

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2013

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

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                     |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Zagel, James B.                                                                                                                      | <b>2. Court or Organization</b><br><br>U.S. District Court No. III.                                                                                                                                                                                                                                 | <b>3. Date of Report</b><br><br>09/12/2014                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. District Judge, Active                                                   | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input checked="" type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2013<br>to<br>12/31/2013 |
| <b>7. Chambers or Office Address</b><br><br>219 S. Dearborn<br>Room 2588<br>Chicago, IL 60604                                                                                                             |                                                                                                                                                                                                                                                                                                     |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                                     |                                                                  |

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

|    |  |  |
|----|--|--|
| 1. |  |  |
| 2. |  |  |
| 3. |  |  |
| 4. |  |  |
| 5. |  |  |

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

|    |  |
|----|--|
| 1. |  |
| 2. |  |
| 3. |  |

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Name of Person Reporting

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Date of Report

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

| <u>DATE</u>  | <u>SOURCE AND TYPE</u>                 | <u>INCOME</u><br>(yours, not spouse's) |
|--------------|----------------------------------------|----------------------------------------|
| 1. 1/1-12/31 | Foundation Press-Book royalties        | \$3,994.00                             |
| 2. 1/1-12/31 | EP Talent Services - Actor's Royalties | \$100.00                               |
| 3.           |                                        |                                        |
| 4.           |                                        |                                        |

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

| <u>DATE</u>  | <u>SOURCE AND TYPE</u>                               |
|--------------|------------------------------------------------------|
| 1.           |                                                      |
| 2. 1/1-12/31 | Grant Thornton - Partnership and Consulting Income   |
| 3. 3/1-12/31 | American Arbitration Association - Arbitrator's fees |
| 4. 8/1-12/31 | Fairfax Ltd. - Director's 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.)*

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

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**V. GIFTS.** *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*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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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. M.O.N.Y. Policy Value                                                                                                    | D                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. Northern Trust Accts.                                                                                                    | A                                       | Interest                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Farm Land Washington/Clinton Counties Ill.                                                                               | C                                       | Rent                                          | K                                               | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. Northwestern Mut. Life Ins. Policy                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. New York Life Ins. Pol.                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. Country Cos. Life Pol.                                                                                                   | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. Transamer. Life Pol. Val.                                                                                                |                                         | None                                          | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. Prudential Life Ins.                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. Metropolitan Life Ins.                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. Equitable Life (Now AXA Equitable)                                                                                      | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Royal Bank of Canada (RBC)                                                                                              | D                                       | Interest                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. RBC                                                                                                                     | D                                       | Dividend                                      | P1                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. KO                                                                                                                      | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. KO                                                                                                                      | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. SAG Pension Plan                                                                                                        | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. CP                                                                                                                      | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. CP                                                                                                                      | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

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

|                                 |   |          |   |   |      |          |   |  |  |
|---------------------------------|---|----------|---|---|------|----------|---|--|--|
| 18. Teck Cominco Ltd./TCK       | A | Dividend | J | T |      |          |   |  |  |
| 19. Teck Cominco Ltd./TCK       | A | Dividend | J | T |      |          |   |  |  |
| 20. Encana - ECA (formerly PCX) | B | Dividend | K | T |      |          |   |  |  |
| 21. Encana - ECA (formerly PCX) | B | Dividend | K | T |      |          |   |  |  |
| 22. Cenovius                    | B | Dividend | K | T |      |          |   |  |  |
| 23. Cenovius                    | B | Dividend | K | T |      |          |   |  |  |
| 24. Dell                        |   | None     | J | T | Sold | 10/30/13 | J |  |  |
| 25. SEP/IRA RBC                 | B | Dividend | O | T |      |          |   |  |  |
| 26. CP                          | A | Dividend | K | T |      |          |   |  |  |
| 27. Teck Cominco Ltd./TCK       | A | Dividend | J | T |      |          |   |  |  |
| 28. Encana - ECA                | A | Dividend | J | T |      |          |   |  |  |
| 29. Cenovius                    | A | Dividend | K | T |      |          |   |  |  |
| 30. Oracle - ORCL               | A | Dividend | K | T |      |          |   |  |  |
| 31. End of IRA                  |   |          |   |   |      |          |   |  |  |
| 32. HD                          | A | Dividend | K | T |      |          |   |  |  |
| 33. HD                          | A | Dividend | K | T |      |          |   |  |  |
| 34. PG                          | B | Dividend | L | T |      |          |   |  |  |

