

**Case No. 21-15587**

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**UNITED STATES COURT OF APPEALS  
FOR THE NINTH CIRCUIT**

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Joy Garner, individually and on behalf of The Control Group; Joy Elisse Garner, individually and as parent of J.S. and F.G.; Evan Glasco, individually and as parent of F.G.; Michael Harris, individually and as parent of S.H.; Nicole Harris, individually and as parent of S.H.; Traci Music, individually and as parent of K.M. and J.S.,

*Petitioners-Appellants,*

v.

PRESIDENT OF THE UNITED STATES OF AMERICA,  
in his official capacity

*Respondent-Appellee.*

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Appeal from the Judgement of the United States District Court  
for the Eastern District of California, Case No. 2:20-cv-02470-WBS-JDP  
Honorable William B. Shubb, United States District Judge

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**APPELLANTS' MOTION TO DISQUALIFY CIRCUIT JUDGE  
KIM MCLANE WARDLAW**

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Counsel for Petitioners-Appellants

## MOTION

Petitioners respectfully move pursuant to 28 USC § 455 to disqualify the Honorable Kim McLane Wardlaw on the grounds of financial conflict of interest.

### MEMORANDUM OF POINTS AND AUTHORITIES

#### **A. Summary of Motion**

On or about February 1, 2022 this 9<sup>th</sup> Circuit Court posted the judicial assignments for this case: “Before: WARDLAW, IKUTA, AND BADE, Circuit Judges”.

Appellants promptly checked the available Financial Disclosure Report<sup>1</sup> for each assigned judge and determined that Judge Wardlaw appears to own approximately \$245,000 - \$565,000 in stock in multiple vaccine manufacturers, including Covid-19 vaccines mandated by Respondent.<sup>2</sup> According to the CDC, all Covid-19 vaccines (including the vaccines purchased by Respondent from Judge Wardlaw’s stock company J&J) are property of the US government until they enter

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<sup>1</sup> See Exhibit A attached to Glaser Declaration in Support of this Motion. Wardlaw, Kim M (2018). Financial Disclosure Report for Calendar Year 2018. Report required by the Ethics in Government Act of 1978 (5 U.S.C. sections 101-111). <https://storage.courtlistener.com/us/federal/judicial/financial-disclosures/3371/kim-mclane-wardlaw-disclosure.2018.pdf>.

<sup>2</sup> Judges Ikuta and Bade do not own stock in vaccine manufacturers, and therefore are not subject to disqualification.

the recipient's body.<sup>3</sup> For the full list of Judge Wardlaw's affected stocks, see attached Declaration from Appellants' counsel.

The applicable statute (28 U.S.C. § 455) and case law show that any financial interest in the company at issue (of which the judge holds stock) need *not* be an actual defendant in the litigation. Even if the government is the defendant in the litigation, the judge must still recuse herself “if the outcome of the proceeding could substantially affect the value of the securities.”

Here, the disqualification standard is easily met—the Verified Petition is based entirely on scientific evidence that vaccines (manufactured by companies included in Judge Wardlaw's stock portfolio) are utterly destroying the health of the majority of Americans. For example, Petitioners' First Amended Verified Petition<sup>4</sup> pled:

- ¶16. “Unlike the evidence presented herein, the government has never counted the victims of vaccination, and therefore has nothing with which to support any claim vaccines are doing less harm than good. Therefore, no branch of government can show a compelling or competing interest to that of the Petitioners here. The decimation of the American population is not a public

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<sup>3</sup> CDC (October 27, 2021). *CDC COVID-19 Vaccination Program Provider Requirements and Support*. <https://www.cdc.gov/vaccines/covid-19/vaccination-provider-support.html> (retrieved on October 27, 2021). <https://web.archive.org/web/20211027025400/https://www.cdc.gov/vaccines/covid-19/vaccination-provider-support.html> (“Vaccine remains U.S. government property until administered to the vaccination recipient.”)

<sup>4</sup> Petitioners' First Amended Verified Petition filed January 25, 2021, USDC Dkt. 21, contained in the Excerpts of Record at 2-ER-182-255.

good. Pharma profits must now take a back seat to the public good, as the survival of our Nation now hangs in the balance.”

- ¶¶1-31 (America’s immune system crisis is caused by mass vaccination, which is an imminent national security threat)
- ¶¶32. “Without a suspension of the National Childhood Vaccine Injury Act of 1986 (NCVIA), which shifted civil liability for injuries caused by vaccines from pharmaceutical companies to the Federal government who recommends vaccines, the Federal government is at serious risk of bankruptcy. See e.g., 42 USCS § 300aa-22.”
- ¶75. “Pharma, and the governmental bodies that protect, cultivate, and expand its powers, have now outgrown the host. If these health injuries continue to devour the American people at the present rates, this Nation will collapse. Pharma can no longer be permitted to dictate public health policy.”
- ¶88. “Human health can be protected in government policies if the precautionary principle is used in the correct format that puts the onus of proof of harmlessness on the government and pharmaceutical industry, and not the general public.”
- ¶¶91-163 (causes of action). See especially ¶112, “*Jacobson* was not intended to become an open door to unlimited technological advancements so long as a pharmaceutical company attaches its behavior to the word “vaccine”. Even before Covid-19 vaccination, according to the trade publication PHRMA, there were over 250 new vaccines in development. BigPharma is steadily increasing the quantity of vaccines mandated upon the public by government officials receiving so-called “donations” from BigPharma.” And see ¶132, “It is cruel and unusual when health officials use State powers to give pharmaceutical companies unmeasured control over individual posterity.” And see also ¶168, “The legislative and judicial branches have, thus far, primarily chosen to subjugate the health of the people of this Nation to the demands of the pharmaceutical/medical industrial complex.”

The Verified Petition is damning to the pharmaceutical stock holdings of Judge Wardlaw. If Judge Wardlaw were to rule in favor of pausing mandatory vaccination in this case, or otherwise recognizing Petitioners' evidence that liability-free vaccines line the pockets of Pharma and its stockholders to the detriment of this nation and its people, the value of her pharmaceutical portfolio could easily be expected to drop by *at least* tens of thousands of dollars in the short-term (i.e., overnight), and potentially drop by hundreds of thousands of dollars in the long-term.

In Judge Wardlaw's defense, she has substantial and diversified holdings (millions of dollars in corporate stocks and various funds), but the law is clear that recusal is necessary where a Judge holds *any* amount of stock directly in a company that is substantially affected by the outcome of the proceeding. 28

U.S.C.S. § 455 provides:

**(a)** Any justice, judge, or magistrate [magistrate judge] of the United States shall disqualify himself in any proceeding in which his impartiality might reasonably be questioned.

**(b)** He shall also disqualify himself in the following circumstances...

**(4)** He knows that he, individually or as a fiduciary, or his spouse or minor child residing in his household, has a financial interest in the subject matter in controversy or in a party to the proceeding, or any other interest that could be substantially affected by the outcome of the proceeding.

...

**(d)(4)** “financial interest” means ownership of a legal or equitable interest, however small, or a relationship as director, adviser, or other active participant in the affairs of a party, except that:

**(i)** Ownership in a mutual or common investment fund that holds securities is not a “financial interest” in such securities unless the judge participates in the management of the fund;

...

**(iv)** Ownership of government securities is a “financial interest” in the issuer only if the outcome of the proceeding could substantially affect the value of the securities.

Case law does not require the judge’s stock interest at issue to be an actual defendant in the litigation. Even if the government is the defendant in the litigation, the judge must still recuse herself “if the outcome of the proceeding could substantially affect the value of the securities.” See e.g., *Shell Oil Co. v. United States*, 672 F.3d 1283, 42 Env’tl. L. Rep. 20059, 2012 U.S. App. LEXIS 4742 (Fed. Cir. 2012) (Where trial judge discovered that judge’s spouse owned stock in parent company of certain oil companies in action against government, and judge severed affected companies from action and entered judgment in favor of non-severed companies, recusal of judge was required from entire proceeding; because stock was not divested, recusal was mandatory and could not be waived, and trial judge was required to recuse judge from entire proceeding rather than severing affected companies). *United States v. Wolff*, 263 F. App’x 612, 613, 615 (9th Cir. 2008) (judge abused his discretion by failing to recuse in case where judge owned stock in “unindicted co-conspirators”; as the appellate alleged “the district judge was

required to recuse himself because he owned stock in a company that was connected to the scheme”).

See also, *Sollenbarger v. Mountain States Tel. & Tel. Co.*, 706 F. Supp. 776, 781 (D.N.M. 1989),

“In cases where the judge has a financial interest within § 455(d)(4) in a non-party, the court examines how direct an effect the litigation before it will have on the interested non-party. For example, in *In re Placid Oil Co.*, 802 F.2d 783, 786 (5th Cir. 1986), plaintiff brought suit against 23 banks. The trial judge had a large investment in a non-party bank; the financial interest definition is satisfied....*Department of Energy v. Brimmer*, 673 F.2d 1287 (Temp. Emerg. Ct. App. 1982), is similar to *Placid Oil*. Plaintiff energy company in *Brimmer* challenged the validity of regulations written to wind up a Department of Energy regulatory program. 673 F.2d at 1289-91. Judge Brimmer held stock in energy companies who participated in the same program plaintiff did; thus, he had a financial interest. TECA held that his interest in non-party corporations did not equal "a financial interest in the subject matter of the litigation before him" because "the judge does not have a *direct* economic or financial interest in the outcome of the case, . . . ." *Id.* at 1295 (emphasis added). The court of appeals also held that his stock ownership did not constitute "any other interest" because his rulings could at most have a slight effect, not a substantial one. *Id.*”

A helpful explanation of the law here is also provided in *Dominguez v. Gulf Coast Marine & Assocs.*, 607 F.3d 1066, 1073-1074 (5th Cir. 2010)

"The district court maintains jurisdiction as to matters not involved in the appeal, such as the merits of an action when appeal from a preliminary injunction is taken, or in aid of the appeal, as by making clerical corrections." *Farmhand, Inc. v. Anel Eng'g Indus., Inc.*, 693 F.2d 1140, 1145 (5th Cir. 1982). Consequently, it was still appropriate for Judge Clark to recuse himself, insofar as he retained certain residual jurisdiction over this case. Also, his recusal could

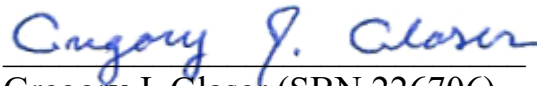
be viewed as being in aid of this appeal, as it brings to our attention serious questions concerning the propriety of the dismissal that is now on appeal.

To the extent that Judge Wardlaw is still invested in vaccine manufacturer stock, her ability to be impartial and acknowledge what is destroying the health of Americans would be compromised.

### **CONCLUSION**

An impartial judge in an impartial Court, and the appearance of same, is necessary to examine the evidence here. For the foregoing reasons, Petitioners respectfully move this Court to disqualify the Honorable Kim McLane Wardlaw as a Circuit Judge in this case.

Respectfully submitted February 2, 2022.



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*Counsel for Appellants*



**Case No. 21-15587**

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**UNITED STATES COURT OF APPEALS  
FOR THE NINTH CIRCUIT**

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Joy Garner, individually and on behalf of The Control Group; Joy Elisse Garner, individually and as parent of J.S. and F.G.; Evan Glasco, individually and as parent of F.G.; Michael Harris, individually and as parent of S.H.; Nicole Harris, individually and as parent of S.H.; Traci Music, individually and as parent of K.M. and J.S.,

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Honorable William B. Shubb, United States District Judge

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**DECLARATION OF APPELLANTS' COUNSEL IN SUPPORT OF  
APPELLANTS' MOTION TO DISQUALIFY CIRCUIT JUDGE  
KIM MCLANE WARDLAW**

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Counsel for Petitioners-Appellants

## **Supporting Declaration of Appellants' Counsel**

I, Gregory J. Glaser, hereby declare:

1. I am the lead counsel for Petitioners-Appellants in the above-entitled action.

I have personal knowledge of the matters discussed herein, and if called as a witness could and would testify competently thereto.

### **Judge Wardlaw's Financial Conflicts**

2. Attached as Exhibit A is a true and correct copy of Judge Wardlaw's 2018 financial disclosures. These are the most recent public documents available to Appellants. The US Supreme Court published on December 31, 2021 a year-end report on the federal judiciary, referring to financial conflicts in the judiciary,<sup>1</sup> per a Wall Street Journal article referring to the applicable database of judicial financial disclosures (released to the public for the first time October 15, 2021).<sup>2</sup>

3. Per Exhibit A, Judge Wardlaw had between \$245k to \$565k invested directly in stocks of vaccine manufacturers challenged in the case:

- a. Johnson & Johnson (\$15k-\$50k); <https://www.jnj.com/tag/vaccine>

(manufacturer of multiple vaccines, including Covid-19).

