

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) REINHARDT, STEPHEN R.	2. Court or Organization US COURT OF APPEALS - 9TH CIRCUIT	3. Date of Report 08/23/2012
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US 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 312 NORTH SPRING STREET ROOM 1747 LOS ANGELES, CA 90012		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information. Insert signature on last page.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	TRUSTEE	TRUST #1 - [REDACTED] - EXEMPT C
2.	TRUSTEE	TRUST #2 - [REDACTED] - NON-EXEMPT C
3.	TRUSTEE	TRUST #3 - R [REDACTED] LIVING TRUST DTD 4/21/95
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. 2011	ACLU FOUNDATION OF SO CALIFORNIA - WAGES
2. 2011	AMERICAN CIVIL LIBERTIES UNION INC OF SO CALIFORNIA - WAGES
3. 2011	ACLU FOUNDATION OF SO CALIFORNIA - CONSULTING FEES
4. 2011	AMERICAN CIVIL LIBERTIES UNION INC OF SO CALIFORNIA -CONSULTING FEES

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.	PENNSYLVANIA LAW SCHOOL - MOOT COURT	01/26/11 - 01/29/11	PHILADELPHIA, PA	PROF ASSOC ACTIVITY/ CIVIC ORGANIZATION	AIRFARE, TRANSPORTATION, LODGING
2.	AMERICAN CONSTITUTION SOCIETY - STANFORD CHAPTER	02/25/11 - 02/27/11	SAN FRANCISCO, CA	PROF ASSOC ACTIVITY/ CIVIC ORGANIZATION	AIRFARE, TRANSPORTATION, LODGING
3.	ACS CHAPTER - BOSTON UNIVERSITY	04/19/11 - 04/22/11	BOSTON, MA	PROF ASSOC ACTIVITY/ CIVIC ORGANIZATION	AIRFARE, TRANSPORTATION, LODGING
4.	YALE LAW JOURNAL	04/25/11 - 04/26/11	NEW HAVEN, CT	PROF ASSOC ACTIVITY/ CIVIC ORGANIZATION	AIRFARE, TRANSPORTATION, LODGING

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5.	AMERICAN CONSTITUTION SOCIETY - ANNUAL CONVENTION	06/15/11 - 06/19/11	WASHINGTON D.C.	PROF ASSOC ACTIVITY/ CIVIC ORGANIZATION	AIRFARE, TRANSPORTATION, LODGING
6.	AMERICAN CONSTITUTION SOCIETY - SANTA CLARA CHAPTER	10/17/11 - 10/19/11	SANTA CLARA, CA	PROF ASSOC ACTIVITY/ CIVIC ORGANIZATION	AIRFARE, TRANSPORTATION, LODGING

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

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

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

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

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

A. 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)

1. BROKER ACCT #1 - STONNINGTON #1030									
2. - FEDERATED CLOVER VALUE FD CL C 1	A	Dividend	K	T	Sold (part)	01/11/11	J	A	
3. - FEDERATED CLOVER VALUE FD CL C 1					Sold (part)	09/15/11	K	A	
4. - FDIC LIQUID INSURED DEPOSITS MONEY MARKET 1	A	Interest	K	T					
5. CITY NATIONAL BANK CHECKING #79		None	K	T					
6. UNION BANK CHECKING		None	K	T					
7. JOHN HANCOCK LIFE INS CO. - ANNUITY	D	Int./Div.	M	W					
8. SYMETRA LIFE INS CO - ANNUITY	C	Int./Div.	K	T					
9. IRA - ACCT #6 - STONNINGTON #452	A	Int./Div.							See Note 1
10. - AMERICAN CENTURY FUND 6					Sold	01/03/11	J	A	
11. - CALVERT SHORT DURATION FD 6					Sold	01/03/11	J	A	
12. - DELAWARE CORP BD 6					Sold	01/03/11	J	A	
13. - FPA NEW INCOME FD 6					Sold	01/03/11	J	A	
14. - HARTFORD CAPITAL FD 6					Sold	01/03/11	J	B	
15. - METROPOLITAN WEST TTL FD 6					Sold	01/03/11	K	B	
16. - T ROWE PRICE US TSY FD 6					Sold	01/03/11	J	A	
17. - TCW TOTAL RETURN FD 6					Sold	01/03/11	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)

18. - MAINSTAY LARGE CAP GRWTH FND 6					Sold	01/03/11	J	A	
19. - MFS VALUE FUND 6					Sold	01/03/11	J	A	
20. - PERSHING GOVT MONEY MARKET FUNDS 6					Merged (with line 22)	03/16/11	L		See Note 1
21. IRA - ACCT #7 - STONNINGTON 1053	C	Int./Div.	L	T					See Note 1
22. - PERSHING GOVT MONEY MARKET FUNDS 7									See Note 1
23. - VANGUARD BD INDEX TOTAL BD MKT FUND 7					Buy	03/22/11	J		
24. - VANGUARD BD INDEX TOTAL BD MKT FUND 7					Buy (add'l)	11/16/11	J		
25. - VANGUARD BD INDEX TOTAL BD MKT FUND 7					Sold (part)	08/18/11	J	A	
26. - VANGUARD BD INDEX TOTAL BD MKT FUND 7					Sold (part)	12/22/11	J	A	
27. - VANGUARD BD INDEX L/TERM BD FUND 7					Buy	03/22/11	J		
28. - VANGUARD BD INDEX L/TERM BD FUND 7					Sold	08/18/11	J	A	
29. - VANGUARD SPECIALIZED PORT DIV APPREC FUND 7					Buy	03/22/11	J		
30. - VANGUARD SPECIALIZED PORT DIV APPREC FUND 7					Buy (add'l)	08/18/11	J		
31. - VANGUARD SPECIALIZED PORT DIV APPREC FUND 7					Sold (part)	11/16/11	J	A	
32. - VANGUARD SPECIALIZED PORT DIV APPREC FUND 7					Sold (part)	12/22/11	J	A	
33. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND 7					Buy	03/22/11	J		
34. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND 7					Sold (part)	11/16/11	J	A	

