

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2011

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

1. Person Reporting (last name, first, middle initial) WARDLAW, KIM M.	2. Court or Organization NINTH CIRCUIT COURT OF APPEALS	3. Date of Report 08/10/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. CIRCUIT JUDGE - ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2011 to 12/31/2011
7. Chambers or Office Address U.S. COURT OF APPEALS 125 S. GRAND AVENUE PASADENA, CA 91105		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Insert signature on last page.		

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

☐ NONE (No reportable positions.)

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

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

☒ NONE (No reportable agreements.)

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

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

DATE

SOURCE AND TYPE

INCOME

(yours, not spouse's)

1.

2.

3.

4.

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

DATE

SOURCE AND TYPE

1.

2.

3.

4.

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

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2. Stanford Law School

February 2, 2011

Stanford, CA

Moot Court Competition

Transportation

3.

4.

5.

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

1.

2.

3.

4.

5.

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. IRA									
2. AMERICAN FUNDS CAPITAL CORE BOND FUND (CCBPX)	D	Dividend	N	T					
3. AMERICAN FUNDS CAPITAL WORLD GROWTH & INCOME FD CL F2 (WGIFX)	E	Dividend	N	T					
4. AMERICAN FUNDS NEW PERSPECTIVE FUND CLF2 (ANWFX)	D	Dividend	O	T					
5. AMERICAN FUNDS NEW PERSPECTIVE FUND CLF2 (ANWFX)					Sold (part)	8/2/11	J	A	
6. AMERICAN FUNDS NEW PERSPECTIVE FUND CLF2 (ANWFX)					Sold (part)	10/26/11	J	A	
7. SSGA US GOV MONEY MARKET FUND (SSGXX)			J	T					
8. TRUST #1									
9. Citibank Money Market Act	A	Interest	K	T					
10. Pension Acct. (IRA)									
11. Abbott Labs Com Stock	A	Dividend	K	T					
12. American Express Com Stock	A	Dividend	K	T	Buy	10/20/11	K		
13. Amgen Inc. Com Stock		None			Sold	1/26/11	K	A	
14. Anadarko Petroleum Com Stock		None			Sold	1/5/11	K	E	
15. Apache Corp Com Stock	A	Dividend	K	T	Buy	1/28/11	K		
16. Apple Corp Com Stock		None	K	T	Buy	10/7/11	K		
17. Berkshire Hathaway		None	K	T					

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

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18. Best Buy	A	Dividend			Sold	12/9/11	K		
19. BHP Billiton Com Stock		None	K	T	Sold (part)	4/12/11	J	C	
20. Blackrock Inc Com Stock	A	Dividend	K	T					
21. Broadcom Corp Com Stock	A	Dividend	K	T					
22. Cerner Corp Com Stock		None	K	T	Sold (part)	9/20/11	K	D	
23. Chevron Corp Com Stock	B	Dividend	K	T					
24. Cisco Systems Com Stock	A	Dividend	K	T					
25. Colgate-Palmolive Com Stock	A	Dividend	K	T	Sold (part)	10/20/11	J	B	
26. Conocophillips Com Stock	B	Dividend	K	T	Sold (part)	1/28/11	J	B	
27. Corning Inc Com Stock	A	Dividend			Sold	10/20/11	J		
28. Costco Corp	A	Dividend			Sold	4/7/11	K	D	
29. CVS Caremark Com Stock		None			Sold	1/11/11	K	B	
30. Danaher Corp Com Stock	A	Dividend	K	T	Sold (part)	1/28/11	J	B	
31. The Walt Disney Co. Com Stock	A	Dividend	K	T					
32. DuPont Co Com Stock	A	Dividend	K	T	Buy	10/11/11	K		
33. EMC Corp Com Stock		None	K	T	Buy	9/20/11	K		
34. GE Com Stock	B	Dividend	K	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. Goldman Sachs Group Com Stock	A	Dividend			Sold	9/20/11	K	A	
36. Google Inc Com Stock		None	K	T	Buy	4/15/11	K		
37. Home Depot Inc Com Stock	A	Dividend	K	T					
38. IBM Com Stock	A	Dividend	K	T	Sold (part)	9/20/11	J	C	
39. Intel Corp Com Stock	A	Dividend	K	T					
40. Johnson & Johnson Com Stock		None			Sold	2/23/11	K	A	
41. JP Morgan Chase Com Stock	A	Dividend	K	T					
42. Lockheed Martin Com Stock	A	Dividend			Sold	7/21/11	K	D	
43. Merck & Co Com Stock	B	Dividend	K	T	Buy	9/20/11	K		
44. Microsoft Corp. Com Stock	A	Dividend			Sold	12/9/11	K	A	
45. Nextera Energy	B	Dividend	K	T					
46. Nike Inc Com Stock	A	Dividend	K	T	Buy	1/20/11	K		
47. Nike Inc Com Stock					Sold (part)	12/9/11	J	A	
48. Oracle Corp	A	Dividend	K	T	Sold (part)	1/28/11	J	B	
49. Pepsico Inc Com Stock	A	Dividend	K	T					
50. Pepsico Inc Com Stock					Buy	7/21/11	J		
51. Proctor & Gamble Com Stock	A	Dividend	K	T					

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52. Qualcomm Inc. Com Stock	A	Dividend	K	T	Sold (part)	1/28/11	J	A	
53. Roche Hldg Ltd		None	K	T					
54. SEI Investments	A	Dividend	J	T					
55. Schlumberger Ltd	A	Dividend	K	T	Sold (part)	1/28/11	J	C	
56. Sempra Energy Com Stock	A	Dividend	K	T					
57. Target Corp Com Stock	A	Dividend	K	T	Buy	1/6/11	J		
58. Teva Pharm ADR Com Stock		None	K	T					
59. Transocean Inc Com Stock	B	Dividend	K	T	Buy	1/12/11	K		
60. US Bancorp Com Stock	A	Dividend			Sold	9/20/11	K		
61. Union Pacific Corp Com Stock	A	Dividend	K	T	Buy	2/23/11	K		
62. Verizon Com Stock	B	Dividend	K	T					
63. Zimmer Holdings Com Stock		None	K	T					
64. 1 Shares MSCI Brazil Index	A	Dividend	J	T	Buy	1/5/11	K		
65. 1Shares MSCI Index Fund	C	Dividend	M	T					
66. 1Shares Small Cap Index Fund	A	Dividend	L	T	Sold (part)	4/7/11	K	D	
67. Vanguard Emerging Market Fund	A	Dividend	K	T					
68. CAPITAL TRUST ACCOUNT									

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69. 3M COMPANY	C	Dividend	L	T	Sold (part)	10/27/11	K	A	
70. ACCENTURE PLC USS (ACN)	A	Dividend	K	T	Buy	05/18/11	K		
71. ACE LTD (ACE)	A	Dividend	K	T	Buy	06/20/11	K		
72. AFLAC INC (AFL)	A	Dividend	K	T	Buy	10/24/11	J		
73. AFLAC INC (AFL)					Buy	11/22/11	J		
74. AFLAC INC (AFL)					Buy	11/23/11	K		
75. AGILENT TECHNOLOGIES INC (A)		None	K	T					
76. AIR PRODUCTS & CHEMICALS INC (APD)	C	Dividend	M	T					
77. ALBERTO CULVER CO	A	Dividend			Merged (with line 535)	5/10/11	K		Unilever
78. ALLEGENT TECHNOLOGIES INC (ATI)	B	Dividend	M	T	Buy	8/30/11	J		
79. ALLEGENT TECHNOLOGIES INC (ATI)					Buy	8/31/11	J		
80. ALLEGENT TECHNOLOGIES INC (ATI)						10/05/11	J		
81. ALLEGENT TECHNOLOGIES INC (ATI)						10/06/11	J		
82. ALLERGAN INC (AGN)	A	Dividend	M	T					
83. ALLSTATE CORP (THE) (ALL)	B	Dividend	K	T	Sold (part)	9/2/11	J	A	
84. ALLSTATE CORP (THE) (ALL)					Sold (part)	9/6/11	K	A	
85. AMERICAN TOWER CORP CL A	A	Dividend	M	T					

