dividend	L	T	Sold (part)	03/27/14	J	B	
97.					Sold (part)	03/28/14	J	C	
98.					Sold (part)	03/31/14	J	B	
99.					Sold (part)	04/01/14	J	B	
100.					Sold (part)	04/02/14	J	B	
101. B/E Aerospace		None	K	T					
102. BEAM INC		None			Sold	01/14/14	L	E	

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103. BLACKROCK INC	A	Dividend			Sold (part)	04/21/14	K	D	
104.					Sold (part)	04/23/14	K	D	
105.					Sold	06/27/14	K	D	
106. BOEING CO	B	Dividend	L	T	Buy	03/26/14	K		
107. BRISTOL-MYERS SQUIBB CO	C	Dividend	M	T	Sold (part)	01/07/14	K	D	
108.					Sold (part)	03/31/14	J	C	
109.					Sold (part)	04/01/14	J	A	
110. BROADCOM CORP	A	Dividend	K	T	Sold (part)	06/20/14	J	C	
111. CA HLTH FAC CEDAR-SINAI MED 5.0% 08/15/21	D	Interest	M	T					
112. CA HLTH HENRY MAYO NEWHALL MEM HOSP AGM	C	Interest	M	T	Buy	01/23/14	M		
113. CA ED FAC UNIV OF SAN FRANCISCO 5.0% 10/01/21	C	Interest	M	T					
114. CA PUB WKS REGENTS UNIV CA C1 5.0% 03/01/19	D	Interest	M	T					
115. CA ST ECON REC 09A 5.0% 07/01/20 Total	C	Interest	M	T					
116. CA ST GO 5.0% 02/01/20	C	Interest	M	T					
117. CA ST GO NATL 5.0% 06/01/15	D	Interest	M	T					
118. CA ST JOSEPH HLTH HOSP CA-F AGM 5.25% 07/01/16	D	Interest	M	T					
119. CA STWD ST JOSEPHS HLTH FSA 4.5% 07/01/18	D	Interest	M	T					

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07/15/2015

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. CALIFORNIA ST ECON REC 09A 5% 07/01/19	C	Interest	M	T					
121. CALIFORNIA ST UNIV REVENUE SER A 5.0% 11/01/17	B	Interest	K	T					
122. CATERPILLAR INC	B	Dividend	K	T					
123. CENTENE CORP		None			Sold (part)	01/17/14	J	B	
124.					Sold (part)	01/21/14	J	B	
125.					Sold (part)	01/22/14	J	B	
126.					Sold (part)	01/23/14	J	B	
127.					Sold	01/27/14	J	B	
128. CENTRAL VLY COGEN CARSON-ICE 3.5% 07/01/14	D	Interest			Matured	07/01/14	M		
129. CME GROUP INC	C	Dividend	L	T					
130. CARNIVAL CORP COMMON PAIRED STOCK	A	Dividend	K	T	Sold (part)	03/11/14	J	B	
131.					Sold (part)	04/21/14	J	A	
132.					Sold (part)	04/22/14	J	B	
133. CDK GLOBAL INC.		None			Buy	09/24/14	K		
134.					Sold (part)	10/01/14	J	A	
135.					Sold	10/15/14	J	A	
136. CENOVUS ENERGY INC	A	Dividend			Buy	06/26/14	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	

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Wardlaw, Kim M.

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137.					Buy	06/27/14	J		
138.					Buy	06/30/14	J		
139.					Buy	07/02/14	J		
140.					Buy	07/10/14	J		
141.					Buy	07/11/14	J		
142.					Buy	07/24/14	J		
143.					Buy	07/25/14	J		
144.					Buy	07/28/14	J		
145.					Buy	08/05/14	J		
146.					Buy	08/06/14	J		
147.					Buy	10/29/14	K		
148.					Sold (part)	12/03/14	J	A	
149.					Sold (part)	12/11/14	J	A	
150.					Sold (part)	12/12/14	J	A	
151.					Sold (part)	12/15/14	J	D	
152.					Sold	12/16/14	K	D	
153. CERNER CORP		None	K	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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154. CHARTER COMMUNICATIONS INC		None	K	T					
155. CHEVRON CORP	C	Dividend	L	T	Buy	04/21/14	J		
156.					Buy	11/26/14	J		
157. CLEARWATER FL WTR/SWR B 5.0% 12/01/18	D	Interest	M	T					
158. COACH INC	A	Dividend			Sold (part)	05/07/14	K	A	
159.					Sold (part)	05/08/14	K	A	
160.					Sold	05/09/14	J	A	
161. COMCAST CORP CL A	B	Dividend	M	T	Donated (part)	12/11/14			
162. CONOCOPHILLIPS	B	Dividend	L	T	Buy	05/06/14	J		
163.					Buy	05/07/14	J		
164.					Buy	05/20/14	J		
165.					Buy	10/23/14	J		
166.					Buy	12/12/14	J		
167. DAIMLER AG ADR	B	Dividend	K	T	Buy	03/31/14	K		
168.					Buy	09/25/14	J		
169.					Sold (part)	12/24/14	J	A	
170. DANAHER CORP	A	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
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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)
171. DARDEN RESTAURANTS INC	A	Dividend			Sold (part)	07/16/14	J	A	
172.					Sold	07/17/14	J	A	
173. DELPHI AUTOMOTIVE PLC	A	Dividend	K	T	Buy	01/07/14	J		
174.					Buy	01/08/14	J		
175.					Buy	01/09/14	J		
176. DIAGEO PLC SPONSORED ADR	A	Dividend	J	T					
177. DOW CHEMICAL CO	A	Dividend	K	T	Buy	03/27/14	K		
178. EATON CROP PLC	C	Dividend	M	T					
179. EMERSON ELECTRIC CO	A	Dividend	K	T	Sold (part)	03/31/14	J	D	
180. EOG RESOURCES INC	A	Dividend	K	T					
181. ENSCO PLC-CL A	B	Dividend			Sold (part)	03/31/14	J	A	
182.					Sold	04/01/14	J	A	
183. AMERICAN FUNDS EUROPEAN GROWTH FUND	E	Dividend	P1	T					
184. GENPACT LTD		None			Sold (part)	03/13/14	J	A	
185.					Sold (part)	03/14/14	J	A	
186.					Sold	03/17/14	J	A	
187. GILEAD SCIENCES INC		None	K	T	Sold (part)	01/08/14	J	C	

