

# FINANCIAL DISCLOSURE REPORT FINAL FILING

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>Russell, David E.                                                                                                                    | <b>2. Court or Organization</b><br><br>Eastern District of California                                                                                                                                                                                                                    | <b>3. Date of Report</b><br><br>01/26/2017                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>Recalled Bankruptcy Judge                                                     | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input type="checkbox"/> Annual <input checked="" type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2016<br>to<br>12/31/2016 |
| <b>7. Chambers or Office Address</b><br><br>U. S. Bankruptcy Court<br>501 I Street, Suite 3-200<br>Sacramento, CA 95814                                                                                   |                                                                                                                                                                                                                                                                                          |                                                                  |
| <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. Trustee of Family Trust. Assets reported in Part VII

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

Russell, David E.

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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.)*DATESOURCE AND TYPEINCOME  
(yours, not spouse's)

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

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

1. \_\_\_\_\_

2. \_\_\_\_\_

3. \_\_\_\_\_

4. \_\_\_\_\_

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

| <u>SOURCE</u>                  | <u>DATES</u>                 | <u>LOCATION</u>          | <u>PURPOSE</u>                                         | <u>ITEMS PAID OR PROVIDED</u>   |
|--------------------------------|------------------------------|--------------------------|--------------------------------------------------------|---------------------------------|
| 1. California Bankruptcy Forum | May 19, 2016 to May 22, 2016 | Indian Wells, California | Participation in Bankruptcy Programs for professionals | 3 nights lodging and some meals |
| 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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## 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. SMR IRA                                                                                                                  |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 2. American Electric Power Co                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. Berkshire Hathaway Inc                                                                                                   |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. BP PLC ADS                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. Chico Fas Inc.                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. Clorox Co                                                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. Emerson Electric Co                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. General Mills Inc.                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. Hawaiian Electric Ind                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. Nestle Spon ADR Reg Shr                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Pepsico Inc                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. PG&E Corporation                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. Plum Creek Timber                                                                                                       |                                         |                                               |                                                 |                                           | Merged<br>(with line 16)                        | 02/22/16                | J                               |                                | Bought by<br>Weyerhaeuser Co                                      |
| 14. Procter & Gamble                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. Target Corp                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. Weyerhaeuser Co                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Open                                            |                         |                                 |                                | See #13 above                                                     |
| 17. M/S Bank                                                                                                                | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

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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) |

