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FINANCIAL DISCLOSURE STATEMENT
(For use by Public Officers and Candidates of the State of Arizona)

Name of Public Officer or Candidate John Paul Plante
Address [REDACTED]
Public Office Held or Sought Yuma County Superior Court Judge, Division 2

Check one:

- I am a **public officer** filing this statement covering the 12 months of calendar year 2015.
- I have been **appointed** to fill a vacancy in a public office and am filing this Financial Disclosure Statement covering the 12 month period ending with the last full month prior to the date I took office.
- I am a **public officer** who has served in the last full year of my final term, which expires less than thirty-one days into calendar year 20____. This is my final Financial Disclosure Statement covering the last 12 months plus the final days of my term for the current year.
- I am a **candidate** for public office, and am filing this Financial Disclosure Statement covering the 12 months preceding the date of this statement, from the month of to the month of

VERIFICATION

I do solemnly swear that the Financial Disclosure Statement filed herewith is in all things true and correct, and fully shows all information I am required to report pursuant to A.R.S. § 38-542.

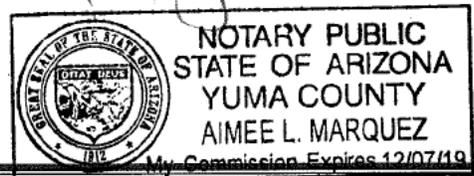
John Paul Plante
Signature of Public Officer or Candidate

State of Arizona)
)
County of Yuma)

SUBSCRIBED AND SWORN to (or affirmed) before me this 4th day of January, 2015.

Aimee Marquez
Notary

Public Notary
My Commission expires 12/7/2019 (Seal)



SECTION A: PERSONAL DISCLOSURE

1. Names

What to disclose: You and your spouse's names and the names of minor children of whom you have legal custody.

YOUR NAME	John Paul Plante
YOUR SPOUSE'S NAME	[REDACTED]
CHILDREN'S NAMES	

2. Sources of Personal Compensation

What to disclose: the name and address of each employer who paid you, your spouse, or any member of your household more than \$1,000 in salary, wages, commissions, tips or other forms of compensation during the period covered by this report. Describe each employer's business and the services for which you or a member of your household were compensated.

Also, list anything of value that any other person, outside your household, received for your use or benefit of you or any member of your household. For example, if a person was paid by your employer to be your housekeeper, list that person's wages and the name of the employer.

You need not disclose: Any money you or any member of your household received that was gross income paid to a business you or your household member owned.

PUBLIC OFFICER OR MEMBER OF HOUSEHOLD	NAME AND ADDRESS OF EMPLOYER OR OTHER SOURCE OF COMPENSATION OVER \$1000	DESCRIPTION OF EMPLOYER'S BUSINESS AND SERVICES PROVIDED BY PUBLIC OFFICER OR MEMBER OF HOUSEHOLD
John Paul Plante	State of Arizona Yuma County 198 S. Main St. Yuma, AZ 85364	Court Services Judge

John Paul Plante	Yuma Regional Medical Center Pension 2400 S Ave A, Yuma, AZ	Pension of deceased former wife, Nancy Faye Plante from Yuma Regional Medical Center

3. Professional, Occupational and Business Licenses

What to disclose: List all licenses issued to or held by you or any member of your household at any time during the period covered by this Statement.

TYPE OF LICENSE OR PERMIT	NAME IN WHICH LICENSE IS ISSUED	PUBLIC OFFICER OR HOUSEHOLD MEMBER HOLDING LICENSE, IF NOT ISSUED IF OWN NAME	JURISDICTION(S) OF LICENSE	LOCATION OF BUSINESS
License to Practice Law	John Paul Plante		Arizona & Federal District	
Insurance Agent P&C, Life, Health			Arizona	Arizona

4. Personal Creditors

What to disclose: The name and address of each creditor to whom you or a member of your household owed a personal debt over \$1000 during the period covered by this Statement. If the debt was incurred or discharged during this period, list the date and whether it was incurred or discharged.