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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)
188.					Donated (part)	12/11/14			
189. GOLDMAN SACHS GROUP INC	B	Dividend	L	T					
190. GOOGLE INC CL A		None	K	T	Donated (part)	12/11/14			
191. GUAM BUS PRIVILEGE TAX 11A 5.0% 01/01/18	D	Interest	M	T					
192. HALLIBURTON CO	A	Dividend	K	T	Sold (part)	03/07/14	K	E	
193.					Sold (part)	06/26/14	J	D	
194.					Sold (part)	06/27/14	J	C	
195. HEXCEL CORP		None	K	T	Buy	01/17/14	J		
196.					Sold (part)	12/24/14	J	A	
197. HOME DEPOT INC	B	Dividend	L	T	Sold (part)	03/28/14	K	D	
198.					Sold (part)	05/20/14	K	D	
199. IDEX CORP	A	Dividend	K	T	Buy (add'l)	03/28/14	J		
200.					Buy	04/03/14	J		
201.					Buy	04/07/14	J		
202. INCYTE CORP		None	K	T	Buy	12/04/14	J		
203.					Buy	12/15/14	J		
204.					Buy	12/19/14	J		

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

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Name of Person Reporting

Wardlaw, Kim M.

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. IRON MOUNTAIN INC	D	Dividend	L	T	Buy	05/14/14	J		
206.					Buy	05/15/14	J		
207. IRONWOOD PHARMACEUTICALS INC CL A		None			Sold (part)	03/28/14	J	A	
208.					Sold (part)	03/31/14	J	A	
209.					Sold (part)	04/01/14	J	A	
210.					Sold (part)	04/02/14	J	A	
211.					Sold	04/03/14	J	A	
212. JABIL CIRCUIT INC	A	Dividend	K	T	Sold (part)	03/31/14	J	A	
213.					Sold (part)	04/01/14	J	A	
214. JACK HENRY & ASSOC INC	B	Dividend	L	T					
215. JOHNSON CONTROLS INC	A	Dividend			Buy	01/08/14	J		
216.					Sold	10/28/14	J	A	
217. JP MORGAN CHASE & CO	B	Dividend	L	T					
218. LA CO CA MTA SALES TAX REV SR PROP C 13A 5.0% 07/01/20	C	Interest	M	T	Buy	08/19/14	M		
219. MARSH & MCLENNAN COS INC	B	Dividend	M	T	Buy	03/31/14	L		
220. MICROSOFT CORP	B	Dividend	L	T					
221. MONSANTO CO NEW COM	B	Dividend	L	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

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222. MOSAIC CO/THE	A	Dividend			Sold (part)	10/28/14	K	A	
223.					Sold	12/24/14	J	A	
224. NATIONAL GRID PLC - SP ADR	B	Dividend	K	T					
225. AMERICAN FUNDS NEW WORLD FUND	D	Dividend	O	T					
226. NEWELL RUBBERMAID INC	B	Dividend	M	T					
227. NIELSEN HOLDING NV	B	Dividend	M	T					
228. NIKE INC CL B	A	Dividend	K	T	Sold (part)	01/08/14	J	C	
229. NOBLE ENERGY INC	A	Dividend	K	T	Sold (part)	12/24/14	J	A	
230. NORFOLK SOUTHERN CORP	B	Dividend	L	T	Sold (part)	05/09/14	J	B	
231.					Sold (part)	05/12/14	J	B	
232. NORWEGIAN CRUISE LINE HOLDINGS LTD		None	K	T	Buy	03/07/14	J		
233.					Buy	03/11/14	J		
234. NOVO NORDISK A/S CL B ADR	A	Dividend	K	T					
235. NUCOR CORP	A	Dividend			Sold (part)	07/16/14	K	D	
236.					Sold	07/17/14	J	C	
237. OR PROVIDENCE HLTH C SIFMA+100 FRN (MPT)	B	Interest	M	T					
238. ORACLE CORP	A	Dividend	L	T					