|                                   |   |              |   |   |                |          |   |  |              |
|-----------------------------------|---|--------------|---|---|----------------|----------|---|--|--------------|
| 18. DER IRA (see Part VIII)       |   |              |   |   |                |          |   |  |              |
| 19. M/S Bank                      | A | Interest     | K | T |                |          |   |  |              |
| 20. STOCKS Common Stocks          |   |              |   |   |                |          |   |  |              |
| 21. Activision Blizzard Inc       |   | None         | J | T | Buy            | 07/25/16 | J |  |              |
| 22. Amn Healthcare                |   | None         | J | T | Buy            | 09/08/16 | J |  |              |
| 23. Anheuser Busch Inbev          | A | Dividend     | J | T | Buy            | 07/25/16 | J |  |              |
| 24. Anthem Inc                    | A | Dividend     | J | T | Buy            | 07/19/16 | J |  |              |
| 25. Baidu Inc ADR                 |   | None         | J | T | Buy            | 09/08/16 | J |  |              |
| 26. Caesarstone Ltd               |   | None         | J | T | Buy            | 08/02/16 | J |  |              |
| 27. Cheniere Energy Inc New       |   | None         |   |   | Sold           | 07/26/16 | J |  | Loss on sale |
| 28. Cheniere Energy Partners LP   | A | Dividend     | J | T | Sold<br>(part) | 07/28/16 | J |  | Loss on sale |
| 29. Chipolte Mexican Grill        |   | None         | J | T | Buy            | 09/09/16 | J |  |              |
| 30. Cisco Systems Inc             | A | Dividend     | J | T | Buy            | 07/19/16 | J |  |              |
| 31. Cummins Inc                   | A | Dividend     | J | T | Buy            | 07/28/16 | J |  |              |
| 32. Energy Trans Eqty LP          | A | Distribution |   |   | Sold           | 07/28/16 | J |  | Loss on sale |
| 33. First American Financial Corp | A | Dividend     | J | T | Buy            | 07/25/16 | J |  |              |
| 34. Markel Corporation            |   | None         | J | T | Buy            | 09/08/16 | 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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| 35. Mastercard Inc                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/25/16                | J                               |                                |                                                                   |
| 36. McCormick & Co Inc                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/25/16                | J                               |                                |                                                                   |
| 37. MPLX Com Unit Rep LTD                                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/26/16                | J                               |                                | Loss on sale                                                      |
| 38. Nike Inc CL B                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/25/16                | J                               |                                |                                                                   |
| 39. Oaktree Capital Group LLC Unit Class A                                                                                  | A                                       | Distribution                                  | J                                               | T                                         | Buy                                             | 07/25/16                | J                               |                                |                                                                   |
| 40. Oneok Inc                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/25/16                | J                               |                                |                                                                   |
| 41. Open Text Corp                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 09/07/16                | J                               |                                |                                                                   |
| 42. Paypal Hlds Inc                                                                                                         |                                         | None                                          | J                                               | T                                         | Buy                                             | 09/09/16                | J                               |                                |                                                                   |
| 43. Pfizer Inc                                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/27/16                | J                               |                                |                                                                   |
| 44. Regeneron Pharmaceuticals Inc                                                                                           |                                         | None                                          | J                                               | T                                         | Buy                                             | 08/02/16                | J                               |                                |                                                                   |
| 45. Retail Opportunity Invest Corp                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/22/16                | J                               |                                |                                                                   |
| 46. Ryman Hospitality Properties REIT                                                                                       | A                                       | Distribution                                  | J                                               | T                                         | Buy                                             | 08/02/16                | J                               |                                |                                                                   |
| 47. Sherwin Williams Co                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/22/16                | J                               |                                |                                                                   |
| 48. Starbucks Corp                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/27/16                | J                               |                                |                                                                   |
| 49. Summit Midstream Partners LP                                                                                            | A                                       | Distribution                                  |                                                 |                                           | Sold                                            | 07/26/16                | J                               |                                | Loss on sale                                                      |
| 50. Sunoco LP                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/28/16                | J                               |                                |                                                                   |
| 51. T-Mobil US Inc                                                                                                          |                                         | None                                          | J                                               | T                                         | Buy                                             | 07/27/16                | J                               |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. TD Ameritrade Holdings Corp                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/18/16                | J                               |                                |                                                                   |
| 53. Ternium SA SPNS ADR                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 09/08/16                | J                               |                                |                                                                   |
| 54. Total SA SPNS ADR                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/25/16                | J                               |                                |                                                                   |
| 55. UGI Holding Group                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/25/16                | J                               |                                |                                                                   |
| 56. Walt Disney Co                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/19/16                | J                               |                                |                                                                   |
| 57. Williams Sonoma Inc                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/25/16                | J                               |                                |                                                                   |
| 58. OPTIONS                                                                                                                 |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 59. Anheuser Busch Inbev 3/17/2017 Put                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Open                                            | 11/08/16                | J                               |                                |                                                                   |
| 60. Facebook Inc 6/16/2017 Put                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Open                                            | 12/07/16                | J                               |                                |                                                                   |
| 61. Nike Inc 1/18/2019 Call                                                                                                 |                                         | None                                          | J                                               | T                                         | Buy                                             | 10/03/16                | J                               |                                |                                                                   |
| 62. Walt Disney Co 1/18/2019 Call                                                                                           |                                         | None                                          | J                                               | T                                         | Buy                                             | 10/10/16                | J                               |                                |                                                                   |
| 63. EXCHANGE TRADED & CLOSED END FUNDS                                                                                      |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 64. ISHARES IBoxx Invest Gr Cor Bd                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Sold (part)                                     | 07/26/16                | J                               | A                              |                                                                   |
| 65. ISHARES Micro-Cap ETF                                                                                                   |                                         | None                                          |                                                 |                                           | Sold                                            | 01/26/16                | J                               |                                | Loss on sale                                                      |
| 66. ISHARES S&P 500 GRWTH ETF                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Sold (part)                                     | 07/28/16                | J                               | A                              |                                                                   |
| 67. ISHARES S&P 500 VAL ETF                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Sold (part)                                     | 07/28/16                | J                               | A                              |                                                                   |
| 68. ISHARES S&P Mid-Cap 400 G ETF                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Sold (part)                                     | 07/28/16                | J                               | A                              |                                                                   |

