

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2015

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

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Harwood, Bruce A.                                                                                                                    | <b>2. Court or Organization</b><br><br>United States Bankruptcy Court - District of New Hampshire                                                                                                                                                                                        | <b>3. Date of Report</b><br><br>08/08/2016                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>Chief Bankruptcy Judge                                                        | <b>5a. Report Type (check appropriate type)</b><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2015<br>to<br>12/31/2015 |
| <b>7. Chambers or Office Address</b><br><br>United States Bankruptcy Court<br>1000 Elm Street<br>Manchester, NH 03101                                                                                     |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. | Director        | American Bankruptcy Institute             |
| 2. | Trustee         | Trust #1 (family member sole beneficiary) |
| 3. | Trustee         | Trust #2 (family member sole beneficiary) |
| 4. | Trustee         | Trust #3 (family member sole beneficiary) |
| 5. | Trustee         | Trust #4 (family member sole beneficiary) |
| 6. | Trustee         | Trust #5 (family member sole beneficiary) |
| 7. | Trustee         | Trust #6 (family member sole beneficiary) |

## 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><br>(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.)*

| <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. American College of Bankruptcy | March 12-15, 2015 | Washington, DC  | Induction ceremony, educational seminar            | Transportation, Lodging, Meals |
| 2. US Courts                      | March 18-20, 2015 | Boston, MA      | First Circuit Judicial Conference                  | Transportation, Lodging, Meals |
| 3. US Courts                      | April 13-14, 2015 | Washington, DC  | Electronic Public Access Working Group meeting     | Transportation, Lodging, Meals |
| 4. American Bankruptcy Institute  | April 16-19, 2015 | Washington, DC  | Educational seminar and board of directors meeting | Transportation, Lodging, Meals |
| 5. US Courts                      | May 17-20, 2015   | Dallas, TX      | Operations Forum                                   | Transportation, Lodging, Meals |

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|     |                                          |                       |                    |                                                    |                                |
|-----|------------------------------------------|-----------------------|--------------------|----------------------------------------------------|--------------------------------|
| 6.  | American Bankruptcy Institute            | July 19-12, 2015      | North Falmouth, MA | Educational seminar                                | Transportation, Lodging, Meals |
| 7.  | Federal Judicial Center                  | August 4-7, 2015      | Washington, DC     | Educational seminar                                | Transportation, Lodging, Meals |
| 8.  | National Conference of Bankruptcy Judges | September 26-30, 2015 | Miami, FL          | Educational seminar and annual meeting             | Transportaion, Lodging         |
| 9.  | US Courts                                | October 19-20, 2015   | Washington, DC     | Electronic Public Access Working Gtoup meeting     | Transportation, Lodging, Meals |
| 10. | American Bankruptcy Institute            | December 2-5, 2015    | Phoenix, AZ        | Educational seminar and board of directors meeting | Transportation, Lodging, Meals |