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239. PEPSICO INC	A	Dividend			Sold	05/21/14	K	D	
240. PFIZER INC	A	Dividend	K	T					
241. PHILIP MORRIS INTERNATIONAL INC	B	Dividend	K	T	Buy	04/01/14	K		
242. PNC FINANCIAL SERVICES GROUP INC	A	Dividend	K	T	Buy	04/23/14	J		
243.					Buy	09/24/14	J		
244.					Buy	09/25/14	K		
245. PRAXAIR INC	A	Dividend	K	T	Buy	08/25/14	J		
246.					Buy	09/24/14	J		
247.					Buy	09/25/14	J		
248.					Buy	09/29/14	J		
249. PROCTER & GAMBLE CO	B	Dividend	K	T	Buy	02/07/14	J		
250. PROGRESSIVE CORP OHIO	A	Dividend			Sold	07/16/14	J	C	
251. QUALCOMM INC	B	Dividend	K	T					
252. ROSS STORES INC	A	Dividend	J	T	Sold (part)	04/10/14	J	A	
253.					Sold (part)	06/19/14	J	A	
254.					Sold (part)	08/22/14	J	A	
255.					Sold (part)	10/10/14	K	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
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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
256. SAN DIEGO CA REGL AIRPORT A 5.0% 07/01/18	C	Interest	M	T					
257. SAN DIEGO CO WTR 5.0% 07/01/16	C	Interest	M	T					
258. SAN DIEGO WTR NATL FGIC 5.25% 05/01/17	D	Interest	M	T					
259. SAN FRAN ARPT 2ND 06F NATL-FGIC 5.25% 05/01/20	D	Interest	M	T					
260. SCRIPPS NETWORKS INTERACTIVE CL A	A	Dividend	L	T					
261. SCPPA MAGNOLIA PWR 11-A 5.00% 07/01/20	C	Interest	M	T					
262. SCPPA MEAD-ADELANTO 12A 5.0% 07/01/18	D	Interest	M	T					
263. SCHLUMBERGER LTD	B	Dividend	L	T					
264. SCHWAB CHARLES NEW	A	Dividend			Sold	04/16/14	K	D	
265. SEATTLE GENETICS INC		None	K	T	Sold (part)	03/27/14	J	C	
266.					Sold (part)	04/01/14	J	C	
267.					Sold (part)	04/08/14	J	B	
268.					Sold (part)	04/09/14	J	B	
269.					Sold (part)	04/22/14	J	B	
270. SIEMENS AG ADR	A	Dividend	K	T	Buy	04/04/14	K		
271.					Sold (part)	12/24/14	K	A	
272. SIGNET JEWELERS LTD	A	Dividend			Sold (part)	02/03/14	K	D	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
273.					Sold (part)	02/04/14	J	C	
274.					Sold (part)	02/05/14	J	C	
275.					Sold (part)	02/06/14	J	C	
276.					Sold	02/07/14	J	A	
277. SIRIUS XM HOLDINGS		None	K	T					
278. STARBUCKS CORP	A	Dividend	K	T	Buy	05/12/14	J		
279.					Buy	06/20/14	J		
280. SSGA US GOV MONEY MARKET FUND		None	N	T					
281. ST JUDE MEDICAL	A	Dividend	L	T	Buy	08/04/14	J		
282.					Buy	08/05/14	J		
283.					Buy	09/25/14	L		
284.					Buy	10/22/14	J		
285.					Buy	11/04/14	J		
286.					Buy	11/12/14	J		
287. TARGET CORP	A	Dividend			Sold (part)	05/22/14	J	C	
288.					Sold	05/23/14	J	C	
289. TE CONNECTIVITY LTD	A	Dividend			Sold (part)	09/24/14	K	D	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290.					Sold	09/25/14	J	B	
291. TEXAS INSTRUMENTS INC	B	Dividend	L	T					
292. TIFFANY & CO NEW	A	Dividend	J	T	Sold (part)	01/08/14	J	B	
293.					Sold (part)	01/22/14	J	C	
294.					Sold (part)	01/23/14	J	B	
295.					Sold (part)	03/28/14	J	B	
296.					Sold (part)	03/31/14	J	B	
297.					Sold (part)	04/01/14	J	A	
298.					Sold (part)	06/25/14	J	D	
299.					Sold (part)	06/26/14	J	D	
300. TOWERS WATSON & COMPANY CL A	A	Dividend	K	T	Buy	02/07/14	J		
301.					Buy	02/11/14	J		
302.					Buy	02/12/14	J		
303. TURLOCK CA IRR DIS 5.0% 01/01/19	B	Interest	M	T	Buy	07/10/14	M		
304. TUOLUMNE WIND REV CA TURLOCK IRR DT 5.25% 01/01/24	D	Interest	M	T					
305. UC REGENTS CA LTD PROJ 12G 5.0% 05/15/22	D	Interest	M	T					
306. UNILEVER PLC ADR AMER SHS SPON	B	Dividend	L	T	Buy	03/27/14	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	
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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307.					Buy	05/22/14	J		
308. UNILEVER NV NY SHRS	A	Dividend			Buy	01/21/14	K		
309.					Buy	02/10/14	K		
310.					Buy	02/11/14	J		
311.					Buy	02/12/14	J		
312.					Sold	03/27/14	L	B	
313. UNITED TECHNOLOGIES CORP	B	Dividend	L	T					
314. UNITED HEALTH GROUP INC	A	Dividend	K	T					
315. VERISIGN INC		None	L	T	Buy	04/23/14	J		
316.					Buy	04/24/14	J		
317. VERIZON COMMUNICATIONS	B	Dividend	L	T	Buy	04/01/14	J		
318.					Buy	08/25/14	J		
319.					Buy	08/26/14	J		
320. VIACOM INC CLASS B	A	Dividend	K	T	Buy	12/18/14	K		
321. VISA INC CL A	A	Dividend	K	T	Buy	09/25/14	J		
322.					Donated (part)	12/11/14			
323. WASTE CONNECTIONS INC	A	Dividend	L	T	Buy	01/07/14	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	
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324.					Buy	01/08/14	J		
325.					Buy	03/06/14	J		
326.					Buy	03/07/14	J		
327.					Buy	03/10/14	J		
328.					Buy	03/11/14	J		
329.					Buy	03/12/14	J		
330. WELLS FARGO & CO (NEW)	B	Dividend	L	T	Buy	01/10/14	K		
331.					Buy	03/28/14	J		
332.					Buy	03/31/14	J		
333.					Buy	04/01/14	J		
334. TRUST #2 (4306)									
335. CAPITAL GROUP ALTERNATIVE STRATEGIES		None	O	T	Buy	01/01/14	N		
336. CAPITAL GROUP GLOBAL EQUITY FUND	E	Dividend	P1	T	Sold (part)	01/30/14	J	A	
337.					Sold (part)	05/01/14	J	A	
338.					Sold (part)	07/31/14	J	A	
339.					Sold (part)	10/30/14	J	A	
340. CAPITAL GROUP CA SHORT TERM MUNI FUND	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
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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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341. CAPITAL GROUP EMERGING MARKETS GROWTH FUND INC	C	Dividend			Sold	12/24/14	M	A	
342. CAPITAL GROUP CA CORE MUNICIPAL FUND T	D	Dividend	O	T					
343. SSGA US GOV MONEY MARKET FUND		None	M	T					
344. MS Brokerage Asset Acct.									
345. Alhambra CA Sch Dist 3.0% 08/01/26	C	Interest	M	T					
346. Amazon Inc.		None	J	T	Distributed	10/20/14	J		From Fargo Investment
347. Aruba Network Service (X)		None	K	T					
348. Banning CA Sch Dist. 4.75% 08/01/23	B	Interest	K	T					
349. Belmont CA Fing Auth 4.0% 09/01/26	C	Interest	M	T					
350. Burbank CA Pub Fling 5.250% 12/01/17	C	Interest	L	T					
351. Buttonwillow CA Sch Dist 5.5% 11/01/27	C	Interest	L	T					
352. CA ST Dept Wtr 5.00% 05/01/21	C	Interest	L	T					
353. CA ed FACS 4.250% 10/01/18	B	Interest	L	T					
354. CA ST GO 5.0% 08/01/27	C	Interest	M	T					
355. CA ST GO 4.75% 09/01/28	B	Interest	L	T					
356. Cal ST Pub Works 5.25% 12/01/26	D	Interest	M	T					
357. CA ST Pub Works 5.25% 06/01/20	C	Interest	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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358. CA ST Pub Works 4.200% 05/01/19	C	Interest	M	T					
359. CA ST Pub Works 5.000% 06/01/18	C	Interest			Sold	06/02/14	M		
360. Carmichael CA WTR Dist 5.0% 11/01/25	B	Interest	L	T					
361. Chino Hills CA Tax Rev 4.25% 09/01/24	B	Interest	L	T					
362. Chula Vista CA Pub Fing 3.875% 09/01/17	C	Interest	L	T					
363. Chula Vista CA Sch Dist 4.0% 08/01/26	C	Interest	M	T					
364. Coachella CA Sch Dist 5.000% 08/01/19	C	Interest	L	T					
365. Cococrystal Pharma Inc.		None	K	T	Buy	12/10/14	K		
366. Colton CA Sch Dist 3.25% 08/01/26	C	Interest	M	T					
367. Compton CA WTR Rev 5.625% 08/01/27	D	Interest	M	T					
368. Contra Costa CA Community Coll. 4.0% 08/01/28	B	Interest	L	T	Buy	08/27/14	M		
369. Cupertino CA CTFS 3.0% 07/01/26	C	Interest	M	T					
370. Delano CA Sch Dist 4.000% 02/01/25	C	Interest	M	T					
371. Delano CA Sch Dist 4.5% 08/01/27	C	Interest			Sold	08/01/14	M	B	
372. Desert CA Cmnty Coll. 5.00% 08/01/23	B	Interest	L	T					
373. Dublin CA Sch Dist 5.0% 08/01/25	B	Interest	L	T					
374. East Side Sch Dist 5.0% 08/01/24	C	Interest	L	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.)

