



SECRETARY OF STATE

2016 JAN 27 AM 11:23

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

Name of Public Officer or Candidate: Samuel A. Thumma

Business, Residential or Mailing Address: Court of Appeals, Division One, State Courts Building, 1501 West Washington, Phoenix, AZ 85007

Public Office Held or Sought: Judge, Arizona Court of Appeals, Division One.

District / Division # (if applicable): Division One

Please select the appropriate box that reflects your service for this filing year (double-click the box and change the default value to "checked"):

- I am a **public officer** filing this Financial Disclosure Statement covering the 12 months of calendar year 2015.
- I have been **appointed** to fill a vacancy in a public office within the last 60 days 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 2016. 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 a public office, and am filing this Financial Disclosure Statement covering the 12 months preceding the date of this statement, from the month of _____ 20____, to the month of _____ 20____.

VERIFICATION

I verify under penalty of perjury that the information provided in this Financial Disclosure Statement is true and correct.

Signature of Public Officer or Candidate
(Typewritten signatures accepted)

A. PERSONAL FINANCIAL INTERESTS

This section requires disclosure of you're and/or a member of your household's personal financial interests.¹

1. Household Members' Names

What to disclose: If they reside in your household, disclose your spouse's name and the names of any minor children of whom you have legal custody. If none, please write "N/A". For the remaining questions in this Financial Disclosure Statement, the term "member of your household" will be defined as the persons listed below.

YOUR SPOUSE'S NAME	
CHILDREN'S NAMES	

2. Sources of Personal Compensation

What to disclose: The name and address of each employer who paid you or any member of your household more than \$1,000 in salary, wages, commissions, tips or other forms of compensation (other than "gifts") during the period covered by this report. Describe the nature of each employer's business and the type of 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 or a member of your household's use or benefit. For example, if a person was paid by a third-party to be your personal housekeeper, identify that person, describe the nature of that person's services that benefited you, and provide information about the third-party who paid for the services on your behalf.

You need not disclose: Any money you or any member of your household received that constitutes gross income paid to a business that you or your household member owns or does business as. This will be disclosed in Section 11 below.

¹ If additional space is needed to report information on this Financial Disclosure Statement, select the appropriate reporting area and add additional rows to the form. For example, to report an additional child's name in Section 1, right-click in any row, click "Insert," click "Insert Rows Above." (The user should add rows "above" or "below" based on the resulting effect on formatting in the Financial Disclosure Statement).

NAME OF PUBLIC OFFICER OR HOUSEHOLD MEMBER BENEFITTED	NAME AND ADDRESS OF EMPLOYER WHO PROVIDED COMPENSATION > \$1,000	NATURE OF EMPLOYER'S BUSINESS	NATURE OF SERVICES PROVIDED BY PUBLIC OFFICER OR HOUSEHOLD MEMBER FOR EMPLOYER
Samuel A. Thumma	State of Arizona Human Resources 100 North 15 th Avenue Phoenix, Arizona 85007	Court of Appeals	Judge
[REDACTED]	Snell & Wilmer LLP 400 East Van Buren One Arizona Center Phoenix, Arizona 85004-2202	Law Firm	Legal Services

3. Professional, Occupational and Business Licenses

What to disclose: List all professional, occupational or business licenses held by you or any member of your household at any time during the period covered by this Financial Disclosure Statement.

This includes licenses in which you or a member of your household had an "interest," which includes (but is not limited to) any business license held by a "controlled" or "dependent" business as defined in Section 11 below.

NAME OF PUBLIC OFFICER OR HOUSEHOLD MEMBER AFFECTED	TYPE OF LICENSE	PERSON OR ENTITY HOLDING THE LICENSE	JURISDICTION OR ENTITY THAT ISSUED LICENSE
Samuel A. Thumma	License to practice law	Samuel A. Thumma	Arizona; Iowa (inactive); Illinois (inactive) and District of Columbia (inactive)
[REDACTED]	License to practice law	[REDACTED]	Arizona and District of Columbia

4. Personal Creditors

What to disclose: The name and address of each creditor to whom you or a member of your household owed a qualifying personal debt over \$1,000 during any point during the period covered by this Financial Disclosure Statement.

Additionally, if the qualifying personal debt was either incurred for the first time or completely discharged (paid in full) during this period, list the date and check whether it was incurred or discharged (double-click the box and change the default value to "checked"). Otherwise, write "N/A" (for "not

applicable”) after the word “Date:” in the last column below.