You need not disclose: Debts resulting from the ordinary conduct of a business (disclose those in Section C). Debts on residences or recreational property, on motor vehicles not used for commercial purposes, on debts secured by cash values on life insurance, or debts you owe to relatives, personal credit card transactions or installment contracts.

PERSONAL DEBTS OVER \$1 ,000		
NAME AND ADDRESS OF CREDITOR (OR PERSON TO WHOM PAYMENTS ARE MADE)	PUBLIC OFFICER OR MEMBER OF HOULSEHOLD OWING THE DEBT	DATE INCURRED AND/OR DISCHARGED

NONE		

5. Personal Debtors

What to disclose: The name of each debtor who owed you or a member of your household a debt over \$1,000 at any time during the period covered by this Statement, and the approximate value of the debt (See last page of value categories). If the debt was incurred or discharged during the period covered by this Statement, report the date and whether the debt was incurred or discharged.

DEBTS OVER \$1 ,000 OWED TO YOU PERSONALLY			
NAME OF DEBTOR	HOUSEHOLD TO WHOM	AMOUNT BY VALUE/CATEGORY	

6. Gifts

What to disclose: The name of the donor who gave you or a member of your household a single gift or an accumulation of gifts with a value over \$500, if that gift does NOT fit into a category below.

<p>You need not disclose: Gifts you or a household member received by will, intestate succession, intervivos (living) trusts, or testamentary trusts established by a spouse or ancestor. Gifts received from any other member of the household or relatives to the second degree of consanguinity (parents, grandparents, siblings, children and grandchildren) or political contributions reported on campaign finance reports. NAME OF DONOR OF GIFTS OVER \$500 accumulation of gifts with a value over \$500, if that gift does NOT fit into a category below</p>	<p>PUBLIC OFFICER OR MEMBER OF HOUSEHOLD – RECIPIENT</p>
<p>None</p>	

SECTION B: REPORTABLE INTERESTS

7. Offices or Fiduciary Relationships in Businesses, Nonprofit Organizations or Trusts

What to disclose: The name and address of each business, organization, trust or non-profit organization or association in which you or any member of your household held any office OR had a fiduciary relationship during the period covered by this Statement. Describe the office or relationship.

NAME OR ORGANIZATION AND ADDRESS	NAME OF PUBLIC OFFICER OR MEMBER OF HOUSEHOLD	OFFICE OR FIDUCIARY RELATIONSHIP
WELCOME NEIGHBORS NEWCOMERS		MEMBERSHIP
P.E.O.		CHAPLIN
CATHOLIC DAUGHTERS OF AMERICA		EDUCATION AND SCHOLARSHIP

8. Ownership or Financial Interest in Trusts, or Investment funds

What to disclose: The name and address of each business, trust, investment or retirement fund in which you or any member of your household had an ownership or beneficial interest of over \$1,000. This includes stocks, partnerships, joint ventures, sole proprietorships, annuities, mutual funds and retirement accounts. List the percentage of ownership or interest, and categorize the value of the equity. (See last page for value categories.)

NAME AND ADDRESS OF BUSINESS OR TRUST	PUBLIC OFFICER OR MEMBER OF HOUSEHOLD	DESCRIPTION OF INTEREST	EQUITY BY VALUE CATEGORY
See attached list			

9. Bonds

What to disclose: Bonds issued by a single agency worth more than \$1,000 that you or a member of your household hold, or held during the period covered by this Statement. If the bonds were acquired or divested during the period, report the date that occurred.

BONDS OVER \$1,000	ISSUING AGENCY	PUBLIC OFFICER OR MEMBER OF HOUSEHOLD	VALUE CATEGORY	DATE ACQUIRED AND/OR DIVESTED
None				<input type="checkbox"/> Acquired <input type="checkbox"/> Divested
				<input type="checkbox"/> Acquired <input type="checkbox"/> Divested
				<input type="checkbox"/> Acquired <input type="checkbox"/> Divested

10. Real Property Ownership

What to disclose: Arizona real property and improvements to which you or a member of your household hold, or held title during the period covered by this Statement. Describe the property's location and approximate size. Using the value categories (see last page) report the value of your equity. If that property was acquired or divested during the period covered by this Statement, list the date and what occurred.