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<sup>1</sup> Roberts, J (December 31, 2021). 2021 Year-End Report on the Federal Judiciary. The US Supreme Court. <https://www.supremecourt.gov/publicinfo/year-end/2021year-endreport.pdf>.

<sup>2</sup> Lissner, M (October 15, 2021). Our Financial Disclosure Database is Now Available to All. Free Law Project. <https://free.law/2021/10/15/financial-disclosures-now-available-to-all-on-courtlistener>.

- b.** Abbot Labs (\$15k-\$50k); <https://www.abbott.com/for-healthcare-professionals/medicines.html> (flu vaccine manufacturer).
- c.** Merck & Co (\$50k-\$100k); <https://www.merckvaccines.com/> (manufacturer of multiple vaccines)
- d.** AstraZeneca (\$65k-\$150k); <https://stocknews.com/news/azn-bntx-biontech-vs-astrazeneca-which-covid-19-vaccine-stock-is-a-better/> (manufacturer of multiple vaccines, including Covid-19)
- e.** Gilead Sciences (\$50k-\$100k); <https://www.gilead.com/news-and-press/press-room/press-releases/2021/2/gilead-sciences-and-gritstone-announce-collaboration-utilizing-gritstones-vaccine-platform-technology-for-hiv-cure> (manufacturer of multiple vaccines, including Covid-19)
- f.** Eli Lilly (\$50k-\$100k); <https://investor.lilly.com/news-releases/news-release-details/lilly-and-curevac-announce-global-collaboration-develop-mrna> (manufacturer of multiple vaccines, including Covid-19)
- g.** VBI Vaccines (\$15k or less): <https://stockinvest.us/info/VBIV> (vaccine manufacturer)

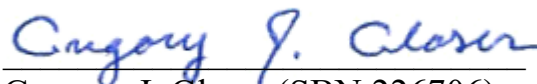
4. Certain of these companies also profit from pharmaceutical products that treat vaccine injury, which is apparent from Petitioners' Requests for Judicial Notice currently pending before this 9<sup>th</sup> Circuit Court.

### **Good Faith Motion**

5. As Petitioners' counsel, it is impossible for me to litigate this case without exposing the destructive and unlawful schemes perpetuated by companies (stock) owned by Judge Wardlaw. I have *immediately* made this motion for disqualification in the interests of justice, fairness, and the appearance of impartiality necessary to our judicial system.

I declare under threat of penalty of perjury under the laws of the United States of America that the foregoing is true and correct, and that this declaration was executed on the date set forth below in Copperopolis, California.

Executed this February 2, 2022.



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*Counsel for Appellants*

# Exhibit A

AO 10  
Rev. 1/2015

**FINANCIAL DISCLOSURE REPORT  
FOR CALENDAR YEAR 2018**

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

<b>1. Person Reporting (last name, first, middle initial)</b> Wardlaw, Kim M.	<b>2. Court or Organization</b> United States Court of Appeals for the Ninth Circuit	<b>3. Date of Report</b> 03/23/2020
<b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b> United States Circuit Judge, Active	<b>5a. Report Type (check appropriate type)</b> <input type="checkbox"/> Nomination      Date <input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final	<b>6. Reporting Period</b> 01/01/2018 to 12/31/2018
	<b>5b.</b> <input checked="" type="checkbox"/> Amended Report	
<b>7. Chambers or Office Address</b> United States Court of Appeals for the Ninth Circuit 125 South Grand Avenue, Suite 500 Pasadena, CA 91105		
<b>IMPORTANT NOTES:</b> <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</i>		

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

NONE (No reportable positions.)

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

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

NONE (No reportable agreements.)

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

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

**III. NON-INVESTMENT INCOME.** *(Reporting individual and spouse; see pp. 17-24 of filing instructions )*

**A. Filer's Non-Investment Income**

NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> <i>(yours, not spouse's)</i>
1.		
2.		
3.		
4.		

**B. Spouse's Non-Investment Income -** *If you were married during any portion of the reporting year, complete this section.*

*(Dollar amount not required except for honoraria.)*

NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

**IV. REIMBURSEMENTS** *-- transportation, lodging, food, entertainment.*

*(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*

NONE *(No reportable reimbursements.)*

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

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

**V. GIFTS.** *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

NONE *(No reportable gifts.)*

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

**VI. LIABILITIES.** *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

NONE *(No reportable liabilities.)*

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



**FINANCIAL DISCLOSURE REPORT**

Page 4 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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

A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. ROTH IRA									
2. CAPITAL GROUP CORE BOND FUND	D	Dividend	O	T	Buy	01/30/18	J		
3.					Buy	02/27/18	J		
4.					Sold (part)	03/01/18	J	A	
5.					Buy	03/28/18	J		
6.					Buy	04/27/18	J		
7.					Buy	05/30/18	J		
8.					Buy	06/28/18	J		
9.					Buy	07/30/18	J		
10.					Buy	08/30/18	J		
11.					Buy	09/27/18	J		
12.					Buy	10/30/18	J		
13.					Buy	11/29/18	J		
14.					Buy	12/28/18	J		
15. CAPTIAL WORLD GROWTH AND INCOME FUND CL F3	E	Dividend	O	T	Sold (part)	03/01/18	M	E	
16.					Buy	03/14/18	J		
17.					Buy	06/13/18	J		

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

**FINANCIAL DISCLOSURE REPORT**

Page 5 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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

A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18.					Buy	09/12/18	J		
19.					Buy	12/18/18	K		
20. CREDIT SUISSE COMMODITY RETURN STRATEGY FUND CL I	B	Dividend	M	T	Buy	03/01/18	M		
21.					Buy	06/28/18	J		
22.					Buy	09/27/18	J		
23.					Buy	12/19/18	J		
24. AMERICAN FUNDS NEW ECONOMY FUND CL F3	A	Dividend	L	T	Buy	03/01/18	M		
25.					Buy	12/19/18	J		
26. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F3	D	Dividend	O	T	Sold (part)	02/01/18	J	A	
27.					Sold (part)	03/01/18	M	E	
28.					Sold (part)	04/26/18	J	A	
29.					Sold (part)	07/26/18	J	A	
30.					Sold (part)	10/25/18	J	A	
31.					Buy	12/21/18	L		
32. STATE STREET INSTL US GOVT MMKT INVESTOR CLASS FUND #5325	A	Dividend	J	T					
33. VANGUARD REAL ESTATE INDEX ADMIRAL	D	Dividend	M	T	Buy	03/01/18	J		
34.					Buy	06/15/18	J		

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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.)

Table with 4 main columns: A (Description of Assets), B (Income during reporting period), C (Gross value at end of reporting period), and D (Transactions during reporting period). Sub-columns include Amount, Type, Value, Date, Gain, and Identity of buyer/seller.

Main data table with 11 columns and 17 rows (35-51). Rows include assets like Schwab Pension Acct (IRA), Abbott Labs Com Stock, Alibaba Group, Alphabet Com Stock, Apple Corp Com Stock, Berkshire Hathaway, Blackrock Inc Com Stock, Boeing Co., Celgene Corp, Cerner Corp Com Stock, Charles Schwab Com Stock, Chevron Corp Com Stock, Chubb Ltd, Citicorp, and Colgate-Palmolive Com Stock.

Legend table for codes: 1 Income Gain Codes (A-E), 2 Value Codes (J-S), 3 Value Method Codes (Q-W). Includes descriptions for each code such as 'A=\$1,000 or less', 'Q=Appraisal', etc.

**FINANCIAL DISCLOSURE REPORT**

Page 7 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

**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.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
52. Conocophillips Com Stock	A	Dividend	K	T					
53. Costco Wholesale Inc	A	Dividend	K	T					
54. Danaher Corp Com Stock	A	Dividend	K	T					
55. The Walt Disney Co. Com Stock	A	Dividend	K	T					
56. Eog Resources Inc.	B	Dividend	K	T	Buy	09/14/18	K		
57. Fortive Corp.	A	Dividend			Sold	11/02/18	K	E	
58. GE Com Stock	A	Dividend			Sold	03/29/18	K	A	
59. Gilead Sciences Inc.	B	Dividend			Sold	09/12/18	K		
60. Intel Corp Com Stock	B	Dividend	K	T					
61. Intuit Inc.	A	Dividend	L	T	Sold (part)	10/31/18	K	E	
62. JP Morgan Chase Com Stock	B	Dividend	L	T					
63. Lowes Companies	B	Dividend	L	T					
64. Merck & Co Com Stock	B	Dividend	L	T					
65. Nextera Energy	B	Dividend	K	T					
66. Nike Inc Com Stock	A	Dividend			Sold	12/26/18	L	E	
67. Novo - Nordisk	A	Dividend	K	T					
68. Oracle Corp	A	Dividend	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 8 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. Paypal Holdings Inc		None			Sold	03/02/18	K	E	
70. Pepsico Inc Com Stock	B	Dividend	L	T					
71. Raytheon Com Stock	A	Dividend	K	T					
72. Roche Hldg Ltd		None	K	T					
73. Schlumberger Ltd	A	Dividend	K	T					
74. Sempra Energy Com Stock	A	Dividend			Sold	10/31/18	K	E	
75. Stryker Com Stock	A	Dividend	K	T					
76. Taiwan Semiconductor Com Stock	B	Dividend	L	T					
77. TCP Capital Corp	B	Dividend			Sold	10/31/18	J		
78. Time Warner Inc	A	Dividend			Sold	06/15/18	K	E	
79. TJX Com Stock	B	Dividend	L	T					
80. Union Pacific Corp Com Stock	B	Dividend	L	T					
81. United Health Group	A	Dividend	L	T	Buy	03/07/18	K		
82. Verizon Com Stock	B	Dividend	L	T					
83. IShares MSCI Index Fund	C	Dividend	M	T					
84. IShares Small Cap Index Fund	B	Dividend	M	T					
85. Vanguard Emerging Market Fund	B	Dividend	L	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 9 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
86. CAPITAL TRUST ACCOUNT									
87. ABBOTT LABORATORIES	A	Dividend	K	T	Buy	01/30/18	K		
88.					Buy	01/31/18	J		
89.					Buy	02/01/18	J		
90. ACCENTURE PLC US\$	A	Dividend	K	T	Buy	01/16/18	K		
91. ACTIVISION BLIZZARD INC	A	Dividend	L	T	Buy	08/22/18	K		
92.					Buy	11/15/18	J		
93.					Buy	12/07/18	J		
94. AES CORP COM	B	Dividend	K	T	Buy	06/04/18	J		
95.					Sold (part)	11/27/18	J	B	
96.					Sold (part)	11/28/18	K	D	
97. AGIOS PHARMACEUTICALS INC		None			Buy	01/16/18	K		
98.					Sold (part)	12/07/18	J		
99.					Sold	12/10/18	J		
100. AIA GROUP LTD	B	Dividend	M	T					
101. AIRBUS GROUP SE	B	Dividend	M	T	Buy	12/13/18	J		
102. Alphabet Inc	A	None	K	T					

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**FINANCIAL DISCLOSURE REPORT**

Page 10 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
103. Alphabet Inc	C	None	K	T					
104. AMADEUS IT GROUP SA	A	Dividend			Sold (part)	03/01/18	J	C	
105.					Sold (part)	03/05/18	J	C	
106.					Sold (part)	03/22/18	J	B	
107.					Sold (part)	03/23/18	J	C	
108.					Sold (part)	03/26/18	J	C	
109.					Sold (part)	03/27/18	J	A	
110.					Sold	04/17/18	K	D	
111. Amazon Corp Inc.		None	L	T					
112. AMERICA MOVIL S.A.B. DE C.V.	A	Dividend			Buy	01/12/18	K		
113.					Buy	01/16/18	J		
114.					Sold	11/27/18	J	A	
115. AMERICAN FUNDS DEVELOPING WORLD GROWTH AND INCOME FUND CL F3'	F	Dividend	P1	T	Buy	03/23/18	J		
116.					Buy	06/22/18	K		
117.					Buy	09/06/18	M		
118.					Buy	09/21/18	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 11 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
119.					Buy	10/18/18	L		
120.					Sold (part)	12/17/18	O	A	
121.					Buy	12/24/18	J		
122. AMERICAN FUNDS EUROPACIFIC GROWTH FUND CL F3	F	Distribution	P1	T	Buy	06/13/18	K		
123.					Sold (part)	12/17/18	L	A	
124.					Buy	12/20/18	K		
125. AMERICAN FUNDS INFLATION LINKED BOND FUND CL F3	E	Dividend	O	T	Buy	09/06/18	L		
126.					Buy	10/18/18	K		
127.					Buy	12/19/18	K		
128. AMERICAN FUNDS HIGH-INCOME MUNICIPAL BOND FUND CL F3	E	Dividend	N	T	Buy	01/31/18	J		
129.					Buy	02/28/18	J		
130.					Buy	03/29/18	J		
131.					Buy	04/30/18	J		
132.					Buy	05/31/18	J		
133.					Buy	06/29/18	J		
134.					Buy	07/31/18	J		
135.					Buy	08/31/18	J		