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86. AMERICAN WATER WORKS	B	Dividend			Sold (part)	3/4/11	J	B	
87. AMERICAN WATER WORKS					Sold (part)	3/7/11	J	C	
88. AMERICAN WATER WORKS					Sold (part)	3/8/11	J	C	
89. AMERICAN WATER WORKS					Sold (part)	3/9/11	J	C	
90. AMERICAN WATER WORKS					Sold (part)	3/10/11	J	B	
91. AMERICAN WATER WORKS					Sold (part)	3/11/11	J	C	
92. AMERICAN WATER WORKS					Sold (part)	3/14/11	J	B	
93. AMERICAN WATER WORKS					Sold (part)	3/15/11	J	A	
94. AMERICAN WATER WORKS					Sold (part)	3/16/11	K	D	
95. AMERICAN WATER WORKS					Sold (part)	3/17/11	J	A	
96. AMERICAN WATER WORKS					Sold (part)	3/18/11	J	B	
97. AMERICAN WATER WORKS					Sold (part)	3/21/11	J	C	
98. AMERICAN WATER WORKS					Sold (part)	3/22/11	K	C	
99. AMERICAN WATER WORKS					Sold (part)	3/23/11	J	A	
100. AMERICAN WATER WORKS					Sold (part)	3/24/11	J	C	
101. AMERICAN WATER WORKS					Sold (part)	3/25/11	J	A	
102. AMERICAN WATER WORKS					Sold (part)	3/28/11	J	A	

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103. AMERICAN WATER WORKS					Sold (part)	3/29/11	J	B	
104. AMERICAN WATER WORKS					Sold	3/30/11	J	C	
105. AON CORP (AON)	A	Dividend	K	T					
106. APPLE INC (AAPL)		None	L	T					
107. AT&T INC	A	Dividend	J	T					
108. AVON PRODUCTS INC	B	Dividend			Buy	4/13/11	J		
109. AVON PRODUCTS INC					Buy	4/14/11	J		
110. AVON PRODUCTS INC					Buy	4/15/11	J		
111. AVON PRODUCTS INC					Buy	6/24/11	J		
112. AVON PRODUCTS INC					Buy	6/27/11	J		
113. AVON PRODUCTS INC					Buy	6/28/11	J		
114. AVON PRODUCTS INC					Buy	6/29/11	J		
115. AVON PRODUCTS INC					Buy	7/14/11	J		
116. AVON PRODUCTS INC					Buy	8/9/11	J		
117. AVON PRODUCTS INC					Sold (part)	11/17/11	J	A	
118. AVON PRODUCTS INC					Sold (part)	11/18/11	J	A	
119. AVON PRODUCTS INC					Sold (part)	11/21/11	J	A	

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

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

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

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

120. AVON PRODUCTS INC					Sold	12/20/11	J	A	
121. BANK OF NEW YORK MELLON CORP	A	Dividend			Sold	9/1/11	J	A	
122. BARRICK GOLD CORP US\$	B	Dividend	M	T					
123. BAYER AG ADR	A	Dividend			Buy	4/1/11	J		
124. BAYER AG ADR					Sold	7/21/11	J	A	
125. BB&T CORP (BBT)	B	Dividend	L	T	Buy	3/24/11	K		
126. BB&T CORP (BBT)					Buy	3/25/11	J		
127. BB&T CORP (BBT)					Buy	3/28/11	J		
128. BB&T CORP (BBT)					Buy	3/29/11	J		
129. BB&T CORP (BBT)					Buy	3/30/11	J		
130. BB&T CORP (BBT)					Buy	3/31/11	J		
131. BB&T CORP (BBT)					Buy	4/1/11	J		
132. BB&T CORP (BBT)					Buy	4/4/11	J		
133. BB&T CORP (BBT)					Buy	4/5/11	J		
134. BB&T CORP (BBT)					Buy	4/6/11	J		
135. BB&T CORP (BBT)					Buy	4/7/11	J		
136. BB&T CORP (BBT)					Buy	9/2/11	K		

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

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Name of Person Reporting

WARDLAW, KIM M.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. BB&T CORP (BBT)					Sold (part)	10/4/11	K	A	
138. BEST BUY INC	A	Dividend			Sold	11/3/11	J	A	
139. BOEING CO	B	Dividend	K	T					
140. BRISTOL-MYERS SQUIBB CO	C	Dividend	M	T	Buy	8/29/11	K		
141. BRISTOL-MYERS SQUIBB CO					Sold (part)	2/14/11	J	A	
142. BRISTOL-MYERS SQUIBB CO					Sold (part)	2/15/11	K	B	
143. BROADCOM CORP	A	Dividend	L	T	BUY	6/8/11	J		
144. BROADCOM CORP					BUY	6/9/11	J		
145. BROADCOM CORP					BUY	6/22/11	J		
146. BROADCOM CORP					BUY	7/8/11	K		
147. BROCADE COMMUNICATIONS SYS INC		None	K	T					
148. BURKE GA OGLETHORPE PWR E SF 7.0% 01/01/23	D	Interest	M	T					
149. CA ED FAC UNIV OF SAN FRANCISCO 5.0% 10/01/21	C	Interest	M	T	Buy	2/3/11	L		
150. CA PUB WKS REGENTS UNIV CA C1 5% 03/01/19	D	Interest	M	T					
151. CA ST DWR PWR SUPPLY REV 5.0% 05/01/21	D	Interest	M	T					
152. CA ST GO 6.25% 09/01/12	B	Interest	K	T					
153. CA ST GO NATL 5.0% 06/01/15	D	Interest	M	T					

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. CA ST JOSEPHS HLTH CA-F AGM 5.25% 07/11/16	D	Interest	M	T					
155. CA ST RANS 11A2 2.0% 06/26/12 [REDACTED]		None	M	T	Buy	9/15/11	M		
156. CA ST UNIV SYSTEMWIDE REV SER A AMBAC 5.0% 11/01/17	D	Interest	M	T					
157. CA STWD JOHN MUIR HLTH W/I 5% 08/15/2021	E	Interest	N	T					
158. CA STWD ST JOSEPHS HLTH FSA 4.5% 07/01/10	D	Interest	M	T					
159. CALIFORNIA ST ECON REC 09A 5% 07/01/19 [REDACTED]	B	Interest	M	T	Buy	6/3/11	M		
160. CALIFORNIA ST G/O BDS SER 5% 11/01/2013	D	Interest	M	T					
161. CAMECO CORP USS	A	Dividend			BUY	8/23/11	J		
162. CAMECO CORP USS					BUY	8/24/11	J		
163. CAMECO CORP USS					BUY	8/25/11	J		
164. CAMECO CORP USS					Sold (part)	4/12/11	L	E	
165. CAMECO CORP USS					Sold (part)	11/8/11	J	A	
166. CAMECO CORP USS					Sold	11/9/11	J	A	
167. CANON INC ADR (CAJ)		None	K	T					
168. CANADIAN NATURAL RESOURCES LTD USS	A	Dividend			Sold (part)	4/21/11	J	B	
169. CANADIAN NATURAL RESOURCES LTD USS					Sold (part)	4/25/11	J	B	
170. CANADIAN NATURAL RESOURCES LTD USS					Sold (part)	4/26/11	J	C	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. CANADIAN NATURAL RESOURCES LTD US\$					Sold (part)	4/27/11	J	C	
172. CANADIAN NATURAL RESOURCES LTD US\$					Sold (part)	4/28/11	J	D	
173. CANADIAN NATURAL RESOURCES LTD US\$					Sold (part)	4/29/11	J	C	
174. CANADIAN NATURAL RESOURCES LTD US\$					Sold (part)	7/11/11	K	D	
175. CANADIAN NATURAL RESOURCES LTD US\$					Sold	7/12/11	J	C	
176. CANON INC	A	Dividend	K	T					
177. CARNIVAL CORP COMMON PAIRED STOCK (CCL)	B	Dividend	L	T	Buy	8/9/11	K		
178. CARNIVAL CORP COMMON PAIRED STOCK (CCL)					Buy	8/10/11	L		
179. CARNIVAL CORP COMMON PAIRED STOCK (CCL)					Buy	9/27/11	J		
180. CATERPILLAR INC (CAT)	A	Dividend	L	T	Buy	8/1/11	J		
181. CATERPILLAR INC (CAT)					Buy	8/2/11	J		
182. CATERPILLAR INC (CAT)					Buy	8/5/11	J		
183. CATERPILLAR INC (CAT)					Buy	8/9/11	J		
184. CATERPILLAR INC (CAT)					Buy	9/27/11	J		
185. CELGENE CORP		None			Sold (part)	2/7/11	J	A	
186. CELGENE CORP					Sold (part)	2/8/11	J	A	
187. CELGENE CORP					Sold (part)	2/9/11	J	A	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. CELGENE CORP					Sold (part)	2/10/11	K	A	
189. CELGENE CORP					Sold	2/11/11	J	A	
190. CENOVUS ENERGY INC (CVE)	B	Dividend	M	T	Buy	3/1/11	J		
191. CENOVUS ENERGY INC (CVE)					Buy	3/2/11	J		
192. CENOVUS ENERGY INC (CVE)					Buy	3/3/11	J		
193. CENOVUS ENERGY INC (CVE)					Buy	3/4/11	J		
194. CENOVUS ENERGY INC (CVE)					Buy	3/7/11	J		
195. CENOVUS ENERGY INC (CVE)					Buy	3/25/11	J		
196. CENOVUS ENERGY INC (CVE)					Buy	3/28/11	K		
197. CENOVUS ENERGY INC (CVE)					Buy	7/15/11	J		
198. CENTRAL VLY COGEN CARSON-ICE 3.5% 07/01/2014	D	Interest	M	T					
199. CERNER CORP (CERN)		None	L	T	Sold (part)	6/24/11	J		
200. CERNER CORP (CERN)					Buy	11/8/11	L		
201. CERNER CORP (CERN)					Sold (part)	5/4/11	J	D	
202. CERNER CORP (CERN)					Sold (part)	5/5/11	J	D	
203. CERNER CORP (CERN)					Sold (part)	5/6/11	K	D	
204. CERNER CORP (CERN)					Sold (part)	7/27/11	K	D	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. CERNER CORP (CERN)					Sold (part)	8/9/11	K	E	
206. CHEVRON CORP (CVX)	C	Dividend	M	T	Buy	3/31/11	K		
207. CISCO SYSTEMS INC	A	Dividend			Sold (part)	4/5/11	L	A	
208. CISCO SYSTEMS INC					Sold (part)	4/8/11	K	A	
209. CISCO SYSTEMS INC					Sold	7/8/11	K	D	
210. CITIZENS PPTY INS CORP FL A1 6.0% 06/01/16	D	Interest	M	T					
211. CLEARWATER FL WTR/SWR B 5.0% 12/01/18	D	Interest	M	T					
212. COACH INC (COH)	A	Dividend	L	T					
213. COLGATE-PALMOLIVE CO (CL)	B	Dividend	K	T	Buy	3/9/11	J		
214. COLGATE-PALMOLIVE CO (CL)					Buy	3/10/11	K		
215. COLGATE-PALMOLIVE CO (CL)					Sold (part)	6/27/11	K	C	
216. COLGATE-PALMOLIVE CO (CL)					Sold (part)	6/28/11	J	B	
217. COMCAST CORP CL A	C	Dividend	M	T	Buy	2/1/11	K		
218. CONTRA COSTA CA WTR SER A 3.5% 10/01/13	D	Interest	M	T					
219. COSTCO WHOLESALE CORP	A	Dividend	K	T					
220. DANAHER CORP	A	Dividend	M	T	Buy	2/3/11	J		
221. DAVITA INC		None	L	T					