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

|                                                 |   |          |   |   |             |          |   |   |  |
|-------------------------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 1. Common ABT - ABBOT LABORATORIES              | A | Dividend |   |   | Sold        | 11/19/15 | J | B |  |
| 2. Common ABBV - ABBVIE INC COM                 | A | Dividend |   |   | Sold        | 11/19/15 | J | C |  |
| 3. Common ACE - ACE LTD                         | A | Dividend |   |   | Buy (add'l) | 01/12/15 | J |   |  |
| 4.                                              |   |          |   |   | Buy (add'l) | 07/21/15 | J |   |  |
| 5.                                              |   |          |   |   | Sold        | 11/19/15 | J | B |  |
| 6. Common APD - AIR PROD 7 CHEM INC             | A | Dividend |   |   | Sold        | 11/19/15 | J | B |  |
| 7. Common AMLP - ALERIAN MLP ETF                |   | None     | M | T | Buy         | 11/17/15 | L |   |  |
| 8.                                              |   |          |   |   | Buy (add'l) | 11/19/15 | K |   |  |
| 9. Common ALXN - ALEXION PHARM INC              |   | None     |   |   | Buy         | 08/31/15 | J |   |  |
| 10.                                             |   |          |   |   | Sold        | 11/19/15 | J |   |  |
| 11. Common MO - ALTRIA GROUP INC                | A | Dividend |   |   | Sold        | 11/19/15 | J | D |  |
| 12. Common BUD - ANHEUSER-BUSCH INBEV SA        | A | Dividend |   |   | Buy (add'l) | 08/31/15 | J |   |  |
| 13.                                             |   |          |   |   | Sold        | 11/19/15 | J | A |  |
| 14. Common AAPL - APPLE INC                     | A | Dividend |   |   | Sold        | 11/19/15 | K | E |  |
| 15. AQMIX - AQR MANAGED FUTURES STRATEGY I FUND | D | Dividend | M | T | Buy         | 11/17/15 | L |   |  |
| 16.                                             |   |          |   |   | Buy (add'l) | 11/19/15 | K |   |  |
| 17. Common - ASML - ASML HLDG NV NY REG NEW     | A | Dividend |   |   | Buy (add'l) | 07/21/15 | J |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                      |   |          |   |   |             |          |   |   |  |
|----------------------------------------------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 18.                                                                  |   |          |   |   | Sold        | 11/19/15 | J |   |  |
| 19. Common ADP - AUTOMATIC DATA PROCESSING INC                       | A | Dividend |   |   | Sold (part) | 08/31/15 | J | B |  |
| 20.                                                                  |   |          |   |   | Sold        | 11/19/15 | J | B |  |
| 21. Common BLK - BLACKROCK INC                                       | A | Dividend |   |   | Sold        | 11/19/15 | J | C |  |
| 22. BGCIX - BLACKROCK GLOBAL L/S CREDIT FUND                         | C | Dividend | L | T | Buy         | 11/17/15 | L |   |  |
| 23.                                                                  |   |          |   |   | Buy (add'l) | 11/19/15 | K |   |  |
| 24. CMNIX - CALAMOS MARKET NEUTRAL INC FUND                          | B | Dividend | K | T | Buy (add'l) | 01/12/15 | J |   |  |
| 25.                                                                  |   |          |   |   | Buy (add'l) | 11/19/15 | J |   |  |
| 26. Common - CRC - CALIFORNIA RES CORP (Spinoff from OXY OCCIDENTAL) |   | None     |   |   | Sold        | 02/04/15 | J | A |  |
| 27. Common - CP CANADIAN PACIFIC RAILWAY                             | A | Dividend |   |   | Sold        | 11/19/15 | J | A |  |
| 28. Common CAT - CATERPILLAR INC                                     | A | Dividend |   |   | Sold        | 08/31/15 | J |   |  |
| 29. Common CDK - CDK GLOBAL INC (Spinoff from ADP)                   |   | None     |   |   | Sold        | 02/04/15 | J | A |  |
| 30. Common - CELG - CELGENE CORP                                     |   | None     |   |   | Buy (add'l) | 06/11/15 | J |   |  |
| 31.                                                                  |   |          |   |   | Sold        | 11/19/15 | J | A |  |
| 32. Common CVX - CHEVRON CORP                                        | A | Dividend | J | T | Buy (add'l) | 01/12/15 | J |   |  |
| 33.                                                                  |   |          |   |   | Sold (part) | 06/11/15 | J | A |  |
| 34.                                                                  |   |          |   |   | Sold (part) | 11/19/15 | J | B |  |