You need not disclose: Your primary residence or property you use for personal recreation.

LOCATION AND APPROXIMATE SIZE OF ARIZONA REALTY	PUBLIC OFFICER OR MEMBER OF HOUSEHOLD OR BUSINESS	EQUITY BY VALUE CATEGORY	DATE ACQUIRED OR DIVESTED
None			<input type="checkbox"/> Acquired <input type="checkbox"/> Divested

			<input type="checkbox"/> Acquired <input type="checkbox"/> Divested
			<input type="checkbox"/> Acquired <input type="checkbox"/> Divested

SECTION C: BUSINESS INTERESTS

11. Business Names

What to disclose: The name of any business under which you or any member of your household did business during the period covered by this Statement. Include corporations, limited liability companies, partnerships and trade names. Using the definitions provided in statute, disclose if the business named is controlled or dependent. If the business is both controlled and dependent, mark both boxes.

PUBLIC OFFICER OR MEMBER OF HOUSEHOLD	BUSINESS NAME	BUSINESS ADDRESS	CONTROLLED AND/OR DEPENDENT BUSINESS
None			

IMPORTANT: IF A BUSINESS LISTED ABOVE DID NOT GROSS MORE THAN \$10,000 OR PROVIDE MORE THAN 10% OF YOUR PERSONAL COMPENSATION DURING THE PERIOD COVERED BY THIS STATEMENT, YOU DO NOT NEED TO COMPLETE THE REST OF THIS STATEMENT.

12. Controlled Business Information

What to disclose: The name of each controlled business you listed above, and the goods or services provided by the business. If a single client or customer (person or business) accounts for more than \$10,000 and 25% of the gross income, describe what it is your business provides to that customer or client. Then, in column 4, describe what the client/customer's business does (if your major client is a person, leave the last column blank). If you do not have a major client, leave the last two columns blank.

You need not disclose: The name of any customer or client, or the activities of any customer or client who

is an individual rather than a business.

NAME OF YOUR CONTROLLED BUSINESS	GOODS OR SERVICES PROVIDED BY YOUR BUSINESS	WHAT YOUR BUSINESS PROVIDES TO YOUR MAJOR CUSTOMER OR CLIENT	BUSINESS ACTIVITY OF MAJOR CUSTOMER OR CLIENT
None			

13. Dependent Business Information

What to disclose: The name of each dependent business, the goods or services provided by the dependent business, the goods or services provided to the major customer or client and the business activity if the major customer or client is a business. If the dependent business is also a controlled business, disclose it only in response to #12, above.

You need not disclose: The name or identity of the customer or client, or the amount of income from the customer or client. If the customer or client is an individual (rather than a business), you are not required to disclose that person's activities.

NAME OF DEPENDENT BUSINESS	GOODS OR SERVICES PROVIDED BY THE BUSINESS	GOODS OR SERVICES PROVIDED TO THE MAJOR CUSTOMER OR CLIENT	BUSINESS ACTIVITY OF THE MAJOR CUSTOMER OR CLIENT, IF A BUSINESS
None			

14. Real Property Owned by Business

What to disclose: Arizona real property and improvements the titles to which were held by a controlled or

dependent business listed above. If the business is one that deals in real property and improvements, list the aggregate value of all parcels held in the period covered by this Statement. Describe the property's location and approximate size. Using the value categories (see last page) report the value of equity in your business. If the property was acquired or divested during the period covered by this Statement, list that and the date.

LOCATION AND APPROXIMATE SIZE OF ARIZONA REALTY	PUBLIC OFFICER OR MEMBER OF HOUSEHOLD OR BUSINESS	EQUITY BY VALUE CATEGORY	DATE ACQUIRED OR DIVESTED
None			

15. Business' Creditors

What to disclose: The name and address of each creditor to which your business owed more than \$10,000, if that amount was also more than 30 percent of your total business indebtedness at any time during the period covered by this Statement. If the debt was incurred or discharged during the period covered by this Statement, report that and the date.