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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)
35. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND 7					Sold (part)	12/22/11	J	A	
36. - MSIF INC INTERNATIONAL FUND 7					Buy	03/22/11	J		
37. - MSIF INC INTERNATIONAL FUND 7					Buy (add'l)	08/18/11	J		
38. - MSIF INC INTERNATIONAL FUND 7					Buy (add'l)	11/16/11	J		
39. - MSIF INC INTERNATIONAL FUND 7					Sold (part)	12/22/11	J	A	
40. - ISHARES TR S&P GLBL CONSUME STAPLES INDEX FUND 7					Buy	03/22/11	J		
41. - ISHARES TR S&P GLBL CONSUME STAPLES INDEX FUND 7					Sold (part)	08/15/11	J	A	
42. - ISHARES TR S&P GLBL CONSUME STAPLES INDEX FUND 7					Sold	08/16/11	J	A	
43. - ISHARES TR S&P GLBL UTILITIES INDEX FUND 7					Buy	03/22/11	J		
44. - ISHARES TR S&P GLBL UTILITIES INDEX FUND 7					Sold (part)	08/15/11	J	A	
45. - ISHARES TR S&P GLBL UTILITIES INDEX FUND 7					Sold	08/16/11	J	A	
46. - ISHARES TR BARCLAYS 1-3 YR TSTRY BOND FUND 7					Buy	03/22/11	J		
47. - ISHARES TR BARCLAYS 1-3 YR TSTRY BOND FUND 7					Sold (part)	08/18/11	J	A	
48. - ISHARES TR BARCLAYS 1-3 YR TSTRY BOND FUND 7					Sold (part)	11/16/11	J	A	
49. - ISHARES TR BARCLAYS 1-3 YR TSTRY BOND FUND 7					Sold (part)	12/22/11	J	A	
50. - ISHARES TR S&P GLOBAL HLTHCARE SECTOR INDEX 7					Buy	03/22/11	J		
51. - ISHARES TR S&P GLOBAL HLTHCARE SECTOR INDEX 7					Sold (part)	08/15/11	J	A	

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52. - ISHARES TR S&P GLOBAL HLTHCARE SECTOR INDEX 7					Sold	08/16/11	J	A	
53. - ISHARES TR BARCLAYS TIPS BD FD 7					Buy	03/22/11	J		
54. - ISHARES TR BARCLAYS TIPS BD FD 7					Sold (part)	08/18/11	J	A	
55. - ISHARES TR BARCLAYS TIPS BD FD 7					Sold (part)	11/16/11	J	A	
56. - ISHARES TR BARCLAYS TIPS BD FD 7					Sold (part)	12/22/11	J	A	
57. - GATEWAY FUND CLASS Y 7					Buy	03/22/11	J		
58. - GATEWAY FUND CLASS Y 7					Sold (part)	11/16/11	J	A	
59. - GATEWAY FUND CLASS Y 7					Sold (part)	12/22/11	J	A	
60. - GABELLI ABC FUND ADVISOR CLASS 7					Buy	03/22/11	J		
61. - GABELLI ABC FUND ADVISOR CLASS 7					Sold	08/18/11	J	A	
62. - T ROWE PRICE INTL BOND FUND ADVISOR CLASS 7					Buy	03/23/11	J		
63. - T ROWE PRICE INTL BOND FUND ADVISOR CLASS 7					Sold (part)	08/18/11	J	A	
64. - T ROWE PRICE INTL BOND FUND ADVISOR CLASS 7					Sold	11/16/11	J	A	
65. - PRINCETON FUTURES STRATEGY FUND CLASS 7					Buy	03/23/11	J		
66. - PRINCETON FUTURES STRATEGY FUND CLASS 7					Buy (add'l)	08/23/11	J		
67. - PRINCETON FUTURES STRATEGY FUND CLASS 7					Buy (add'l)	11/17/11	J		
68. - PRINCETON FUTURES STRATEGY FUND CLASS 7					Sold (part)	12/23/11	J	A	

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69. - DRIEHAUS ACTIVE INCOME FUND 7					Buy	03/23/11	J		
70. - DRIEHAUS ACTIVE INCOME FUND 7					Buy (add'l)	08/22/11	J		
71. - DRIEHAUS ACTIVE INCOME FUND 7					Buy (add'l)	11/17/11	J		
72. - DRIEHAUS ACTIVE INCOME FUND 7					Sold (part)	12/27/11	J	A	
73. - DRIEHAUS SELECT CREDIT FUND 7					Buy	08/22/11	J		
74. - DRIEHAUS SELECT CREDIT FUND 7					Buy (add'l)	11/17/11	J		
75. - DRIEHAUS SELECT CREDIT FUND 7					Sold (part)	12/27/11	J	A	
76. - AQR DIVERSIFIED ARBITRAGE FUND 7					Buy	03/23/11	J		
77. - AQR DIVERSIFIED ARBITRAGE FUND 7					Buy (add'l)	11/17/11	J		
78. - AQR DIVERSIFIED ARBITRAGE FUND 7					Sold (part)	08/19/11	J	A	
79. - AQR DIVERSIFIED ARBITRAGE FUND 7					Sold (part)	12/23/11	J	A	
80. - WASATCH LONG/SHORT FUND 7					Buy	08/18/11	J		
81. - WASATCH LONG/SHORT FUND 7					Sold (part)	12/23/11	J	A	
82. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND 7					Buy	08/18/11	J		
83. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND 7					Sold (part)	11/16/11	J	A	
84. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND 7					Sold (part)	12/22/11	J	A	
85. - TCW EMERGING MARKETS FUND 7					Buy	11/17/11	J		