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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)
375. El Monte CA Sch Dist. 5.000% 06/01/22	C	Interest	M	T					
376. Escondido CA CTFS 4.250% 09/01/19	D	Interest	M	T					
377. Fairfield CA Sch. Dist. 4.000% 08/07/27	C	Interest	L	T					
378. Fairfield CA Sch Dist. 3.0% 08/01/28	B	Interest	M	T	Buy	10/29/14	M		
379. Fontana CA Pub Fing 4.000% 09/01/18	D	Interest	M	T					
380. Fremont CA Sch Dist 5.0% 08/01/25	C	Interest	L	T					
381. Gilead Sci Inc.		None	M	T	Buy	02/24/14	L		
382.					Buy	04/01/14	K		
383.					Buy	04/15/14	L		
384. Hemet CA Sch Dist. 4.0% 08/01/23	C	Interest	M	T					
385. Huntington Beach CA Pub Fing 5.0% 09/01/25	C	Interest	M	T					
386. Imperial CNTY CA Sch Dist 3.25% 06/01/23	B	Interest	L	T					
387. Incyte Corp		None	M	T	Buy	11/03/14	M		
388. Infoblox		None			Sold	02/24/14	K	D	
389. Jefferson CA Sch Dist. 5.000% 08/01/26	C	Interest	M	T					
390. Jefferson CA Sch Dist 5.0% 07/15/26	C	Interest	M	T					
391. Lake Arrowhead CA Dist Wtr 4.500% 10/01/26	C	Interest	L	T					