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222. DISCOVERY COMMUNICATIONS INC CL A (DISCA)		None	K	T					
223. DREAMWORKS ANIMATION SKG INC		None	M	T	Buy	2/1/11	J		
224. DREAMWORKS ANIMATION SKG INC					Buy	8/9/11	J		
225. DREAMWORKS ANIMATION SKG INC					Buy	8/10/11	J		
226. DREAMWORKS ANIMATION SKG INC					Buy	8/11/11	J		
227. DREAMWORKS ANIMATION SKG INC					Buy	8/12/11	J		
228. DREAMWORKS ANIMATION SKG INC					Sold (part)	6/9/11	J	A	
229. DREAMWORKS ANIMATION SKG INC					Sold (part)	6/10/11	K	A	
230. DREAMWORKS ANIMATION SKG INC					Sold (part)	6/13/11	J	A	
231. DREAMWORKS ANIMATION SKG INC					Sold (part)	6/14/11	J	A	
232. DREAMWORKS ANIMATION SKG INC					Sold (part)	6/15/11	J	A	
233. DREAMWORKS ANIMATION SKG INC					Sold (part)	6/17/11	J	A	
234. DREAMWORKS ANIMATION SKG INC					Sold (part)	6/20/11	J	A	
235. DREAMWORKS ANIMATION SKG INC					Sold (part)	6/21/11	J	A	
236. DREAMWORKS ANIMATION SKG INC					Sold (part)	6/22/11	J	A	
237. DREAMWORKS ANIMATION SKG INC					Sold (part)	6/27/11	J	A	
238. DREAMWORKS ANIMATION SKG INC					Sold (part)	6/28/11	J	A	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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

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

239. DREAMWORKS ANIMATION SKG INC					Sold (part)	11/9/11	J	A	
240. DREAMWORKS ANIMATION SKG INC					Sold (part)	11/10/11	J	A	
241. DREAMWORKS ANIMATION SKG INC					Sold (part)	11/11/11	J	A	
242. DREAMWORKS ANIMATION SKG INC					Sold (part)	11/14/11	J	A	
243. DREAMWORKS ANIMATION SKG INC					Sold (part)	11/15/11	J	A	
244. DRIL-QUIP INC (DRQ)		None	L	T	Buy	8/31/11	J		
245. DRIL-QUIP INC (DRQ)					Buy	9/1/11	J		
246. DRIL-QUIP INC (DRQ)					Buy	9/2/11	J		
247. DRIL-QUIP INC (DRQ)					Buy	9/6/11	J		
248. DRIL-QUIP INC (DRQ)					Buy	9/7/11	J		
249. DRIL-QUIP INC (DRQ)					Buy	9/8/11	J		
250. EAST BAY CA SER A1 SF VAR 06/01/2025		None	M	T	Buy	12/28/11	M		
251. EBAY INC		None	L	T					
252. ECOLAB INC	A	Dividend	L	T					
253. EDISON INTERNATIONAL	B	Dividend	K	T					
254. EMERSON ELECTRIC CO	C	Dividend	M	T					
255. ENCANA CORP COM USS (ECA)	B	Dividend	J	T	Buy	2/3/11	J		

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

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

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

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

256. ENCANA CORP COM USS (ECA)					Buy	2/4/11	K		
257. ENCANA CORP COM USS (ECA)					Buy	2/7/11	J		
258. ENCANA CORP COM USS (ECA)					Buy	2/18/11	K		
259. ENCANA CORP COM USS (ECA)					Buy	3/17/11	K		
260. ENCANA CORP COM USS (ECA)					Buy	9/1/11	J		
261. ENCANA CORP COM USS (ECA)					Buy	9/2/11	J		
262. ENCANA CORP COM USS (ECA)					Buy	12/15/11	J		
263. ENCANA CORP COM USS (ECA)					Sold (part)	11/7/11	K	A	
264. ENCANA CORP COM USS (ECA)					Sold (part)	11/8/11	K	A	
265. ENCANA CORP COM USS (ECA)					Sold (part)	11/9/11	J	A	
266. ENERGIZER HOLDINGS INC		None			Sold (part)	11/9/11	J	A	
267. ENERGIZER HOLDINGS INC					Sold	11/10/11	J	A	
268. EOG RESOURCES INC	A	Dividend	L	T					
269. AMERICAN FUNDS EUROPACIFIC GROWTH FUND CL F2 (AEPFX)	E	Dividend	P1	T					
270. EXPRESS SCRIPTS INC (ESRX)		None	L	T	Buy	11/29/11	J		
271. EXPRESS SCRIPTS INC (ESRX)					Buy	11/30/11	J		
272. EXPRESS SCRIPTS INC (ESRX)					Buy	12/1/11	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
273. EXPRESS SCRIPTS INC (ESRX)					Buy	12/2/11	J		
274. EXPRESS SCRIPTS INC (ESRX)					Buy	12/5/11	J		
275. EXPRESS SCRIPTS INC (ESRX)					Buy	12/6/11	J		
276. EXPRESS SCRIPTS INC (ESRX)					Buy	12/7/11	J		
277. EXPRESS SCRIPTS INC (ESRX)					Buy	12/14/11	J		
278. EXXON MOBIL CORP	B	Dividend	K	T					
279. FEDEX CORP	A	Dividend	K	T	Sold (part)	7/18/11	K	B	
280. FEDEX CORP					Sold (part)	7/19/11	J	B	
281. FEDEX CORP					Sold (part)	10/7/11	K	A	
282. FIRST SOLAR INC (FSLR)		None	K	T	Buy	8/9/11	K		
283. FIRST SOLAR INC (FSLR)					Buy	9/26/11	J		
284. FIRST SOLAR INC (FSLR)					Buy	9/27/11	K		
285. FIRST SOLAR INC (FSLR)					Buy	9/28/11	J		
286. FIRST SOLAR INC (FSLR)					Sold (part)	11/4/11	J	A	
287. FIRST SOLAR INC (FSLR)					Sold (part)	11/17/11	J	A	
288. FL WTR PCR SER A SF 4.75% 01/15/25	D	Interest	M	T					
289. FLUOR CORP (NEW) (FLR)	A	Dividend	K	T					