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86. - TCW EMERGING MARKETS FUND 7					Sold (part)	12/23/11	J	A	
87. DEFERRED SALARY PLAN/TRUST - ACCOUNT #8 - M/LYNCH #C08	D	Int./Div.	N	T					See Note 3
88. - BIF MONEY FUND 8									
89. - BLACKROCK LARGE CAP 8					Buy (add'l)	01/18/11	J		
90. - BLACKROCK LARGE CAP 8					Sold (part)	04/19/11	J	A	
91. - BLACKROCK LARGE CAP 8					Buy (add'l)	11/09/11	J		
92. - BLACKROCK INFLATION 8					Buy (add'l)	01/18/11	J		
93. - BLACKROCK INFLATION 8					Sold (part)	11/09/11	J	A	
94. - BLACKROCK GLOBAL ALLOC FUND 8					Sold (part)	04/19/11	J	A	
95. - BLACKROCK GLOBAL ALLOC FUND 8					Sold (part)	11/09/11	J	C	
96. - BLACKROCK CORE BD PORTFOLIO 8					Buy (add'l)	01/18/11	J		See Note 4
97. - BLACKROCK CORE BD PORTFOLIO 8					Sold (part)	11/09/11	J	A	
98. - BLACKROCK CAPITAL APPRECIATION FD 8					Sold (part)	04/19/11	J	A	
99. - BLACKROCK CAPITAL APPRECIATION FD 8					Sold (part)	11/09/11	J	A	
100. - BLACKROCK EQUITY DIVIDEND 8					Sold (part)	04/19/11	J	A	
101. - BLACKROCK EQUITY DIVIDEND 8					Sold (part)	11/09/11	J	A	
102. - BLACKROCK EQUITY DIVIDEND 8					Sold (part)	12/22/11	K	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 = \$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 \$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

REINHARDT, STEPHEN R.

Date of Report

08/23/2012

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)
103. - BLACKROCK GNMA INST 8					Buy (add'l)	11/09/11	J		
104. - BLACKROCK MID CAP VALUE 8					Buy (add'l)	1/09/11	J		
105. - BLACKROCK MID CAP VALUE 8					Sold (part)	04/19/11	J	A	
106. - BLACKROCK MID CAP VALUE 8					Sold (part)	11/09/11	K	B	
107. - BLACKROCK LOW DURATION BD 8					Sold	11/09/11	K	A	
108. - BLACKROCK S & P 500 INDEX FUND 8					Buy (add'l)	12/22/11	K		
109. - BLACKROCK S & P 500 INDEX FUND 8					Sold (part)	01/18/11	K	A	
110. - BLACKROCK STRATEGIC INCOME OPP FUND 8					Buy	11/09/11	K		
111. - BLACKROCK GLOBAL DIVIDEND FUND 8					Buy	11/09/11	K		
112. BROKER ACCT #9 - STONNINGTON #353									See Note 2
113. - BLACKROCK CALIFORNIA 9	A	Int./Div.			Sold	01/03/11	K	A	
114. - BLACKROCK GLOBAL ALLOCATION FUND 9		None			Sold	12/15/11	L	A	
115. - FIDELITY ADV MUNI 9	A	Int./Div.			Sold	01/03/11	K	A	
116. - FRANKLIN FED INTER TERM 9	A	Int./Div.			Sold	01/03/11	K	A	
117. - HARTFORD CAPITAL 9		None			Sold	01/03/11	K	C	
118. - J P MORGAN TAX AWARE 9		None			Sold	01/03/11	J	A	
119. - DWS INTMDT TAX 9		None			Sold	01/03/11	K	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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Name of Person Reporting

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

☐ 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. - MAINSTAY LARGE CAP GROWTH FUND 9		None			Sold	01/03/11	K	B	
121. - MFS VALUE FUND 9		None			Sold	01/03/11	K	A	
122. - FDIC LIQUID INSURED DEPOSITS MONEY MARKET 9	A	Int./Div.			Merged (with line 124)	03/16/11	N		See Note 2
123. BROKER ACCT #3 - STONNINGTON #1046									See Note 2
124. - FDIC LIQUID INSURED DEPOSITS MONEY MARKET 3	A	Int./Div.	J	T					See Note 2
125. - AQR DIVERSIFIED ARBITRAGE FUND 3	A	Dividend	J	T	Buy	03/21/11	J		
126. - AQR DIVERSIFIED ARBITRAGE FUND 3					Buy (add'l)	11/17/11	J		
127. - AQR DIVERSIFIED ARBITRAGE FUND 3					Buy (add'l)	12/28/11	J		
128. - AQR DIVERSIFIED ARBITRAGE FUND 3					Sold (part)	08/18/11	J	A	
129. - DRIEHAUS SELECT CREDIT FUND 3	A	Dividend	K	T	Buy	08/22/11	J		
130. - DRIEHAUS SELECT CREDIT FUND 3					Buy (add'l)	11/17/11	J		
131. - DRIEHAUS SELECT CREDIT FUND 3					Buy (add'l)	12/28/11	J		
132. - DRIEHAUS ACTIVE INCOME FUND 3	A	Dividend	K	T	Buy	03/21/11	J		
133. - DRIEHAUS ACTIVE INCOME FUND 3					Buy (add'l)	08/22/11	J		
134. - DRIEHAUS ACTIVE INCOME FUND 3					Buy (add'l)	11/17/11	J		
135. - DRIEHAUS ACTIVE INCOME FUND 3					Buy (add'l)	12/28/11	J		
136. - FRANKLIN FED TAX FREE INCOME FUND 3	A	Interest			Buy	03/18/11	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	

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REINHARDT, STEPHEN R.