You need not disclose the following, which do not qualify as “personal debt”:

- Debts resulting from the ordinary conduct of a business (these will be disclosed elsewhere in this Statement, in Section C below);
- Debts on any personal residence or recreational property;
- Debts on motor vehicles used primarily for personal purposes (not commercial purposes);
- Debts secured by cash values on life insurance;
- Debts owed to relatives;
- Personal credit card transactions or the value of any retail installment contracts you or your household member entered into.

NAME OF PUBLIC OFFICER OR MEMBER OF HOUSEHOLD OWING THE DEBT	NAME AND ADDRESS OF CREDITOR (OR PERSON TO WHOM PAYMENTS ARE MADE)	IF THE DEBT WAS FIRST INCURRED OR COMPLETELY DISCHARGED DURING THIS REPORTING PERIOD, PROVIDE THE DATE (MM/DD/YYYY) AND CHECK THE APPROPRIATE BOX
None		Date: <input type="checkbox"/> Incurred <input type="checkbox"/> Discharged

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 Financial Disclosure Statement, along with the approximate value of the debt by financial category (double-click the applicable box and change the default value to “checked”).

Additionally, if the debt was either incurred for the first time or completely discharged (paid in full) during this period, list the date and check whether it was incurred or discharged (double-click the appropriate box and change the default value to “checked”). Otherwise, write “N/A” (for “not applicable”) after the word “Date:” in the last column below.

NAME OF PUBLIC OFFICER OR MEMBER OF HOUSEHOLD OWED THE DEBT	NAME OF DEBTOR	APPROXIMATE VALUE OF DEBT	IF THE DEBT WAS FIRST INCURRED OR COMPLETELY DISCHARGED DURING THIS REPORTING PERIOD, PROVIDE THE DATE (MM/DD/YYYY) AND CHECK THE APPROPRIATE BOX
None		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="checkbox"/> Incurred <input type="checkbox"/> Discharged

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 during the preceding calendar year with a cumulative value over \$500, subject to the exceptions listed in the below “You need not disclose” paragraph. A “gift” means a gratuity (tip), special discount, favor, hospitality, service, economic opportunity, loan or other benefit received without adequate consideration and not provided to members of the public at large (in other words, a personal benefit you or your household member received

without providing an equivalent benefit in return).

Please note: the concept of a “gift” for purposes of this Financial Disclosure Statement is separate and distinct from the gift restrictions outlined in Arizona’s lobbying statutes. Thus, disclosure in a lobbying report does not relieve you or a member of your household’s duty to disclose gifts in this Financial Disclosure Statement.

You need not disclose the following, which do not qualify as “gifts”:

- Gifts received by will;
- Gift received by intestate succession (in other words, gifts distributed to you or a household member according to Arizona’s intestate succession laws, not by will);
- Gift distributed from an *inter vivos* (living) or testamentary (by will) trust established by a spouse or family member;
- Gifts received from any other member of the household;
- Gifts received by parents, grandparents, siblings, children and grandchildren; or
- Political campaign contributions reported on campaign finance reports.

NAME OF PUBLIC OFFICER OR MEMBER OF HOUSEHOLD WHO RECEIVED GIFT(S) OVER \$500	NAME OF GIFT DONOR
None	

7. Office, Position or Fiduciary Relationship in Businesses, Nonprofit Organizations or Trusts

What to disclose: The name and address of each business, organization, trust or nonprofit organization or association in which you or any member of your household held any office, position, or fiduciary relationship during the period covered by this Financial Disclosure Statement, including a description of the office, position or relationship.

PUBLIC OFFICER OR MEMBER OF HOUSEHOLD HAVING THE REPORTABLE RELATIONSHIP	NAME AND ADDRESS OF BUSINESS, ORGANIZATION, TRUST, OR NONPROFIT ORGANIZATION OR ASSOCIATION	DESCRIPTION OF OFFICE, POSITION OR FIDUCIARY RELATIONSHIP HELD BY THE PUBLIC OFFICER OR MEMBER OF HOUSEHOLD
See attached		

8. Ownership or Financial Interests in Businesses, Trusts or Investment Funds

What to disclose: The name and address of each business, trust, or investment fund in which you or any member of your household had an ownership or beneficial interest of over \$1,000 during the period covered by this Financial Disclosure Statement. This includes stocks, annuities, mutual funds, or retirement funds. It also includes any financial interest in a limited liability company, partnership, joint venture, or sole proprietorship. Also put a check mark to indicate the value of the debt (double-click the applicable box and change the default value to “checked”).