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290. GENERAL ELECTRIC CO	C	Dividend			Buy	6/10/11	L		
291. GENERAL ELECTRIC CO					Buy	8/9/11	J		
292. GENERAL ELECTRIC CO					Sold	11/4/11	M	A	
293. GENERAL MILLS INC (GIS)	C	Dividend	K	T	Sold (part)	1/12/11	K	B	
294. GENERAL MILLS INC (GIS)					Sold (part)	1/13/11	J	A	
295. GENERAL MILLS INC (GIS)					Sold (part)	4/11/11	J	A	
296. GENERAL MILLS INC (GIS)					Sold (part)	4/12/11	J	A	
297. GENERAL MILLS INC (GIS)					Sold (part)	7/21/11	K	C	
298. GENPACT LTD		None	K	T					
299. GOLDEN ST TOBACCO ST APPROP AMBAC 5.0% 06-01-14	C	Interest	M	T					
300. GOLDEN ST TOBACCO CA 2003A SF PREREF 6.7% 06/01/39	D	Interest	M	T					
301. GOLDMAN SACHS GROUP INC (GS)	B	Dividend	L	T	Buy	5/27/11	K		
302. GOLDMAN SACHS GROUP INC (GS)					Buy	9/13/11	K		
303. GOOGLE INC CL A (GOOG)		None	M	T					
304. GUAM BUS PRIVILEGE TAX 11A 5.0% 01/01/18		None	M	T	Buy	11/16/11	M		
305. HALLIBURTON CO (HAL)	A	Dividend	L	T	Buy	12/16/11	J		
306. HALLIBURTON CO (HAL)					Buy	12/19/11	J		

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3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307. HARRIS CO TX CHRISTUS HLTH A4 FSA ARC SF VAR 07/01/31	B	Interest	M	T					
308. HEWLETT-PACKARD CO	A	Dividend			Sold	7/15/11	K	D	
309. HOME DEPOT INC (HD)	A	Dividend	M	T	Buy	9/14/11	M		
310. HUMAN GENOME SCIENCES INC		None			Buy	4/8/11	J		
311. HUMAN GENOME SCIENCES INC					Buy	4/11/11	K		
312. HUMAN GENOME SCIENCES INC					Buy	4/12/11	J		
313. HUMAN GENOME SCIENCES INC					Buy	9/1/11	J		
314. HUMAN GENOME SCIENCES INC					Sold	11/4/11	K	A	
315. ILLINOIS TOOL WORKS INC	C	Dividend	K	T	Sold (part)	8/2/11	J	A	
316. ILLINOIS TOOL WORKS INC					Sold (part)	8/3/11	L	D	
317. ILLINOIS TOOL WORKS INC					Sold (part)	8/10/11	K	A	
318. ILLINOIS TOOL WORKS INC					Sold (part)	8/11/11	J	A	
319. IMPERIAL OIL LTD USS	A	Dividend	J	T					
320. IND LOCAL PUB IMPNATL-RE PREREF 5.5% 07/01/2014	D	Interest	M	T					
321. INTERNATIONAL BUSINESS MACHINES CORP (IBM)	C	Dividend	M	T					
322. IRON MOUNTAIN INC (IRM)	C	Dividend	M	T	Buy	4/14/11	K		
323. IRON MOUNTAIN INC (IRM)					Sold (part)	1/12/11	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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324. IRON MOUNTAIN INC (IRM)					Sold (part)	1/13/11	J	A	
325. IRON MOUNTAIN INC (IRM)					Sold (part)	1/14/11	J	A	
326. IRON MOUNTAIN INC (IRM)					Sold (part)	1/18/11	J	A	
327. IRON MOUNTAIN INC (IRM)					Sold (part)	1/21/11	J	A	
328. IRON MOUNTAIN INC (IRM)					Sold (part)	1/24/11	J	A	
329. IRON MOUNTAIN INC (IRM)					Sold (part)	1/25/11	J	A	
330. ISRAEL CHEMICALS LTD ADR UNSPON	A	Dividend			Sold	8/15/11	K	A	
331. JACK HENRY & ASSOC INC (JKHY)	A	Dividend	L	T	Buy	4/4/11	J		
332. JACK HENRY & ASSOC INC (JKHY)					Buy	4/5/11	J		
333. JACK HENRY & ASSOC INC (JKHY)					Buy	4/6/11	J		
334. JACK HENRY & ASSOC INC (JKHY)					Buy	4/7/11	J		
335. JACK HENRY & ASSOC INC (JKHY)					Buy	4/8/11	J		
336. JACK HENRY & ASSOC INC (JKHY)					Buy	4/11/11	J		
337. JACK HENRY & ASSOC INC (JKHY)					Buy	4/12/11	J		
338. JACK HENRY & ASSOC INC (JKHY)					Buy	4/13/11	J		
339. JACK HENRY & ASSOC INC (JKHY)					Buy	4/14/11	J		
340. JACK HENRY & ASSOC INC (JKHY)					Buy	4/15/11	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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341. JACK HENRY & ASSOC INC (JKHY)					Buy	4/18/11	J		
342. JACK HENRY & ASSOC INC (JKHY)					Buy	4/19/11	J		
343. JACK HENRY & ASSOC INC (JKHY)					Buy	4/21/11	J		
344. JACK HENRY & ASSOC INC (JKHY)					Buy	4/25/11	J		
345. JACK HENRY & ASSOC INC (JKHY)					Buy	4/26/11	J		
346. JACOBS ENGR GROUP		None			Sold (part)	8/3/11	J	A	
347. JACOBS ENGR GROUP					Sold (part)	11/9/11	J	A	
348. JACOBS ENGR GROUP					Sold	11/10/11	J	A	
349. JPMORGAN CHASE & CO	C	Dividend	M	T					
350. JUNIPER NETWORKS INC		None			Sold	12/14/11	J	A	
351. KLA-TENCOR CORP	B	Dividend	L	T	Buy	8/23/11	J		
352. KLA-TENCOR CORP					Buy	8/24/11	J		
353. KRAFT FOODS INC CL A	B	Dividend			Buy	7/21/11	K		
354. KRAFT FOODS INC CL A					Sold (part)	8/22/11	K	A	
355. KRAFT FOODS INC CL A					Sold	8/23/11	L	D	
356. LA CA AIR LAX CA SR 10A 5.0% 05/15/22		None			Sold	4/28/11	M	A	
357. LA CA DWAP FSA 5.25% 07-01-20	C	Interest			Sold	7/1/11	L	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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358. LA CA HARBOR SER C 5.0% 08/01/26	D	Interest	M	T					
359. LA CITY CA WSTWTR NATL 5.0% 06/01/27	D	Interest	M	T					
360. LA CO CA MTA SALES TAX REV D 5.0% 07/01/16	D	Interest	M	T					
361. LOOPNET INC		None	K	T					
362. LOS ANGELES CNTY CA PUB WKS FING AUTH AMBAC 5% 06/01/2021	D	Interest			Sold	4/6/11	N	A	
363. LOUISIANA ST LEASE REV 5.0% 03/01/16	D	Interest	M	T					
364. LOWES COMPANIES INC	C	Dividend			Sold (part)	9/13/11	K	A	
365. LOWES COMPANIES INC					Sold	9/14/11	M	A	
366. MARATHON OIL CORP COM	A	Dividend			Sold (part)	4/11/11	K		
367. MARATHON OIL CORP COM					Sold	4/12/11	L	E	
368. MARSH & MCLENNAN COS INC (MMC)	A	Dividend	L	T	Buy	9/2/11	J		
369. MARSH & MCLENNAN COS INC (MMC)					Buy	9/6/11	K		
370. MARSH & MCLENNAN COS INC (MMC)					Buy	9/7/11	J		
371. MARSH & MCLENNAN COS INC (MMC)					Buy	9/8/11	J		
372. MARSH & MCLENNAN COS INC (MMC)					Buy	9/28/11	J		
373. MAXIM INTEGRATED PRODS INC	C	Dividend	M	T					
374. MCDONALDS CORP	A	Dividend			Sold	7/18/11	K	D	

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

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Name of Person Reporting

WARDLAW, KIM M.