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

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|                                                 |   |          |   |   |             |          |   |   |  |
|-------------------------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 35. Common KO - COCA COLA CO                    | A | Dividend |   |   | Sold (part) | 01/12/15 | J | B |  |
| 36.                                             |   |          |   |   | Sold        | 11/19/15 | J | D |  |
| 37. Common COP - CONOCO PHILLIPS                | A | Dividend |   |   | Buy (add'l) | 01/12/15 | J |   |  |
| 38.                                             |   |          |   |   | Sold (part) | 06/11/15 | J | A |  |
| 39.                                             |   |          |   |   | Sold        | 11/19/15 | J | B |  |
| 40. SKNRX - DEUTSCHE ENHANCED COMM STRAT A FUND |   | None     | K | T | Buy         | 12/30/15 | K |   |  |
| 41. Common DEO - DIAGEO PLC SPON ADR NEW        | A | Dividend |   |   | Buy (add'l) | 01/12/15 | J |   |  |
| 42.                                             |   |          |   |   | Sold        | 11/19/15 | J | A |  |
| 43. Common EICSX EATON VANCE COMMODITY STRAT I  |   | None     |   |   | Sold        | 01/22/15 | J |   |  |
| 44.                                             |   |          |   |   | Buy         | 11/19/15 | K |   |  |
| 45.                                             |   |          |   |   | Sold        | 12/30/15 | K |   |  |
| 46. Common EOG - EOG RESOURCES                  | A | Dividend |   |   | Sold        | 11/19/15 | J | A |  |
| 47. Common EL - ESTEE LAUDER CO INC CL A        | A | Dividend |   |   | Sold        | 11/19/15 | J | C |  |
| 48. Common - XOM EXXON MOBIL CORP               | A | Dividend |   |   | Buy (add'l) | 01/12/15 | J |   |  |
| 49.                                             |   |          |   |   | Sold (part) | 06/11/15 | J | A |  |
| 50.                                             |   |          |   |   | Sold        | 11/19/15 | J | C |  |
| 51. Common FB - FACEBOOK INC CL A               |   | None     |   |   | Buy         | 02/25/15 | J |   |  |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | J                               | B                              |                                                                   |
| 53. Common BEN - FRANKLIN RESOURCES                                                                                         | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/19/15                | J                               | A                              |                                                                   |
| 54. Common GE - GENERAL ELECTRIC CO                                                                                         | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 01/12/15                | J                               | A                              |                                                                   |
| 55.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 02/25/15                | J                               | A                              |                                                                   |
| 56. Common - GILD - GILEAD SCIENCE                                                                                          | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/19/15                | J                               | B                              |                                                                   |
| 57. Common - GOOG - GOOGLE (Name<br>changed to ALPHABET during 2015)                                                        |                                         | None                                          |                                                 |                                           | Buy                                             | 08/31/15                | J                               |                                |                                                                   |
| 58.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | J                               | A                              |                                                                   |
| 59. Common INTC - INTEL CORP                                                                                                | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/31/15                | J                               | B                              |                                                                   |
| 60. Common - ICE - INTERCONTINENTAL<br>EXCHANGE GROUP                                                                       | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 06/11/15                | J                               |                                |                                                                   |
| 61.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | J                               | A                              |                                                                   |
| 62. Common IBM - INTL BUSINESS<br>MACHINES CORP                                                                             | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 01/12/15                | J                               |                                |                                                                   |
| 63.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 02/25/15                | J                               | A                              |                                                                   |
| 64.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/31/15                | J                               | A                              |                                                                   |
| 65.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | J                               |                                |                                                                   |
| 66. IQHX - IQ ALPHA HEDGE STRAT INST<br>FUND                                                                                | C                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 01/12/15                | J                               |                                |                                                                   |
| 67.                                                                                                                         |                                         |                                               | K                                               | T                                         | Buy<br>(add'l)                                  | 11/19/15                | J                               |                                |                                                                   |
| 68. Common TIP - ISHARES BARCLAYS<br>TIPS BD ED                                                                             | B                                       | Dividend                                      | M                                               | T                                         | Sold<br>(part)                                  | 11/17/15                | N                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

Page 9 of 18

Name of Person Reporting

Harwood, Bruce A.