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

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Name of Person Reporting

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

|                                                             |   |          |   |   |      |          |   |  |  |
|-------------------------------------------------------------|---|----------|---|---|------|----------|---|--|--|
| 35. PG                                                      | B | Dividend | L | T |      |          |   |  |  |
| 36. GE                                                      | A | Dividend | J | T |      |          |   |  |  |
| 37. GE                                                      | A | Dividend | J | T |      |          |   |  |  |
| 38. Time Warner                                             | A | Dividend | J | T |      |          |   |  |  |
| 39. Time Warner                                             | A | Dividend | J | T |      |          |   |  |  |
| 40. Time Warner Cable                                       | A | Dividend | J | T |      |          |   |  |  |
| 41. Time Warner Cable                                       | A | Dividend | J | T |      |          |   |  |  |
| 42. Janus Contrarian Fund                                   | A | Dividend | L | T |      |          |   |  |  |
| 43. Janus Contrarian Fund                                   | A | Dividend | L | T |      |          |   |  |  |
| 44. Pepco Holdings POM                                      | B | Dividend | K | T |      |          |   |  |  |
| 45. FE                                                      | B | Dividend | K | T |      |          |   |  |  |
| 46. Duff & Phelps Fund - DNP                                | B | Dividend | K | T |      |          |   |  |  |
| 47. Fund Managed High Income - MHY                          | B | Dividend |   |   | Sold | 09/10/13 | K |  |  |
| 48. Lease of excess Berrien, Ctr, MI acreage to Leitz Corp. | C | Rent     | L | W |      |          |   |  |  |
| 49. AT&T                                                    | A | Dividend | J | T |      |          |   |  |  |
| 50. NEE (formerly FPL)                                      | B | Dividend | K | T |      |          |   |  |  |
| 51. COP                                                     | B | Dividend | K | T |      |          |   |  |  |

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

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

|                                                  |   |          |   |   |      |          |   |  |  |
|--------------------------------------------------|---|----------|---|---|------|----------|---|--|--|
| 52. BAC                                          | A | Dividend | K | T |      |          |   |  |  |
| 53. FIP Properties                               |   | None     | M | R | Buy  | 05/01/08 |   |  |  |
| 54. Alpine Ultra Short Tax ... Income Fund ATOIX | B | Interest | N | T |      |          |   |  |  |
| 55. Alpine Ultra Short Tax ... Income Fund ATOIX | B | Interest | M | T |      |          |   |  |  |
| 56. Zoetis/ZTS                                   | A | Dividend | J | T | Open | 06/27/13 | J |  |  |
| 57. Zoetis/ZTS                                   | A | Dividend | J | T | Open | 06/27/13 | J |  |  |
| 58. Morgan Stanley/Smith Barney - 401k NO. 1     | D | Dividend | N | T |      |          |   |  |  |
| 59. Artisan Midcap/ARTOX                         | A | Dividend | J | T | Buy  | 09/07/13 | J |  |  |
| 60. Black Rock Equity Div/MDO US                 | A | Dividend | J | T | Buy  | 09/07/13 | J |  |  |
| 61. Goldman Sachs/ GS DAX                        | A | Dividend | J | T | Buy  | 09/07/13 | J |  |  |
| 62. Invesco Premier/IPPXX                        | A | Dividend | J | T | Buy  | 01/10/13 | J |  |  |
| 63. Ivy Mid Cap/WMGAX                            |   | None     | J | T | Buy  | 09/07/13 | J |  |  |
| 64. Pimco Short Term PSHAX                       | A | Dividend | J | T | Buy  | 09/07/13 | J |  |  |
| 65. Pimco Total A/PTTAX                          | B | Dividend | J | T | Buy  | 09/07/13 | J |  |  |
| 66. Wells Fargo Emerg Mkts EMGYX                 | A | Dividend | J | T | Buy  | 09/07/13 | J |  |  |
| 67. Wells Fargo Prem LG WFPDX                    | A | Dividend | J | T | Buy  | 09/07/13 | J |  |  |
| 68.                                              |   |          |   |   |      |          |   |  |  |