Date of Report

08/10/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375. MEDTRONIC INC	A	Dividend			Sold (part)	3/16/11	K	A	
376. MEDTRONIC INC					Sold	3/17/11	K	D	
377. MERCK & CO INC	C	Dividend			Sold (part)	1/25/11	L	D	
378. MERCK & CO INC					Sold	10/7/11	K	D	
379. METROPOLITAN WTR DIST SO UTHN CALIF 3% 07/01/15		None	M	T	Buy	6/9/11	M		
380. METROPOLITAN WTR DIST SO CAL SER B3 VAR 07/01/2035		None	M	T	Buy	12/22/11	M		
381. MICROCHIP TECHNOLOGY INC (MCHP)	B	Dividend	L	T					
382. MICROSOFT CORP (MSFT)	C	Dividend	M	T					
383. MONSANTO CO (MON)	B	Dividend	M	T	Buy	5/17/11	J		
384. MONSANTO CO (MON)					Buy	5/18/11	J		
385. NATIONAL GRID PLC - SP ADR (NGG)	B	Dividend	K	T					
386. NATIONAL INSTRUMENTS CORP (NATI)	A	Dividend	K	T	Buy (add'l)	2/22/11	J		*See Part VIII
387. NC ST GO SER A 5.0% 03/01/14	D	Interest	M	T					
388. NESTLE NAM SPON ADR (NSRGY)	B	Dividend	L	T					
389. AMERICAN FUNDS NEW WORLD FUND CL F2 (NFFFX)	D	Dividend	O	T					
390. NEW YORK TIMES CO CL A		None			Sold (part)	11/17/11	J	A	
391. NEW YORK TIMES CO CL A					Sold (part)	11/8/11	J	A	

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

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Name of Person Reporting

WARDLAW, KIM M.

Date of Report

08/10/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
392. NEW YORK TIMES CO CL A					Sold (part)	11/10/11	J	A	
393. NEW YORK TIMES CO CL A					Sold	11/11/11	J	A	
394. NIELSEN HOLDINGS NV USS (NLSN)		None	L	T	Buy	2/10/11	J		
395. NIELSEN HOLDINGS NV USS (NLSN)					Buy	2/11/11	J		
396. NIELSEN HOLDINGS NV USS (NLSN)					Buy	2/14/11	J		
397. NIELSEN HOLDINGS NV USS (NLSN)					Buy	2/15/11	J		
398. NIELSEN HOLDINGS NV USS (NLSN)					Buy	3/16/11	J		
399. NIELSEN HOLDINGS NV USS (NLSN)					Buy	8/5/11	J		
400. NIELSEN HOLDINGS NV USS (NLSN)					Buy	8/8/11	J		
401. NIELSEN HOLDINGS NV USS (NLSN)					Buy	8/9/11	K		
402. NIELSEN HOLDINGS NV USS (NLSN)					Buy	9/22/11	J		
403. NIELSEN HOLDINGS NV USS (NLSN)					Buy	9/23/11	J		
404. NIELSEN HOLDINGS NV USS (NLSN)					Buy	9/26/11	J		
405. NIELSEN HOLDINGS NV USS (NLSN)					Buy	9/29/11	J		
406. NIELSEN HOLDINGS NV USS (NLSN)					Buy	9/30/11	J		
407. NIELSEN HOLDINGS NV USS (NLSN)					Buy	10/3/11	J		
408. NIKE INC CL B	A	Dividend	K	T					

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

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Name of Person Reporting

WARDLAW, KIM M.

Date of Report

08/10/2012

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
409. NINTENDO CO LTD ADR UNSPON	A	Dividend			Sold (part)	10/11/11	J	A	
410. NINTENDO CO LTD ADR UNSPON					Sold (part)	10/12/11	J	A	
411. NINTENDO CO LTD ADR UNSPON					Sold	11/7/11	J	A	
412. NOBLE ENERGY INC	A	Dividend	M	T					
413. NORDSTROM INC	A	Dividend	J	T					
414. NORFOLK SOUTHERN CORP (NSC)	B	Dividend	L	T					
415. NOVO NORDISK A/S CL B ADR (NVO)	A	Dividend	K	T					
416. NUCOR CORP (NUE)	B	Dividend	K	T	Sold (part)	3/31/11	K	D	
417. OMNICOM GROUP INC	A	Dividend	K	T					
418. OR ST DEPT OF ADMIN COPS 5.0% 05/01/18	D	Interest	M	T					
419. ORACLE CORP (ORCL)	A	Dividend	L	T					
420. PAYCHEX INC	A	Dividend			Sold (part)	2/9/11	J	A	
421. PAYCHEX INC					Sold (part)	2/10/11	K	A	
422. PAYCHEX INC					Sold (part)	2/11/11	J	B	
423. PAYCHEX INC					Sold	2/15/11	J	A	
424. PEPSICO INC (PEP)	C	Dividend	L	T	Sold (part)	3/30/11	K	D	
425. PEPSICO INC (PEP)					Sold (part)	4/6/11	J	B	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
426. PEPSICO INC (PEP)					Sold (part)	4/7/11	J	B	
427. PFIZER INC (PFE)	B	Dividend	K	T	Buy	5/6/11	K		
428. PG&E CORP (PCG)	B	Dividend	K	T	Buy	4/26/11	K		
429. PG&E CORP (PCG)					Buy	4/27/11	K		
430. PHARMASSET INC (VRUS)		None	L	T	Buy	9/30/11	J		
431. PHARMASSET INC (VRUS)					Buy	10/3/11	K		
432. PHARMASSET INC (VRUS)					Buy	10/4/11	J		
433. PHILIP MORRIS INTERNATIONAL INC (PM)	C	Dividend	L	T					
434. PHOENIX AZ CIVIC IMPROV WTR A 5.0% 07/01/23	C	Interest			Sold	5/2/11	M	C	
435. POLYCOM INC		None	K	T	Buy (add'l)	7/1/11	J		*See Part VIII
436. POTASH CORP OF SASKATCHEWAN IN USS	A	Dividend			Sold	1/25/11	K	E	
437. PROCTER & GAMBLE CO	A	Dividend			Sold (part)	7/25/11	J	B	
438. PROCTER & GAMBLE CO					Sold (part)	7/26/11	J	B	
439. PROCTER & GAMBLE CO					Sold (part)	8/1/11	J	A	
440. PROCTER & GAMBLE CO					Sold (part)	8/2/11	J	A	
441. PROCTER & GAMBLE CO					Sold	8/3/11	J	A	
442. PROGRESSIVE CORP OHIO (PGR)	B	Dividend	L	T	Sold (part)	5/31/11	K	A	

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

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
443. PROGRESSIVE CORP OHIO (PGR)					Sold (part)	6/1/11	J	B	
444. PULTE GROUP INC (PHM)		None	K	T	Buy	10/4/11	J		
445. QUALCOMM INC (QCOM)	B	Dividend	M	T	Sold (part)	6/9/11	J	B	
446. QUALCOMM INC (QCOM)					Sold (part)	6/10/11	K	C	
447. REPUBLIC SERVICES INC (RSG)	B	Dividend	L	T	Buy	3/4/11	J		
448. REPUBLIC SERVICES INC (RSG)					Buy	3/7/11	J		
449. REPUBLIC SERVICES INC (RSG)					Buy	3/8/11	J		
450. REPUBLIC SERVICES INC (RSG)					Buy	3/9/11	J		
451. REPUBLIC SERVICES INC (RSG)					Buy	3/10/11	J		
452. REPUBLIC SERVICES INC (RSG)					Buy	3/11/11	J		
453. REPUBLIC SERVICES INC (RSG)					Buy	3/14/11	J		
454. REPUBLIC SERVICES INC (RSG)					Buy	3/15/11	J		
455. RIO TINTO PLC ADR SPON	A	Dividend	K	T					
456. SAN DIEGO CA REGL AIRPORT A 5.0% 07/01/18	B	Interest	M	T	Buy	6/7/11	M		
457. SAN DIEGO CA SWR A 5.25% 05/15/25		None			Sold	2/15/11	M	A	
458. SAN DIEGO CO WTR 5.0% 07/01/16		None	M	T	Buy	7/12/11	M		
459. SAN DIEGO WTR NATL FGIC 5.25% 05/01/17		None	M	T	Buy	11/3/11	M		

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

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

460. SAN FRAN ARPT 2ND 06F NATL-FGIC 5.25% 05/01/20	D	Interest	M	T	Buy	1/4/11	M		
461. SANTA MARGARITA TALEGA CFD 99-1 11A 5.0% 09/01/22		None	M	T	Buy	7/22/11	M		
462. SAP AG SPON ADR (SAP)	A	Dividend	K	T					
463. SCHLUMBERGER LTD (SLB)	B	Dividend	M	T					
464. SCHWAB CHARLES NEW (SCHW)	B	Dividend	L	T	Buy	7/15/11	J		
465. SCHWAB CHARLES NEW (SCHW)					Buy	10/11/11	J		
466. SCHWAB CHARLES NEW (SCHW)					Buy	10/12/11	K		
467. SCHWAB CHARLES NEW (SCHW)					Buy	10/13/11	K		
468. SCHWAB CHARLES NEW (SCHW)					Buy	10/24/11	K		
469. SCHWAB CHARLES NEW (SCHW)					Buy	10/25/11	K		
470. SCHWAB CHARLES NEW (SCHW)					Sold (part)	9/1/11	J	A	
471. SCHWAB CHARLES NEW (SCHW)					Sold (part)	9/2/11	K	A	
472. SCHWAB CHARLES NEW (SCHW)					Sold (part)	9/6/11	L	A	
473. SCPPA MAGNOLIA PWR 11-A 5.00% 07/01/20		None	M	T	Buy	11/16/11	M		
474. SCRIPPS NETWORKS INTERACTIVE CL A (SNI)	A	Dividend	L	T	Buy	8/31/11	J		
475. SCRIPPS NETWORKS INTERACTIVE CL A (SNI)					Buy	9/1/11	J		
476. SEATTLE GENETICS INC (SGEN)		None	L	T	Buy	5/16/11	J		