Date of Report

08/08/2016

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

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

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

|                                                 |   |          |   |   |             |          |   |   |  |
|-------------------------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 69. EEN - ISHARES MSCI EMERGING MARKETS ETF     |   | None     | K | T | Buy         | 11/19/15 | K |   |  |
| 70. Common SCZ - ISHARES TR MSCI SMALL CAP      | B | Dividend | L | T | Buy (add'l) | 11/19/15 | K |   |  |
| 71. PEIXX - INVESCO PREMIER TX EXEMPT INST FUND | A | Dividend |   |   | Buy (add'l) | 01/12/15 | J |   |  |
| 72.                                             |   |          |   |   | Sold        | 11/19/15 | J |   |  |
| 73. Common JNJ - JOHNSON & JOHNSON              | A | Dividend |   |   | Sold (part) | 01/12/15 | J | C |  |
| 74.                                             |   |          |   |   | Sold (part) | 02/25/15 | J | A |  |
| 75.                                             |   |          |   |   | Sold        | 08/31/15 | J | B |  |
| 76. Common JPM - JPMORGAN & CHASE CO            | A | Dividend |   |   | Sold        | 11/19/15 | J | D |  |
| 77. Common KRFT - KRAFT FOODS GROUP INC COM     | A | Dividend |   |   | Sold        | 01/12/15 | J | A |  |
| 78. Common MCD - MCDONALDS CORP                 | A | Dividend |   |   | Sold (part) | 01/12/15 | J | B |  |
| 79.                                             |   |          |   |   | Sold        | 11/19/15 | J | C |  |
| 80. Common MERFX - MERGER FUND                  | B | Dividend | M | T | Buy         | 11/17/15 | L |   |  |
| 81.                                             |   |          |   |   | Buy (add'l) | 11/19/15 | K |   |  |
| 82. Common MRK - MERCK & CO INC NEW COM         | A | Dividend |   |   | Sold (part) | 01/12/15 | J | B |  |
| 83.                                             |   |          |   |   | Sold        | 02/22/15 | J | A |  |
| 84. Common MDLZ - MONDELEZ INTL INC COM         | A | Dividend |   |   | Sold        | 01/12/15 | J | B |  |
| 85. Common MSFT - MICROSOFT                     | A | Dividend |   |   | Buy         | 08/31/15 | J |   |  |

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

# FINANCIAL DISCLOSURE REPORT

Page 10 of 18

Name of Person Reporting

Harwood, Bruce A.

Date of Report

08/08/2016

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

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | J                               | A                              |                                                                   |
| 87. Common - NKE - NIKE                                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 08/31/15                | J                               |                                |                                                                   |
| 88.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | J                               | A                              |                                                                   |
| 89. Common NSRGY - NESTLE SPON ADR<br>REP REG SHR                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/19/15                | J                               | D                              |                                                                   |
| 90. Common NWSA - NEWS CORP LTD CL<br>A DEL                                                                                 |                                         | None                                          |                                                 |                                           | Buy<br>(add'l)                                  | 01/12/15                | J                               |                                |                                                                   |
| 91.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 06/11/15                | J                               | A                              |                                                                   |
| 92. Common NVS - NOVARTIS AG                                                                                                | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 01/12/15                | J                               |                                |                                                                   |
| 93.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | J                               | A                              |                                                                   |
| 94. Common NVO - NOVO NORDISK A/S<br>ADR                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/19/15                | J                               | D                              |                                                                   |
| 95. Common OXY - OCCIDENTAL<br>PETROLEUM CORP DE                                                                            | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 01/12/15                | J                               |                                |                                                                   |
| 96.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/11/15                | J                               | B                              |                                                                   |
| 97.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | J                               | A                              |                                                                   |
| 98. Common ORCL - ORACLE CORP                                                                                               | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/19/15                | J                               | B                              |                                                                   |
| 99. Common PEP - PEPSICO INCE NC                                                                                            | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/19/15                | J                               | C                              |                                                                   |
| 100. Common PM - PHILIP MORRIS INTL INC                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 01/12/15                | J                               |                                |                                                                   |
| 101.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/11/15                | J                               | A                              |                                                                   |
| 102.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | K                               | D                              |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Harwood, Bruce A.