You need not disclose: Debts resulting from a business other than a controlled or dependent business.

BUSINESS DEBTS OVER \$10,000 AND 30%		
NAME AND ADDRESS OF CREDITOR (OR PERSON)	NAME OF CONTROLLED OR DEPENDENT	DATE INCURRED AND/OR
None		
		<input type="checkbox"/> Incurred <input type="checkbox"/> Discharged
		<input type="checkbox"/> Incurred <input type="checkbox"/> Discharged

16. Business' Debtors

What to disclose: The name of the debtor for each debt exceeding \$10,000 owed to a controlled or dependent business which was also more than 30 percent of the total indebtedness to the business which was owed at any time during the preceding calendar year. If the debt was incurred or discharged during the year, list that and the date. List value category.

DEBTS OVER \$10,000 AND 30% OWED TO YOUR BUSINESS

NAME OF DEBTOR	NAME OF CONTROLLED OR DEPENDENT BUSINESS TO WHOM THE DEBT IS OWED	AMOUNT BY VALUE CATEGORY	DATE INCURRED AND/OR DISCHARGED
None			

Value Categories: (from ARS § 38-542(B)) Category 1 - \$1,000 to \$25,000

Category 2 – More than \$25,000 to \$100,000 Category 3 - More than \$100,000

Financial Disclosure Statement

8. Ownership of Financial Interest in Trusts, or Investment funds

Elected Officials Retirement Plan, 3010 East Camelback Rd., Ste. 200, Phoenix, AZ 85016 - category 3.

Fidelity Traditional IRA Account #...802256, Fidelity Investments, PO Box 77001, Cincinnati, OH 45277, in name of John Paul Plante, category 3, consisting of the following:

Spartan US Bond Indx Fidelity Adv Class (FSITX), category 3, acquired 1/29/15, partially sold 2/3/15.

Fidelity Corporate Bond Fund (FCBFX), category 2, acquired 2/3/15, partially sold 11/30/15.

Fidelity Advisor Technology CI A (FATDX), category 1, transferred from closed LPL account on 1/23/15, sold 1/30/15.

Fidelity Advisor Strategic Income, class T (FSIAX), category 1, transferred from closed LPL accounts on 1/23/15, sold 1/30/15

Fidelity Advisor Strategic Income, class A (FSTAX), category 1, transferred from closed LPL accounts on 1/23/15, sold 1/30/15.

Fidelity Roth IRA account #...237798 Fidelity Investments, PO Box 77001, Cincinnati, OH 45277, in name of John Paul Plante, category 2, consisting of the following:

Spartan US Bond Indx Fidelity Adv Class (FSITX), category 2, acquired 1/29/15.

Nationwide Retirement Solutions, PO Box 182797, Columbus Oh 4321-2797-Deferred Compensation 401(a) account in the name of John Paul Plante through the State of Arizona, category 3 with the following funds and accounts:

Vanguard Institutional Index Fund – Institutional shares, category 3, with monthly contributions from 12/15/14 through 5/15; also partially acquired in exchange for Wells Fargo Advantage Funds Growth Fund, Institutional class and Washington Mutual Investors Fund on 12/15/14; additional acquired in exchange for Deutsche (DWS EAFE Equity Index Inst. and Dodge Cox Intl Stock Fund both on 4/23/15.

Vanguard MdCap Indx Inst, category 1, received from exchange of Drey Midcap Indx in 2/14 and further monthly purchases 2/14 through 5/15.

Vanguard Small-Cap Index Fund – Institutional shares, category 1 – acquired in exchange for Allianz Sm Cap Val Fd on 12/15/14 and further monthly purchases from 12/14 through 5/15.

NW Fixed 401a/403 only, category 3, further purchases 1/13 – 12/14; Acquired further by exchange from Vanguard Total Bond Market Index Fund in 8/15; further purchases 5/15 through present monthly.

AmFds Inc Fd Am R5 – category 1, purchases 10/13 – 12/13.