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

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

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

477. SEATTLE GENETICS INC (SGEN)					Buy	5/17/11	J		
478. SEATTLE GENETICS INC (SGEN)					Buy	5/18/11	J		
479. SEATTLE GENETICS INC (SGEN)					Buy	5/20/11	J		
480. SEATTLE GENETICS INC (SGEN)					Buy	5/23/11	J		
481. SEATTLE GENETICS INC (SGEN)					Buy	5/24/11	J		
482. SEATTLE GENETICS INC (SGEN)					Buy	5/25/11	J		
483. SEATTLE GENETICS INC (SGEN)					Buy	5/31/11	J		
484. SEATTLE GENETICS INC (SGEN)					Buy	6/1/11	J		
485. SEATTLE GENETICS INC (SGEN)					Buy	6/2/11	J		
486. SEATTLE GENETICS INC (SGEN)					Buy	6/3/11	J		
487. SEATTLE GENETICS INC (SGEN)					Buy	6/6/11	J		
488. SEATTLE GENETICS INC (SGEN)					Buy	6/7/11	J		
489. SEATTLE GENETICS INC (SGEN)					Buy	6/8/11	J		
490. SEATTLE GENETICS INC (SGEN)					Buy	6/9/11	J		
491. SEATTLE GENETICS INC (SGEN)					Buy	6/10/11	J		
492. SEATTLE GENETICS INC (SGEN)					Buy	6/13/11	J		
493. SEATTLE GENETICS INC (SGEN)					Buy	6/14/11	J		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
494. SEATTLE GENETICS INC (SGEN)					Buy	6/15/11	J		
495. SEATTLE GENETICS INC (SGEN)					Buy	6/16/11	J		
496. SEATTLE GENETICS INC (SGEN)					Buy	6/17/11	J		
497. SEATTLE GENETICS INC (SGEN)					Buy	7/7/11	J		
498. SEATTLE GENETICS INC (SGEN)					Buy	7/8/11	J		
499. SEATTLE GENETICS INC (SGEN)					Buy	7/11/11	J		
500. SEATTLE GENETICS INC (SGEN)					Buy	7/12/11	J		
501. SEATTLE GENETICS INC (SGEN)					Buy	7/13/11	J		
502. SEATTLE GENETICS INC (SGEN)					Buy	7/14/11	J		
503. SEATTLE GENETICS INC (SGEN)					Buy	7/15/11	J		
504. SEATTLE GENETICS INC (SGEN)					Buy	8/8/11	J		
505. SHIRE PLC ADR	A	Dividend	M	T					
506. SIGNET JEWELERS LTD (SIG)	A	Dividend	K	T	Buy	8/31/11	J		
507. SIGNET JEWELERS LTD (SIG)					Buy	9/1/11	J		
508. SIGNET JEWELERS LTD (SIG)					Buy	9/2/11	J		
509. SIGNET JEWELERS LTD (SIG)					Buy	10/6/11	J		
510. SIGNET JEWELERS LTD (SIG)					Buy	10/7/11	J		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
511. SIGNET JEWELERS LTD (SIG)					Buy	10/11/11	J		
512. SIGNET JEWELERS LTD (SIG)					Buy	10/12/11	J		
513. SIGNET JEWELERS LTD (SIG)					Buy	10/13/11	J		
514. SO CA PUB PWR AUTH SF 6.0% 07-01-27	D	Interest	M	T					
515. SPECTRA ENERGY CORP (SE)	A	Dividend	K	T					
516. SSGA MONEY MARKET FUND (SSGXX)	C	Dividend	P1	T					
517. STANLEY BLACK & DECKER (SWK)	B	Dividend	L	T	Buy	10/6/11	J		
518. STANLEY BLACK & DECKER (SWK)					Buy	10/7/11	K		
519. STRAYER ED INC	A	Dividend			Buy	2/22/11	J		
520. STRAYER ED INC					Buy	9/2/11	J		
521. STRAYER ED INC					Sold (part)	10/11/11	J	A	
522. STRAYER ED INC					Sold	11/8/11	J	A	
523. SUNCOR ENERGY INC (SU)	A	Dividend	K	T					
524. TARGET CORP (TGT)	C	Dividend	M	T	Sold (part)	11/17/11	K	A	
525. TARGET CORP (TGT)			M		Sold (part)	11/18/11	K	A	
526. TE CONNECTIVITY LTD US\$ (TEL)	B	Dividend	L	T	Buy	3/17/11	J		
527. THE WALT DISNEY CO	B	Dividend	L	T					

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

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

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

528. TIFFANY & CO NEW	B	Dividend	M	T					
529. TIME WARNER CABLE INC	A	Dividend	K	T					
530. TITANIUM METALS CORPORATION		None			Sold (part)	4/12/11	J	C	
531. TITANIUM METALS CORPORATION					Sold (part)	4/13/11	J	C	
532. TITANIUM METALS CORPORATION					Sold	4/14/11	J	B	
533. TUOLUMNE WIND REV CA TURLOCK IRR DT 5.25% 01/01/24	D	Interest	M	T					
534. TYCO ELECTRONICS LTD	A	Dividend			Sold	3/17/11	J		
535. UNILEVER	A	Dividend	K	T		5/10/11	K		Asset Rv'd Alberto Culver
536. UNION PACIFIC CORP (UNP)	B	Dividend	L	T	Sold (part)	1/26/11	J	D	
537. UNION PACIFIC CORP (UNP)					Sold (part)	1/27/11	J	D	
538. UNION PACIFIC CORP (UNP)					Sold (part)	8/9/11	L	E	
539. UNITED HEALTH GROUP INC	B	Dividend	M	T					
540. UNITED PARCEL SERVICE INC CL B (UPS)	B	Dividend	K	T					
541. UNITED TECHNOLOGIES CORP (UTX)	C	Dividend	M	T	Buy	2/1/11	L		
542. UNITED TECHNOLOGIES CORP (UTX)					Buy	2/4/11	K		
543. UNITED TECHNOLOGIES CORP (UTX)					Buy	2/7/11	J		
544. UNITED TECHNOLOGIES CORP (UTX)					Buy	2/14/11	J		

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

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

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

545. URBAN OUTFITTERS INC		None	L	T					
546. VERIZON COMMUNICATIONS	B	Dividend	K	T					
547. VISA INC CL A (V)	A	Dividend	L	T	Sold (part)	1/25/11	K	A	
548. VULCAN MATERIALS CO	A	Dividend			Sold (part)	11/4/11	J	A	
549. VULCAN MATERIALS CO					Sold (part)	11/7/11	K	A	
550. VULCAN MATERIALS CO					Sold	11/8/11	J	A	
551. WEATHERFORD INTL LTD		None			Sold (part)	12/19/11	J	A	
552. WEATHERFORD INTL LTD					Sold	12/20/11	K	A	
553. WESTLANDS CA WTR DIST MBIA 5.25% 09-01-17	D	Interest	M	T					
554. Asset Acct.									
555. Alameda Co CTFS 5.375% 12/1/16	D	Interest	M	T					
556. Aruba Network Service (X)		None	L	T					
557. Banning CA Sch Dist. 4.75% 8/1/23	B	Interest	K	T					
558. Berkeley CA Sch Dist. 3.875% 8/01/18	D	Interest	M	T					
559. Burbank CA Pub Fling 5.250% 12/1/17	C	Interest	L	T					
560. CA ST Dept Wtr 5.00% 5/1/21	B	Interest	L	T					
561. CA ed FACS 4.250% 10/1/18	B	Interest	L	T					