|                                                  |                                                   |                                                        |                                                           |                                                        |                                                              |
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| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P = \$1,000,001 - \$5,000,000 | M = \$100,001 - \$250,000<br>Q = \$250,001 - \$500,000 | R = \$500,001 - \$1,000,000<br>S = \$1,000,001 - \$5,000,000 |
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Russell, David E.

Date of Report

01/26/2017

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

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| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. ISHARES Mid-Cap 400 V ETF                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 70. ISHARES Edge MSCI Min Vol EAFE                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/02/16                | J                               |                                |                                                                   |
| 71. SPDR DJ Wilshire Global REA                                                                                             |                                         |                                               |                                                 |                                           | Merged<br>(with line 72)                        | 07/13/16                |                                 |                                | Naame Changed to<br>Line 72                                       |
| 72. SPDR Global Real Estate ETF                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 73. Vsnguard FTSE Developed Markets                                                                                         |                                         | None                                          |                                                 |                                           | Sold                                            | 02/10/16                | J                               |                                | Loss on sale                                                      |
| 74. Vanguard FTSE Pacific ETF                                                                                               |                                         | None                                          |                                                 |                                           | Sold                                            | 02/10/16                | J                               |                                | Loss on sale                                                      |
| 75. Vanguard Sm Cap Growth ETF                                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 76. Vangurard Sm Cap Value ETF                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 07/28/16                | J                               | A                              |                                                                   |
| 77. Vanguard Total Bond Market                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 07/26/16                | J                               | A                              |                                                                   |
| 78. Western Asset Global High Income Fund<br>Inc                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/29/16                | J                               |                                |                                                                   |
| 79. Wisdom Tree Europe Hedged Equit                                                                                         | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/18/16                | J                               |                                | Loss on Sale                                                      |
| 80. MUTUAL FUNDS                                                                                                            |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 81. AQR Managed Futures Strategy I                                                                                          | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/15/16                | J                               | A                              |                                                                   |
| 82. Blackrock Mulsri-Asset Inc Inst                                                                                         | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/25/16                | K                               |                                | Loss on sale                                                      |
| 83. Columbia Select LG CP Growth Z                                                                                          | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/15/16                | K                               |                                | Loss on sale                                                      |
| 84. First Eagle Global I                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                | Reinvest Cap Gains &<br>Divids                                    |
| 85. Goldman Sachs Strategic Inc I                                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/15/16                | K                               |                                | Loss on sale                                                      |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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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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| 86. Locorr Market Trend I                                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 02/05/16                | J                               |                                |                                                                   |
| 87. Locorr Market Trend I                                                                                                   |                                         |                                               |                                                 |                                           | Sold                                            | 07/25/16                | J                               |                                | Loss on sale                                                      |
| 88. Oppenheimer Intl Smll-Mid Co Y                                                                                          | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/15/16                | J                               | C                              |                                                                   |
| 89. Prudential Total Return Bd Z                                                                                            | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/20/16                | K                               | A                              |                                                                   |
| 90. Templeton GLB Total Return Adv                                                                                          | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 02/10/16                | J                               |                                | Loss on Sale                                                      |
| 91. CASH FUNDS                                                                                                              |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 92. 1. American Express Savings                                                                                             | B                                       | Interest                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 93. 2. Golden 1 Credit Union                                                                                                | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 94. 3. Safe Credit Union                                                                                                    | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 95. 4. Schools Financial Credit Union                                                                                       | A                                       | Int./Div.                                     | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 96. INSURANCE CASH SURRENDER<br>VALUES X                                                                                    |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                | See Part VIII                                                     |