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**FINANCIAL DISCLOSURE REPORT**

Page 12 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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136.					Buy	09/28/18	J		
137.					Buy	10/31/18	J		
138.					Buy	11/30/18	J		
139.					Buy	12/31/18	J		
140. AMERICAN FUNDS NEW ECONOMY FUND CL F3	E	Dividend	P1	T	Buy	12/19/18	M		
141. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F3	E	Dividend	P1	T	Buy	12/21/18	M		
142. AMERICAN FUNDS NEW WORLD FUND CL F3	E	Dividend	P1	T	Buy	09/06/18	M		
143.					Buy	10/18/18	M		
144.					Sold (part)	12/17/18	O	A	
145.					Buy	12/21/18	K		
146. AMERICAN FUNDS SMALL CAP WORLD FUND CL F3	G	Distribution	P1	T	Buy	09/06/18	J		
147.					Buy	12/24/18	M		
148. AMERICAN TOWER CORP	B	Dividend	L	T					
149. ANALOG DEVICES INC		None			Sold	01/23/18	J	C	
150. AON PLC	A	Dividend	K	T	Buy	08/23/18	J		
151.					Buy	08/24/18	J		
152. APPLE INC	B	Dividend	L	T					

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 13 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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153. ASAHI KASEI CORP	B	Dividend	L	T					
154. ASML HOLDING NV	B	Dividend	L	T	Sold (part)	08/14/18	J	C	
155.					Sold (part)	08/20/18	J	B	
156.					Sold (part)	08/22/18	J	A	
157.					Sold (part)	09/14/18	J	B	
158.					Sold (part)	10/03/18	K	C	
159. ASSA ABLOY AB CL B	A	Dividend	J	T	Sold (part)	08/08/18	K	A	
160.					Sold (part)	08/09/18	J	A	
161. ASTRAZENECA PLC ADR	A	Dividend	K	T					
162. ASTRAZENECA PLC (GBP)	B	Dividend	L	T	Buy	10/18/18	K		
163. BANK OF NEW YORK MELLON CORP	B	Dividend	K	T	Buy	07/11/18	J		
164.					Sold (part)	10/25/18	J	A	
165.					Sold (part)	10/26/18	K	A	
166. BAY AREA TOLL AUTH SAN FRAN CA 17H (MPT) SF 2.125% 04-01-53/25	B	Interest	M	T	Buy	01/10/18	M		
167.					Buy	01/10/18	M		
168. BCA MARKETPLACE PLC	A	Dividend	K	T	Buy	10/18/18	J		
169. BLUEBIRD BIO INC COM		None			Buy	02/05/18	K		

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 14 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
170.					Buy	02/07/18	J		
171.					Sold (part)	10/01/18	J	A	
172.					Sold (part)	10/18/18	J	A	
173.					Buy	11/20/18	J		
174.					Sold	12/17/18	J	A	
175. BNP PARIBAS	A	Dividend			Sold (part)	04/25/18	K	D	
176.					Sold (part)	04/26/18	J	B	
177.					Sold (part)	04/30/18	J	C	
178.					Sold	11/20/18	J	A	
179. BOEING CO	A	Dividend	K	T					
180. BRENNTAG AG	A	Dividend			Buy	02/22/18	J		
181.					Sold	12/11/18	J	A	
182. BRITISH AMERICAN TOBACCO PLC	B	Dividend			Buy	04/23/18	J		
183.					Buy	05/25/18	J		
184.					Sold	10/18/18	K	A	
185. BROADCOM LTD	A	Dividend			Sold (part)	01/04/18	J	D	
186.					Buy	03/21/18	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 15 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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

A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
187.					Distributed	04/05/18	J	A	TO LINE 188 (Broadcom)
188. BROADCOM INC COM	C	Dividend	M	T	Spinoff (from line 187)	04/05/18	J		
189.					Buy	04/19/18	J		
190.					Buy	07/10/18	J		
191.					Buy	08/15/18	K		
192.					Buy	08/16/18	K		
193.					Buy	08/20/18	J		
194. C H ROBINSON WORLDWIDE INC	A	Dividend			Sold (part)	07/06/18	J	A	
195.					Sold	07/09/18	J	A	
196. CA ED FAC UNIV OF SAN FRANCISCO 5.0% 10/01/21		None			Redeemed	01/03/18	J	A	
197. CA HLTH FAC CEDAR-SINAI MED 5.0% 8/15/21	D	Interest	M	T					
198. CA HLTH HENRY MAYO NEWHALL MEM HOSP AGM 1	C	Interest	M	T					
199. CA INFRA EDB ACADEMY OF SCIENCES 18B FRN (L*0.7+38) 08-01-47	A	Interest	M	T	Buy	07/25/18	M		
200. CA INFRA EDB J. PAUL GETTY 13A-2 FRN (L 0.7 50) (MPT) SF 10-01-47/04-0	B	Interest	M	T					
201. CA INFRA EDB J. PAUL GETTY 15B-1 SIFMA +28BP FRN (MPT) SF 10-01-47/04-	A	Interest			Redeemed	04/05/18	M		
202. CA PUB WKS LEASE REV 17B5.0% 10-01-22	C	Interest			Redeemed	04/05/18	M		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 16 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
203. CA PUB WKS LEASE REV VAR PROJ 131 5.0% 11-01-19	D	Interest	M	T					
204. CA PUB WKS REGENTS UNIV CA C1 5.0% 03/01/19	D	Interest	M	T					
205. CA ST ECON REC 09A 5.0% 07/01/20	C	Interest	M	T					
206. CA ST GO 5.0% 02/01/20	C	Interest	M	T					
207. CA ST GO 5.0% 09/01/24	D	Interest	M	T					
208. CA ST GO VETERANS SFM PAC (100-500) 18CR 4.0% 12/01/48		None	M	T	Buy	09/27/18	M		
209. CA ST GO 5.0% 11/01/23	C	Interest	M	T	Buy	01/29/18	M		
210. CA ST GO 5.0% 11/01/24	C	Interest	M	T	Buy	01/12/18	M		
211. CA STWD ADVENTIST HLTH SYSTEMS WEST 15A 5.0% 03/01/26	C	Interest	M	T					
212. CA STWD ST JOSEPH HLTH FSA 4.5% 07/01/18	B	Int./Div.			Matured	07/02/18	K		
213. CA STWD UCI APT 5.0% 05/15/24	C	Interest	M	T					
214. CA ST GO 5.0% 10/01/2021	C	Interest	L	T	Buy	01/03/18	L		
215. CALIFORNIA STATEWIDE CMNTYS DE VAR REV VAR 08/15/2047	A	Interest	M	T	Buy	08/06/18	M		
216. CARLSBERG A/S B	B	Dividend	L	T	Buy	02/07/18	J		
217.					Buy	10/19/18	J		
218. CERNER CORP		None			Sold (part)	01/26/18	J	C	
219.					Sold (part)	01/30/18	J	B	

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 17 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
220.					Sold (part)	02/05/18	K	D	
221.					Sold (part)	02/06/18	K	D	
222.					Sold	02/20/18	J	C	
223. CHINA TOWER CORP LTD H		None	J	T	Buy	12/14/18	J		
224.					Buy	12/20/18	J		
225.					Buy	12/28/18	J		
226. CHEVRON CORP	C	Dividend	L	T					
227. CHUBB LTD	A	Dividend	K	T					
228. CLEARWATER FL WTR/SWR B 5.0% 12/01/18	D	Interest			Matured	12/03/18	M		
229. CME GROUP INC	D	Dividend	M	T	Buy	07/19/18	J		
230. COCA-COLA CO	A	Dividend	K	T	Sold (part)	04/20/18	J	A	
231.					Sold (part)	04/23/18	J	A	
232. COMCAST CORP CL A	A	Dividend	K	T					
233. COMPAGNIE FINANCIERE RICHEMONT SA REG		None			Sold (part)	07/12/18	J	B	
234.					Sold (part)	07/13/18	J	B	
235.					Sold (part)	07/16/18	J	A	
236.					Sold	07/17/18	J	A	

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**FINANCIAL DISCLOSURE REPORT**

Page 18 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
237. CONOCOPHILLIPS	A	Dividend			Sold (part)	01/19/18	J	A	
238.					Sold	02/21/18	J	B	
239. COSTCO WHOLESALE CORP	A	Dividend	K	T	Buy	06/21/18	J		
240.					Buy	07/09/18	K		
241.					Buy	09/14/18	J		
242.					Buy	09/25/18	K		
243.					Sold (part)	12/17/18	K	A	
244. CROWN CASTLE INTERNATIONAL CORP	B	Dividend	L	T					
245. CSX CORP	A	Dividend	L	T					
246. DANAHER CORP	A	Dividend	K	T					
247. DANONE		None	L	T	Buy	05/31/18	J		
248. DEERE & CO	B	Dividend	L	T	Buy	01/10/18	J		
249.					Sold (part)	12/03/18	J	A	
250. DENSO CORP	A	Dividend	J	T					
251. DIAGEO PLC	A	Dividend	K	T	Buy	10/18/18	J		
252. DIAGEO PLC SPONSORED ADR	A	Dividend	J	T					
253. DKSH HOLDING LTD	A	Dividend	K	T	Buy	10/19/18	J		

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 19 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
254. DNB ASA	B	Dividend	K	T	Buy	01/10/18	J		
255.					Buy	06/21/18	J		
256.					Sold (part)	12/18/18	J	A	
257. DOLLAR GENERAL CORP	A	Dividend			Sold (part)	04/02/18	J	B	
258.					Sold (part)	04/06/18	J	B	
259.					Sold	04/13/18	K	D	
260. DOWDUPONT INC		None			Sold	01/18/18	K	D	
261. DSV A/S	A	Dividend	J	T	Buy	01/23/18	J		
262.					Buy	01/24/18	J		
263.					Buy	01/25/18	J		
264. EATON CORP PLC	A	Dividend			Sold (part)	07/26/18	K	D	
265.					Sold (part)	08/14/18	J	C	
266.					Sold	08/16/18	J	C	
267. ELECTRONIC ARTS		None			Buy	10/01/18	K		
268.					Sold	12/17/18	J	A	
269. ENBRIDGE INC C\$	C	Dividend	L	T	Buy	01/18/18	J		
270.					Sold (part)	04/19/18	J	A	

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 20 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div, rent, or int)	(1) Value Code 2 (J-P)	(2) Value Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
	271.					Sold (part)	04/20/18	J	A
272.					Sold (part)	04/25/18	J	A	
273.					Sold (part)	04/26/18	K	A	
274.					Sold (part)	04/27/18	K	A	
275.					Sold (part)	04/30/18	K	A	
276.					Sold (part)	05/01/18	J	A	
277.					Buy	06/04/18	K		
278.					Buy	06/05/18	J		
279.					Buy	06/06/18	J		
280.					Buy	06/07/18	J		
281.					Buy	06/08/18	J		
282.					Buy	06/29/18	J		
283.					Buy	11/01/18	K		
284.					Buy	11/07/18	J		
285.					Sold (part)	12/17/18	J	A	
286. ENBRIDGE INC US\$	A	Dividend			Sold (part)	04/27/18	J	A	
287.					Sold (part)	04/30/18	J	A	

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**FINANCIAL DISCLOSURE REPORT**

Page 21 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
288.					Sold	05/01/18	J	A	
289. ENEL SPA	A	Dividend	K	T	Sold (part)	12/18/18	J	A	
290. EOG RESOURCES INC	A	Dividend	K	T	Buy	04/04/18	J		
291. EQUIFAX INC	A	Dividend	K	T	Sold (part)	12/17/18	J	A	
292. EQUINIX INC COM	A	Dividend			Buy	08/16/18	J		
293.					Sold	12/17/18	J	A	
294. ERICSSON (LM) B	A	Dividend	K	T	Buy	01/18/18	J		
295. ESSILOR INTL	A	Dividend	J	T	Buy	05/11/18	J		
296.					Buy	05/14/18	J		
297.					Buy	05/15/18	J		
298. ESSILORLUXOTTICA		None	L	T	Buy	11/14/18	J		
299. Express Script Holding Co.		None			Sold	12/21/18	K	D	
300. EXXON MOBIL CORP		None			Sold	01/30/18	K		
301. FACEBOOK INC-A		None	J	T	Buy	03/29/18	J		
302.					Buy	07/10/18	K		
303.					Buy	08/16/18	J		
304.					Sold (part)	11/21/18	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 22 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
305.					Sold (part)	12/17/18	J		
306. FANUC CO	A	Dividend			Sold (part)	01/22/18	K		
307.					Sold (part)	05/09/18	K		
308.					Sold	05/11/18	J		
309. FIRST REPUBLIC BANK	A	Dividend			Buy	08/06/18	J		
310.					Sold	12/17/18	J	A	
311. GENMAB AS		None	K	T	Buy	01/25/18	J		
312.					Buy	01/30/18	J		
313.					Sold (part)	06/21/18	J	A	
314.					Buy	07/23/18	J		
315.					Sold (part)	10/18/18	J	A	
316.					Buy	11/19/18	J		
317.					Buy	11/20/18	J		
318.					Buy	11/21/18	J		
319.					Buy	11/22/18	J		
320.					Buy	12/14/18	J		
321. GILEAD SCIENCES INC	B	Dividend	K	R	Buy	06/04/18	J		