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
392. Liberty CA High Sch 4.250% 08/01/26	B	Interest	L	T					
393. Lincoln CA Sch Dist 4.500% 08/01/19	C	Interest			Sold	08/01/14	M		
394. Lodi CA Elec Sys 4.5% 07/01/25	C	Interest	L	T					
395. Los Angeles CA Comm College 5.0% 08/01/26	B	Interest	K	T					
396. Los Angeles CA DWP 5.0% 07/01/26	D	Interest	M	T					
397. Los Angeles CA Sch Dist 4.75% 07/01/25	C	Interest	M	T					
398. Los Angeles CA Sch Dist. 4.50% 07/01/22	B	Interest	L	T					
399. Madera Co CTFS 4.250% 08/01/22	C	Interest	L	T					
400. Malibu CA CTFS 4.5% 07/01/27	C	Interest	M	T					
401. Montclair CA Fing Auth 3.875% 10/01/16	C	Interest			Sold	12/30/14	M		
402. Mountain View CA High School 4.125% 08/01/16	D	Interest	M	T					
403. Napa Co CTFS 3.600% 02/01/17	C	Interest			Sold	12/30/14	M	B	
404. Oxnard CA Fing Auth 4.750% 06/01/24	D	Interest	M	T					
405. Palmdale CA Redev Agy 3.800% 09/01/16	D	Interest	M	T					
406. Palm Desert CTFS 5.00% 04/01/22	B	Interest	L	T					
407. Palm Springs Sch Dist. 3.0% 08/01/27	C	Interest	M		Buy	07/22/14	M		
408. Pasadena CA CTFS 5.0% 02/01/24	C	Interest	M	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.001 - \$500,000.000	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.

Date of Report

07/15/2015

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
409. Pasadena CA Elec Rev 4.0% 08/01/24	B	Interest	L	T					
410. Placentia-Yorba Linda CA Sch Dist 2.75% 08/01/26	C	Interest	L	T					
411. Port Oakland CA Rev Ref 5.00% 11/01/21	B	Interest	L	T					
412. Redding CA Elec Sys. 5.0% 06/01/27	B	Interest	L	T					
413. Redlands CA Sch Dist. 5.000% 07/01/25	D	Interest	M	T					
414. Redondo Beach CA Sch Dist 4.0% 08/01/25	C	Interest	M	T					
415. Riverside Co CTFS 3.875% 11/01/14	C	Interest			Sold	11/03/14	M		
416. Ruckus Wireless Inc.		None	J	T	Sold (part)	02/24/14	K	D	
417. Sacramento CA Util Dist 5.000% 05/15/14	B	Interest			Sold	05/15/14	M		
418. Sacramento CA CTFS 5.000% 12/01/21	B	Interest	K	T					
419. Salinas CA CTFS 4.500% 09/01/20	B	Interest			Sold	03/03/14	M		
420. San Diego CA Conv. Cnt 5.0% 04/15/26	B	Interest	M	T	Buy	07/22/14	M		
421. San Diego PFFA 5.0% 10/15/25	D	Interest	N	T					
422. San Diego Co Wtr Auth 4.000% 05/01/20	C	Interest	M	T					
423. San Diego CA Sch Dist 5.5% 07/01/24	D	Interest	M	T					
424. San Diego CNTY CA Regl Trans 5.0% 04/01/29	D	Interest	M	T					
425. San Francisco CA Pub Util 5.0% 11/01/25	C	Interest	M	T					

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Wardlaw, Kim M.