Deutsche (DWS) EAFE Equity Index Inst. - category 1, fully exchanged for Vanguard Institutional Index fund 4/23/15.

Dodge Cox Intl Stock Fund – category 1, purchases 1/13 – 12/14; partially sold 3/13/13 and 7/23/13; fully exchanged for Vanguard Institutional Index Fund in 8/15.

Vanguard Total Bond Market Index Fund – Admiral Shares, category 3, acquired in exchange for Capital World Growth and Income Fund, Neuberger Berman High Income Bond Fund, Investor Class, and PIMCO Total Return Fund – Institutional class, all on 12/15/14. Monthly purchases from 12/15/14 through 5/15. Fully exchanged to Nationwide Fixed account in 8/15.

Prudential Financial, Inc., Common Stock through Prudential Financial, Inc., in the name of John Paul Plante -751 Broad St., Newark, NJ 07102-3777, category 1.

State Farm Mutual Funds. –PO Box 219548, Kansas City, Mo 64121-9548 an IRA account (#...8597) in the name of [REDACTED] category 1 with the following funds and accounts.

Small/Mid Fund Cap Equity, Legacy A –SFSAX - category 1.

S&P 500 Index Fund , Legacy A - SLIAX – category 1.

State Farm Mutual Funds. –PO Box 219548, Kansas City, Mo 64121-9548 an IRA account (#...7003) in the name of [REDACTED] category 1 with the following funds and accounts.

S&P 500 Index Fund, Legacy A - SLIAX – less than category 1.

Equity A, - SNEAX - less than category 1.

State Farm Roth IRA (#...0975), PO Box 219548, Kansas City, MO 64121-9548, in name of [REDACTED] category 1, with the following funds and accounts:

Life Path 2030 Fund, class A – NLHAX – category 1.

TIAA CREF account in name of John Paul Plante, 8500 Andrew Carnegie Blvd, Charlotte, NC 28262-8500, category 3, 457(b) account transferred from Nationwide 457(b) plan with the following funds and accounts.

TIAA Traditional, category 3, acquired approximately 12/11.

Vanguard Rollover IRA account #...0075, Vanguard, PO Box 1120, Valley Forge, PA 19482-1120, in name of John Paul Plante, category 3, consisting of the following funds:

Vanguard Total Bond Market Index, Admiral CI (VBTLX), category 3, acquired 1/27/15.

Vanguard Wellesley Income, Admiral CI (VWIAX), category 3, acquired 1/27/15 and 2/9/15;

Vanguard Roth IRA account #...9675, Vanguard, PO Box 1120, Valley Forge, PA 19482-1120, in name of John Paul Plante, category 2, consisting of the following funds:

Vanguard Total Bond Market Index, Admiral CI (VBTLX), category 2, acquired 1/27/15, partially sold 12/3/15.

Vanguard Variable Annuity account #...6068, Vanguard, PO Box 1120, Valley Forge, PA 19482-1120, in name of John Paul Plante, category 3, transferred from Lincoln Annuity, consisting of the following funds:

Total Bond Mkt Ix, acquired 4/20/15, partially sold 9/9/15.

Yuma Regional Medical Center Pension Plan of [REDACTED] for benefit of survivor, John Paul Plante. The plan administrator is Yuma Regional Medical Center, 2400 South Avenue A, Yuma, AZ 85364. The plan pays a benefit each month until death of survivor. The benefit paid each year is category 1. Total value of annuity is estimated to be category 3.

Linsco/Private Ledger Rollover IRA – 9785 Towne Centre Dr., San Diego, CA 92121-1968, an IRA account, John Paul Plante – account #...-0003, category 2 with the following funds and accounts: transferred to Vanguard Prime Money Market Fund, account #...0075, on 1/22/15 and remainder 1/26/15.

Blackrock High Yield Bond Instl CI – BHYIX – category 1, purchased 10/15/14; sold 1/9/15;

Mainstay Unconstrained Bond CL 1 – MSDIX – category 1, purchased 5/30/13, 10/15/14; partially sold 8/6/13, 6/2/14, remainder sold 1/9/15.