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

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103. Common PSX - PHILLIPS 66 COM                                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/31/15                | J                               | B                              |                                                                   |
| 104. Common - STPZ - PIMCO 1-5 YEAR US<br>TIPS INDEX FUND                                                                   |                                         | None                                          | M                                               | T                                         | Buy                                             | 11/17/15                | M                               |                                |                                                                   |
| 105. PALPX - PIMCO ALL ASSET P FUND                                                                                         | B                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 01/05/15                | J                               |                                |                                                                   |
| 106.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/12/15                | J                               |                                |                                                                   |
| 107.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/19/15                | J                               |                                |                                                                   |
| 108. PCRPX - PIMCO COMMOD REAL RET<br>STRATP FUND                                                                           | C                                       | Dividend                                      | L                                               | T                                         | Buy<br>(add'l)                                  | 01/05/15                | J                               |                                |                                                                   |
| 109.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/22/15                | J                               |                                |                                                                   |
| 110.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/10/15                | J                               |                                |                                                                   |
| 111.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 11/19/15                | J                               |                                |                                                                   |
| 112. PFBPX - PIMCO FOREIGN BD US \$<br>HEDGETD P FUND                                                                       | C                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/17/15                | M                               |                                |                                                                   |
| 113. Common PX - PRAXAIR INC                                                                                                | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/19/15                | J                               | B                              |                                                                   |
| 114. Common PG - PROCTOR & GAMBLE                                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 06/11/15                | J                               | A                              |                                                                   |
| 115.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 08/31/15                | J                               | B                              |                                                                   |
| 116.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | J                               | A                              |                                                                   |
| 117. Common QCOM - QUALCOMM INC                                                                                             | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/19/15                | J                               | A                              |                                                                   |
| 118. Common RHHBY - ROCHE HOLDINGS<br>ADR                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Buy<br>(add'l)                                  | 01/12/15                | J                               |                                |                                                                   |
| 119.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | J                               | B                              |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

Page 12 of 18

Name of Person Reporting

Harwood, Bruce A.

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08/08/2016

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

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120. Common RDSA - ROYAL DUTCH SHELL PLC                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Buy (add'l)                                     | 01/12/15                | J                               |                                |                                                                   |
| 121.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold (part)                                     | 06/11/15                | J                               | B                              |                                                                   |
| 122.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | J                               | A                              |                                                                   |
| 123. Common SBMRY - SABMILLER PLC SPONS ADR                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Buy (add'l)                                     | 01/12/15                | J                               |                                |                                                                   |
| 124.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | J                               | B                              |                                                                   |
| 125. Common RWX - SPDR DJ WILSHIRE INTL REAL EST                                                                            | B                                       | Dividend                                      | K                                               | T                                         | Buy (add'l)                                     | 01/05/15                | J                               |                                |                                                                   |
| 126.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 11/19/15                | J                               |                                |                                                                   |
| 127. Common TFI - SPDR NUVEEN BARCLAYS CAPITAL M                                                                            | C                                       | Int./Div.                                     | L                                               | T                                         | Buy (add'l)                                     | 01/12/15                | J                               |                                |                                                                   |
| 128. Common SHM - SPDR NUVEEN BARCLAYS SHORT ETF                                                                            | A                                       | Int./Div.                                     | L                                               | T                                         | Buy                                             | 11/19/15                | L                               |                                |                                                                   |
| 129. Common STT - STATE STREET CORP                                                                                         | A                                       | Dividend                                      |                                                 |                                           | Buy (add'l)                                     | 01/12/15                | J                               |                                |                                                                   |
| 130.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | J                               |                                |                                                                   |
| 131. Common TGT - TARGET CORP                                                                                               | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/19/15                | J                               | B                              |                                                                   |
| 132. Common TXN - TEXAS INSTRUMENTS                                                                                         | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/19/15                | J                               | D                              |                                                                   |
| 133. Common TOT - TOTAL S A SPON ADR                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Buy (add'l)                                     | 01/12/15                | J                               |                                |                                                                   |
| 134.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold (part)                                     | 02/25/15                | J                               |                                |                                                                   |
| 135.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | J                               |                                |                                                                   |
| 136. Common TWC - TIME WARNER CABLE INC NEW                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/11/15                | J                               | B                              |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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# FINANCIAL DISCLOSURE REPORT