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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. - FRANKLIN FED TAX FREE INCOME FUND 3					Sold	08/18/11	J	A	
138. - GABELLI ABC FUND ADVISOR CLASS 3		None			Buy	03/18/11	J		
139. - GABELLI ABC FUND ADVISOR CLASS 3					Sold	03/22/11	J	A	
140. - GATEWAY FUND CLASS Y 3	A	Dividend	K	T	Buy	03/18/11	K		
141. - GATEWAY FUND CLASS Y 3					Buy (add'l)	12/27/11	J		
142. - GATEWAY FUND CLASS Y 3					Sold (part)	11/16/11	J	A	
143. - MSIF INC INTERNATIONAL FUND 3	A	Dividend	K	T	Buy	03/18/11	K		
144. - MSIF INC INTERNATIONAL FUND 3					Buy (add'l)	08/18/11	J		
145. - MSIF INC INTERNATIONAL FUND 3					Buy (add'l)	11/16/11	J		
146. - MSIF INC INTERNATIONAL FUND 3					Buy (add'l)	12/27/11	J		
147. - NUVEEN LIMITED TERM MUNI BOND CLASS A 3	A	Interest	J	T	Buy	03/18/11	K		
148. - NUVEEN LIMITED TERM MUNI BOND CLASS A 3					Sold (part)	08/18/11	J	A	
149. - NUVEEN LIMITED TERM MUNI BOND CLASS A 3					Sold (part)	11/16/11	J	A	
150. - PRINCETON FUTURES STRATEGY FUND CLASS 3		None	K	T	Buy	03/21/11	J		
151. - PRINCETON FUTURES STRATEGY FUND CLASS 3					Buy (add'l)	08/23/11	J		
152. - PRINCETON FUTURES STRATEGY FUND CLASS 3					Buy (add'l)	11/17/11	J		
153. - PRINCETON FUTURES STRATEGY FUND CLASS 3					Buy (add'l)	12/28/11	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	

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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. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND 3	A	Dividend	K	T	Buy	08/18/11	J		
155. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND 3					Sold (part)	11/16/11	J	A	
156. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND 3					Sold (part)	12/27/11	J	A	
157. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND 3	A	Dividend	J	T	Buy	03/18/11	K		
158. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND 3					Buy (add'l)	12/27/11	J		
159. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND 3					Sold (part)	11/16/11	J	A	
160. - TCW EMERGING MARKETS FUND 3	A	Dividend	J	T	Buy	11/17/11	J		
161. - TCW EMERGING MARKETS FUND 3					Buy (add'l)	12/27/11	J		
162. - T ROWE PRICE INTL BOND FUND ADVISOR CLASS 3	A	Dividend			Buy	03/18/11	J		
163. - T ROWE PRICE INTL BOND FUND ADVISOR CLASS 3					Sold (part)	08/18/11	J	A	
164. - T ROWE PRICE INTL BOND FUND ADVISOR CLASS 3					Sold	11/16/11	J	A	
165. - THE TAX EXEMPT BOND FUND OF AMERICA 3	A	Interest	K	T	Buy	03/18/11	J		
166. - THE TAX EXEMPT BOND FUND OF AMERICA 3					Buy (add'l)	11/16/11	J		
167. - THE TAX EXEMPT BOND FUND OF AMERICA 3					Buy (add'l)	12/27/11	J		
168. - THE TAX EXEMPT BOND FUND OF AMERICA 3					Sold (part)	08/18/11	J	A	
169. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND 3	A	Interest	K	T	Buy	03/18/11	J		
170. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND 3					Buy (add'l)	11/16/11	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 \$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.)