NAME OF PUBLIC OFFICER OR MEMBER OF HOUSEHOLD HAVING THE INTEREST	NAME AND ADDRESS OF BUSINESS, TRUST OR INVESTMENT FUND	DESCRIPTION OF THE BUSINESS, TRUST OR INVESTMENT FUND	APPROXIMATE EQUITY VALUE OF THE INTEREST
See attached			<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +

9. Ownership of Bonds

What to disclose: Bonds issued by a state or local government agency worth more than \$1,000 that you or a member of your household held during the period covered by this Financial Disclosure Statement. Also put a check mark to indicate the value of the bonds (double-click the applicable box and change the default value to "checked").

Additionally, if the bonds were either acquired for the first time or completely divested (sold in full) during this period, list the date and check whether the bonds were acquired or divested (double-click the appropriate box and change the default value to "checked"). Otherwise, write "N/A" (for "not applicable") after the word "Date:" in the last column below.

NAME OF PUBLIC OFFICER OR MEMBER OF HOUSEHOLD ISSUED BONDS	ISSUING STATE OR LOCAL GOVERNMENT AGENCY	APPROXIMATE VALUE OF BONDS	IF THE BONDS WERE FIRST ACQUIRED OR COMPLETELY DISCHARGED DURING THIS REPORTING PERIOD, PROVIDE THE DATE (MM/DD/YYYY) AND CHECK THE APPROPRIATE BOX
See attached		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="checkbox"/> Acquired <input type="checkbox"/> Divested

10. Real Property Ownership

What to disclose: Arizona real property (land) and improvements which was owned by you or a member of your household during the period covered by this Financial Disclosure Statement, other than your primary residence or property you use for personal recreation. Also describe the property's location (city and state) and approximate size (acreage or square footage), and put a check mark to indicate the approximate value of the land (double-click the applicable box and change the default value to "checked").

Additionally, if the land was either acquired for the first time or completely divested (sold in full) during this period, list the date and check whether the land was acquired or divested (double-click the appropriate box and change the default value to "checked"). Otherwise, write "N/A" (for "not applicable") after the word "Date:" in the last column below.

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

NAME OF PUBLIC OFFICER OR MEMBER OF HOUSEHOLD THAT OWNS LAND	LOCATION AND APPROXIMATE SIZE	APPROXIMATE VALUE OF LAND	IF THE LAND WAS FIRST ACQUIRED OR COMPLETELY DISCHARGED DURING THIS REPORTING PERIOD, PROVIDE THE DATE (MM/DD/YYYY) AND CHECK THE APPROPRIATE BOX
None		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="checkbox"/> Acquired <input type="checkbox"/> Divested

B. BUSINESS FINANCIAL INTERESTS

This section requires disclosure of any financial interests of a business owned by you or a member of your household.

11. Business Names

What to disclose: The name of any business under which you or any member of your household owns or did business under (in other words, were self-employed) during the period covered by this Financial Disclosure Statement, which include corporations, limited liability companies, partnerships, sole proprietorships and any other business conducted under a trade name.

Also disclose if the named business is controlled or dependent. A business is "controlled" if you or any member of your household (individually or combined) had an ownership interest that amounts to 50% or more. A business is classified as "dependent," on the other hand, if: (1) you or any household member (individually or combined) had an ownership interest that amounts to 10% or more; *and* (2) the business received at least \$10,000 from a single source during the period covered by this Financial Disclosure Statement, which amounted to at least 50% of the business' gross income for the period.

If the business was either controlled or dependent, check whether it was controlled or dependent (double-click the appropriate box and change the default value to "checked") in the last column below. If the business was both controlled *and* dependent during the period covered by this Financial Disclosure Statement, check *both* boxes. Otherwise, leave the boxes in the last column below blank.

NAME OF PUBLIC OFFICER OR MEMBER OF HOUSEHOLD OWNING THE BUSINESS	NAME AND ADDRESS OF BUSINESS	CHECK THE APPROPRIATE BOX IF THE BUSINESS IS "CONTROLLED" BY OR "DEPENDENT" ON YOU OR A MEMBER OF YOUR HOUSEHOLD
[REDACTED]	Snell & Wilmer LLP 400 East Van Buren One Arizona Center Phoenix, Arizona 85004-2200	<input type="checkbox"/> Controlled <input type="checkbox"/> Dependent
Samuel A. Thumma [REDACTED]	Tierra del Sol, an Iowa Family Farm Limited Liability Company c/o Donald M. Winkler, Esq. P.O. Box 91 Laurens, Iowa 50554	<input checked="" type="checkbox"/> Controlled <input checked="" type="checkbox"/> Dependent

Please note: If a business listed in the foregoing Section 11 was neither "controlled" nor "dependent" during the period covered by this Financial Disclosure Statement, you need not complete the remainder of this Financial Disclosure Statement with respect to that business. If none of the businesses listed in Section 11 were "controlled" or "dependent," you need not complete the remainder of this Financial Disclosure Statement.