Neuberger Berman Strategic Income Instl CI – NSTLX – category 1, purchased 10/15/14; sold 1/9/15.

Money Fund GVI – category 2; transferred to Vanguard Prime Money Market Fund, 1/22/15 and remainder 1/26/15.

Linsco/Private Ledger- 9785 Towne Centre Dr., San Diego, CA 92121-1968- John Paul Plante -account #....-4698, category 2, transferred to Vanguard Prime Money Market Fund in account #....9675 on 1/22/15.

Linsco/Private Ledger –9785 Towne Centre Dr., San Diego, CA 92121-1968-John Paul Plante –account#....-3397, category 3, which held Lincoln Choice Plus Variable Annuity below was transferred to Lincoln Financial group as a house account approximately 1/12/15.

Lincoln Choice Plus Variable Annuity –Lincoln Financial Group, P.O. Box 7866, Fort Wayne, IN 46801-7866 and broker Thomas M. Rush, Linsco/Private Ledger 9785 Towne Centre Drive, San Diego, CA 92121-1968-account #....-3397, category 3 with the following funds and accounts. This account was closed and the account transferred to Vanguard account #...6088 on approximately 4/15/15.

Delaware VIP Diversified Income – category 1, partially sold 5/28/13, 2/23/15, and remainder sold 4/15/15.

Delaware VIP High Yield Series – SVC - category 1, partially sold 5/28/13, 2/23/15, and remainder sold 4/15/15.

FTVIPT Templeton Global Bond Securities SVC – category 1, partially sold 5/28/13, 2/23/15, and remainder sold 4/15/15.

Lincoln VIP Bond SC (LVIP Del Bond) - category 1, partially sold 5/28/13, 2/23/15, and remainder sold 4/15/15.

LVIP Blackrock Inflation Protected Bond, category 2, partially sold 5/28/13, 2/23/15, and remainder sold 4/15/15.

LVIP Dimensional/VG Total Bond – category 2, purchased 12/26/14 (was partly in exchange ofr Pimco VIT Commodity Real Returnh, partially sold 2/23/15 and remainder sold 4/15/15.

LVIP SSGA Bond Index, category 2, purchased 12/26/14, partially sold 2/23/15, and remainder sold 4/15/15.

LVIP Money Market, category 2, partially sold 2/23/15, and remainder sold 4/15/15

Linsco/Private Ledger 9785 Towne Centre Dr., San Diego, CA 92121-1968- IRA Account - account #....-3399, category 3 with the following funds and accounts: balance transferred to Vanguard Prime Money Market Fund, account #...0075, on 1/22/15

American Money Market, CI A, AFAXX, category 1, sold 1/22/15.

Bond Fund of America Inc Class A - ABNDX – category 1, sold 1/9/15.

American High Inc Tr CI A – AHITX - category 1, partially sold 6/6/13, with remainder sold 1/9/15.

Intermediate Bond Fd Amer CI A – AIBAX – category 1, further purchases 11/11/14, sold 1/9/15.

Capital World Bond Class A – CWBFX - transferred from State Street Bank & Trust in 08/03 – category 1, sold 1/9/15.

Linsco/Private Ledger Rollover IRA 9785 Towne Centre Dr., San Diego, CA 92121-1968- account #....-7170 in the name of John Paul Plante, category 3 with the following funds and accounts. The balance was transferred to Vanguard Prime Money Market Fund in account #...0075

Blackrock High Yield Bond Instl CI – BHYIX – category 1, purchased 10/15/14, sold 1/9/15.

Neuberger Berman Strategic Income Instl CI – NSTLX – category 2, purchased 10/15/14, sold 1/9/15.

JP Morgan US Government Money Market Fund, category 3, sold approx. 1/22/15.

Mainstay Unconstrained Bond CI1 - MSDIX – category 2, purchased 5/30/13 and 10/15/14; partially sold 6/2/14, with remainder sold 1/9/15.