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2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 23 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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

A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
322.					Sold (part)	12/17/18	K	A	
323. GIVAUDAN	A	Dividend	J	T					
324. GLENDALE CA REDEV AGY TAX ALLOC BAM 4.0% 12/01/23	A	Interest			Sold	01/25/18	M	A	
325. GLOBAL PAYMENTS INC	A	Dividend	K	T	Buy	11/28/18	J		
326. GODADDY INC CL A		None	M	T	Buy	01/18/18	J		
327. GOLDEN ST TOBACCO SEC CORP ST APPROP 13A 5.0% 06/01/21	C	Interest	M	T					
328. GOLDEN ST TOBACCO SEC CORP ST APPROP 13A 5.0% 06/01/29	C	Interest	M	T					
329. GUAM BUSS PRIVILEGE TAX 11A 5.0% 01/01/18	C	Interest			Matured	01/02/18	M	A	
330. HAMAMATSU PHOTONIC KK	A	Dividend	K	T					
331. HDFC BANK LTD	A	Dividend	K	T					
332. HELMERICH & PAYNE	A	Dividend			Buy	01/05/18	J		
333.					Sold	12/17/18	J	A	
334. HERMES INTERNATIONAL	A	Dividend	J	T					
335. HEXCEL CORP	A	Dividend	K	T	Sold (part)	01/03/18	J	B	
336.					Sold (part)	01/04/18	J	B	
337. HILTON WORLDWIDE HOLDINGS INC	A	Dividend	L	T	Buy	01/10/18	J		
338.					Buy	01/11/18	J		

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 24 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
339.					Buy	04/11/18	J		
340.					Buy	05/10/18	J		
341.					Buy	06/04/18	J		
342.					Buy	11/02/18	J		
343.					Sold (part)	12/17/18	K	A	
344. HOSHIZAKI CORP	A	Dividend			Sold	12/18/18	J	A	
345. HUMANA INC	A	Dividend			Sold	08/15/18	J	C	
346. HUNTINGTON BANCSHARES INC	A	Dividend	J	T	Sold (part)	12/17/18	J	A	
347. HYUNDAI MTR CO SP ADR	A	Dividend	J	T	Buy	01/04/18	J		
348.					Buy	01/09/18	J		
349.					Buy	06/21/18	J		
350.					Buy	06/25/18	J		
351.					Buy	06/29/18	J		
352.					Sold (part)	10/19/18	J	A	
353.					Sold (part)	10/22/18	J	A	
354.					Sold (part)	10/23/18	J	A	
355.					Sold (part)	10/24/18	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 25 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int.)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
356.					Sold (part)	10/25/18	J	A	
357.					Sold (part)	11/02/18	J	A	
358.					Sold (part)	11/06/18	J	A	
359.					Sold (part)	11/07/18	J	A	
360.					Buy	12/18/18	J		
361.					Buy	12/19/18	J		
362. IBERDROLA SA	A	Distribution	K	T					
363. IDEX CORP	A	Dividend	K	T					
364. IMPERIAL BRANDS PLC	B	Dividend			Sold (part)	03/16/18	K	A	
365.					Buy	04/16/18	J		
366.					Sold	12/18/18	J	A	
367. INCYTE CORP		None			Sold (part)	10/16/18	J	A	
368.					Sold	10/17/18	K	A	
369. INTEGRA LIFESCIENCES HLDGS CP COM NEW		None	J	T	Buy	02/05/18	J		
370.					Buy	02/06/18	J		
371.					Buy	02/08/18	J		
372. INTEL CORP	B	Dividend	L	T	Buy	01/05/18	J		

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2 Value Codes (See Columns C1 and D3)	J=\$15,000 or less N=\$250,001 - \$500,000 P3=\$25,000,001 - \$50,000,000	K=\$15,001 - \$50,000 O=\$500,001 - \$1,000,000	L=\$50,001 - \$100,000 P1=\$1,000,001 - \$5,000,000 P4=More than \$50,000,000	M=\$100,001 - \$250,000 P2=\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 26 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
373. INTERCONTINENTAL EXCHANGE INC	A	Dividend	L	T	Buy	02/15/18	K		
374.					Buy	02/23/18	J		
375.					Buy	02/26/18	J		
376. IRVINE CA REASMT DIST 15-2 5.0% 09/02/29	C	Interest	M	T					
377. JACK HENRY & ASSOC INC	A	Dividend	K	T					
378. JARDINE MATHESON HLD (SINGAPORE)	A	Dividend	K	T					
379. JCDECAUX SA	A	Dividend	J	T	Sold (part)	12/18/18	J	A	
380. JOHNSON & JOHNSON	A	Dividend	K	T	Buy	02/21/18	J		
381.					Buy	12/13/18	J		
382. JPMORGAN CHASE & CO	C	Dividend	L	T	Buy	01/09/18	K		
383.					Sold (part)	09/24/18	J	B	
384.					Sold (part)	10/02/18	J	D	
385.					Sold (part)	12/06/18	K	A	
386. KBC GROEP NV	B	Dividend	K	T	Buy	01/10/18	J		
387.					Sold (part)	06/07/18	J	A	
388.					Sold (part)	06/11/18	J	A	
389.					Sold (part)	06/14/18	J	A	

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2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 27 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
390.					Sold (part)	06/18/18	J	A	
391.					Sold (part)	06/20/18	J	A	
392.					Sold (part)	06/28/18	J	A	
393.					Sold (part)	06/29/18	J	A	
394.					Sold (part)	10/10/18	J	A	
395.					Sold (part)	10/16/18	J	A	
396.					Sold (part)	11/12/18	J	A	
397. KEYENCE CORP	A	Dividend	L	T					
398. KONINKLIJKE KPN NV	A	Dividend	J	T	Sold (part)	10/18/18	J	A	
399.					Sold (part)	10/19/18	J	A	
400.					Buy	12/03/18	J		
401.					Buy	12/04/18	J		
402.					Buy	12/05/18	J		
403. LA CA USD 16A 5.0% 07/01/23	C	Interest	M	T					
404. LA CA USD COPS 12A 5.0% 10/01/22	D	Interest	M	T					
405. LA CA USD GO 16A 5.0% 07/01/24	A	Interest	M	T	Buy	07/16/18	M		
406. LA CO CA MTA SALES TAX REV SR PROP C 13A 5.0% 07/01/20	C	Interest	M	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
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**FINANCIAL DISCLOSURE REPORT**

Page 28 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
407. L'AIR LIQUIDE (L)	A	Dividend	K	T					
408. LAKE ELSINORE CA PUBLIC FING AUTH LOCAL 5.00% 09/01/2027	C	Interest	L	T	Sold (part)	09/04/18	J	A	
409. LAS VEGAS SANDS CORP	D	Dividend	M	T	Buy	10/18/18	K		
410. LILLY ELI & CO	A	Dividend	L	T	Buy	01/10/18	J		
411.					Buy	01/11/18	J		
412. LINDE PLC COM	A	Dividend	K	T	Buy	11/01/18	K		
413. LINK REIT (REIT)	A	Dividend	K	T					
414. LLOYDS TSB GROUP PLC	A	Dividend	J	T	Buy	10/18/18	J		
415.					Sold (part)	12/18/18	K	A	
416. LONDON STOCK EXCHANGE GROUP	A	Dividend	J	T	Buy	02/02/18	J		
417.					Buy	02/06/18	J		
418.					Sold (part)	12/18/18	J	A	
419. L'OREAL	A	Dividend	L	T	Buy	10/18/18	J		
420. LVMH MOET HENNESSY VUITTON SE	A	Dividend	K	T					
421. MARSH & MCLENNAN COS INC	A	Dividend	K	T					
422. MERCK & CO INC	A	Dividend	J	T					
423. MICRO FOCUS INTERNATIONAL PLC	A	Dividend			Buy	01/24/18	J		

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 29 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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424.					Buy	01/29/18	J		
425.					Buy	01/30/18	J		
426.					Buy	01/31/18	J		
427.					Buy	02/01/18	J		
428.					Sold (part)	04/03/18	J	A	
429.					Buy	05/09/18	J		
430.					Sold (part)	08/17/18	J	A	
431.					Sold (part)	08/20/18	J	A	
432.					Sold (part)	08/23/18	J	A	
433.					Sold	08/29/18	J	A	
434. MICROSOFT CORP	A	Dividend	L	T					
435. MONDELEZ INTERNATIONAL INC	A	Dividend	K	T	Buy	01/30/18	J		
436.					Buy	02/01/18	K		
437.					Buy	02/21/18	J		
438. MODERN TIMES GROUP B	A	Dividend	J	T					
439. MONSANTO CO NEW COM	A	Dividend			Sold (part)	01/19/18	K	D	
440.					Sold (part)	02/09/18	J	D	

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**FINANCIAL DISCLOSURE REPORT**

Page 30 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
441.					Sold	02/13/18	J	C	
442. MOODYS CORP	A	Dividend	L	T					
443. MURATA MANUFACTURING CO LTD	A	Dividend	L	T	Buy	12/05/18	K		
444. NASDAQ INC	A	Dividend	J	T	Buy	06/04/18	J		
445. NASPERS LTD SPONSORED ADR	A	Dividend	L	T	Buy	10/18/18	J		
446. NATIONAL GRID PLC		None	K	T	Buy	10/18/18	K		
447. NATIONAL GRID PLC SP ADR	A	Dividend			Sold	12/17/18	J	A	
448. NESTLE NAM SPON ADR	A	Dividend	K	T	Sold (part)	11/21/18	J	A	
449. NESTLE SA REG	A	Dividend	L	T	Buy	07/12/18	K		
450.					Buy	10/19/18	K		
451. NEWELL BRANDS INC	A	Dividend			Buy	01/30/18	J		
452.					Buy	01/31/18	J		
453.					Sold (part)	08/08/18	J	A	
454.					Sold (part)	08/09/18	J	A	
455.					Sold	08/14/18	J	A	
456. NIELSEN HOLDINGS PLC		None			Sold	01/17/18	J	C	
457. NIKE INC CL B	A	Dividend	K	T					

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

**FINANCIAL DISCLOSURE REPORT**

Page 31 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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

A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
458. NO CAL TRANSMISSION (TANC) OR PROJECT 16A 5.0% 05/01/24	D	Interest	M	T					
459. NORTHROP GRUMMAN CORP	A	Dividend			Buy	07/26/18	K		
460.					Buy	09/13/18	J		
461.					Buy	10/01/18	J		
462.					Sold (part)	12/10/18	K	A	
463.					Sold	12/17/18	K	A	
464. NORWEGIAN CRUISE LINE HOLDINGS LTD		None			Sold (part)	06/22/18	J	A	
465.					Sold (part)	07/18/18	J	A	
466.					Sold (part)	07/23/18	J	A	
467.					Sold (part)	07/24/18	J	A	
468.					Sold (part)	07/31/18	J	A	
469.					Sold	08/09/18	J	A	
470. NOVO NORDISK A/S CL B	B	Dividend	L	T	Sold (part)	09/12/18	K	B	
471. NOVO NORDISK A/S CL B ADR	A	Dividend			Sold	05/30/18	K	D	
472. NTT DOCOMO	A	Dividend	J	T					
473. NUTRIEN LTD COM	A	Dividend	K	T	Spinoff (from line 486)	01/04/18	J		POTASH CORP OF SASKATCHEWA
474. OAKLAND USD ALAMEDA CNTY CA 17A 5.0% 08/01/20	C	Interest	M	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 32 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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