12. Controlled Business Information

What to disclose: The name of each controlled business listed in Section 11 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 business' gross income during the period covered by this Financial Disclosure Statement (a "major client"), describe what the business provided to the major client in the third column. Also, describe the major client's type of business activities in the final column (but if the major client is an individual, write "N/A" for "not applicable" in the final column).

If the business does not have a major client, write "N/A" for "not applicable" in the last two columns.

You need not disclose: The name of any major client, or the activities of any major client that is a person.

NAME OF YOUR OF YOUR HOUSEHOLD MEMBER'S CONTROLLED BUSINESS	GOODS OR SERVICES PROVIDED BY THE CONTROLLED BUSINESS	DESCRIBE WHAT YOUR BUSINESS PROVIDES TO ITS MAJOR CUSTOMER	TYPE OF BUSINESS ACTIVITIES OF THE MAJOR CUSTOMER
Tierra del Sol, an Iowa Family Farm Limited Liability Company LLC	This entity holds Iowa farm land transferred from my parents. The land is farmed by others, under both cash rent and crop-share leases. The land produces corn and soybeans and includes an interest in a pasture used for grazing cattle.	For the cash rent land, the land to be farmed in exchange for cash rent. For the crop-share land, the land to be farmed in exchange for a portion of the corn and soybeans grown on that land.	The business activity of the individuals leasing the land is farming. The corn and soybeans grown on the land are sold to grain elevators/farm cooperatives/processors that resell and/or process the corn and soybeans for resale.

13. Dependent Business Information

What to disclose: The name of each dependent business listed in Section 11 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 business' gross income during the period covered by this Financial Disclosure Statement (a "major client"), describe what the business provided to the major client in the third column. Also, describe the major client's type of business activities in the final column (but if the major client is an individual, write "N/A" for "not applicable" in the final column).

If the business does not have a major client, write "N/A" for "not applicable" in the last two columns. Likewise, if the dependent business is also a controlled business, disclose the business only in Section 12 above and leave this section blank.

You need not disclose: The name of any major client, or the activities of any major client that is a person.

NAME OF YOUR OF YOUR HOUSEHOLD MEMBER'S DEPENDENT BUSINESS	GOODS OR SERVICES PROVIDED BY THE DEPENDENT BUSINESS	DESCRIBE WHAT YOUR BUSINESS PROVIDES TO ITS MAJOR CUSTOMER	TYPE OF BUSINESS ACTIVITIES OF THE MAJOR CUSTOMER
See Response to #12			

14. Real Property Owned by a Controlled or Dependent Business

What to disclose: Arizona real property (land) and improvements which was owned by a controlled or dependent business during the period covered by this Financial Disclosure Statement. Also describe the property's location (city and state) and approximate size (acreage or square footage), and put a check mark to indicate the approximate value of the land (double-click the applicable box and change the default value to "checked"). If the business is one that deals in real property and improvements, check the box that corresponds to the aggregate value of all parcels held by the business during the period covered by this Financial Disclosure Statement.

Additionally, if the land was either acquired for the first time or completely divested (sold in full) during this period, list the date and check whether the land was acquired or divested (double-click the appropriate box and change the default value to "checked"). Otherwise, write "N/A" (for "not applicable") after the word "Date:" in the last column below.

NAME OF CONTROLLED OR DEPENDENT BUSINESS THAT OWNS LAND	LOCATION AND APPROXIMATE SIZE	APPROXIMATE VALUE OF LAND	IF THE LAND WAS FIRST ACQUIRED OR COMPLETELY DISCHARGED DURING THIS REPORTING PERIOD, PROVIDE THE DATE (MM/DD/YYYY) AND CHECK THE APPROPRIATE BOX
None		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="checkbox"/> Acquired <input type="checkbox"/> Divested

15. Controlled or Dependent Business' Creditors

What to disclose: The name and address of each creditor to which a controlled or dependent business owed more than \$10,000, if that amount was also more than 30% of the business' total indebtedness at any time during the period covered by this Financial Disclosure Statement ("qualifying business debt").

Additionally, if the qualifying business debt was either incurred for the first time or completely discharged (paid in full) during this period, list the date and check whether it was incurred or discharged (double-click the box and change the default value to "checked"). Otherwise, write "N/A" (for "not applicable") after the word "Date:" in the last column below.

You need not disclose: Debts owed by a business other than a controlled or dependent business.