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

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| 69. Morgan Stanley No. 2 ASSET                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 70. 3M Company                                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 71. Abbott Lab ABT                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 72. ABBVIE Inc. ABBV                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 73. Accenture PLC Ireland ACN                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 74. Ace Ltd. ACE                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 75. Allergan Inc. AGN                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 76. American Exp. AXP                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 77. Amer Tower REIT AMT                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 78. Apple Inc. APPL                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 79. AT&T T                                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 80. Auto Data Process ADP                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 81. BHP Billiton BHP                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 82. BK of Nova Scotia BNS                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 83. BK of Nova Scotia BNS                                                                                                   |                                         |                                               |                                                 |                                           | Sold                                            | 07/18/13                | J                               |                                |                                                                   |
| 84. Chevron CVX                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 85. Chubb CB                                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 10/25/13                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Zagel, James B.

Date of Report

09/12/2014

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

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

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

|                            |   |          |   |   |     |          |   |  |  |
|----------------------------|---|----------|---|---|-----|----------|---|--|--|
| 86. Citigroup C            | A | Dividend | J | T | Buy | 05/28/13 | J |  |  |
| 87. Coca Cola KO           | A | Dividend | J | T | Buy | 05/28/13 | J |  |  |
| 88. Comcast New CMCSK      | A | Dividend | J | T | Buy | 05/28/13 | J |  |  |
| 89. Conoco Phillips COP    | A | Dividend | J | T | Buy | 05/28/13 | J |  |  |
| 90. Deere Co. DE           | A | Dividend | J | T | Buy | 05/28/13 | J |  |  |
| 91. Diageo PLC ADR DEO     | A | Dividend | J | T | Buy | 05/28/13 | J |  |  |
| 92. Dominion Res D         | A | Dividend | J | T | Buy | 05/28/13 | J |  |  |
| 93. Don DON                | A | Dividend | J | T | Buy | 05/28/13 | J |  |  |
| 94. DuPont                 | A | Dividend | J | T | Buy | 05/28/13 | J |  |  |
| 95. Duke Energy DUK        | A | Dividend | J | T | Buy | 05/28/13 | J |  |  |
| 96. Enbridge ENB           | A | Dividend | J | T | Buy | 05/28/13 | J |  |  |
| 97. Exxon Mobil XOM        | A | Dividend | J | T | Buy | 05/28/13 | J |  |  |
| 98. Facebook FB            | A | Dividend | J | T | Buy | 05/28/13 | J |  |  |
| 99. Factset Research FDS   | A | Dividend | J | T | Buy | 05/28/13 | J |  |  |
| 100. Fastenal FAST         | A | Dividend | J | T | Buy | 05/28/13 | J |  |  |
| 101. Fifth Third Bank FITB | A | Dividend | J | T | Buy | 05/28/13 | J |  |  |
| 102. Gartner IT            | A | Dividend | J | T | Buy | 05/28/13 | J |  |  |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Zagel, James B.

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

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103. General Electric GE                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 104. General Mills GIS                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 105. Google GOOG                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 106. Home Depot HD                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 107. Honeywell Int. HON                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 108. Intel INTC                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 109. Int Paper IP                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 110. IBM IBM                                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 111. Intuit INTU                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 112. Intuit INTU                                                                                                            | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/26/13                | J                               |                                |                                                                   |
| 113. Intuitive Surgical ISRG                                                                                                |                                         | None                                          | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 114. Intuitive Surgical ISRG                                                                                                |                                         |                                               |                                                 |                                           | Sold                                            | 07/09/13                | J                               |                                |                                                                   |
| 115. Johnson Controls JCI                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 116. JP Morgan Chase JPM                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 117. Kimberly Clark KMB                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 118. Kinder Morgan KMP                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 119. Lorillard LO                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |

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

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120. Marathon Oil MRO                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 121. Marathon Petro MPC                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 122. Mastercard MA                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 09/03/13                | J                               |                                |                                                                   |
| 123. McDonalds MCD                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 124. Mead West Vaco MWV                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 125. Merck MRK                                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 126. Metlife MET                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 127. Microsoft MSFT                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 128. Mondelez Intl MDLZ                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 129. Motorola Solutions MSI                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 10/04/13                | J                               |                                |                                                                   |
| 130. New Mont Mining NEM                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 131. Nextera Energy NEE                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 132. Nike NKE                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 133. Northeast Utilities NU                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 134. Northrop NOC                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 135. Occidental Petro OXY                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 136. Oracle ORCL                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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# FINANCIAL DISCLOSURE REPORT

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 137. Pfizer PFE                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 138. Phillip Morris PM                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 139. Phillips 66 PSX                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 140. Praxair PX                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 141. Proctor & Gamble PG                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 142. Prudential PRU                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 143. Public Serv Enterprise PEG                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 144. Qualcomm QCOM                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 145. Raytheon RTN                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 146. Schlumberger SLB                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 147. Sempra Energy SRE                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 148. Starbucks SBUX                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 149. Suntrust BKS STI                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 150. T Rowe Price TROW                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 151. TJX Cos TJX                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 12/02/13                | J                               |                                |                                                                   |
| 152. Toronto Dom Bk TD                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 153. Total SA TOT                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |

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

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Name of Person Reporting

Zagel, James B.

Date of Report

09/12/2014

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

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 154. Travelers Comp. TRV                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/04/13                | J                               |                                |                                                                   |
| 155. US Bancorp USB                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 156. Unilever UN                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 157. United Parcel UPS                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 158. United Techno UTX                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 159. VF Corp VFC                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 160. Varian Medical VAR                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 161. Varian Medical VAR                                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/27/13                | J                               |                                |                                                                   |
| 162. Verizon Comm VZ                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 163. Visa V                                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 164. WW Grainger GWW                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 165. WalMart WMT                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 166. Weyerhaeuser WY                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 167. Wells Fargo WFC                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/28/13                | J                               |                                |                                                                   |
| 168. New Jersey St Trans                                                                                                    | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 07/23/13                | J                               |                                |                                                                   |
| 169. Georgia St Gen Obligation                                                                                              | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 06/19/13                | J                               |                                |                                                                   |
| 170. Gilbert AZ Gen Obligation                                                                                              | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 06/20/13                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Zagel, James B.

Date of Report

09/12/2014

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

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 171. St. Lucie FL County Revenue                                                                                            | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 06/06/13                | J                               |                                |                                                                   |
| 172. JEA WTR & SWR Revenue                                                                                                  | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 07/26/13                | J                               |                                |                                                                   |
| 173. Pasco Co FLA Revenue                                                                                                   | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 06/06/13                | J                               |                                |                                                                   |
| 174. Mich St Trunk Line                                                                                                     | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 07/18/13                | J                               |                                |                                                                   |
| 175. Snohomish Co Sch Dist                                                                                                  | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 10/31/13                | J                               |                                |                                                                   |
| 176. Anchorage Alaska Gen Obl                                                                                               | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 05/30/13                | J                               |                                |                                                                   |
| 177. Mass St Gen Oblig                                                                                                      | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 06/21/13                | J                               |                                |                                                                   |
| 178. Huron SD School Dist                                                                                                   | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 05/31/13                | J                               |                                |                                                                   |
| 179. Columbus, OH Gen Oblig                                                                                                 | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 05/30/13                | J                               |                                |                                                                   |
| 180. Invesco Premier TX Exempt                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/10/13                | J                               |                                |                                                                   |
| 181. Morgan Stanley 3 ASSET                                                                                                 | A                                       | Interest                                      | L                                               | T                                         |                                                 | 07/15/13                | L                               |                                |                                                                   |
| 182. 3M Company MMM                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 183. Abbott Labs ABT                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 184. Abbvie Inc ABBV                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 185. Ace LTD ACE                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 186. America Exp AXP                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 187. American Tower REIT AMT                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Zagel, James B.