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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)
171. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND 3					Buy (add'l)	12/27/11	J		
172. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND 3					Sold (part)	08/18/11	J	A	
173. - WASATCH LONG/SHORT FUND 3		None	J	T	Buy	08/18/11	J		
174. - WASATCH LONG/SHORT FUND 3					Buy (add'l)	12/28/11	J		
175. - WASATCH LONG/SHORT FUND 3					Sold (part)	11/16/11	J	A	
176. - ISHARES TR S&P GLOBAL HLTHCARE SECTOR INDEX 3	A	Dividend			Buy	03/18/11	J		
177. - ISHARES TR S&P GLOBAL HLTHCARE SECTOR INDEX 3					Sold (part)	08/15/11	J	A	
178. - ISHARES TR S&P GLOBAL HLTHCARE SECTOR INDEX 3					Sold	08/16/11	J	A	
179. - ISHARES TR S&P GLBL CONSUME STAPLES INDEX FUND 3	A	Dividend			Buy	03/18/11	J		
180. - ISHARES TR S&P GLBL CONSUME STAPLES INDEX FUND 3					Sold (part)	08/15/11	J	A	
181. - ISHARES TR S&P GLBL CONSUME STAPLES INDEX FUND 3					Sold	08/16/11	J	A	
182. - ISHARES TR S&P GLBL UTILITIES INDEX FUND 3	A	Dividend			Buy	03/18/11	J		
183. - ISHARES TR S&P GLBL UTILITIES INDEX FUND 3					Sold (part)	08/15/11	J	A	
184. - ISHARES TR S&P GLBL UTILITIES INDEX FUND 3					Sold	08/16/11	J	A	
185. - ISHARES TR BARCLAYS TIPS BD FD 3	A	Dividend	J	T	Buy	03/18/11	J		
186. - ISHARES TR BARCLAYS TIPS BD FD 3					Buy (add'l)	12/27/11	J		
187. - ISHARES TR BARCLAYS TIPS BD FD 3					Sold (part)	08/18/11	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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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. - ISHARES TR BARCLAYS TIPS BD FD 3					Sold (part)	11/16/11	J	A	
189. - ISHARES TR BARCLAYS 1-3 YR TSTRY BOND FUND 3	A	Dividend	J	T	Buy	03/18/11	J		
190. - ISHARES TR BARCLAYS 1-3 YR TSTRY BOND FUND 3					Buy (add'l)	12/27/11	J		
191. - ISHARES TR BARCLAYS 1-3 YR TSTRY BOND FUND 3					Sold (part)	08/18/11	J	A	
192. - ISHARES TR BARCLAYS 1-3 YR TSTRY BOND FUND 3					Sold (part)	11/16/11	J	A	
193. - VANGUARD SPECIALIZED PORT DIV APPREC FUND 3	B	Dividend	K	T	Buy	03/18/11	K		
194. - VANGUARD SPECIALIZED PORT DIV APPREC FUND 3					Buy (add'l)	08/18/11	J		
195. - VANGUARD SPECIALIZED PORT DIV APPREC FUND 3					Buy (add'l)	12/27/11	J		
196. - VANGUARD SPECIALIZED PORT DIV APPREC FUND 3					Sold (part)	11/16/11	J	A	
197. BANK OF THE WEST CHECKING #877	A	Interest	K	T					
198. CHASE CHECKING #9850		None	J	T	Open	04/09/11	J		
199. CHASE SAVINGS #6334	A	Interest	J	T	Open	05/09/11	J		
200. NATIONWIDE ACHIEVER ANNUITY		None	N	T					
201. TRUST #1 - EXEMPT C	F	Int./Div.	P1	W					See Note 5
202. - GOLDMAN SACHS SMALL CAP VALUE FUND (#4486)					Buy	01/03/11	L		
203. - GOLDMAN SACHS SMALL CAP VALUE FUND (#4486)					Sold	01/10/11	L	A	
204. - GOLDMAN SACHS GRWTH OPPORTUNITY FUND (#4486)					Buy	01/03/11	L		

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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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	(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. - GOLDMAN SACHS GRWTH OPPORTUNITY FUND (#4486)					Sold	01/10/11	L	A	
206. - GOLDMAN SACHS BRIC FUND INST (#4486)					Buy	01/03/11	M		
207. - GOLDMAN SACHS BRIC FUND INST (#4486)					Sold	01/10/11	M	A	
208. - GOLDMAN SACHS DYNAMIC ALLOCATION FUND (#4486)					Buy	01/10/11	N		
209. - GOLDMAN SACHS DYNAMIC ALLOCATION FUND (#4486)					Sold	04/14/11	N	D	
210. - ARIZ SCH FACS BRD CTFS TN 5% 9/1/12 (X) (#4486)					Sold	04/15/11	L	B	
211. - INVESCO EMERG MKT LOCAL FUND (X) (#4486)					Sold	04/14/11	M	D	
212. - BLACKROCK HIGH YIELD BOND FUND (X) (#4486)					Sold	04/14/11	O	E	
213. - BLACKROCK GLOBAL ALLOC FUND (X) (#4486)					Sold	04/14/11	P1	F	
214. - FDIC LIQUID INSURED DEPOSITS (#4486)					Redeemed	01/03/11	P1	A	
215. - AQR DIVERSIFIED ARBITRAGE FUND (#1004)					Buy	06/13/11	L		
216. - AQR DIVERSIFIED ARBITRAGE FUND (#1004)					Sold (part)	09/16/11	J	A	
217. - DRIEHAUS SELECT CREDIT FUND (#1004)					Buy	09/16/11	L		
218. - DRIEHAUS SELECT CREDIT FUND (#1004)					Sold (part)	10/26/11	J	A	
219. - DRIEHAUS ACTIVE INCOME FUND (#1004)					Buy	06/13/11	L		
220. - DRIEHAUS ACTIVE INCOME FUND (#1004)					Buy (add'l)	09/16/11	K		
221. - DRIEHAUS ACTIVE INCOME FUND (#1004)					Buy (add'l)	11/28/11	J		

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

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Name of Person Reporting

REINHARDT, STEPHEN R.

Date of Report

08/23/2012

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)

222. - DRIEHAUS ACTIVE INCOME FUND (#1004)					Sold (part)	10/26/11	J	A	
223. - FRANKLIN FED TAX FREE INCOME FUND (#1004)					Buy	06/13/11	K		
224. - FRANKLIN FED TAX FREE INCOME FUND (#1004)					Sold	09/16/11	K	B	
225. - GABELLI ABC FUND ADVISOR CLASS (#1004)					Buy	06/13/11	L		
226. - GABELLI ABC FUND ADVISOR CLASS (#1004)					Sold	09/16/11	L	A	
227. - GATEWAY FUND CLASS Y (#1004)					Buy	06/13/11	N		
228. - GATEWAY FUND CLASS Y (#1004)					Buy (add'l)	08/02/11	N		
229. - GATEWAY FUND CLASS Y (#1004)					Sold (part)	10/26/11	N	B	
230. - ISHARES TR BARCLAYS TIPS BD FD (#1004)					Buy	06/13/11	L		
231. - ISHARES TR BARCLAYS TIPS BD FD (#1004)					Sold (part)	11/28/11	K	A	
232. - ISHARES TR S&P GLOBAL HLTHCARE SECTOR INDEX (#1004)					Buy	06/13/11	L		
233. - ISHARES TR S&P GLOBAL HLTHCARE SECTOR INDEX (#1004)					Buy (add'l)	08/02/11	L		
234. - ISHARES TR S&P GLOBAL HLTHCARE SECTOR INDEX (#1004)					Sold	09/16/11	M	A	
235. - ISHARES TR BARCLAYS 1-3 YR TSTRY BOND FUND (#1004)					Buy	06/13/11	L		
236. - ISHARES TR BARCLAYS 1-3 YR TSTRY BOND FUND (#1004)					Sold (part)	11/28/11	K	A	
237. - ISHARES TR S&P GLBL UTILITIES INDEX FUND (#1004)					Buy	06/13/11	L		
238. - ISHARES TR S&P GLBL UTILITIES INDEX FUND (#1004)					Buy (add'l)	08/02/11	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 \$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

REINHARDT, STEPHEN R.