A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
475. OCCIDENTAL PETROLEUM CORP	A	Dividend			Sold (part)	01/18/18	K	D	
476.					Sold	01/19/18	J	B	
477. OR PROVIDENCE LHTH C SIFMA +100 FRN (MPT) 10/01/22-09/15/18	B	Interest			Sold	09/17/18	L	A	
478. ORACLE CORP JAPAN		None			Sold (part)	02/21/18	J	C	
479.					Sold	03/05/18	J	C	
480. PALM DESERT REDEV CA BAM 17A 5.0% 10/01/26	D	Interest	M	T					
481. PASADENA CA CDP .0% 02/01/20		None	L	T					
482. PERNOD RICARD SA	A	Dividend	L	T					
483. PHILIP MORRIS INTERNATIONA INC	B	Dividend	K	T	Buy	02/09/18	K		
484.					Buy	10/22/18	J		
485.					Buy	12/13/18	K		
486. POTASH CORP OF SASKATCHEWAN INC C\$		None			Distributed	01/04/18	J	A	(SEE LINE 473 NUTRIEN LTD)
487. PRAXAIR INC	A	Dividend	J	T					
488. PROCTOR & GAMBLE CO	A	Dividend			Sold	08/15/18	J	B	
489. PRUDENTIAL PLC	A	Dividend	J	T					
490. QUALCOMM INC	B	Distribution	K	T	Buy	02/27/18	K		
491.					Sold (part)	04/26/18	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 33 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
492.					Sold (part)	08/15/18	L	D	
493. RECKITT BENCKISER GROUP PLC	B	Dividend	L	T	Buy	06/05/18	J		
494.					Buy	11/29/18	K		
495. RENAISSANCERE HLDGS LTD	A	Dividend	K	T	Buy	04/25/18	J		
496.					Buy	04/30/18	J		
497. RHEINMETALL AG	A	Dividend			Buy	02/27/18	J		
498.					Buy	02/28/18	J		
499.					Buy	03/01/18	J		
500.					Sold (part)	10/18/18	J	A	
501.					Sold	10/26/18	J	A	
502. RIO TINTO PLC REG	A	Dividend	J	T					
503. ROCHE HOLDING AG GENUSSSCHEIN	A	Dividend			Sold (part)	01/30/18	K	A	
504.					Sold (part)	01/31/18	K	A	
505.					Sold (part)	02/02/18	J	A	
506.					Sold	06/21/18	J	A	
507. ROYAL CARIBBEAN CRUISES	A	Dividend			Sold (part)	01/03/18	J	C	
508.					Sold (part)	01/04/18	J	C	

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

**FINANCIAL DISCLOSURE REPORT**

Page 34 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
509.					Sold (part)	04/05/18	K	D	
510.					Sold (part)	05/15/18	J	C	
511.					Sold	06/21/18	J	C	
512. ROYAL DUTCH SHELL CL B ADR	D	Dividend	L	T	Buy	02/21/18	J		
513.					Buy	09/25/18	J		
514.					Buy	09/26/18	J		
515.					Buy	10/18/18	J		
516.					Sold (part)	12/17/18	K	A	
517. RYANAIR HOLDINGS PLC SP ADR		None	K	T	Buy	01/08/18	J		
518.					Sold (part)	10/16/18	K	A	
519.					Sold (part)	10/16/18	K	A	
520.					Buy	11/19/18	J		
521.					Buy	12/04/18	J		
522.					Buy	12/07/18	J		
523. SAFRAN SA	B	Dividend	M	T	Buy	10/02/18	K		
524.					Sold (part)	12/18/18	K	A	
525. SAMPO OYJ A SHS	B	Dividend	K	T					

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

**FINANCIAL DISCLOSURE REPORT**

Page 35 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
526. SAMSONITE INTERNATIONAL SA	A	Dividend	K	T	Sold (part)	12/18/18	J	A	
527. SAN DIEGO CA REGL AIRPORT A 5.0% 07/01/18	C	Interest			Matured	07/02/18	L	A	
528. SAN DIEGO CA USD GO 17H-25.0% 07/01/20	C	Interest			Distributed	11/13/18	J	A	To Line 529
529. SAN DIEGO CALIF UNI SCH DIST GO BDS H-2 5.00% 07/01/2020		None	M	T	Spinoff (from line 528)	11/13/18	J		
530. SAN FRAN ARPT 2ND 06F NATL-FGIC 5.25% 05/01/20	D	Interest	M	T					
531. SAN JUAN CALIF UNI SCH DIST GO BDS DTD 01/22/2019 4.00% 08/01/2025		None	M	T	Buy	12/19/18	M		
532. SAN RAMON CA REDEV TAX ALLOC BAM 15A 5.0% 02/01/24	C	Interest	M	T					
533. SANTA CRUZ CA REDEV TAX ALLOC 16A 5.0% 09/01/25	D	Interest	M	T					
534. SAP SE	A	Dividend	K	T	Buy	03/22/18	J		
535.					Buy	07/10/18	J		
536.					Sold (part)	12/18/18	J	A	
537. SCHLUMBERGER LTD	B	Dividend	K	T	Buy	01/10/18	K		
538.					Buy	01/18/18	J		
539.					Buy	10/18/18	K		
540.					Sold (part)	12/17/18	K	A	
541. SCPPA MAGNOLIA PWR 11-A 5.00% 07/01/20	C	Interest	M	T					
542. SCPPA MEAD-ADELANTO 12A 5.0% 07/01/18	D	Interest			Matured	07/02/18	M	A	

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



**FINANCIAL DISCLOSURE REPORT**

Page 36 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
543. SEATTLE GENETICS INC		None	K	T	Buy	02/05/18	J		
544.					Buy	02/06/18	J		
545.					Buy	10/17/18	J		
546.					Buy	10/18/18	J		
547.					Sold (part)	12/17/18	K	A	
548. SEMPRA ENERGY	B	Dividend	K	T					
549. SES FDR CL A (PARIS)	A	Dividend	J	T	Sold (part)	12/18/18	J	A	
550. SHIN ETSU CHEM CO LTD	A	Dividend	K	T	Buy	01/18/18	K		
551.					Buy	03/22/18	J		
552.					Buy	07/03/18	J		
553.					Sold (part)	10/18/18	K	A	
554.					Sold (part)	10/19/18	K	A	
555.					Buy	11/20/18	K		
556.					Buy	11/21/18	K		
557. SMS CORP	A	Dividend	K	T	Sold (part)	02/15/18	K	D	
558. SOFTBANK GROUP CORP	A	Dividend	K	T	Sold (part)	11/28/18	K	A	
559. STARBUCKS CORP	A	Dividend	K	T	Sold (part)	07/03/18	J	B	

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

**FINANCIAL DISCLOSURE REPORT**

Page 37 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
560.					Sold (part)	07/09/18	J	A	
561.					Sold (part)	08/16/18	J	D	
562. STATE STREET CORP	A	Dividend			Buy	01/29/18	J		
563.					Buy	01/30/18	J		
564.					Buy	01/31/18	J		
565.					Buy	02/15/18	J		
566.					Buy	02/16/18	J		
567.					Buy	03/21/18	J		
568.					Sold (part)	10/17/18	J	A	
569.					Sold (part)	10/18/18	K	A	
570.					Sold	12/17/18	J	A	
571. STATE STREET INSTITUTIONAL TREAS MMKT FD PREM	C	Dividend	J	T					
572. STATE STREET INSTL US GOVT MMKT FUND	D	Dividend	P1	T					
573. STEEL DYNAMICS INC	A	Dividend			Buy	02/14/18	J		
574.					Buy	02/16/18	J		
575.					Sold	12/07/18	J	A	
576. SVB FINANCIAL GROUP		None	K	T	Buy	12/13/18	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 38 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
577. SVENSKA HANDELSBANKEN AB CL A SHS	A	Dividend	J	T	Buy	06/08/18	J		
578.					Buy	06/11/18	J		
579.					Buy	06/12/18	J		
580.					Buy	06/14/18	J		
581.					Buy	06/15/18	J		
582.					Buy	06/18/18	J		
583.					Buy	06/19/18	J		
584.					Buy	06/20/18	J		
585.					Buy	06/28/18	J		
586.					Buy	06/29/18	J		
587.					Sold (part)	12/11/18	J	A	
588.					Sold (part)	12/18/18	J	A	
589. TAIWAN SEMICONDUCTOR SPONS ADR	C	Dividend	M	T	Buy	11/29/18	K		
590. TEMPUR SEALY INTERNATIONAL INC		None			Sold (part)	03/01/18	J	A	
591.					Sold	03/05/18	J	A	
592. TENCENT HOLDINGS LTD COM	A	Dividend			Buy	03/21/18	J		
593.					Buy	03/23/18	J		

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 39 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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

A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
594.					Sold	10/18/18	J	A	
595. TEXAS INSTRUMENTS INC	A	Dividend	J	T					
596. TORONTO DOMINION BANK	A	Dividend	J	T	Buy	06/20/18	J		
597.					Sold (part)	12/17/18	J	A	
598. TRANSDSIGN GROUP INC		None	K	T					
599. TUOLUMNE WIND REV CA TURLOCK IRR DT 5.25% 01/01/24	D	Interest	M	T					
600. TURLOCK CA IRR DIST 5.0% 01/01/19	C	Interest	L	T					
601. UBS GROUP AG	A	Dividend			Sold	06/21/18	J	A	
602. UC REGENTS CA LTD PROJ 12G 5.0% 05/15/22	D	Interest	M	T					
603. UNI-CHARM CORP		None	J	T	Buy	11/30/18	J		
604. UNITEDHEALTH GROUP INC	A	Dividend	L	T	Buy	05/11/18	J		
605. UNIV SOUTH CALIFORNIA CA 12A 5.0% 10/01/23	B	Interest	M	T	Buy	07/17/18	M		
606. VANGUARD REAL ESTATE INDEX ADMIRAL	E	Dividend	P1	T	Buy	02/13/18	P1		
607.					Buy	03/23/18	J		
608.					Buy	06/15/18	J		
609.					Buy	09/21/18	K		
610.					Buy	10/18/18	K		

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 40 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
611.					Buy	12/12/18	J		
612. VERISIGN INC		None			Sold	01/11/18	J	D	
613. VERIZON COMMUNICATIONS	A	Dividend			Sold	02/21/18	J	A	
614. VIACOM INC CLASS B	A	Dividend			Sold	05/17/18	K	B	
615. VISA INC CL A	A	Dividend	M	T					
616. VODAFONE GROUP PLC	B	Dividend	J	T	Sold (part)	08/16/18	K	A	
617.					Sold (part)	08/17/18	J	A	
618.					Buy	12/14/18	J		
619. VTECH HOLDINGS LTD	C	Dividend	J	T	Buy	10/19/18	K		
620.					Sold (part)	11/22/18	J	A	
621.					Sold (part)	11/26/18	J	A	
622.					Sold (part)	11/28/18	J	A	
623.					Sold (part)	11/30/18	J	A	
624.					Sold (part)	12/05/18	J	A	
625.					Sold (part)	12/21/18	J	A	
626.					Sold (part)	12/24/18	J	A	
627.					Sold (part)	12/27/18	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 41 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
628. WALGREENS BOOTS ALLIANCE INC	A	Dividend	K	T	Buy	06/05/18	J		
629.					Buy	06/07/18	J		
630.					Buy	06/18/18	J		
631.					Buy	06/28/18	J		
632. WASTE CONNECTIONS INC	A	Dividend	K	T					
633. WASTE MANAGEMENT INC		None			Sold	02/21/18	J	D	
634. WELLS FARGO & CO	B	Dividend			Buy	10/18/18	J		
635.					Sold	12/17/18	J	A	
636. WESTINGHOUSE AIR BRAKE TECHNOLOGIES CORP (DBA WABTEC CORP)	A	Dividend			Buy	08/01/18	J		
637.					Buy	08/15/18	J		
638.					Buy	08/17/18	J		
639.					Buy	08/20/18	J		
640.					Buy	09/06/18	J		
641.					Buy	09/10/18	J		
642.					Buy	11/02/18	J		
643.					Sold (part)	12/07/18	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 42 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
644.					Sold (part)	12/11/18	J	A	
645.					Sold (part)	12/12/18	J	A	
646.					Sold (part)	12/27/18	J	A	
647.					Sold	12/31/18	J	A	
648. WYNN MACAU LTD	A	Dividend			Buy	07/20/18	J		
649.					Buy	07/23/18	J		
650.					Buy	10/05/18	J		
651.					Sold (part)	11/22/18	J	A	
652.					Sold	11/23/18	J	A	
653. XILINX INC	A	Dividend			Sold (part)	03/27/18	J	B	
654.					Sold	04/11/18	J	A	
655. YUM BRANDS INC	A	Dividend	K	T					
656. YUM CHINA HOLDINGS INC	A	Dividend			Sold (part)	06/01/18	J	B	
657.					Sold (part)	07/10/18	J	C	
658.					Sold	07/11/18	J	C	
659.									
660. Trust #2 [REDACTED]									

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 43 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
661. AMERICAN FUNDS DEVELOPING WORLD GROWTH AND INCOME FUND CL F3	B	Dividend	L	T	Sold (part)	02/23/18	J	A	
662.					Buy	03/23/18	J		
663.					Sold (part)	03/26/18	J	A	
664.					Buy	06/22/18	J		
665.					Buy	09/21/18	J		
666.					Buy	12/24/18	J		
667. CAPITAL GROUP ALTERNATIVE STRATEGIES FUND, LP		None	O	T	Buy	09/27/18	K		
668. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	O	T	Buy	01/30/18	J		
669.					Buy	02/23/18	L		
670.					Buy	02/27/18	J		
671.					Sold (part)	03/26/18	K	A	
672.					Buy	03/28/18	J		
673.					Buy	04/27/18	J		
674.					Buy	05/30/18	J		
675.					Sold (part)	06/22/18	J	A	
676.					Buy	06/28/18	J		

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FINANCIAL DISCLOSURE REPORT

Page 44 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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

Table with 10 columns: A (Description of Assets), B (Income during reporting period), C (Gross value at end of reporting period), D (Transactions during reporting period), and sub-columns for each. Includes instructions like 'Place "(X)" after each asset exempt from prior disclosure'.