Date of Report

09/12/2014

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

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 188. Apple APPL                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 189. AT&T T                                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 190. Berkshire Hathaway BRK'B                                                                                               |                                         | None                                          | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 191. Bank Nova Scotia BNS                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 192. Bank Nova Scotia BNS                                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/18/13                | J                               |                                |                                                                   |
| 193. BHP Billiton BHP                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 194. Bristol Myers BMY                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 195. Bristol Myers BMY                                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/16/13                | J                               |                                |                                                                   |
| 196. Charles Schwab SCHW                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 197. Charles Schwab SCHW                                                                                                    | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/19/13                | J                               |                                |                                                                   |
| 198. Chevron CVX                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 199. Citigroup C                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 200. Coach COH                                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 201. Cognizant Tech CTSH                                                                                                    |                                         | None                                          |                                                 |                                           | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 202. Cognizant Tech CTSH                                                                                                    |                                         | None                                          |                                                 |                                           | Sold                                            | 09/05/13                | J                               |                                |                                                                   |
| 203. Coca Cola KO                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 204. Comcast CMCSK                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Zagel, James B.

Date of Report

09/12/2014

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

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 205. Conoco COP                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 206. Consol Energy CNX                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 207. Consol Energy CNX                                                                                                      |                                         |                                               |                                                 |                                           | Sold                                            | 10/02/13                | J                               |                                |                                                                   |
| 208. Cummins Inc. CMI                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 209. Deere DE                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 210. Diageo PLC DEO                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 211. Dominion RE D                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 212. Don DON                                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 213. DuPont DD                                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 214. Duke Energy DUK                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 215. EMC Corp EMC                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 216. Enbridge ENB                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 217. Express Scripts ESRX                                                                                                   |                                         | None                                          | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 218. Exxon Mobil XOM                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 219. Fifth Third Bk FITB                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 220. General Elec GE                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 221. General Mills GIS                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 1. Income Gain Codes:   | A = \$1,000 or less              | B = \$1,001 - \$2,500       | C = \$2,501 - \$5,000          | D = \$5,001 - \$15,000          | E = \$15,001 - \$50,000 |
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| 2. Value Codes          | J = \$15,000 or less             | K = \$15,001 - \$50,000     | L = \$50,001 - \$100,000       | M = \$100,001 - \$250,000       |                         |
| (See Columns C1 and D3) | N = \$250,001 - \$500,000        | O = \$500,001 - \$1,000,000 | P1 = \$1,000,001 - \$5,000,000 | P2 = \$5,000,001 - \$25,000,000 |                         |
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Name of Person Reporting

Zagel, James B.

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

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 222. Gilead Science GILD                                                                                                    |                                         | None                                          | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 223. Google GOOG                                                                                                            |                                         | None                                          | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 224. Home Depot HD                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 225. Honeywell HON                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 226. Intel INTC                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 227. Johnson & Johnson JNJ                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 228. IBM IBM                                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 229. International Paper IP                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/17/13                | J                               |                                |                                                                   |
| 230. Johnson Controls JCI                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 231. JP Morgan Chase JPM                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 232. Kimberly Clark KMB                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 233. Kinder Morgan KML                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 234. Lorillard LO                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 235. M&T Bank MTB                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/15/13                | J                               |                                |                                                                   |
| 236. Marathon Oil MRO                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 237. Marathon Petro MPC                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 238. McDonalds MCD                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Zagel, James B.