NAME OF CONTROLLED OR DEPENDENT BUSINESS OWING THE QUALIFYING DEBT	NAME AND ADDRESS OF CREDITOR (OR PERSON TO WHOM PAYMENTS ARE MADE)	IF THE DEBT WAS FIRST INCURRED OR COMPLETELY DISCHARGED DURING THIS REPORTING PERIOD, PROVIDE THE DATE (MM/DD/YYYY) AND CHECK THE APPROPRIATE BOX
None		Date: <input type="checkbox"/> Incurred <input type="checkbox"/> Discharged

16. Controlled or Dependent Business' Debtors

What to disclose: The name of each debtor who owed at least \$10,000 to a controlled or dependent business, if that amount was also more than 30% of the total indebtedness owed to the controlled or dependent business at any time during the period covered by this Financial Disclosure Statement ("qualifying business debt"). Also disclose the approximate value of the debt by financial category (double-click the applicable box and change the default value to "checked").

Additionally, if the qualifying business debt was either incurred for the first time or completely discharged (paid in full) during this period, list the date and check whether it was incurred or discharged (double-click the box and change the default value to "checked"). Otherwise, write "N/A" (for "not applicable") after the word "Date:" in the last column below.

You need not disclose: Debts owed to a business other than a controlled or dependent business.

NAME OF PUBLIC OFFICER OR MEMBER OF HOUSEHOLD OWED THE DEBT	NAME OF DEBTOR	APPROXIMATE VALUE OF DEBT	IF THE DEBT WAS FIRST INCURRED OR COMPLETELY DISCHARGED DURING THIS REPORTING PERIOD, PROVIDE THE DATE (MM/DD/YYYY) AND CHECK THE APPROPRIATE BOX
None		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="checkbox"/> Incurred <input type="checkbox"/> Discharged

FINANCIAL DISCLOSURE STATEMENT ATTACHMENT
Samuel A. Thumma – (2015)

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

NAME OF ORGANIZATION AND ADDRESS	NAME OF PUBLIC OFFICER OR MEMBER OF HOUSEHOLD	OFFICE OR FIDUCIARY RELATIONSHIP
Snell & Wilmer LLP 400 E. Van Buren One Arizona Center Phoenix, AZ 85004-2202	[REDACTED]	Partner
Xico Inc., a nonprofit arts organization 44 South San Marcos Place Chandler, AZ 85225	[REDACTED]	Board Member
Lex Mundi Pro Bono Foundation 2100 West Loop South, Suite 1000 Houston, Texas 77027	[REDACTED]	Board Member
Tierra del Sol, an Iowa Family Farm Limited Liability Company c/o Donald M. Winkler, Esq. Winkler Law Office, PO Box 91 Laurens, Iowa 50554	Samuel A. Thumma [REDACTED]	Member and Officer
Although not a business, organization, trust, nonprofit organization or association, I hold certain funds for the benefit of our daughter and owe her fiduciary obligations with respect to those funds.	Samuel A. Thumma	Fiduciary Obligation

**FINANCIAL DISCLOSURE STATEMENT ATTACHMENT
Samuel A. Thumma (2015)**

**8. Ownership or Financial Interest in Businesses, Trusts or Investment Funds
(including holdings in accounts with/managed by Wells Fargo; Morgan Stanley;
Fidelity Investments; Nuveen Asset Management; American Funds; College
Bound Fund; State of Arizona Deferred Compensation Plan/Nationwide
Retirement Solutions 401(a) Plan, with * indicating sold during reporting period)**

Value Categories listed in the right column (from A.R.S. § 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

Name And Address of Business, Trust or Investment Fund	Name of Public Officer or Member of Household Having The Interest	Description of the Business, Trust or Investment Fund	Value Category
Samuel A. Thumma FBO [REDACTED]	The Growth Fund of America-529A Indianapolis, IN	Mutual Fund/College Fund	1
Samuel A. Thumma FBO [REDACTED]	New Perspective Fund-529A Indianapolis, IN	Mutual Fund/College Fund	1
Samuel A. Thumma FBO [REDACTED]	The Investment Company of America-529A Indianapolis, IN	Mutual Fund/College Fund	1
Samuel A. Thumma FBO [REDACTED]	American Balanced Fund-529A Indianapolis, IN	Mutual Fund/College Fund	1
Samuel A. Thumma FBO [REDACTED]	American Mutual Fund -529A Indianapolis, IN	Mutual Fund/College Fund	2
Samuel A. Thumma FBO [REDACTED]	American Funds AMCAP-529A Indianapolis, IN	Mutual Fund/College Fund	1
Samuel A. Thumma & [REDACTED] FBO	College Bound Fund Principal Protection Inc. Portfolio Alt-A Oconomowoc, WI	Mutual Fund/College Fund	2
Samuel A. Thumma & [REDACTED] FBO	College Bound Fund Balanced Portfolio Alt-A Oconomowoc, WI	Mutual Fund/College Fund	2
Samuel A. Thumma	Wells Fargo Advantage Growth Fund San Francisco, CA	Retirement Fund	2
Samuel A. Thumma	Thumma Land Trust No. 1 Laurens, Iowa	Trust	3
Samuel A. Thumma	Retirement Time Account – Wells Fargo Phoenix, Arizona	Retirement Fund	1