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
562. Cal ST GO 4.500% 8/01/26	E	Interest	N	T	Buy	7/12/11	M		
563. Cal ST GO 4.500% 8/01/26					Buy	8/4/11	M		
564. Cal ST GO 4.500% 8/01/26					Buy	8/18/11	M		
565. CA St Pub Works 5.25% 6/1/20	C	Interest	L	T					
566. CA ST Pub Works 4.600% 12/1/20	C	Interest	L	T					
567. CA ST Pub Works 4.200% 5/1/19	C	Interest	M	T					
568. CA ST Pub Works 5.000% 6/1/18	D	Interest	M	T					
569. Chino Hills CA Tax Rev 4.25% 9/1/24	B	Interest	L	T					
570. Chula Vista CA Pub Fing 3.875% 9/1/17	C	Interest	L	T					
571. Coachella CA Sch Dist. 5.000% 8/1/19	C	Interest	L	T					
572. CSUCI Fing Auth 4.750% 9/1/14	C	Interest			Sold	9/1/11	M	A	
573. Delano CA Sch. Dist. 4.000% 2/1/25		None	M	T	Buy	12/19/11	M		
574. Desert CA Cmty Coll. 5.00% 8/1/23	B	Interest	L	T					
575. Dublin CA Sch Dist. 4.125% 8/1/21	D	Interest	M	T					
576. East Bay CA Util Dist. 5.000% 6/1/18	C	Interest	L	T					
577. El Monte CA Sch Dist. 5.000% 6/1/22	C	Interest	M	T					
578. Escondido CA CTFS 4.250% 9/1/19	D	Interest	M	T					

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
579. Fairfield CA Sch. Dist. 4.000% 8/7/27		None	L	T	Buy	11/22/11	L		
580. Fontana CA Pub Fing 4.000% 9/1/18	D	Interest	M	T					
581. Gilroy CAFing Auth. 4.000% 11/01/24	C	Interest	M	T	Buy	8/4/11	M		
582. Hollister CA Fing Auth. 5.000% 6/01/25	C	Interest	L	T	Buy	3/23/11	L		
583. Jefferson CA Sch Dist. 5.000% 8/1/26		None	M	T	Buy	8/4/11	M		
584. Lake Arrowhead CA Dist Wtr 4.500% 10/1/26	B	Interest	L	T	Buy	8/4/11	L		
585. Liberty CA High Sch. 4.250% 8/1/26	A	Interest	L	T	Buy	7/12/11	L		
586. Lincoln CA Sch Dist. 4.500% 8/1/19	D	Interest	M	T					
587. Los Angeles CA Sch Dist. 4.50% 7/1/22	B	Interest	L	T					
588. Madera Co CTFS 4.250% 8/1/22	C	Interest	L	T					
589. Montclair CA Fing Auth 3.875% 10/1/16	C	Interest	M	T					
590. Mountain View CA High School 4.125% 8/1/16	D	Interest	M	T					
591. Napa Co CTFS 3.600% 2/1/17	D	Interest	M	T					
592. Newport CA Sch Dist 5.000% 8/1/17	D	Interest			Sold	7/12/11	M	A	
593. Oxnard CA Fing Auth. 4.750% 6/1/24	C	Interest	M	T	Buy	8/4/11	M		
594. Palmdale CA Redev Agy 3.800% 9/1/16	D	Interest	M	T					
595. Palm Desert CTFS 5.00% 4/01/22	B	Interest	L	T					

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
596. Pasadena CA Elec Rev 5.000% 6/1/16	D	Interest	M	T					
597. Port Oakland CA Rev Ref 5.00% 11/01/21	B	Interest	L	T					
598. Redlands CA Sch Dist. 5.000% 7/1/25		None	M	T	Buy	8/19/11	M		
599. Riverside Co CTFS 3.875% 11/1/14	C	Interest	M	T					
600. Sacramento CA Util Dist 5.000% 5/15/14	D	Interest	M	T					
601. Sacramento CA CTFS 5.000% 12/01/21	B	Interest	K	T					
602. Salinas CA CTFS 4.500% 9/1/20	C	Interest	M	T					
603. San Diego Co Wtr Auth 4.000% 5/1/20	D	Interest	M	T					
604. San Juan Capistrano Co Fing Auth 4.000% 12/1/17	C	Interest	M	T					
605. Santa Clara CA Sch Dist 3.500% 7/1/24		None	M	T	Buy	8/4/11	M		
606. Santa Cruz Co CTFS 3.875% 8/1/16	D	Interest	M	T					
607. Santa Cruz Co CTFS 4.200% 8/1/19	C	Interest	L	T					
608. Santa Rosa CA Sch Dist 3.800% 8/1/17	C	Interest	L	T					
609. So Cal Logistics 4.125% 12/1/20	C	Interest	L	T					
610. So CA Pub Pwr Auth 5.150% 7/1/15	D	Interest	M	T					
611. So CA Pub Pwr Auth 5.250% 1/1/20	D	Interest			Sold	12/19/11	L	A	
612. So Gate CA fing Auth 5.250% 9/1/19	B	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		

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
613. Stockton CA Sch Dist 5.000% 8/1/24	C	Interest	L	T					
614. The Pantry common stock		None	K	T					
615. Tracy CA Jt Powers 4.200% 9/2/17	B	Interest	K	T					
616. Turlock CA Pub Fing 4.300% 9/15/16	B	Interest	K	T					
617. Western Riverside WTR 4.250% 9/1/21	C	Interest	L	T					
618. Yountville CA Fin Auth 4.375% 10/1/24	B	Interest	L	T					
619. MS Bank Deposit	A	Interest	J	T					
620. FS Equity Partners IV									
621. Sur La Table		None	M	U	Sold (part)	8/2/11	P1	G	
622. Ross-Simmons		None	M	U	Sold (part)	8/2/11	K	D	
623. FS Equity Partners V									
624. Winebow Inc common stock		None			Sold	12/23/11	P1	H1	
625. N.E.W. Companies common stock	G	Dividend	M	U					
626. H.H. Gregg Inc common stock		None	N	U					
627. Bright Now Inc common stock		None	N	U					
628. Mattress Giant Corp common stock		None	M	U	Buy	1/21/11	K		
629. Savers Inc common stock		None	N	U	Buy	1/21/11	K		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
630. PETCO Animal Supply common stock	G	Dividend	N	U					
631. El Polo Loco Inc common stock		None	N	U	Buy	7/7/11	K		
632. FS Equity Partners VI									
633. Paradies Holdings common stock		None	N	U					
634. BECO Holding Co common stock		None	O	U					
635. Floor and Decor common stock		None	O	U					
636. Boot Barn common stock		None	N	U	Buy	12/5/11	N		
637. First Watch common stock		None	N	U	Buy	12/13/11	N		
638. Riordan Venture Assoc. (L.P. Inc.)									
639. RLH Silversado Dividend Pref. Stock debt	A	Interest	K	U					
640. Cymetrix Corp common stock		None	J	U					
641. Con-Cise Lens Co common stock		None	J	U					
642. Saebro Inc common stock		None	J	U					
643. Maxit common stock		None	K	U					
644. Triple 7 Group common stock		None	J	U					
645. TW Holdings common stock		None	J	U					
646. Cyber Coders Holdings common stock		None	J	U					

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
647. Creative Circle preferred and common stock		None	J	U					
648. Apothecary Shops preferred stock		None	J	U					
649. Secure Mission Solutions LLC		None	K	U					
650. ONE Industries common stock		None	J	U					
651. Bluewolf Group LLC		None	K	U	Buy	10/21/11	K		
652. Bistro 45 common stock	A	Dividend	J	U					
653. ☐ Retire Accts (401k-profit)									
654. Invesco Pacific Growth Fund	A	Dividend	L	T					
655. MSDW Liquit Asset Account Trust Fund	A	Dividend	K	T					
656. Hewlett Packard common stock	A	Dividend	K	T					
657. Procter & Gamble common stock	C	Dividend	M	T					
658. CVS Corp. common stock	A	Dividend	K	T					
659. Altria Group common stock	A	Dividend	K	T					
660. Cisco Sys common stock	A	Dividend	J	T					
661. Kraft Foods Inc common stock	A	Dividend	J	T					
662. Philip Morris	B	Dividend	K	T					
663. Invesco Div. Growth Fund	C	Dividend	M	T					

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
664. American Funds New World Fund	C	Dividend	N	T	Buy	1/20/11	L		
665. R&M Encelle Partners (Partnership Interest)		None	K	U					
666. Trust #3 ()									
667. General Elec common stock	A	Dividend	J	T					
668. American Funds New World Fund	A	Dividend	J	T					
669. TRUST #4 ()									
670. American Funds Capital Core Municipal Fund	A	Dividend	K	T					
671. American Funds Capital Income Builder Inc CL F2	B	Dividend	K	T	Buy	12/20/11	J		
672. American Funds Capital World Growth & Income Fund CL F2	B	Dividend	K	T	Buy	2/15/11	J		
673. American Funds Capital World Growth & Income Fund CL F2					Sold (part)	7/27/11	J	A	
674. American Funds EuroPacific Growth Fund CL F2	A	Dividend	K	T					
675. American Funds Fundamental Investors Inc CL F2	B	Dividend	L	T					
676. American Funds Fundamental Investors Inc CL F2					Sold (part)	1/27/11	J	A	
677. American Funds Fundamental Investors Inc CL F2					Sold (part)	4/28/11	J	A	
678. American Funds Fundamental Investors Inc CL F2					Sold (part)	10/26/11	J	A	
679. American Funds Growth Fund of America Inc CL R5	A	Dividend	K	T	Buy	2/15/11	J		
680. American Funds Investment Company of America CL F2	A	Dividend	K	T					