Page 13 of 18

Name of Person Reporting

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

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 137. Common FOXA - TWENTY-FIRST CENTURY FOX                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Buy (add'l)                                     | 01/12/15                | J                               |                                |                                                                   |
| 138.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | J                               | B                              |                                                                   |
| 139. Common UNP - UNION PACIFIC CORP                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Buy (add'l)                                     | 02/25/15                | J                               |                                |                                                                   |
| 140.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | J                               |                                |                                                                   |
| 141. Common UTX - UNITED TECHNOLOGIES CORP                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/19/15                | J                               | B                              |                                                                   |
| 142. Common VWO - VANGUARD FTSE EMERGING MARKETS E                                                                          | C                                       | Dividend                                      | M                                               | T                                         | Buy (add'l)                                     | 01/05/15                | J                               |                                |                                                                   |
| 143.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 01/12/15                | J                               |                                |                                                                   |
| 144.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 11/17/15                | K                               |                                |                                                                   |
| 145.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold (part)                                     | 11/19/15                | J                               |                                |                                                                   |
| 146. Common VUG - VANGUARD GROWTH ETF                                                                                       | C                                       | Dividend                                      | N                                               | T                                         | Sold (part)                                     | 11/17/15                | M                               | E                              |                                                                   |
| 147.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 11/19/15                | L                               |                                |                                                                   |
| 148. Common VEA - VANGUARD FTSE DEVELOPED MARKETS ETF                                                                       | D                                       | Dividend                                      | N                                               | T                                         | Buy (add'l)                                     | 01/12/15                | J                               |                                |                                                                   |
| 149.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 11/17/15                | L                               |                                |                                                                   |
| 150.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 11/19/15                | L                               |                                |                                                                   |
| 151. Common VNQ - VANGUARD REIT ETF                                                                                         | B                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 152. Common BSV - VANGUARD SHORT TERM BND                                                                                   | B                                       | Dividend                                      | M                                               | T                                         | Buy (add'l)                                     | 01/05/15                | J                               |                                |                                                                   |
| 153.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 11/17/15                | K                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Harwood, Bruce A.