Date of Report

07/15/2015

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
426. San Francisco CA Pub Util 5.0% 11/01/26	C	Interest	L	T					
427. San Gabriel CA Sch Dist 5.25% 08/01/24	D	Interest	M	T					
428. San Juan CA Sch Dist 5.0% 08/01/25	C	Interest	L	T					
429. San Juan Capistrano Co Fing Auth 4.000% 12/01/17	C	Interest			Sold	11/20/14	M		
430. San Leandro CA Sch Dist 4.5% 08/01/26	C	Interest	L	T					
431. Santa Cruz Co CTFS 3.875% 08/01/16	D	Interest	M	T					
432. Santa Cruz Co CTFS 4.200% 08/01/19	C	Interest	L	T					
433. Santa Rosa CA Sch Dist 3.800% 08/01/17	B	Interest			Sold	08/01/14	L		
434. Santa Rosa CA Wtr Rev 5.0% 09/01/26	D	Interest	M	T					
435. Seattle Genetics		None	M	T	Buy	11/03/14	M		
436. So Cal Logistics 4.125% 12/01/20	C	Interest	L	T					
437. So CA Pub Pwr Auth 5.150% 07/01/15	D	Interest	M	T					
438. So Gate CA fing Auth 5.250% 09/01/19	B	Interest			Sold	09/02/14	K		
439. Stockton CA Sch Dist 5.000% 08/01/27	B	Interest	M	T	Buy	10/29/14	M		
440. The Pantry common stock		None	M	T					
441. Tracy CA Jt Powers 4.200% 09/02/17	B	Interest			Sold	09/02/14	K		
442. Western Riverside WTR 4.250% 09/01/21	C	Interest	L	T					

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

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

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

443. Yountville CA Fin Auth 4.375% 10/01/24	B	Interest	L	T					
444. Yosemite CA Comm. College 5.0% 08/01/25	B	Interest	M	T					
445. MS Bank Deposit	A	Interest	J	T					
446. FS Equity Partners IV									
447. Sur La Table		None	M	U					
448. Ross-Simmons		None	M	U					
449. FS Equity Partners V									
450. H.H. Gregg Inc common stock		None	N	U					
451. Smile Brands Inc common stock		None	N	U					
452. PETCO Animal Supply common stock		None	N	U					
453. El Pollo Loco Inc common stock		None	N	U	Sold (part)	11/28/14	P1	G	
454. FS Equity Partners VI									
455. Paradise Holdings common stock	G	Dividend	N	U					
456. BECO Holding Co common stock		None			Sold	09/03/14	P1	G	
457. Floor and Decor common stock	G	Dividend	O	U					
458. Boot Barn common stock	G	Dividend	N	U					
459. First Watch common stock		None	N	U	Buy	05/24/14	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)

460. MicroStar common stock	G	Dividend	O	U					
461. Arhaus common stock		None	O	U					
462. tates Isotoner Holdings Corp. common stock		None	O	U	Buy	04/25/14	O		
463. FS Equity Partners VII									
464. tates Isotoner Holdings Corp common stock		None	M	U	Buy	07/09/14	M		
465. Plantation Products, LLC		None	O	U	Buy	12/18/14	O		
466. Riordan Venture Association									
467. Cymetrix Corp common stock		None			Sold	06/04/14	J	C	
468. Installer's Edge (formerly Saebro Inc) common stock		None			Sold	07/16/14	J		
469. TW Holdings common stock		None	J	U					
470. Avella, Inc. preferred stock		None	J	U					
471. Secure Mission Solutions LLC		None			Sold	04/25/14	K	D	
472. ONE Industries common stock		None	J	U					
473. Bluewolf Group LLC		None	K	U	Buy	12/27/14	J		
474. Siteworks		None	J	U					
475. Chartis Group		None	J	U					
476. 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)

477. Patient Care America (formerly DCRX Infusion)		None	J	U					
478. Clarity Solution Group		None	L	U	Buy	05/20/14	L		
479. Inspirage LLC		None	K	U	Buy	12/09/14	K		
480. Bistro 45 common stock	A	Dividend	J	U					
481. MS Retire Accts (401k-profit)									
482. Invesco Pacific Growth Fund	C	Dividend	M	T					
483. MSDW Liquid Asset Account Trust Fund	A	Dividend	K	T					
484. Hewlett Packard common stock	A	Dividend	K	T					
485. Proctor & Gamble common stock	C	Dividend	M	T					
486. Altria Group common stock	B	Dividend	K	T					
487. Cisco Sys common stock	B	Dividend	K	T					
488. Kraft Foods Inc common stock	A	Dividend	J	T					
489. Mondelez Int'l common stock	A	Dividend	J	T					
490. Philip Morris	B	Dividend	K	T					
491. Invesco Div. Growth Fund	C	Dividend	M	T					
492. American Funds New World Fund	C	Dividend	O	T	Buy	01/27/14	L		
493. 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)