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
681. American Funds New Perspective Fund CL F2	A	Dividend	K	T					
682. American Funds New World Fund CL F2	A	Dividend	K	T					
683. American Funds SmallCap World Fund CL F2	A	Dividend	J	T					
684. American Funds Cash Mgmt Trust of America	A	Dividend	J	T					
685. Trust #5									
686. American Funds Capital Core Municipal Fund	A	Dividend	K	T					
687. American Funds Capital Income Builder Inc CL R5	B	Dividend	K	T	Buy	12/20/11	J		
688. American Funds Capital World Growth & Income FD CL F2	B	Dividend	K	T	Buy	2/15/11	J		
689. American Funds Capital World Growth & Income Fund CL F2					Sold (part)	7/27/11	J	A	
690. American Funds EuroPacific Growth Fund CL F2	A	Dividend	K	T					
691. American Funds Fundamental Investors Inc CL F2	B	Dividend	L	T					
692. American Funds Fundamental Investors Inc CL F2					Sold (part)	1/27/11	J	A	
693. American Funds Fundamental Investors Inc CL F2					Sold (part)	4/28/11	J	A	
694. American Funds Fundamental Investors Inc CL F2					Sold (part)	10/26/11	J	A	
695. American Funds Growth Fund of America Inc CL R5	A	Dividend	K	T	Buy	2/15/11	J		
696. American Funds Investment Company of America CL F2	A	Dividend	K	T					
697. American Funds New Perspective Fund CL F2	A	Dividend	K	T					

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

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

A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
698. American Funds New World Fund CL F2	A	Dividend	K	T					
699. American Funds SmallCap World Fund CL F2	A	Dividend	J	T					
700. American Funds Cash Mgmt Trust of America	A	Dividend	J	T					
701. Trust #6									
702. Invesco Dividend Growth	A	Dividend	K	T					
703. American Funds New World Fund	C	Dividend	N	T					
704. MSDW Active Money Trust	A	Dividend	J	T					
705. Winebow Inc common stock		None			Sold	12/23/11	M	G	
706. N.E.W. Companies common stock	C	Dividend	J	U					
707. HH Gregg Inc common stock		None	J	U					
708. Bright Now Inc common stock		None	J	U					
709. Mattress Giant Corp common stock		None	J	U	Buy	1/21/11	J		
710. Savers Inc common stock		None	J	U	Buy	1/21/11	J		
711. PETCO Animal Supply common stock		None	J	U					
712. El Pollo Loco common stock		None	J	U	Buy	7/7/11	J		
713. American Funds Capital California Core Municipal Fund	A	Dividend	K	T	Buy	2/15/11	J		
714. American Funds Capital Core Municipal Fund	A	Dividend	K	T	Buy	2/15/11	J		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
715. American Funds Capital Income Builder Inc CL F2	D	Dividend	M	T	Buy	2/15/11	J		
716. American Funds Capital Income Builder Inc CL F2					Buy	12/20/11	J		
717. American Funds Capital World Growth & Income Fund CL F2	A	Dividend	K	T	Buy	2/15/11	J		
718. American Funds EuroPacific Growth Fund CL F2	B	Dividend	M	T	Buy	2/15/11	J		
719. American Funds Fundamental Investors Inc CL F2	B	Dividend	L	T					
720. American Funds Growth Fund of America Inc CL R5	B	Dividend	M	T					
721. American Funds Investment Company of America CL F2	C	Dividend	M	T					
722. American Funds New Perspective Fund CL F2	A	Dividend	K	T					
723. American Funds New World Fund CL F2	B	Dividend	M	T	Buy	2/15/11	J		
724. American Funds New World Fund CL F2					Sold (part)	4/28/11	J	A	
725. American Funds New World Fund CL F2					Sold (part)	7/5/11	J	A	
726. American Funds New World Fund CL F2					Sold (part)	7/28/11	J	A	
727. American Funds SmallCap World Fund CL F2	A	Dividend	K	T					
728. American Funds Cash Mgmt Trust of America	A	Dividend	K	T					
729. Trust #7									
730. Invesco Dividend Growth	A	Dividend	K	T					
731. American Funds New World Fund	C	Dividend	N	T					

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
732. MSDW Active Money Trust	A	Dividend	J	T					
733. Winebow Inc common stock		None			Sold	12/23/11	M	G	
734. N.E.W. Companies common stock	C	Dividend	J	U					
735. HH Gregg Inc common stock		None	J	U					
736. Bright Now Inc common stock		None	J	U					
737. Mattress Giant Corp common stock		None	J	U	Buy	1/21/11	J		
738. Savers Inc common stock		None	J	U	Buy	1/21/11	J		
739. PETCO Animal Supply common stock		None	J	U					
740. El Pollo Loco common stock		None	J	U	Buy	7/7/11	J		
741. American Funds Capital California Core Muni Fund	A	Dividend	K	T	Buy	2/15/11	J		
742. American Funds Capital Core Municipal Fund	A	Dividend	K	T	Buy	2/15/11	J		
743. American Funds Capital Income Builder Inc CL F2	D	Dividend	M	T	Buy	2/15/11	J		
744. American Funds Capital Income Builder Inc CL F2					Buy	12/20/11	J		
745. American Funds Capital World Growth & Income Fund CL F2	A	Dividend	K	T	Buy	2/15/11	J		
746. American Funds EuroPacific Growth Fund CL F2	B	Dividend	M	T	Buy	2/15/11	J		
747. American Funds Fundamental Investors Inc CL F2	B	Dividend	L	T					
748. American Funds Growth Fund of America Inc CL R5	B	Dividend	M	T					

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
749. American Funds Investment Company of America CL F2	C	Dividend	M	T					
750. American Funds New Perspective Fund CL F2	A	Dividend	K	T					
751. American Funds New World Fund CL F2	B	Dividend	M	T	Buy	2/15/11	J		
752. American Funds New World Fund CL F2					Sold (part)	4/28/11	J	A	
753. American Funds New World Fund CL F2					Sold (part)	7/5/11	J	A	
754. American Funds New World Fund CL F2					Sold (part)	7/28/11	J	A	
755. American Funds SmallCap World Fund CL F2	A	Dividend	K	T					
756. American Funds Cash Mgmt Trust of America	A	Dividend	K	T					
757. Real Estate Partnership - Lau		None	M	U					
758. Real Estate Partnership - W.O.		None	M	U	Buy	1/10/11	K		
759. Real Estate Partnership - Lau W		None	L	U	Buy	6/2/11	L		
760. Dorset Capital Partnership Invest	A	Interest	L	U					
761. Citibank Money Market Fund	C	Interest	N	T					
762. Citibank Checking	A	Interest	L	T					
763. Citibank Checking	A	Interest	O	T					
764. Fargo Investment Partnership (Y)		None	M	U	Sold (part)	7/18/11	J	A	
765. Fargo Investment Partnership					Sold (part)	12/6/11	J	A	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
766. Bulldog Partners I		None	J	U					
767. Bulldog Partners II		None	J	U					
768. Regents Banshares	C	Interest	M	U					
769. JRK Multifamily LP		None	L	U	Buy	5/10/11	K		
770. Clean Diesel Tech, Inc. Common Stock		None	J	U					
771. Urban Housing Investment Fund		None	L	U	Buy	5/12/11	L		

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

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

Line 1, IRA covers line 2 through 7

Line 8, Trust 1 covers line 9

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

Line 68, Capital Trust Account covers line 69 through 553

Line 554, Asset Acct covers line 555 through 618

Line 619, MS Bank Deposit covers line 619

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

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

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

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

Line 652, Bistro 45 common stock covers line 652

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

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

Line 666, Trust #3 covers line 667 through 668

Line 669, Trust #4 covers line 670 through 684

Line 685, Trust #5 covers line 686 through 700

Line 701, Trust #6 covers line 702 through 728

Line 729, Trust #7 covers line 730 through 756

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

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

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

Line 760, Dorset Capital Partnership Invest covers line 760

Line 761, Citibank Money Market Fund covers line 761

Line 762, Citibank Checking covers line 762

Line 763, Citibank Checking covers line 763

Line 764, Fargo Investment Partnership covers line 764 through 765

Line 766, Bulldog Partners I, covers line 766

Line 767, Bulldog Partners II, covers line 767

Line 768, Regents Bانشares, covers line 768

Line 769, JRK Multifamily LP covers line 769

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

Line 771, Urban Housing Investment Fund line 771

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

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

IX. CERTIFICATION.

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

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

Signature: **S/ KIM M. WARDLAW**

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

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