FINANCIAL DISCLOSURE STATEMENT ATTACHMENT

Samuel A. Thumma (2015)

Page 2 - #8 Continued

Samuel A. Thumma	TWB Investment Partnership, LP (I & II) Seattle, Washington	Investment Fund	1
	Snell & Wilmer Profit Sharing & Savings Plan – Fidelity Investments Institutional Services Co. Boston, MA	Retirement Fund	3
Samuel A. Thumma	State of Arizona 401(a) Plan Phoenix, AZ	Retirement Fund	3
Samuel A. Thumma	AllianzGI NFJ Small Cap Value Fund New York, NY	Mutual Fund/401(a)	1
Samuel A. Thumma	American Funds Capital World Growth and Income Fund Indianapolis, IN	Mutual Fund/401(a)	2
Samuel A. Thumma	American Funds Income Fund of Americas R5 Indianapolis, IN	Mutual Fund/401(a)	1
Samuel A. Thumma	American Funds Washington Mutual Investors Fund Class A Indianapolis, IN	Mutual Fund/401(a)	2
Samuel A. Thumma	Dodge & Cox International Stock Fund Boston, MA	Mutual Fund/401(a)	2
Samuel A. Thumma	Fidelity Contrafund Boston, MA	Mutual Fund/401(a)	2
Samuel A. Thumma	Nationwide Inv Dest Mod Aggr Svc King of Prussia, PA	Mutual Fund/401(a)	1
Samuel A. Thumma	Neuberger Berman Hi Income Bond Fund New York, NY	Mutual Fund/401(a)	2
Samuel A. Thumma	Nuveen Real Estate Securities I Chicago, IL	Mutual Fund/401(a)	1
Samuel A. Thumma	PIMCo Total Return Instd Samford, CT	Mutual Fund/401(a)	1
Samuel A. Thumma	Wells Fargo Advantage Growth Inst. San Francisco, CA	Mutual Fund/401(a)	2
Samuel A. Thumma &	Alkermes PLC-ALKS Waltham, MA	Stock	1
Samuel A. Thumma &	Alnylam Pharmaceuticals-ALNY Cambridge, MA	Stock	2
Samuel A. Thumma &	American States Water Co.-AWR San Dimas, CA	Stock	1
Samuel A. Thumma &	Apple Computer, Inc.-AAPL Cupertino, CA	Stock	2

FINANCIAL DISCLOSURE STATEMENT ATTACHMENT

Samuel A. Thumma (2015)

Page 3 - #8 Continued

Samuel A. Thumma & [REDACTED]	Arrowhead Research Corp.-ARWR Pasadena, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Barrick Gold Corp.-ABX Toronto, Ontario Canada	Stock	1
Samuel A. Thumma & [REDACTED]	Chesapeake Energy Corp.-CHK Oklahoma City, OK	Stock	1
Samuel A. Thumma & [REDACTED]	Chevron Corp.-CVX San Ramon, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Chimerix, Inc.-CMRX Durham, NC	Stock	1
Samuel A. Thumma & [REDACTED]	Clovis Oncology Inc.-CLVS Boulder, CO	Stock	1
Samuel A. Thumma & [REDACTED]	ConocoPhillips-COP Houston, TX	Stock	1
Samuel A. Thumma & [REDACTED]	Cytori Therapeutics Inc.-CYTX San Diego, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Exact Sciences Corp-EXAS Madison, WI	Stock	1
Samuel A. Thumma & [REDACTED]	Exxon Mobil Corp.-XOM Irving, TX	Stock	1
Samuel A. Thumma & [REDACTED]	First Solar, Inc.-FSLR Tempe, AZ	Stock	1
Samuel A. Thumma & [REDACTED]	Foundation Medicine Inc.-FMI Cambridge, MA	Stock	1
Samuel A. Thumma & [REDACTED]	Genomic Health Inc.-GHDX Redwood City, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Halozyme Therapeutics Inc.-HALO San Diego, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Heron Therapeutics Inc.-HRTX Redwood City, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Ionis Pharmaceuticals-IONS (PKA Isis Pharmaceuticals, Inc.) Carlsbad, CA	Stock	2
Samuel A. Thumma & [REDACTED]	Illumina Inc.-ILMN San Diego, CA	Stock	2
Samuel A. Thumma & [REDACTED]	Incyte Corp.-INCY Wilmington, DE	Stock	2
Samuel A. Thumma & [REDACTED]	Infinity Pharma, Inc.-INFI Cambridge, MA	Stock	1
Samuel A. Thumma & [REDACTED]	Insmid Inc.-INSM Monmouth Junction, NJ	Stock	1
Samuel A. Thumma & [REDACTED]	Intuitive Surgical Inc.-ISRG Sunnyvale, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Juno Therapeutics Inc.-JUNO Seattle, WA	Stock	1
Samuel A. Thumma & [REDACTED]	Kinross Gold Corp. New-KGC Toronto, Ontario Canada	Stock	1