| 97. American General Life Ins Co Universal<br>Life Ins Policy                                                               | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 98. New York Life Life Insurance Policy                                                                                     | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 99. FAMILY TRUST                                                                                                            |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 100. M/S Bank & Money Mkt Fds                                                                                               | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 101. STOCKS Common Stocks                                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 102. 3M Company                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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| 103. Abbott Laboratories                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 104. Abbvie Inc Com                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 105. Aflac Incorporated                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 106. Alphabet Inc Cl A                                                                                                      |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 107. Alphabet Inc Cl C                                                                                                      |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 108. Altria Group Inc                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 109. Amazon Com Inc                                                                                                         |                                         | None                                          | J                                               | T                                         | Buy                                             | 07/25/16                | J                               |                                |                                                                   |
| 110. American Tower REIT Com                                                                                                | A                                       | Distribution                                  | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 111. Anadarko Petroleum                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 112. Apple Inc                                                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 113. Arthur J. Gallagher                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 114. AT&T                                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 115. Atmos Energy                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 116. Bank of Nova Scotia                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/05/16                | J                               |                                |                                                                   |
| 117. Berkshire Hathaway B                                                                                                   |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 118. Catapillar Inc                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 119. Celgene Corp                                                                                                           |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                    |                                                      |                                                                                        |                                                            |                        |
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| 120. Charter Communications Inc                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Open                                            | 05/19/16                |                                 |                                | See Part VIII                                                     |
| 121. Chevron Corp                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 122. Cincinnati Financial                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 123. Conoco Phillips                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 124. Costco Wholesale Corp New                                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 125. CSX Corp                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 126. CVS Health Corp Com                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 127. Dow Chemical Company                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 128. Duke Energy Corp                                                                                                       | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 129. Eli Lilly & Co                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 130. Facebook Inc CL-A                                                                                                      |                                         | None                                          | J                                               | T                                         | Buy                                             | 07/25/16                | J                               |                                |                                                                   |
| 131. Ford Motor Co New                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 132. Frontier Communications Corp                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 133. Gamestop Corp CL A New                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/03/16                | J                               |                                |                                                                   |
| 134. Glaxosmithkline PLC ADS                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/05/16                | J                               |                                |                                                                   |
| 135. Halyard Health                                                                                                         |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 136. Home Depot Inc                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
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| 137. Johnson & Johnson                                                                                                      | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 138. Kimberly Clark Corp                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 139. Kinder Morgan Incorp                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 140. Kraft Heinz Co                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 141. Leucadia Nat CP                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/05/16                | J                               |                                |                                                                   |
| 142. LinkedIn Corp                                                                                                          |                                         | None                                          |                                                 |                                           | Sold                                            | 06/17/16                | J                               |                                | Loss on sale                                                      |
| 143. Lowes Companies Inc                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 144. MercadoLibre Inc                                                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 145. MetLife Incorporated                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 146. Microsoft Corp                                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 147. Mondelez Intl Inc Com                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 148. Nextera Energy Inc Com                                                                                                 | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 149. Novartis AG ADR                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 150. Novo Nordisk A/S ADR                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/05/16                | J                               |                                |                                                                   |
| 151. Otter Tail Corp                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 152. Phillip Morris Intl Inc                                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 153. Phillips 66 Com                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
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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 \$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

Page 13 of 18

Name of Person Reporting

Russell, David E.