Date of Report

08/23/2012

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)
239. - ISHARES TR S&P GLBL UTILITIES INDEX FUND (#1004)					Sold	09/16/11	M	A	
240. - ISHARES TR S&P GLBL CONSUME STAPLES INDEX FUND (#1004)					Buy	06/13/11	L		
241. - ISHARES TR S&P GLBL CONSUME STAPLES INDEX FUND (#1004)					Buy (add'l)	08/02/11	L		
242. - ISHARES TR S&P GLBL CONSUME STAPLES INDEX FUND (#1004)					Sold	09/16/11	M	A	
243. - MSIF INC INTERNATIONAL FUND (#1004)					Buy	06/13/11	M		
244. - MSIF INC INTERNATIONAL FUND (#1004)					Buy (add'l)	08/02/11	M		
245. - MSIF INC INTERNATIONAL FUND (#1004)					Buy (add'l)	09/16/11	K		
246. - MSIF INC INTERNATIONAL FUND (#1004)					Buy (add'l)	11/28/11	J		
247. - MSIF INC INTERNATIONAL FUND (#1004)					Sold (part)	07/27/11	M	A	
248. - PRINCETON FUTURES STRATEGY FUND CLASS (#1004)					Buy	06/13/11	L		
249. - PRINCETON FUTURES STRATEGY FUND CLASS (#1004)					Buy (add'l)	09/16/11	K		
250. - PRINCETON FUTURES STRATEGY FUND CLASS (#1004)					Sold (part)	11/28/11	J	A	
251. - NUVEEN LIMITED TERM MUNI BOND CLASS A (#1004)					Buy	06/13/11	L		
252. - NUVEEN LIMITED TERM MUNI BOND CLASS A (#1004)					Sold (part)	09/16/11	L	A	
253. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND (#1004)					Buy	09/16/11	L		
254. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND (#1004)					Sold (part)	10/26/11	J	A	
255. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND (#1004)					Buy	06/13/11	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 \$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

REINHARDT, STEPHEN R.

Date of Report

08/23/2012

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)
256. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND (#1004)					Buy (add'l)	09/16/11	J		
257. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND (#1004)					Sold (part)	11/28/11	L	A	
258. - T ROWE PRICE INTL BOND FUND ADVISOR CLASS (#1004)					Buy	06/13/11	L		
259. - T ROWE PRICE INTL BOND FUND ADVISOR CLASS (#1004)					Sold	11/28/11	L	A	
260. - TCW EMERGING MARKETS FUND (#1004)					Buy	11/28/11	K		
261. - THE TAX EXEMPT BOND FUND OF AMERICA (#1004)					Buy	06/13/11	L		
262. - THE TAX EXEMPT BOND FUND OF AMERICA (#1004)					Buy (add'l)	11/28/11	L		
263. - THE TAX EXEMPT BOND FUND OF AMERICA (#1004)					Sold (part)	09/16/11	J	A	
264. - VANGUARD SPECIALIZED PORT DIV APPREC FUND (#1004)					Buy	06/13/11	N		
265. - VANGUARD SPECIALIZED PORT DIV APPREC FUND (#1004)					Buy (add'l)	08/02/11	N		
266. - VANGUARD SPECIALIZED PORT DIV APPREC FUND (#1004)					Buy (add'l)	09/16/11	J		
267. - VANGUARD SPECIALIZED PORT DIV APPREC FUND (#1004)					Buy (add'l)	11/28/11	J		
268. - VANGUARD SPECIALIZED PORT DIV APPREC FUND (#1004)					Sold (part)	07/27/11	N	B	
269. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND (#1004)					Buy	06/13/11	L		
270. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND (#1004)					Buy (add'l)	11/28/11	L		
271. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND (#1004)					Sold (part)	09/16/11	J	A	
272. - WASATCH LONG/SHORT FUND (#1004)					Buy	09/16/11	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 = \$5,000,001 - \$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

REINHARDT, STEPHEN R.

Date of Report

08/23/2012

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)
273. - WASATCH LONG/SHORT FUND (#1004)					Sold (part)	10/26/11	J	A	
274. - ACACIA PARTNERS, L.P.									
275. - POETIC LICENSE PARTNERS, LP									See Note 5
276. - CITY NATIONAL BANK CHECKING #095									
277. TRUST #2 - NON-EXEMPT C	A	Int/Div.	L	T					
278. - FDIC LIQUID INSURED DEPOSITS (#4478)									
279. - CITY NATIONAL BANK CHECKING #109									
280. TRUST #3 - LVG TRUST	D	Int/Div.	N	T					
281. - FDIC LIQUID INSURED DEPOSITS (#4395)					Redeemed (part)	01/03/11	K		
282. - IVY GLOBAL NAT RSRCS FUND (#4395)					Buy (add'l)	01/03/11	L		
283. - IVY GLOBAL NAT RSRCS FUND (#4395)					Sold	03/10/11	L	D	
284. - GOLDMAN SACHS BRIC FUND INST (#4395)					Buy	01/04/11	L		
285. - GOLDMAN SACHS BRIC FUND INST (#4395)					Sold	01/10/11	K	A	
286. - GOLDMAN SACHS GRWTH OPPORTUNITY FUND (#4395)					Buy	01/04/11	K		
287. - GOLDMAN SACHS GRWTH OPPORTUNITY FUND (#4395)					Sold	01/10/11	K	A	
288. - GOLDMAN SACHS SMALL CAP VALUE FUND (#4395)					Buy	01/04/11	K		
289. - GOLDMAN SACHS SMALL CAP VALUE FUND (#4395)					Sold	01/10/11	K	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

REINHARDT, STEPHEN R.