Main data table with rows 677-693. Columns include asset descriptions, income types, values, and transaction dates/gains. Row 684 is highlighted with specific codes.

Legend table for codes: 1 Income Gain Codes, 2 Value Codes, 3 Value Method Codes. Lists codes A through W and their corresponding value ranges or methods.

**FINANCIAL DISCLOSURE REPORT**

Page 45 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
694.					Buy	08/30/18	J		
695.					Buy	09/27/18	J		
696.					Buy	10/30/18	J		
697.					Buy	11/29/18	J		
698.					Sold (part)	12/17/18	J	A	
699.					Sold (part)	12/18/18	J	A	
700.					Buy	12/28/18	J		
701. CAPITAL GROUP GLOBAL EQUITY FUND	E	Dividend	P1	T	Sold (part)	02/01/18	J	A	
702.					Sold (part)	02/23/18	M	E	
703.					Sold (part)	04/26/18	J	A	
704.					Sold (part)	06/22/18	K	D	
705.					Sold (part)	07/26/18	J	A	
706.					Sold (part)	10/25/18	J	A	
707. CGASF LIQUIDATING PORTFOLIO		None			Sold	09/27/18	K	B	
708. HARBOURVEST 2015 GLOBAL FUND HOLDINGS LP		None	M	T	Buy	03/29/18	K		
709.					Buy	06/28/18	J		
710.					Buy	09/28/18	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 46 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
711.					Buy	12/21/18	J		
712. HARBOURVEST 2017 GLOBAL FUND HOLDINGS LP		None	M	T	Buy	03/28/18	K		
713.					Buy	06/28/18	K		
714.					Buy	09/27/18	J		
715.					Buy	12/18/18	K		
716. STATE STREET INSTL US GOVT MMKT INVESTOR CLASS FUND #5325	A	Dividend	J	T					
717.									
718. MS Brokerage Asset Acct.									
719. Alhambra CA Sch Dist 3.0% 08/01/26	C	Interest	M	T					
720. Amazon Inc.		None	J	T					
721. Belmont CA Fing Auth 4.0% 09/01/26	C	Interest	M	T					
722. Buttonwillow CA Sch Dist 5.5% 11/01/27	C	Interest	L	T					
723. CA St Dept Wtr 5.00% 05/01/21	B	Interest			Redeemed	05/01/18	L		
724. CA ST GO 3.00% 03/01/29	C	Interest	M	T					
725. CA ST GO 5.00% 08/01/30	D	Interest	M	T					
726. CA ST GO 5.00% 08/01/33	D	Interest	M	T					
727. CA ST GO 4.00% 09/01/35	D	Interest	M	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 47 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
728. CA ST GO 5.00% 11/01/29	D	Interest	M	T	Buy	06/28/18	M		
729. CA ST FOR PREVIOUS ISSUE 5.00% 09/01/31	D	Interest	M	T	Buy	03/21/18	M		
730. CA ST FOR PREVIOUS ISSUE 4.00% 09/01/34	D	Interest	M	T					
731. CA ST PUB WORKS 5.00% 11/01/34	C	Interest	M	T					
732. CA ST Pub Works 5.25% 12/01/26	D	Interest	M	T					
733. CA ST Pub Works 5.25% 06/01/20	C	Interest	L	T					
734. CA ST Pub Works 4.200% 05/01/19	C	Interest	M	T					
735. CA ST Pub Works 5.000% 09/01/29	D	Interest	M	T					
736. CA ST Pub Works 3.00% 12/01/28	C	Dividend	M	T					
737. CA ST Pub Works 3.375% 12/01/32	C	Dividend	L	T					
738. CA ST Pub Works 5.25% 10/01/29	D	Interest	M	T	Buy	06/28/18	M		
739. Carmichael CA WTR Dist 5.0% 11/01/25	B	Interest	L	T					
740. Chino Hills CA Tax Rev 4.25% 09/01/24	B	Interest	L	T					
741. Chula Vista CA Sch Dist 4.0% 08/01/26	D	Interest	M	T					
742. Colton CA Sch Dist 3.25% 08/01/26	C	Interest	M	T					
743. Compton CA WTR Rev 5.625% 08/01/27	D	Interest	M	T					
744. Contra Costa CA Community Coll. 4.0% 08/01/28	C	Interest	L	T					

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

**FINANCIAL DISCLOSURE REPORT**

Page 48 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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

A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
745. Cupertino CA CTFS 3.0% 07/01/26	C	Interest	M	T					
746. Delano CA Sch Dist 4.000% 02/01/25	C	Interest	M	T					
747. Desert CA Comm Coll 5.00% 08/01/35	D	Interest	M	T					
748. East Bay CA Wtr Rev 5.00% 06/01/33	D	Interest	M	T					
749. East Side Sch Dist 5.0% 08/01/24	C	Interest	L	T					
750. El Monte CA Sch Dist 5.000% 06/01/22	B	Interest			Redeemed	06/11/18	M		
751. Fairfield CA Sch Dist 4.000% 08/01/27	C	Interest	L	T					
752. Fairfield CA Sch Dist 3.0% 08/01/28	C	Interest	M	T					
753. Fontana CA Pub Fing 4.000% 09/01/18	C	Interest			Matured	09/04/18	M		
754. Fremont CA Sch Dist 5.0% 08/01/25	C	Interest	L	T					
755. Glendora CA Sch Dist 4.000% 08/01/28	C	Interest	M	T					
756. Gilead Sci Inc	B	Dividend	K	T	Sold (part)	11/08/18	M		
757. Hemet CA Sch Dist 4.0% 08/01/23	C	Interest	M	T					
758. Hollister CA Sch Dist 5.00% 09/01/30	C	Interest	L	T					
759. Hollister CA Waste Wtr 5.00% 06/01/35	D	Interest	M	T					
760. Huntington Beach CA Pub Fing 5.0% 09/01/25	C	Interest	M	T					
761. Imperial CNTY CA Trans. 3.25% 06/01/23	B	Interest	L	T					

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 49 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
762. Illumina Inc		None	L	T					
763. Intercept Inc		None	O	T	Buy	01/25/18	L		
764.					Buy	11/08/18	O		
765. Incyte Inc		None	L	T	Sold (part)	11/08/18	M		
766. Jefferson CA Sch Dist. 5.00% 08/01/26	C	Interest	M	T					
767. Jefferson CA Sch Dist. 5.0% 07/15/26	C	Interest	M	T					
768. Lake Arrowhead CA Dist Wtr 4.500% 10/01/26	C	Interest	L	T					
769. Liberty CA High Sch 4.250% 08/01/26	B	Interest	L	T					
770. Lodi CA Elec Sys 4.5% 07/01/25	B	Interest			Redeemed	07/02/18	L		
771. Los Angeles CA Comm College 5.0% 08/01/26	A	Interest			Redeemed	08/01/18			
772. Los Angeles Comm College 5.00% 08/01/30	C	Interest	M	T					
773. Los Angeles CA DWP 5.0% 07/01/26	C	Interest			Redeemed	07/02/18	M		
774. Malibu CA CTFS 4.5% 07/01/27	C	Interest	M	T					
775. Oxnard CA Fing Auth 4.750% 06/01/24	C	Interest			Redeemed	11/28/18	M		
776. Palm Springs CA Sch Dist. 3.00% 08/01/30	D	Interest	M	T					
777. Palm Springs Sch Dist 3.0% 08/01/27	C	Interest	M	T					
778. Palm Springs Sch Dist 2.50% 08/01/32	B	Interest	K	T	Buy	01/29/18	K		

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 50 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
779. Pasadena CA CTFS 5.0% 02/01/24	A	Interest			Redeemed	02/04/18	M		
780. Pasadena CA Elec Rev 4.0% 08/01/24	B	Interest	L	T					
781. Perris CA Sch Dist 5.000% 09/01/28	B	Interest	K	T					
782. Placentia-Yorba Linda CA Sch Dist 2.75% 08/01/26	C	Interest	M	T					
783. Redding CA Elec Sys 5.0% 06/01/27	A	Interest			Redeemed	04/01/18	K		
784. Redlands CA Sch Dist 5.000% 07/01/25		None			Redeemed	01/11/18	M		
785. Redondo Beach CA Sch Dist 4.0% 08/01/25	C	Interest	M	T					
786. Redondo Beach CA Sch Dist 5.0% 08/01/30	C	Interest	L	T	Buy	01/29/18	L		
787. Riverside CA Sewer Sys 5.000% 08/01/28	D	Interest	M	T					
788. Rowland CA Sch Dist 3.000% 08/01/29	C	Interest	M	T					
789. San Bernardino CA Comm College 5.000% 08/01/28	D	Interest	M	T					
790. San Bernardino CA Sch Dist 5.0% 08/11/31	C	Interest	M	T	Buy	03/25/18	M		
791. San Bruno CA Pub Fin 5.00% 07/01/30	D	Interest	M	T					
792. San Diego CA Conv. Cnt 5.0% 04/15/26	D	Interest	M	T					
793. San Diego PFFA 5.0% 10/15/25	D	Interest	N	T					
794. San Diego CA Sch Dist 5.5% 07/01/24	D	Interest	M	T					
795. San Diego CNTY CA Regl Trans 5.0% 04/01/29	D	Interest	M	T					

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2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 51 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
796. San Dieguito CA Sch Dist 4.0% 08/01/31	C	Interest	M	T	Buy	08/29/18	M		
797. San Francisco Comm College 5.000% 06/15/27	D	Interest	M	T					
798. San Francisco CA Pub Util 5.0% 11/01/25	C	Interest	M	T					
799. San Francisco CA Pub Util 5.0% 11/01/26	C	Interest	L	T					
800. San Francisco CA Pub Util 4.0% 11/01/30	C	Interest	M	T	Buy	08/27/18	M		
801. San Francisco CA City & County 3.25% 06/15/34	C	Interest	L	T	Buy	05/27/18	M		
802. San Francisco CA City & County 3.0% 06/15/29	C	Interest	M	T	Buy	05/30/18	M		
803. San Gabriel CA Sch Dist 5.25% 08/01/24	C	Interest			Redeemed	08/01/18	M		
804. San Juan CA Sch Dist 5.0% 08/01/25	C	Interest	L	T					
805. San Leandro CA Sch Dist 4.5% 08/01/26	C	Interest	L	T					
806. Santa Ana College IMP 5.0% 08/01/30	D	Interest	M	T	Buy	01/29/18	M		
807. Santa Clara CA Sch Dist 3.000% 07/01/28	D	Interest	M	T					
808. Santa Monica CA Redev Agy 5.0% 07/01/32	C	Interest	M	T	Buy	07/25/18	M		
809. Santa Rosa CA Wtr Rev 5.0% 09/01/26	D	Interest	M	T					
810. Seattle Genetics		None	K	T					
811. Sonoma CA Comm Dev 5.00% 06/01/29	C	Interest	M	T					
812. So Cal Logistics 4.125% 12/01/20	B	Interest	K	T	Sold (part)	12/01/18	K		

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 52 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
813. Stockton CA Sch Dist 5.000% 08/01/27	C	Interest	M	T					
814. VBIV Vaccines (formerly SCIVAC Therapeutics)		None	J	T					
815. Yountville CA Fin Auth 4.375% 10/01/24	B	Interest			Redeemed	10/01/18	L		
816. Yosemite CA Comm. College 5.0% 08/01/25	C	Interest	M	T					
817. Yosemite CA Comm. College 5.000% 08/01/29	C	Interest	L	T					
818. MS Bank Deposit	A	Interest	J	T					
819. FS Equity Partners IV									
820. Sur La Table		None	M	U					
821. FS Equity Partners V									
822. El Pollo Loco Inc common stock		None	N	T					
823. FS Equity Partners VI									
824. Floor and Decor common stock	G	Dividend	P1	T	Sold (part)	05/23/18	P1	H1	
825.					Sold (part)	09/18/18	P1	H1	
826. Boot Barn common stock	G	None			Sold	05/23/18	P1	H1	
827. MicroStar common stock			O	U					
828. Arhaus common stock		None	O	U					
829. totes Isotoner Holdings Corp. common stock		None	O	U					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 53 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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830. FS Equity Partners VII									
831. totes Isotoner Holdings Corp. common stock		None	M	U					
832. Plantation Products, LLC		None	O	U					
833. Regent Holding Company		None	N	U					
834. Osprey Packs, Inc.		None	N	U					
835. ISN Holding Corp		None	O	U					
836. City Barbeque, Inc.		None	M	U					
837. BPB Holdings Corp		None	O	U					
838. Cafe Rio comm stock		None	O	U					
839. PF Baseline Fitness common stock		None	M	U					
840. CRH Healthcare Holdings		None	O	U	Buy	12/12/18	O		
841. Riordan Venture Association									
842. TW Holdings common stock		None			Sold	04/13/18	J		
843. Avella, Inc. preferred stock		None			Sold	08/14/18	K	C	
844. Mondo (formerly Bluewolf Group LLC)		None			Sold	09/20/18	K	A	
845. Siteworx		None	J	U					
846. Chartis Group		None	J	U					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
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**FINANCIAL DISCLOSURE REPORT**