Date of Report

08/08/2016

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

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 154. Common VBK - VANGUARD SM CAP GROWTH ETF                                                                                | A                                       | Dividend                                      | L                                               | T                                         | Buy (add'l)                                     | 11/19/15                | J                               |                                |                                                                   |
| 155. Common VBR - VANGUARD SM VALUE ETF                                                                                     | B                                       | Dividend                                      | L                                               | T                                         | Buy (add'l)                                     | 11/19/15                | J                               |                                |                                                                   |
| 156. Common BND - VANGUARD TOTAL BOND MARKET                                                                                | C                                       | Dividend                                      | M                                               | T                                         | Buy (add'l)                                     | 11/17/15                | K                               |                                |                                                                   |
| 157. Common VTV - VANGUARD VALUE ETF INDEX                                                                                  | D                                       | Dividend                                      | N                                               | T                                         | Sold (part)                                     | 11/17/15                | L                               | E                              |                                                                   |
| 158.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy (add'l)                                     | 11/19/15                | L                               |                                |                                                                   |
| 159. Common - VRSN - VERISIGN                                                                                               |                                         | None                                          |                                                 |                                           | Buy                                             | 07/21/15                | J                               |                                |                                                                   |
| 160.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | J                               | A                              |                                                                   |
| 161. Common - V - VISA                                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 02/25/15                | J                               |                                |                                                                   |
| 162.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | J                               | A                              |                                                                   |
| 163. Common WMT - WAL MART STORES                                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold (part)                                     | 07/21/15                | J                               | A                              |                                                                   |
| 164.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 08/31/15                | J                               | A                              |                                                                   |
| 165. Common WAG - WALGREEN CO                                                                                               | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/19/15                | J                               | C                              |                                                                   |
| 166. Common DIS - WALT DISNEY HOLDING CO                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Buy (add'l)                                     | 02/25/15                | J                               |                                |                                                                   |
| 167.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 11/19/15                | J                               | D                              |                                                                   |
| 168. Common XLNX - XILINX INC                                                                                               | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/19/15                | J                               | A                              |                                                                   |
| 169. Morgan Stanley Bank N.A. Money Market Account (Bank Deposit Program)                                                   | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 170. CITIZENS BANK - deposit accounts                                                                                       | A                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Harwood, Bruce A.

Date of Report

08/08/2016

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

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 171. Common BENGUET CORP                                                                                                    |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 172. Common ENERGIZER HOLDINGS INC<br>(Custodian)                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 173. Common BOEING COMPANY (Custodian)                                                                                      |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 174. Trust #1 (H)                                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 175. - CITIZENS BANK - bank account                                                                                         | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 176. - TD BANK - bank account                                                                                               | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 177. - HAMPSHIRE FIRST BANK - bank<br>account                                                                               | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 178. Trust #2 (H)                                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 179. - TD BANK - bank account                                                                                               | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 180. - HAMPSHIRE FIRST BANK - bank<br>account                                                                               | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 181. Trust #3 (H)                                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 182. - CITIZENS BANK - bank account                                                                                         | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 183. - HAMPSHIRE FIRST BANK - bank<br>account                                                                               | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 184. Trust #4 (H)                                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 185. - HAMPSHIRE FIRST BANK - bank<br>account                                                                               | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 186. Trust #5 (H)                                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 187. - HAMPSHIRE FIRST BANK - bank<br>account                                                                               | A                                       | Interest                                      | 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

Harwood, Bruce A.

Date of Report

08/08/2016

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

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 188. Trust # 6 (H)                                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 189. - HAMPSHIRE FIRST BANK - bank<br>account                                                                               | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 190. Common PRINCIPAL FINANCIAL<br>GROUP INC                                                                                | A                                       | Dividend                                      | J                                               | 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 | Date of Report |
|--------------------------|----------------|
| Harwood, Bruce A.        | 08/08/2016     |

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

Part VII, Line 26: CRC - CALIFORNIA RES CORP: spinoff from previously held shares in OXY OCCIDENTAL PETROLEUM. Acquired 36 shares of CRC on 12/31/14, inadvertently omitted from 2014 report. Value of CRC shares at 12/31/14 = \$198.36 (value code "J"); no income in 2014.

Part VII, Line 29: CDK - CDK GLOBAL, INC.: spinoff from previously held shares of ADP - AUTOMATIC DATA PROCESSING. Acquired 18 shares of CDK on 9/30/14, inadvertently omitted from 2014 report. Value of CDK shares at 12/31/14 = \$733.68 (value code "J"); no income in 2014.

Part VII, Line 43: EICSX - EATON VANCE COMMODITY STRAT 1 (Fund). Sold at a loss in 2015. Originally acquired 12/19/14 for \$11,678.99, inadvertently omitted from 2014 report. Value at 12/31/14 = \$11,239.55 (value code "J"); no income in 2014.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Harwood, Bruce A.

Date of Report

08/08/2016

## 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/ Bruce A. Harwood**

**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