Date of Report

08/23/2012

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)
290. - BLACKROCK HIGH YLD BOND FUND (#4395)					Sold	01/03/11	K	C	
291. - CALAMOS CONV FUND CLS 1 (#4395)					Buy (add'l)	01/12/11	L		
292. - CALAMOS CONV FUND CLS 1 (#4395)					Sold	03/10/11	L	C	
293. - G SACHS DYNAMIC ALLOC FUND (#4395)					Sold	03/10/11	M	D	
294. - G SACHS ABS RETURN FUND (#4395)					Sold	01/03/11	K	B	
295. - IVY ASSET STRAT FUND CLS 1 (#4395)					Sold	03/10/11	M	E	
296. - LAZARD EMERG MKT FUND (#4395)					Sold	03/10/11	K	C	
297. - PIMCO EMERG MKTS FUND (#4395)					Sold	01/03/11	K	B	
298. - AQR DIVERSIFIED ARBITRAGE FUND (#1012)					Buy	03/17/11	K		
299. - AQR DIVERSIFIED ARBITRAGE FUND (#1012)					Buy (add'l)	11/16/11	J		
300. - AQR DIVERSIFIED ARBITRAGE FUND (#1012)					Sold (part)	09/16/11	J	A	
301. - DRIEHAUS SELECT CREDIT FUND (#1012)					Buy	09/19/11	K		
302. - DRIEHAUS SELECT CREDIT FUND (#1012)					Buy (add'l)	11/16/11	J		
303. - DRIEHAUS ACTIVE INCOME FUND (#1012)					Buy	03/17/11	K		
304. - DRIEHAUS ACTIVE INCOME FUND (#1012)					Buy (add'l)	09/19/11	J		
305. - DRIEHAUS ACTIVE INCOME FUND (#1012)					Buy (add'l)	11/16/11	J		
306. - FRANKLIN FEDERAL TAX FREE INCOME FUND (#1012)					Buy	03/17/11	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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Name of Person Reporting

REINHARDT, STEPHEN R.

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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)
307. - FRANKLIN FEDERAL TAX FREE INCOME FUND (#1012)					Sold	09/16/11	J	A	
308. - GABELLI ABC FUND ADVISOR CLASS (#1012)					Buy	03/17/11	K		
309. - GABELLI ABC FUND ADVISOR CLASS (#1012)					Sold	09/16/11	K	A	
310. - GATEWAY FUND CLASS Y (#1012)					Buy	03/17/11	L		
311. - GATEWAY FUND CLASS Y (#1012)					Buy (add'l)	08/02/11	L		
312. - GATEWAY FUND CLASS Y (#1012)					Sold (part)	07/27/11	L	A	
313. - GATEWAY FUND CLASS Y (#1012)					Sold (part)	09/16/11	J	A	
314. - ISHARES TR BARCLAYS TIPS BD FD (#1012)					Buy	03/17/11	K		
315. - ISHARES TR BARCLAYS TIPS BD FD (#1012)					Sold (part)	09/16/11	J	A	
316. - ISHARES TR BARCLAYS TIPS BD FD (#1012)					Sold (part)	11/16/11	J	A	
317. - ISHARES TR S&P GLOBAL HLTHCARE SECTOR INDEX (#1012)					Buy	03/17/11	K		
318. - ISHARES TR S&P GLOBAL HLTHCARE SECTOR INDEX (#1012)					Buy (add'l)	08/02/11	K		
319. - ISHARES TR S&P GLOBAL HLTHCARE SECTOR INDEX (#1012)					Sold (part)	07/27/11	K	B	
320. - ISHARES TR S&P GLOBAL HLTHCARE SECTOR INDEX (#1012)					Sold	09/16/11	K	A	
321. - ISHARES TR BARCLAYS 1-3 YR TSRY BOND FUND (#1012)					Buy	03/17/11	K		
322. - ISHARES TR BARCLAYS 1-3 YR TSRY BOND FUND (#1012)					Sold (part)	09/16/11	J	A	
323. - ISHARES TR BARCLAYS 1-3 YR TSRY BOND FUND (#1012)					Sold (part)	11/16/11	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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Name of Person Reporting

REINHARDT, STEPHEN R.