Linsco/Private Ledger, 9785 Towne Centre Dr., San Diego, CA 92121-1968 - in name of John Paul Plante – tax sheltered account - #...5886 – category 2, with the following funds and accounts initiated by transfers from LPL #...7170 and #...0003: Account balance transferred to Vanguard Prime Money Market in account #...0075 on 2/3/15.

Seneca Global Fund Ltd Partnership Ser A 3334225 (formerly Aspect Global Diversified Fund LP), category 1; acquired 1/18/11; sold 1/21/15.

Merrill Lynch – account # ...757, 2555 E. Camelback Rd., Ste. 900, Phoenix, AZ 85016-4218, in the name of John Paul Plante category 1 with the following funds and accounts: closed 2/13/15.

ML Bank, category 1. Closed 2/13/15

Merrill Lynch – IRA account # ...739, 2555 E. Camelback Rd., Ste. 900, Phoenix, AZ 85016-4218, in the name of John Paul Plante category 2, created by transfer of RBC Wealth Management account on 10/23/12, with the following funds and accounts: balance transferred to Fidelity account #...2256 on 1/22/15.

American Bond Fd of America CI F2 – ABNFX – category 1, acquired 3/19/12, sold 1/13/15.

Loomis Sayles Strategic Inc Fd CI Y – NEZYX – category 1, acquired 3/19/12, sold 1/13/15.

Templeton Gbl Bond Fd Adv CI – TGBAX – category 1, acquired 3/19/12, sold 1/13/15.

FIA Card Services NA Rasp, category 1, sold 1/22/15.

Merrill Lynch –IRA account # ...A07, 2555 E. Camelback Rd., Ste. 900, Phoenix, AZ 85016-4218, in name of John Paul Plante, category 3 with the following funds and accounts: The three Fidelity funds and the remaining balance transferred to Fidelity account #...2256 in January 2015.

American Capital World Growth and Income Fd A – CWGIX - category 2, partially sold 3/12/13, with remainder sold 1/16/15.

American Income Fund of America Inc., CI A – AMECX – category 1, sold 1/16/15.

American Intm Bd Fd of America CI A – AIBAX – category 2 – purchased 3/11/13, sold 1/16/15.

American Investment Co of America CI A – AIVSX – category 1, acquired 3/29/93, sold 1/16/15.

Blackrock Strategic Income Opps PTF A – BASIX – category 1, acquired 9/25/12, sold 1/16/15.

Eaton Vance Flt RT Advtg Fd CI A - EAFAX – category 1, sold 1/16/15.

Fidelity Adv Strategic Income Fd CI A – FSTAX – category 1, transferred to Fidelity account #...2256 on 1/27/15. .

Fidelity Adv Strategic Income Fund CI T – FSIAX – category 1, transferred to Fidelity account #...2256 on 1/27/15.

Fidelity Adv Technology Fd CI A – FADTX - category 1, transferred to Fidelity account #...2256 on 1/27/15.

Bank of America, NA RASP – IIAXX - category 2, sold 1/22/15

Merrill Lynch retirement account in name of Rolle, Benton & Plante SEP FBO John Paul plante, #...Y10, category 2 with the following funds and accounts. The Fidelity fund and the remaining balance was transferred to Fidelity account #...2256 on 1/22/15 and 1/23/15.

American Small CAP World Fd CI A – SMCWX – category 2, sold 1/16/15.

Fidelity Adv Strategic Income Fd CI A – FSTAX – category 1, purchased 3/12/13, transferred to Fidelity account #...2256 on 1/23/15.

Merrill Lynch – in the name of John Paul Plante account # ...168, a Roth IRA account through Merrill Lynch, 2555 E. Camelback Rd., Ste. 900, Phoenix, AZ 85016-4218, category 2 with the following funds and accounts: Remaining balance was transferred to Fidelity account #...7798 on 1/22/15.

American Cap Inc Bldr Fund SBI Class A – CAIBX - category 1, acquired 4/8/08, sold 1/13/15.

American Capital World Growth and Income Fund Class A – CWGIX - category 1, acquired 4/8/08, sold 1/13/15.

Bank of America NA RASP – IIAXX - category 2, sold 1/22/15.