Page 54 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
847. RGM Group		None			Sold	12/13/18	J		
848. Patient Care America (formerly DCRX Infusion)		None	J	U					
849. Clarity Solution Group		None	L	U					
850. Inspirage LLC		None	K	U					
851. Utegration		None	J	U					
852. Clearview Corp		None	K	U					
853. Illuminate Holdings		None	J	U	Buy	09/11/18	J		
854. Biorasi Holdings		None	K	T	Buy	10/24/18	K		
855. Bistro 45 common stock	A	Dividend	J	U					
856. MS Retire Accts (401k-profit)									
857. Invesco Pacific Growth Fund	B	Dividend	M	T					
858. MSDW Liquid Asset Account Trust Fund	A	Dividend	K	T					
859. HP Inc (formerly Hewlett Packard) common stock	A	Dividend			Sold	12/14/18	K	A	
860. Proctor & Gamble common stock	D	Dividend	M	T					
861. Altria Group common stock	B	Dividend	K	T					
862. Cisco Sys common stock	B	Dividend	L	T					
863. Kraft Foods Inc common stock	A	Dividend			Sold	12/12/18	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 55 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
864. Mondelez Int'l common stock	A	Dividend			Sold	12/12/18	K	A	
865. Philip Morris	B	Dividend	K	T	Sold (part)	12/12/18	K	A	
866. Gilead Science	C	Dividend	L	T					
867. Hewlett Packard Enterprise	A	Dividend			Sold	12/12/18	J	A	
868. Editas Med Inc		None	K	T	Buy	01/15/18	K		
869. Incyte Corp		None	K	T	Buy	02/21/18	K		
870. Invesco Div. Growth Fund	D	Dividend	M	T					
871. American Funds New World Fund	D	Dividend	O	T					
872. Trust #4 (IR-W)									
873. CAPITAL GROUP ALTERNATIVE STRATEGIES FUND, LP		None	O	T	Buy	09/27/18	K		
874. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	O	T	Buy	01/30/18	J		
875.					Buy	02/27/18	J		
876.					Buy	03/28/18	J		
877.					Buy	04/27/18	J		
878.					Buy	05/30/18	J		
879.					Buy	06/28/18	J		
880.					Buy	07/30/18	J		

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

**FINANCIAL DISCLOSURE REPORT**

Page 56 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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

A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
881.					Buy	08/30/18	J		
882.					Buy	09/27/18	J		
883.					Buy	10/30/18	J		
884.					Buy	11/29/18	J		
885.					Sold (part)	12/18/18	J	A	
886.					Buy	12/28/18	J		
887. CAPITAL GROUP CORE MUNICIPAL FUND	C	Dividend	M	T	Buy	01/30/18	J		
888.					Buy	02/27/18	J		
889.					Buy	03/28/18	J		
890.					Buy	04/27/18	J		
891.					Buy	05/30/18	J		
892.					Buy	06/28/18	J		
893.					Buy	07/30/18	J		
894.					Buy	08/30/18	J		
895.					Buy	09/27/18	J		
896.					Buy	10/30/18	J		
897.					Buy	11/29/18	J		

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

**FINANCIAL DISCLOSURE REPORT**

Page 57 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
898.					Sold (part)	12/18/18	J	A	
899.					Buy	12/28/18	J		
900. AMERICAN FUNDS CAPITAL INCOME BUILDER CL F3	C	Dividend	M	T	Buy	03/14/18	J		
901.					Buy	06/13/18	J		
902.					Buy	09/12/18	J		
903.					Sold (part)	12/18/18	J	A	
904.					Buy	12/21/18	J		
905. AMERICAN FUNDS CAPITAL WORLD GROWTH AND INCOME FUND CL F3	D	Dividend	N	T	Buy	03/14/18	J		
906.					Sold (part)	03/26/18	J	A	
907.					Buy	06/13/18	J		
908.					Sold (part)	06/22/18	J	A	
909.					Buy	09/12/18	J		
910.					Buy	12/18/18	K		
911.					Sold (part)	12/18/18	J	A	
912.					Buy	12/19/18	K		
913. CGASF LIQUIDATING PORTFOLIO		None			Sold	09/27/18	K	B	
914. AMERICAN FUNDS EUROPACIFIC GROWTH FUND CL F3	B	Dividend	M	T	Sold (part)	03/26/18	J	A	

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

**FINANCIAL DISCLOSURE REPORT**

Page 58 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
915.	C	Distribution			Buy	06/13/18	J		
916.	B	Distribution			Buy	12/20/18	J		
917.					Buy	12/27/18	J		
918. AMERICAN FUNDS FUNDAMENTAL INVESTORS CL F3	D	Dividend	O	T	Buy	03/16/18	J		
919.					Sold (part)	03/26/18	J	A	
920.	C	Distribution			Buy	06/15/18	J		
921.					Sold (part)	06/22/18	J	A	
922.					Buy	09/14/18	J		
923.					Sold (part)	12/18/18	J	A	
924.					Buy	12/21/18	K		
925. AMERICAN FUNDS GROWTH FUND OF AMERICA CL F3	C	Dividend	O	T	Sold (part)	02/01/18	J	A	
926.					Sold (part)	03/26/18	J	B	
927.					Sold (part)	04/26/18	J	A	
928.					Sold (part)	06/22/18	J	C	
929.					Sold (part)	07/26/18	J	A	
930.					Sold (part)	10/25/18	J	A	
931.					Sold (part)	12/18/18	J	A	

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

**FINANCIAL DISCLOSURE REPORT**

Page 59 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
932.					Buy	12/21/18	J		
933. HARBOURVEST 2015 GLOBAL FUND HOLDINGS LP		None	M	T	Buy	03/29/18	K		
934.					Buy	06/28/18	J		
935.					Buy	09/28/18	J		
936.					Buy	12/21/18	J		
937. HARBOURVEST 2017 GLOBAL FUND HOLDINGS LP		None	M	T	Buy	03/28/18	K		
938.					Buy	06/28/18	K		
939.					Buy	09/27/18	J		
940.					Buy	12/18/18	K		
941. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F3	D	Dividend	N	T	Sold (part)	03/26/18	J		
942.					Sold (part)	06/22/18	J		
943.					Sold (part)	12/18/18	J		
944.					Buy	12/21/18	K		
945. AMERICAN FUNDS NEW WORLD FUND CL F3	D	Dividend	N	T	Sold (part)	03/26/18	J		
946.	C	Distribution			Buy	12/21/18	J		
947.					Buy	12/24/18	J		
948. AMERICAN FUNDS SMALLCAP WORLD FUND CL F3		None	M	T	Sold (part)	03/26/18	J		

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



FINANCIAL DISCLOSURE REPORT

Page 60 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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.)

Table with 4 main columns: A (Description of Assets), B (Income during reporting period), C (Gross value at end of reporting period), and D (Transactions during reporting period). Sub-columns include Amount, Type, Value, Date, Gain, and Identity of buyer/seller.

Main data table with rows 949-965. Columns include Description of Assets, Income Type, Value, and Transaction details (Date, Type, Gain).

Legend table defining codes for Income Gain, Value, and Value Method. Includes categories like A=\$1,000 or less, B=\$1,001 - \$2,500, etc.

**FINANCIAL DISCLOSURE REPORT**

Page 61 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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

A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
966.					Sold (part)	12/18/18	J	A	
967.					Buy	12/28/18	J		
968. CAPITAL GROUP CORE MUNICIPAL FUND	C	Dividend	M	T	Buy	01/30/18	J		
969.					Buy	02/27/18	J		
970.					Buy	03/28/18	J		
971.					Buy	04/27/18	J		
972.					Buy	05/30/18	J		
973.					Buy	06/28/18	J		
974.					Buy	07/30/18	J		
975.					Buy	08/30/18	J		
976.					Buy	09/27/18	J		
977.					Buy	10/30/18	J		
978.					Buy	11/29/18	J		
979.					Sold (part)	12/18/18	J	A	
980.					Buy	12/28/18	J		
981. AMERICAN FUNDS CAPITAL INCOME BUILDER CL F3	C	Dividend	M	T	Buy	03/14/18	J		
982.					Buy	06/13/18	J		

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

**FINANCIAL DISCLOSURE REPORT**

Page 62 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
983.					Buy	09/12/18	J		
984.					Sold (part)	12/18/18	J	A	
985.					Buy	12/21/18	J		
986. AMERICAN FUNDS CAPITAL WORLD GROWTH AND INCOME FUND CL F3	D	Dividend	N	T	Buy	03/14/18	J		
987.					Sold (part)	03/26/18	J	A	
988.					Buy	06/13/18	J		
989.					Sold (part)	06/22/18	J	A	
990.					Buy	09/12/18	J		
991.					Sold (part)	12/18/18	K	A	
992.					Buy	12/18/18	K		
993. CGASF LIQUIDATING PORTFOLIO		None			Sold	09/27/18	K	B	
994. AMERICAN FUNDS EUROPACIFIC GROWTH FUND CL F3	B	Dividend	M	T	Sold (part)	03/26/18	J	A	
995.					Buy	06/13/18	J		
996.					Buy	12/20/18	J		
997.					Buy	12/27/18	J		
998. AMERICAN FUNDS FUNDAMENTAL INVESTORS CL F3	D	Dividend	O	T	Buy	03/16/18	J		
999.					Sold (part)	03/26/18	J	A	

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

**FINANCIAL DISCLOSURE REPORT**

Page 63 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1000.					Buy	06/15/18	J		
1001.					Sold (part)	06/22/18	J	A	
1002.					Buy	09/14/18	J		
1003.					Sold (part)	12/18/18	J	A	
1004.					Buy	12/21/18	K		
1005. AMERICAN FUNDS GROWTH FUND OF AMERICA CL F3	C	Dividend	O	T	Sold (part)	02/01/18	J	A	
1006.					Sold (part)	03/26/18	J	B	
1007.					Sold (part)	04/26/18	J	A	
1008.					Sold (part)	06/22/18	J	C	
1009.					Sold (part)	07/26/18	J	A	
1010.					Sold (part)	10/25/18	J	A	
1011.					Sold (part)	12/18/18	J	A	
1012.					Buy	12/21/18	L		
1013. HARBOURVEST 2015 GLOBAL FUND HOLDINGS LP		None	M	T	Buy	03/29/18	K		
1014.					Buy	06/28/18	J		
1015.					Buy	09/28/18	J		
1016.					Buy	12/21/18	J		

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

**FINANCIAL DISCLOSURE REPORT**

Page 64 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1017. HARBOURVEST 2017 GLOBAL FUND HOLDINGS LP		None	M	T	Buy	03/28/18	K		
1018.					Buy	06/28/18	K		
1019.					Buy	09/27/18	J		
1020.					Buy	12/18/18	K		
1021. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F3	D	Dividend	N	T	Sold (part)	03/26/18	J	A	
1022.					Sold (part)	06/22/18	J	B	
1023.					Sold (part)	12/18/18	J	A	
1024. AMERICAN FUNDS NEW WORLD FUND CL F3	D	Dividend	N	T	Sold (part)	03/26/18	J	A	
1025.					Buy	12/24/18	J		
1026. AMERICAN FUNDS SMALLCAP WORLD FUND CL F3		None	M	T	Sold (part)	03/26/18	J	A	
1027.					Sold (part)	06/22/18	J	A	
1028.					Buy	12/27/18	J		
1029. STATE STREET INSTL US GOVT MMKT INVESTOR CLASS FUND #5325	A	Distribution	J	T					
1030. Trust #6 [REDACTED]									
1031. Invesco Dividend Growth	A	Dividend	K	T					
1032. American Funds New World Fund	C	Dividend	N	T					
1033. Incyte Corp		None	K	T					

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

**FINANCIAL DISCLOSURE REPORT**

Page 65 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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

A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1034. Seattle Genetics Inc		None	K	T					
1035. MSDW Active Money Trust	A	Dividend	J	T					
1036. El Pollo Loco common stock		None	J	T					
1037. CAPITAL GROUP ALTERNATIVE STRATEGIES FUND, LP		None	O	T	Buy	09/27/18	K		
1038. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	N	T	Buy	01/30/18	J		
1039.					Buy	02/27/18	J		
1040.					Buy	04/27/18	J		
1041.					Buy	05/30/18	J		
1042.					Buy	06/28/18	J		
1043.					Buy	07/30/18	J		
1044.					Buy	08/30/18	J		
1045.					Buy	09/27/18	J		
1046.					Buy	10/30/18	J		
1047.					Buy	11/29/18	J		
1048.					Buy	12/28/18	J		
1049. CAPITAL GROUP CORE MUNICIPAL FUND	C	Dividend	M	T	Buy	01/30/18	J		
1050.					Buy	02/27/18	J		