FINANCIAL DISCLOSURE STATEMENT ATTACHMENT

Samuel A. Thumma (2015)

Page 4 - #8 Continued

Samuel A. Thumma & [REDACTED]	Kite Pharma Inc.-KITE Santa Monica, CA	Stock	1
Samuel A. Thumma & [REDACTED]	La Jolla Pharmaceutic Co.-LJPC San Diego, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Ligand Pharmaceuticals-LGND San Diego, CA	Stock	2
Samuel A. Thumma & [REDACTED]	Monsanto Co. New-MON St. Louis, MO	Stock	1
Samuel A. Thumma & [REDACTED]	Myriad Genetics, Inc.-MYGN Salt Lake City, UT	Stock	2
Samuel A. Thumma & [REDACTED]	Neurocrine Biosciences Inc.-NBIX San Diego, CA	Stock	2
Samuel A. Thumma & [REDACTED]	Nevro Corp.-NVRO Redwood City, CA	Stock	2
Samuel A. Thumma & [REDACTED]	Newmont Mining Corp.-NEM Greenwood Village, CO	Stock	1
Samuel A. Thumma & [REDACTED]	Omeros Corp.-OMER Seattle, WA	Stock	1
Samuel A. Thumma & [REDACTED]	Pacific Biosciences of California- PACB Menlo Park, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Phillips66-PSX Houston, TX	Stock	1
Samuel A. Thumma & [REDACTED]	Prothena CRP PLC PRTA pka ADR Dublin, Ireland (Prothena Biosciences, South San Francisco, CA)	Stock	1
Samuel A. Thumma & [REDACTED]	QualComm Inc.-QCOM San Diego, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Qidel Corp.-QDEL San Diego, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Regulus Therapeutics Inc.-RGLS San Diego, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Sorrento Therapeutics Inc.-SRNE San Diego, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Sanofi Contingent Value Right Cambridge, MA	Stock	1
Samuel A. Thumma & [REDACTED]	Sarepta Therapeutics, Inc.-SRPT Cambridge, MA	Stock	2
Samuel A. Thumma & [REDACTED]	Seattle Genetics Inc.-SGEN Bothell, WA	Stock	1
Samuel A. Thumma & [REDACTED]	Sequenom Inc.-SQNM San Diego, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Service Corp. Int'l-SCI Houston, TX	Stock	1

FINANCIAL DISCLOSURE STATEMENT ATTACHMENT

Samuel A. Thumma (2015)

Page 5 - #8 Continued

Samuel A. Thumma & [REDACTED]	Seventy Seven Energy, Inc.-SSE Oklahoma City, OK	Stock	1
Samuel A. Thumma & [REDACTED]	Spectrum Pharmaceuticals, Inc.- SPPI Irvine, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Tetraphase Pharmaceuticals, Inc.- TTPH Watertown, MA	Stock	1
Samuel A. Thumma & [REDACTED]	Theravance Biopharma Inc.-TBPH South San Francisco, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Theravance, Inc.-THRX South San Francisco, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Time Inc.-TIME New York, NY	Stock	1
Samuel A. Thumma & [REDACTED]	Time Warner, Inc. New-TWX New York, NY	Stock	1
Samuel A. Thumma & [REDACTED]	Time Warner, Inc. Cable-TWC New York, NY	Stock	1
Samuel A. Thumma & [REDACTED]	Trius Therapeutics Contingent Value Right San Diego, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Trovagene Inc.-TROV San Diego, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Vical Inc.-VICL San Diego, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Xencor Inc.-XNCR Monrovia, CA	Stock	1
Samuel A. Thumma & [REDACTED]	Morgan Stanley Bank, N.A. New York, NY	Cash	2
Samuel A. Thumma & [REDACTED]	Berkshire Hathaway A Omaha, NE	Stock	3
Samuel A. Thumma & [REDACTED]	Dendreon Corp. Seattle, WA	Stock	1*
Samuel A. Thumma & [REDACTED]	Volcano Corp. San Diego, CA	Stock	1*
Samuel A. Thumma & [REDACTED]	Cheniere Energy – LNG Houston, TX	Stock	1*
Samuel A. Thumma & [REDACTED]	NRG Yield Inc. Com – NYLD Princeton, NJ	Stock	1*
Samuel A. Thumma & [REDACTED]	Energy Transfer Equity LP – ETE Dallas, TX	Stock	1*
Samuel A. Thumma & [REDACTED]	Oneok Inc. – OKE Tulsa, OK	Stock	1*