Date of Report

09/12/2014

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

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

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

|                                  |   |          |   |   |     |          |   |  |  |
|----------------------------------|---|----------|---|---|-----|----------|---|--|--|
| 239. Mead West Vaco MWV          | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 240. Merck MRK                   | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 241. MetLife MET                 | A | Dividend | J | T | Buy | 07/10/13 | J |  |  |
| 242. Microsoft MSFT              | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 243. Mondelez Intl MDLZ          | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 244. Monster Beverage MNST       | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 245. Motorola Solutions MSI      | A | Dividend | J | T | Buy | 10/04/13 | J |  |  |
| 246. National Oil Well Varco NOV | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 247. Newmont Mines NEM           | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 248. Nextera Energy NEE          | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 249. Northeast Utilities NU      | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 250. Northrup Grumman NOC        | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 251. Occidental Petro OXY        | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 252. Perrigo Co. PRGO            |   | None     | J | T | Buy | 06/28/13 | J |  |  |
| 253. Pfizer PFE                  | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 254. Phillip Morris PM           | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 255. Phillips 66 PSX             | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Zagel, James B.

Date of Report

09/12/2014

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

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

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

|                              |   |          |   |   |     |          |   |  |  |
|------------------------------|---|----------|---|---|-----|----------|---|--|--|
| 256. Praxair PX              | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 257. Priceline PCLN          | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 258. Proctor & Gamble PG     | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 259. Prudential PRU          | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 260. Public Service Ent. PEG | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 261. Qualcomm QCOM           | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 262. Raytheon RTN            | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 263. Schlumberger SLB        | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 264. Sempra Energy SRE       | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 265. Stericycle SRCL         |   | None     | J | T | Buy | 06/28/13 | J |  |  |
| 266. Suntrust Banks          | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 267. Toronto Dom Bk TD       | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 268. Total SA TOT            | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 269. US Bancorp USB          | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 270. Unilever UN             | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 271. United Parcel UPS       | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |
| 272. United Tech UTX         | A | Dividend | J | T | Buy | 06/28/13 | J |  |  |

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

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Name of Person Reporting

Zagel, James B.

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

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 273. VF Corp VFC                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 274. Varian Medical VAR                                                                                                     |                                         | None                                          | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 275. Verisk Analytics VRSK                                                                                                  |                                         | None                                          | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 276. Verizon VZ                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 277. Visa V                                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 278. Wal Mart Stores WMT                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 279. Wells Fargo WFC                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 280. WeyerHaeuser WY                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 281. i Shares Morningstar JKL                                                                                               | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 282. Vanguard Sm Cap VBK                                                                                                    | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 283. NJ Transn Tr Fd Auth Rev                                                                                               | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 07/23/13                | J                               |                                |                                                                   |
| 284. Minn St Genl Oblig                                                                                                     | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 07/17/13                | J                               |                                |                                                                   |
| 285. San Antonio Tx Gen Oblig                                                                                               | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 07/17/13                | J                               |                                |                                                                   |
| 286. Sea Fla Wtr and Sun Rev                                                                                                | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 07/26/13                | J                               |                                |                                                                   |
| 287. Ohio Wtr Dev Auth Rev                                                                                                  | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 07/02/13                | J                               |                                |                                                                   |
| 288. Texas St Hwy Fd Rev                                                                                                    | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 07/05/13                | J                               |                                |                                                                   |
| 289. Minn St 911 Rev                                                                                                        | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 07/10/13                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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# FINANCIAL DISCLOSURE REPORT

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|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 290. Snohomish WA Sch Dist Oblig                                                                                            | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 10/31/13                | J                               |                                |                                                                   |
| 291. Virginia College Building Auth                                                                                         | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 07/11/13                | J                               |                                |                                                                   |
| 292. Conn St Genl Oblig Ser E                                                                                               | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 08/15/13                | J                               |                                |                                                                   |
| 293. Invesco Prem Tx Exempt                                                                                                 |                                         | None                                          | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 294. Virtus Foreign Opport JUXIX                                                                                            |                                         | None                                          | J                                               | T                                         | Buy                                             | 06/28/13                | J                               |                                |                                                                   |
| 295. Morgan Stanley/Smith Barney - Asset NO. 4<br>CASH ACCOUNT                                                              | A                                       | Interest                                      | M                                               | T                                         | Buy                                             | 7/15/13                 | L                               |                                |                                                                   |
| 296. Morgan Stanley/Smith Barney - Asset NO. 4                                                                              | A                                       | Interest                                      | M                                               | T                                         | Buy                                             | 12/24/13                | L                               |                                |                                                                   |
| 297.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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

I participate in the Federal Thrift Savings Plan, but it is my understanding that this asset need not be listed.