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 66 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1051.					Buy	03/28/18	J		
1052.					Buy	04/27/18	J		
1053.					Buy	05/30/18	J		
1054.					Buy	06/28/18	J		
1055.					Buy	07/30/18	J		
1056.					Buy	08/30/18	J		
1057.					Buy	09/27/18	J		
1058.					Buy	10/30/18	J		
1059.					Buy	11/29/18	J		
1060.					Buy	12/28/18	J		
1061. AMERICAN FUNDS CAPITAL INCOME BUILDER CL F3	E	Dividend	N	T	Buy	03/14/18	J		
1062.					Buy	06/13/18	J		
1063.					Buy	09/12/18	J		
1064.					Buy	12/21/18	J		
1065. CGASF LIQUIDATING PORTFOLIO		None			Sold	09/27/18	K	B	
1066. AMERICAN FUNDS EUROPACIFIC GROWTH FUND CL F3	C	Dividend	M	T	Sold (part)	03/26/18	J	A	
1067.					Buy	06/13/18	J		

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 67 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1068.					Buy	12/20/18	J		
1069. AMERICAN FUNDS FUNDAMENTAL INVESTORS CL F3	D	Dividend	O	T	Sold (part)	02/01/18	J	A	
1070.					Buy	03/16/18	J		
1071.					Sold (part)	03/26/18	J	A	
1072.					Sold (part)	04/26/18	J	A	
1073.					Buy	06/15/18	J		
1074.					Sold (part)	06/22/18	J	A	
1075.					Sold (part)	07/26/18	J	A	
1076.					Buy	09/14/18	J		
1077.					Sold (part)	10/25/18	J	A	
1078.					Sold (part)	12/17/18	J	A	
1079.					Sold (part)	12/18/18	J	A	
1080.					Buy	12/21/18	L		
1081. AMERICAN FUNDS GROWTH FUND OF AMERICA CL F3	D	Dividend	O	T	Sold (part)	03/26/18	J	B	
1082.					Sold (part)	06/22/18	K	C	
1083.					Sold (part)	12/17/18	J	A	
1084.					Sold (part)	12/18/18	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 68 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1085.					Buy	12/21/18	L		
1086. HARBOURVEST 2015 GLOBAL FUND L.P.		None	M	T	Buy	03/28/18	K		
1087.					Buy	03/29/18	K		
1088.					Buy	06/28/18	J		
1089.					Buy	06/28/18	K		
1090.					Buy	09/27/18	J		
1091.					Buy	09/28/18	J		
1092.					Buy	12/18/18	K		
1093.					Buy	12/21/18	J		
1094. AMERICAN FUNDS INVESTMENT COMPANY OF AMERICA CL F3	D	Dividend	N	T	Buy	03/16/18	J		
1095.					Sold (part)	03/26/18	J	A	
1096.					Buy	06/15/18	J		
1097.					Sold (part)	06/22/18	J	A	
1098.					Buy	09/14/18	J		
1099.					Buy	12/19/18	K		
1100. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F3	D	Dividend	N	T	Sold (part)	03/26/18	J	A	
1101.					Sold (part)	06/22/18	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 69 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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

A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1102.					Buy	12/21/18	K		
1103. AMERICAN FUNDS NEW WORLD FUND CL F3	D	Dividend	O	T	Sold (part)	03/26/18	J	B	
1104.					Buy	12/21/18	J		
1105. AMERICAN FUNDS SMALLCAP WORLD FUND CL F3		None	L	T	Sold (part)	03/26/18	J	A	
1106.					Sold (part)	06/22/18	J	A	
1107.					Buy	12/24/18	J		
1108. HARBOURVEST 2017 GLOBAL FUND LP		None	M	T	Buy	03/28/18	K		
1109.					Buy	06/28/18	K		
1110.					Buy	09/27/18	J		
1111.					Buy	12/18/18	J		
1112. STATE STREET INSTL US GOVT MMKT INVESTOR CLASS FUND #5325	A	Dividend	J	T					
1113.									
1114. Trust #7 [REDACTED]									
1115. Invesco Dividend Growth	A	Dividend	K	T					
1116. Amercian Funds New World Fund	C	Dividend	N	T					
1117. Incyte Corp		None	K	T					
1118. Seattle Genetics		None	K	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 70 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1119. MSDW Active Money Trust	A	Dividend	J	T					
1120. El Pollo Loco common Stock		None	J	T					
1121. CAPITAL GROUP ALTERNATIVE STRATEGIES FUND, LP		None	O	T	Buy	09/27/18	K		
1122. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	N	T	Buy	01/30/18	J		
1123.					Buy	02/27/18	J		
1124.					Buy	03/28/18	J		
1125.					Buy	04/27/18	J		
1126.					Buy	05/30/18	J		
1127.					Buy	06/28/18	J		
1128.					Buy	07/30/18	J		
1129.					Buy	08/30/18	J		
1130.					Buy	09/27/18	J		
1131.					Buy	10/30/18	J		
1132.					Buy	11/29/18	J		
1133.					Sold (part)	12/18/18	J	A	
1134.					Buy	12/28/18	J		
1135. CAPITAL GROUP CORE MUNICIPAL FUND	C	Dividend	M	T	Buy	01/30/18	J		

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 71 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1136.					Buy	02/27/18	J		
1137.					Buy	03/28/18	J		
1138.					Buy	04/27/18	J		
1139.					Buy	05/30/18	J		
1140.					Buy	06/28/18	J		
1141.					Buy	07/30/18	J		
1142.					Buy	08/30/18	J		
1143.					Buy	09/27/18	J		
1144.					Buy	10/30/18	J		
1145.					Buy	11/29/18	J		
1146.					Sold (part)	12/18/18	J	A	
1147.					Buy	12/28/18	J		
1148. AMERICAN FUNDS CAPITAL INCOME BUILDER CL F3	E	Dividend	N	T	Buy	03/14/18	J		
1149.					Buy	06/13/18	J		
1150.					Buy	09/12/18	J		
1151.					Sold (part)	12/18/18	J	A	
1152.					Buy	12/21/18	J		

1 Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 72 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e.g., div, rent, or int)	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e.g., buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1153. CGASF LIQUIDATING PORTFOLIO		None			Sold	09/27/18	K	B	
1154. AMERICAN FUNDS EUROPACIFIC GROWTH FUND CL F3	C	Dividend	M	T	Sold (part)	03/26/18	J	A	
1155.					Buy	06/13/18	J		
1156.					Buy	12/20/18	J		
1157. AMERICAN FUNDS FUNDAMENTAL INVESTORS CL F3	D	Dividend	O	T	Sold (part)	02/01/18	J	A	
1158.					Buy	03/16/18	J		
1159.					Sold (part)	03/26/18	J	A	
1160.					Sold (part)	04/26/18	J	A	
1161.					Buy	06/15/18	J		
1162.					Sold (part)	06/22/18	J	A	
1163.					Sold (part)	07/26/18	J	A	
1164.					Buy	09/14/18	J		
1165.					Sold (part)	10/25/18	J	A	
1166.					Sold (part)	12/18/18	J	A	
1167.					Buy	12/21/18	L		
1168. HARBOURVEST 2015 GLOBAL FUND HOLDINGS LP		None	M	T	Buy	03/29/18	K		
1169.					Buy	06/28/18	J		

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

**FINANCIAL DISCLOSURE REPORT**

Page 73 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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

A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1170.					Buy	09/28/18	J		
1171.					Buy	12/21/18	J		
1172. HARBOURVEST 2017 GLOBAL FUND LP		None	M	T	Buy	03/28/18	K		
1173.					Buy	06/28/18	K		
1174.					Buy	09/27/18	J		
1175.					Buy	12/18/18	J		
1176. AMERICAN FUNDS INVESTMENT COMPANY OF AMERICA CL F3	D	Dividend	N	T	Buy	03/16/18	J		
1177.					Sold (part)	03/26/18	J	A	
1178.					Buy	06/15/18	J		
1179.					Sold (part)	06/22/18	J	A	
1180.					Buy	09/14/18	J		
1181.					Sold (part)	12/18/18	J	A	
1182.					Buy	12/19/18	K		
1183. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F3	D	Dividend	N	T	Sold (part)	03/26/18	J	A	
1184.					Sold (part)	06/22/18	J	A	
1185.					Sold (part)	12/18/18	J	A	
1186.					Buy	12/21/18	K		

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

**FINANCIAL DISCLOSURE REPORT**

Page 74 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

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

A Description of Assets (including trust assets)  Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1187. AMERICAN FUNDS NEW WORLD FUND CL F3	D	Dividend	O	T	Sold (part)	03/26/18	J	B	
1188.					Buy	12/21/18	J		
1189. AMERICAN FUNDS SMALLCAP WORLD FUND CL F3		None	L	T	Sold (part)	03/26/18	J	A	
1190.					Sold (part)	06/22/18	J	A	
1191.					Sold (part)	12/18/18	J	A	
1192.					Buy	12/18/18	J		
1193. AMERICAN FUNDS GROWTH FUND OF AMERICA CL F3	D	Dividend	O	T	Sold (part)	03/26/18	J	B	
1194.					Sold (part)	06/22/18	K	C	
1195.					Sold (part)	12/17/18	J	A	
1196.					Sold (part)	12/18/18	J	A	
1197.					Buy	12/21/18	L		
1198. STATE STREET INSTL US GOVT MMKT INVESTOR CLASS FUND #5325	A	Dividend	J	T					
1199. Real Estate Partnership - Lau	G	Distribution			Sold	01/04/18	O	G	
1200. Real Estate Partnership Silverlake		None	O	U	Buy	05/17/18	L		
1201.					Buy	10/03/18	M		
1202.					Buy	12/17/18	L		
1203. Real Estate Partnership Garfield		None	N	U	Buy	01/02/18	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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**FINANCIAL DISCLOSURE REPORT**

Page 75 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

**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.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1204.					Buy	10/03/18	K		
1205. Citibank Money Market Fund	C	Interest	O	T					
1206. Citibank Checking	A	Interest	L	T					
1207. Citibank Checking	A	Interest	L	T					
1208. Fargo Investment Partnership		None	M	U					
1209. JRK Multifamily LP	F	Distribution	O	U					
1210. Citi acct									
1211. Alvord CA Sch Dist 5.0% 08/01/27	D	Interest			Redeemed	08/01/18	N		
1212. Cal Health FACS 5.00% 11/15/29	C	Interest	M	T					
1213. Cal ST GO 4.5% 08/01/26	A	Interest			Redeemed	10/18/18	J		
1214. Cal ST GO 4.00% 12/01/23	C	Interest	M	T	Buy				
1215. Cal ST GO 5.00% 11/01/26	D	Interest	M	T					
1216. Cal ST Univ 5.00% 11/01/30	C	Interest	M	T					
1217. Cal ST GO 5.000% 08/01/28	C	Interest	M	T					
1218. Cal ST Pub Works 4.0% 06/01/27	D	Interest	N	T					
1219. Fresno CA Sch Dist 5.25% 08/01/27	D	Interest	M	T					
1220. Fresno CA Sch Dist 3.5% 08/01/26	C	Interest	M	T					

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
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**FINANCIAL DISCLOSURE REPORT**

Page 76 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

**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.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int )	Value Code 2 (J-P)	Value Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1221. Gilroy CA Fing Auth 4.0% 11/01/24	D	Interest	M	T					
1222. Kern Cnty CA Wtr Dist. 5.0% 05/01/28	C	Interest			Redeemed	05/01/18	M		
1223. Los Angeles CA DWP 5.00% 07/01/33	C	Interest	M	T					
1224. Oceanside CA Sch Dist 4.5% 08/01/28	D	Interest	M	T					
1225. Redwood City CA Sch Dist 3.0% 08/01/26	C	Interest	M	T					
1226. San Diego Cnty CA Trans. 5.0% 04/01/36	C	Interest	M	T	Buy	06/14/18	M		
1227. San Jose CA Arpt 5.00% 03/01/29	C	Interest	M	T					
1228. San Luis Obispo CA CAP IMPR 4.0% 12/01/27	D	Interest	M	T					
1229. Santa Clara CA Sch Dist 3.5% 07/01/24	D	Interest	M	T					
1230. Univ CA Rev 5.0% 05/15/35	C	Interest	L	T	Buy	06/14/18	L		

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**FINANCIAL DISCLOSURE REPORT**

Page 77 of 78

Name of Person Reporting	Date of Report
Wardlaw, Kim M.	03/23/2020

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

**FINANCIAL DISCLOSURE REPORT**

Page 78 of 78

Name of Person Reporting

Wardlaw, Kim M.

Date of Report

03/23/2020

**IX. CERTIFICATION.**

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

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

Signature: s/ **Kim M. Wardlaw**

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

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