494. General Elec common stock	A	Dividend	J	T					
495. American Funds New World Fund	A	Dividend	J	T					
496. Trust #4 (IR-W)									
497. CAPITAL GROUP CORE MUNICIPAL FUND	C	Dividend	M	T	Buy	09/09/14	J		
498. CAPITAL GROUP ALTERNATIVE STRATEGIES		None	O	T	Buy	01/01/14	N		
499. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	N	T	Sold (part)	01/30/14	J	A	
500. AMERICAN FUNDS EUROPACIFIC GROWTH FUND	B	Dividend	L	T	Sold (part)	09/09/14	J	A	
501. AMERICAN FUNDS FUNDAMENTAL INVESTORS	D	Dividend	N	T	Sold (part)	05/01/14	J	A	
502. AMERICAN FUNDS GROWTH FUND OF AMERICA	C	Dividend	N	T	Sold (part)	07/31/14	J	A	
503. AMERICAN FUNDS CAPITAL INCOME BUILDER	D	Dividend	M	T	Sold (part)	10/30/14	J	A	
504. AMERICAN FUNDS CAPITAL WORLD GROWTH & INCOME FD	D	Dividend	N	T					
505. AMERICAN FUNDS NEW PERSPECTIVE FUND	C	Dividend	N	T					
506. AMERICAN FUNDS NEW WORLD FUND	C	Dividend	N	T					
507. AMERICAN FUNDS SMALL CAP WORLD		None	M	T					
508. SSGA US GOV Money Mkt Fund (formerly Cash Management Trust of America)		None	J	T					
509. Trust #5 (IR-K)									
510. CAPITAL GROUP CORE MUNICIPAL FUND	C	Dividend	M	T	Buy	09/09/14	J		

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

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

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

511. CAPITAL GROUP ALTERNATIVE		None	O	T	Buy	01/01/14	N		
512. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	N	T	Sold (part)	01/30/14	J	A	
513. AMERICAN FUNDS EUROPACIFIC GROWTH	B	Dividend	L	T	Sold (part)	09/09/14	J	A	
514. AMERICAN FUNDS FUNDAMENTAL INVESTORS	D	Dividend	N	T	Sold (part)	05/01/14	J	A	
515. AMERICAN FUNDS GROWTH FUND OF AMERICA	C	Dividend	N	T	Sold (part)	07/31/14	J	A	
516. AMERICAN FUNDS CAPITAL INCOME BUILDER	D	Dividend	M	T	Sold (part)	10/30/14	J	A	
517. AMERICAN FUNDS CAPITAL WORLD GROWTH & INCOME FD	D	Dividend	N	T					
518. AMERICAN FUNDS NEW PERSPECTIVE FUND	C	Dividend	N	T					
519. AMERICAN FUNDS NEW WORLD FUND	C	Dividend	N	T					
520. AMERICAN FUNDS SMALL CAP WORLD FUND		None	M	T					
521. SSGA US GOV Money Mkt Fund (formerly Cash Management Trust of America)		None	J	T					
522. Trust #6 (98-W)									
523. Invesco Divident Growth	B	Dividend	K	T	Sold (part)	11/03/14	L		
524. American Funds New World Fund	C	Dividend	N	T					
525. Incyte Corp		None	K	T	Buy	11/03/14	K		
526. Seattle Genetics Inc		None	K	T	Buy	11/03/14	K		
527. MSDW Active Money Trust	A	Dividend	J	T					

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

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

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

528. HH Gregg Inc common stock		None	J	U					
529. Smile Brands common stock		None	J	U					
530. PETCO Animal Supply common stock		None	J	U					
531. El Pollo Loco common stock		None	J	U	Sold (part)	11/28/14	M	G	
532. CAPITAL GROUP CORE MUNICIPAL FUND	C	Dividend	M	T	Buy	12/05/14	K		
533. CAPITAL GROUP ALTERNATIVE STRATEGIES		None	O	T	Buy	01/01/14	N		
534. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	N	T	Buy	12/05/14	K		
535. AMERICAN FUNDS EUROPACIFIC GROWTH FUND	C	Dividend	M	T	Buy	12/29/14	K		
536. AMERICAN FUNDS FUNDAMENTAL INVESTORS CL	D	Dividend	O	T	Sold (part)	05/01/14	J	A	
537.					Sold (part)	07/31/14	J	A	
538.					Sold (part)	10/30/14	J	A	
539. AMERICAN FUNDS INVESTMENT COMPANY OF AMERICA	D	Dividend	N	T	Buy	12/29/14	J		
540. AMERICAN FUNDS NEW PERSPECTIVE FUND	C	Dividend	N	T	Buy	12/29/14	J		
541. AMERICAN FUNDS NEW WORLD FUND	C	Dividend	N	T	Buy	01/17/14	J		
542. AMERICAN FUNDS CAPITAL INCOME BUILDER	D	Dividend	N	T	Buy	12/29/14	K		
543. AMERICAN FUNDS GROWTH FUND OF AMERICA	C	Dividend	N	T					
544. AMERICAN FUNDS SMALL CAP WORLD FUND		None	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)