Date of Report

01/26/2017

## 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. Royal Dutch Shell PLC (RDS'A)                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 01/05/16                | J                               |                                |                                                                   |
| 155. Skyworks Solutions                                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 06/16/16                | J                               |                                |                                                                   |
| 156. Skyworks Solutions                                                                                                     |                                         |                                               |                                                 |                                           | Sold                                            | 08/22/16                | J                               | A                              |                                                                   |
| 157. Spectra Energy Corp                                                                                                    | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 158. Sysco Corp                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 159. Time Inc                                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 160. Time Warner Cable Inc New                                                                                              | A                                       | Dividend                                      |                                                 |                                           | Redeemed                                        | 05/19/16                | K                               | D                              | See Part VIII                                                     |
| 161. Time Warner Inc New                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 162. TJX COS Inc New                                                                                                        | A                                       | Dividend                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 163. USG Corp New                                                                                                           |                                         | None                                          | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 164. Verizon Communications                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 165. Waste Connections                                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Merged<br>(with line 166)                       | 06/01/16                | K                               | D                              | See Part VIII                                                     |
| 166. Waste Connections Inc                                                                                                  | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                | See Part VIII                                                     |
| 167. Welltower Inc                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 168. OPTIONS                                                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 169. American Express Co 11/18/2016 Put                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Open                                            | 10/14/16                | J                               |                                |                                                                   |
| 170. Anheuser Busch Inbev SA 1/18/2019 Call                                                                                 |                                         | None                                          | J                                               | T                                         | Buy                                             | 12/22/16                | 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

Russell, David E.

Date of Report

01/26/2017

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

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| A.<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. Netflix Inc 10/21/2016 Put                                                                                             | A                                       | Dividend                                      |                                                 |                                           | Open                                            | 07/19/16                | J                               |                                |                                                                   |
| 172. Nike Inc B 1/19/2018 Call                                                                                              |                                         | None                                          | J                                               | T                                         | Buy                                             | 12/19/16                | J                               |                                |                                                                   |
| 173. Wal Mart Stores Inc 1/18/2019 Call                                                                                     |                                         | None                                          | J                                               | T                                         | Buy                                             | 12/23/16                | J                               |                                |                                                                   |
| 174. Wells Fargo & Co New 1/19/2018 Call )                                                                                  |                                         | None                                          | J                                               | T                                         | Buy                                             | 04/14/16                | J                               |                                |                                                                   |
| 175. EXCHANGE TRADED & CLOSED END FUNDS                                                                                     |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 176. Blackrock Cal Muni Inc Trust                                                                                           | A                                       | Int./Div.                                     | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 177. IShares MSCI EAFE ETF                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 178. IShares Emerging Mkts ETF                                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 179. Prospect Capital Corp                                                                                                  | A                                       | Distribution                                  | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 180. SPDR S & P Emerging Asia Pacif                                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 181. The Technology Sel Sec SPDR FD                                                                                         | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 182. MUNICIPAL BONDS                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 183. California St Genl Oblg Bds                                                                                            | A                                       | Interest                                      | K                                               | T                                         | Merged<br>(with line 185)                       |                         | K                               |                                | See Part VIII                                                     |
| 184. California St Genl Oblg Bds                                                                                            | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         | J                               |                                | SeePart VIII                                                      |
| 185. MUTUAL FUNDS                                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 186. Columbia Select Smllr Cap Val A                                                                                        | A                                       | Distribution                                  | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 187. Franklin CA Tax Free Income Fd                                                                                         | A                                       | Dividend                                      | J                                               | 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 |                         |
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Russell, David E.

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| 188. Franklin Mutual Global Discovery A                                                                                     | A                                       | Distribution                                  | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 189. Thornburg CA Ltd Term Muni A Fd                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 190. REAL PROPERTY                                                                                                          |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 191. Rental Property, Lincoln, CA                                                                                           | E                                       | Rent                                          | N                                               | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 192.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 193.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 194.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 195.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 196.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 197.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 198.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 199.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 200.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 201.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 202.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 203.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 204.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
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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       |                         |
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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) |
| 205.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 206.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 207.                                                                                                                        |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |

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

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Name of Person Reporting

Russell, David E.

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

Part VII Lines 96-98. The cash surrender values of the two life insurance policies (Lines 97 and 98) were inadvertently omitted from prior reports.

Part VII Lines 120 and 160. Charter Communications bought Time Warner Cable for cash and Charter Communications common stock.

Part VII Lines 165-166. Waste Connections was sold to a Canadian company, which formed a subsidiary company named Waste Connections Inc. which merged with Waste Connections.

Part VII Lines 183-184. The California Municipal Bonds were divided for ultimate redemption. The call dates were changed, so that one part could be called or redeemed before the other.

# FINANCIAL DISCLOSURE REPORT

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## IX. CERTIFICATION.

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

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

Signature: s/ **David E. Russell**

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

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