Date of Report

08/23/2012

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)

324. - ISHARES TR S&P GLBL UTILITIES INDEX FUND (#1012)					Buy	03/17/11	K		
325. - ISHARES TR S&P GLBL UTILITIES INDEX FUND (#1012)					Buy (add'l)	08/02/11	K		
326. - ISHARES TR S&P GLBL UTILITIES INDEX FUND (#1012)					Sold (part)	07/27/11	K	A	
327. - ISHARES TR S&P GLBL UTILITIES INDEX FUND (#1012)					Sold	09/16/11	K	A	
328. - ISHARES TR S&P GLBL CONSUME STAPLES INDEX FUND (#1012)					Buy	03/17/11	K		
329. - ISHARES TR S&P GLBL CONSUME STAPLES INDEX FUND (#1012)					Buy (add'l)	08/02/11	K		
330. - ISHARES TR S&P GLBL CONSUME STAPLES INDEX FUND (#1012)					Sold (part)	07/27/11	K	B	
331. - ISHARES TR S&P GLBL CONSUME STAPLES INDEX FUND (#1012)					Sold	09/16/11	K	A	
332. - MSIF INC INTERNATIONAL FUND (#1012)					Buy	03/17/11	K		
333. - MSIF INC INTERNATIONAL FUND (#1012)					Buy (add'l)	08/02/11	K		
334. - MSIF INC INTERNATIONAL FUND (#1012)					Sold (part)	07/27/11	K	B	
335. - MSIF INC INTERNATIONAL FUND (#1012)					Sold (part)	09/16/11	J	A	
336. - PRINCETON FUTURES STRATEGY FUND CLASS (#1012)					Buy	03/17/11	K		
337. - PRINCETON FUTURES STRATEGY FUND CLASS (#1012)					Buy (add'l)	09/19/11	J		
338. - PRINCETON FUTURES STRATEGY FUND CLASS (#1012)					Buy (add'l)	11/16/11	J		
339. - NUVEEN LIMITED TERM MUNI BOND CLASS A (#1012)					Buy	03/17/11	K		
340. - NUVEEN LIMITED TERM MUNI BOND CLASS A (#1012)					Sold (part)	09/16/11	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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Name of Person Reporting

REINHARDT, STEPHEN R.

Date of Report

08/23/2012

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)
341. - NUVEEN LIMITED TERM MUNI BOND CLASS A (#1012)					Sold (part)	11/16/11	J	A	
342. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND (#1012)					Buy	09/16/11	K		
343. - PRUDENTIAL JENNISON HEALTH SCIENCES FUND (#1012)					Buy (add'l)	11/16/11	J		
344. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND (#1012)					Buy	03/17/11	K		
345. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND (#1012)					Sold (part)	09/16/11	J	A	
346. - RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND (#1012)					Sold (part)	11/16/11	J	A	
347. - T ROWE PRICE INTL BOND FUND ADVISOR CLASS (#1012)					Buy	03/17/11	J		
348. - T ROWE PRICE INTL BOND FUND ADVISOR CLASS (#1012)					Sold	11/16/11	J	A	
349. - TCW EMERGING MARKETS FUND (#1012)					Buy	11/16/11	J		
350. - THE TAX EXEMPT BOND FUND OF AMERICA (#1012)					Buy	03/17/11	J		
351. - THE TAX EXEMPT BOND FUND OF AMERICA (#1012)					Buy (add'l)	11/16/11	K		
352. - THE TAX EXEMPT BOND FUND OF AMERICA (#1012)					Sold (part)	09/16/11	J	A	
353. - VANGUARD SPECIALIZED PORT DIV APPREC FUND (#1012)					Buy	03/17/11	L		
354. - VANGUARD SPECIALIZED PORT DIV APPREC FUND (#1012)					Buy (add'l)	08/02/11	L		
355. - VANGUARD SPECIALIZED PORT DIV APPREC FUND (#1012)					Sold (part)	07/27/11	L	B	
356. - VANGUARD SPECIALIZED PORT DIV APPREC FUND (#1012)					Sold (part)	09/16/11	J	A	
357. - VANGUARD SPECIALIZED PORT DIV APPREC FUND (#1012)					Sold (part)	11/16/11	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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Name of Person Reporting

REINHARDT, STEPHEN R.

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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)
358. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND (#1012)					Buy	03/17/11	J		
359. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND (#1012)					Buy (add'l)	11/16/11	K		
360. - VANGUARD INTMDT TERM TAX EXEMPT BOND FUND (#1012)					Sold (part)	09/16/11	J	A	
361. - WASATCH LONG/SHORT FUND (#1012)					Buy	09/16/11	K		
362. - WASATCH LONG/SHORT FUND (#1012)					Sold (part)	11/16/11	J	A	
363. - CITY NATIONAL BANK CHECKING #087									

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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REINHARDT, STEPHEN R.

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

NOTE 1: Part VII, lines 9, 20, 21 and 22 - The IRA account on line 9 closed on 3/16/11 and the assets were moved to new account, Stonnington #1053 shown on line 21 (header) through line 86.. The only asset to move to the new account from the old was the Pershing MMKT fund on line 20, which is shown as having merged with the new Pershing MMKT listed on line 22.

NOTE 2: Part VII, lines 112, 122, 123 and 124 - The brokerage account on line 112 closed on 3/17/11 and the assets were moved to new account, Stonnington #1046 shown on line 123 (header) through line 196. The only asset to move to the new account was the FDIC insured deposits money market fund on line 122, which is shown as having been merged to the same fund on line 124.

NOTE 3: Part VII, lines 87 through 111 - This account is a deferred salary plan, held by Merrill Lynch as trustee, sponsored by [REDACTED] employer, the ACLU.

NOTE 4: Part VII, line 96 - On the prior year disclosure report this item was listed as Blackrock BD Portfolio. The fund changed its name to Blackrock Core Bond Portfolio as a result of an institutional merger on 7/19/11.

NOTE 5: Part VII, lines 201 and 275 - We are still waiting for the year 2011 K-1 relating to the Poetic License Partners, LP partnership on line 275. As a result, both the income and gross value codes in columns B and C for the Trust #1 Exempt C on line 201 have been estimated. If necessary, an amended disclosure report will be filed upon our receipt of the K-1.

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Name of Person Reporting

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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/ STEPHEN R. REINHARDT**

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

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