545. SSGA US Gov Money Fund (formerly American Funds Cash Mgmt Trust)		None	M	T					
546. Trust #7 (98-K)									
547. Invesco Dividend Growth	B	Dividend	L	T	Sold (part)	11/28/14	L		
548. American Funds New World Fund	C	Dividend	N	T					
549. Incyte Corp		None	K	T	Buy	11/03/14	K		
550. Seattle Genetics		None	K	T	Buy	11/03/14	K		
551. MSDW Active Money Trust	A	Dividend	J	T					
552. HH Gregg Inc common stock		None	J	U					
553. Smile Brands common stock		None	J	U					
554. PETCO Animal Supply common stock		None	J	U					
555. El Pollo Loco common stock		None	J	U	Sold (part)	11/28/14	M	G	
556. CAPITAL FUND CORE MUNICIPAL FUND	C	Dividend	M	T	Buy	12/05/14	K		
557. CAPITAL GROUP ALTERNATIVE STRATEGIES		None	O	T	Buy	01/01/14	N		
558. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	N	T	Buy	12/05/14	K		
559. AMERICAN FUNDS EUROPACIFIC GROWTH FUND	C	Dividend	M	T	Buy	12/29/14	K		
560. AMERICAN FUNDS FUNDAMENTAL INVESTORS CL	D	Dividend	O	T	Sold (part)	05/01/14	J	A	
561.					Sold (part)	07/31/14	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
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3. Value Method Codes: (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
562.					Sold (part)	10/30/14	J	A	
563. AMERICAN FUNDS INVESTMENT COMPANY OF AMERICA	D	Dividend	N	T	Buy	12/29/14	J		
564. AMERICAN FUNDS NEW PERSPECTIVE FUND	C	Dividend	N	T	Buy	12/29/14	J		
565. AMERICAN FUNDS NEW WORLD FUND	C	Dividend	N	T	Buy	01/17/14	J		
566. AMERICAN FUNDS CAPITAL INCOME BUILDER	D	Dividend	N	T	Buy	12/29/14	K		
567. AMERICAN FUNDS GROWTH FUND OF AMERICA	C	Dividend	N	T					
568. AMERICAN FUNDS SMALL CAP WORLD FUND		None	L	T					
569. SSGA US Gov Money Fund (formerly American Funds Cash Mgmt Trust)		None	M	T					
570. Real Estate Partnership - Lau		None	M	U					
571. Real Estate Partnership - Lau W		None	M	U	Buy	02/26/14	J		
572.					Buy	08/05/14	K		
573.					Buy	09/03/14	J		
574. Citibank Money Market Fund	C	Interest	O	T					
575. Citibank Checking	A	Interest	M	T					
576. Citibank Checking	A	Interest	L	T					
577. Fargo Investment Partnership		None	M	U	Distributed (part)	10/20/14	M		to MS Brokerage
578. JRK Multifamily LP		None	N	U	Buy	07/23/14	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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579. Urban Housing Investment Fund		None	L	U	Sold (part)	07/11/14	K		
580. JP Morgan Account									
581. Bluebay Emerging Market Fund		None	O	T					
582. Gavea Fund		None	L	T	Redeemed (part)	09/22/14	P1		
583. Global Access Explorer Fund		None	M	T	Redeemed (part)	07/29/14	O		
584. Maverick Fund		None	O	T					
585. York Credit Opportunity Fund		None	P1	T					
586. Blackstone Real Estate Fund		None	O	T					
587. JPM Realty Income Fund	B	Dividend			Sold	10/30/14	M	E	
588. iPath-UBS Commodity Index Fund		None			Sold	01/08/14	M		
589. Soc. Generale Gold Lev CBEN 10/02/14		None			Redeemed	10/08/14	M		
590. Soc. Generale Lev Cont Bank 01/14/15		None	M	T					
591. JPM STRAT Income Fund	B	Dividend			Sold	10/30/14	M		
592. JPM Mort-Backed Fund	D	Dividend			Sold	01/08/14	L		
593. JP Morgan Floating Rate Fund	D	Dividend			Sold	10/30/14	M		
594. Brevan Howard Emerging Market Fund		None			Redeemed	01/27/14	N		
595. JP Morgan Tri Ex Fund	A	Dividend			Sold	01/09/14	L		

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596. Soc. Generale PIMS 02/03/14		None			Redeemed	02/03/14	L		
597. JP Morgan Multi Sector Income Fund	B	Dividend	M	T	Buy	01/08/14	M		
598. Shannon River Partners		None	N	T	Buy	02/28/14	N		
599. Goldman Sachs Group European Note		None	L	T	Buy	05/23/14	L		
600. Third Point Partners		None	P1	T	Buy	09/30/14	P1		
601. Citi Acct									
602. Alvord CA 5R Dist 5.0% 08/01/27	D	Interest	N	T					
603. Cal ST GO 4.5% 08/01/26	E	Interest	N	T					
604. Cal ST Pub Works 4.0% 06/01/27	D	Interest	N	T					
605. Fresno CA Sch Dist 5.25% 08/01/27	D	Interest	M	T					
606. Fresno CA Sch Dist 3.5% 08/01/26	C	Interest	M	T					
607. Gilroy CA Fing Auth 4.0% 11/01/24	D	Interest	M	T					
608. Hollister CA Find Auth 5.0% 06/01/25	C	Interest	L	T					
609. Kern Cnty CA Wtr Dist. 5.0% 05/01/28	D	Interest	M	T					
610. Oceanside CA Sch Dist 4.5% 08/01/28	D	Interest	M	T					
611. Redwood City CA Sch Dist 3.0% 08/01/26	C	Interest	M	T					
612. San Luis Obispo CA CAP IMPR 4.0% 12/01/27	D	Interest	M	T					

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613. Santa Clara CA Sch Dist 3.5% 07/01/24	C	Interest	M	T					
614. Stockton CA Sch Dist 5.0% 08/01/24	C	Interest	M	T					
615.									

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

IX. CERTIFICATION.

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

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

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

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

Committee on Financial Disclosure
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