All individual assets held in brokerage accounts are individually disclosed in report.

The repetitive listing of certain investments is because some are in [REDACTED] name. On occasion, an interest in a company may be sold from one of the accounts and retained in another account which allows us to easily reduce an investment while retaining a part of that investment and each of us has multiple accounts. I have not designated which are [REDACTED] assets, but I list them separately because they are individual holdings which might be sold separately at a future time.

There is a possibility that I list some small number of low value assets that I no longer own (as some of my prior notes explain). My practice is not to delist assets until I have documentation that I no longer own it; it is better to be over-inclusive.

ATOIX is an income fund which is routinely reinvested every month and treated here as a continuation of the original investment. If reinvestment is not made, then the asset will be reported as sold. If the amount invested is increased, the new funds will be reported as a separate purchase. If the amount invested is decreased, it will be reported as a partial sale. Any such change of status events will be reported on the annual Financial Disclosure Report (VII).

After 7/31/12, [REDACTED] ceased to receive partnership income from Grant Thornton. After she ceased to be partner, she continued some consulting work as an independent contractor (III, B.1). As a partner of Grant Thornton, [REDACTED] served as a director of Fairfax Ltd., an insurer domiciled on the Isle of Guernsey. Grant Thornton reimbursed her expenses. After she ceased partnership, she retained her position as a director of Fairfax Ltd. In this capacity, she received director fees from Fairfax, which also reimbursed her travel and lodging expenses for attendance at the twice yearly meetings in the Isle of Guernsey (III B and IV).

Zoetis was the animal medical division of Pfizer. Zoetis became a separate company and Pfizer offered to exchange Zoetis shares for Pfizer shares of the same value. I acquired Zoetis shares and surrendered some of our Pfizer shares.

Line 53 is a half interest in FIP Properties which was acquired by [REDACTED] from [REDACTED] as a rental property for the price of \$186,000.

AMENDED:

Part VII, pages 7 and 21, lines 56, 57, and 296

I made an error in treating the Morgan Stanley account listed in two separate places (original lines 57 and 296) as if they were separate accounts. It is one account, and when I prepared the report I had forgotten about the account listed in 296 and thought that I had to open the account in 57 on December 24. In any event, it is clear from the amendments that there is one entry too many for Morgan Stanley No. 4. This is consistent with my practice of over-reporting matters in my financial disclosure. The reason for the December 24 deposit of cash into a Morgan Stanley asset account was to qualify for lower fees for service at Morgan Stanley which reduces fees as the value of our assets rises. In my case, I made a deposit which brought the value of the Morgan Stanley No. 4 to the level "M" and reduced my costs at Morgan Stanley. I have made small edits in the new report. Both entries make it clear that there is only one No. 4 which was opened on July 15. The current line 57 will not be identified as opening on December 24 but rather Buying in on that date. The gross value of the account will be listed as "M" on both entries. The value code on each transaction will be listed as "L."

For clarity, the original line 56 is now line 58; and the original line 57 is now lines 296 and 297.

Part VII, page 4, line 13

ING Life Policy

The ING insurance policy was a term life insurance policy which was a benefit available to partners of [REDACTED] firm. The policy expired in January, 2012 though her retirement from the firm occurred in 2011. In 2013, the policy did not exist and should not have been reported despite my practice of over inclusion of economic interests. Term life policies (like the one here) have zero economic value until the death of the insured if it occurs before the expiration of the policy term.

Part VII

The list of securities and investments always includes the name of the account in which the assets are held. The name is included because the account includes cash in addition to securities. The individual securities and investments are listed separately.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Zagel, James B.

Date of Report

09/12/2014

## 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/ **James B. Zagel**

**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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Administrative Office of the United States Courts  
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