FINANCIAL DISCLOSURE STATEMENT ATTACHMENT

Samuel A. Thumma (2015)

Page 6 - #8 Continued

Samuel A. Thumma & [REDACTED]	Semgroup Corp.-SEMG Tulsa, OK	Stock	1*
Samuel A. Thumma & [REDACTED]	Williams Partners Co. – WMB Tulsa, OK	Stock	1*
Samuel A. Thumma & [REDACTED]	iShares Currency Hedged MSCI Eurozone-HEZU New York, NY	Mutual Fund	2
Samuel A. Thumma & [REDACTED]	iShares Currency Hedged Japan- HEWJ New York, NY	Mutual Fund	2
Samuel A. Thumma & [REDACTED]	iShares MSCI USA Min Voluatility- USMV New York, NY	Mutual Fund	2
Samuel A. Thumma & [REDACTED]	Lord Abbett Growth Leaders- LGLFX Jersey City, NJ	Mutual Fund	2
Samuel A. Thumma & [REDACTED]	Doubleline Total Return - DBLTX Los Angeles, CA	Mutual Fund	2
Samuel A. Thumma & [REDACTED]	Doubleline Shiller Enhanced CAPE- DSEEX Los Angeles, CA	Mutual Fund	2
Samuel A. Thumma & [REDACTED]	Cohen & Steers Preferred Securities & Income-CPXIX New York, NY	Mutual Fund	2
Samuel A. Thumma & [REDACTED]	Henderson European Focus-HFEIX Chicago, IL	Mutual Fund	2
Samuel A. Thumma & [REDACTED]	Matthews Asian Japan Fund – MJFOX San Francisco, CA	Mutual Fund	2
Samuel A. Thumma & [REDACTED]	Oakmark – OAKMX Kansas City, MO	Mutual Fund	3
Samuel A. Thumma & [REDACTED]	Sun America Focused Dividend – FDSAX Woodland Hills, CA	Mutual Fund	3
Samuel A. Thumma & [REDACTED]	T Rowe Price Mid-Cap Growth Adv – PAMCX Baltimore, MD	Mutual Fund	2
Samuel A. Thumma & [REDACTED]	Thornburg Developing World – THCIX Santa Fe, NM	Mutual Fund	1*

FINANCIAL DISCLOSURE STATEMENT ATTACHMENT

Samuel A. Thumma (2015)

Page 7 - #8 Continued

Samuel A. Thumma & [REDACTED]	Oakmark International – OAKIX Kansas City, MO	Mutual Fund	2*
Samuel A. Thumma & [REDACTED]	Loomis Sayles Strategic Income Y - NEZYX Kansas City, MO	Mutual Fund	2*
Samuel A. Thumma & [REDACTED]	PIMCo Income - PONPX Samford, CT	Mutual Fund	2*
Samuel A. Thumma & [REDACTED]	Putnam Equity Spectrum – PYSYX Boston, MA	Mutual Fund	2*
Samuel A. Thumma & [REDACTED]	Baron Real Estate Fund– BREIX New York, NY	Mutual Fund	2*
Samuel A. Thumma & [REDACTED]	PIMCo Fundamental Index Plus AR Strategy - PIXPX Samford, CT	Mutual Fund	3*
Samuel A. Thumma & [REDACTED]	Artisan Global Value Fund – ARTGX Boston, MA	Mutual Fund	2*
Samuel A. Thumma & [REDACTED]	Wisdom Tree Europe Hedged Equity – HEDJ New York, NY	Mutual Fund	3*
Samuel A. Thumma & [REDACTED]	Wisdom Tree Trust India – EPI New York, NY	Mutual Fund	1*
Samuel A. Thumma & [REDACTED]	Wisdom Tree Japan Hedged Equity ETF –DXJ New York, NY	Mutual Fund	2*
Samuel A. Thumma & [REDACTED]	Touchstone Sands Capital Select Growth – CFSIX Providence, RI	Mutual Fund	2*
Samuel A. Thumma & [REDACTED]	Metropolitan West Total Return Bond – MWTIX Los Angeles, CA	Mutual Fund	3*
Samuel A. Thumma & [REDACTED]	Highland Global Allocation I – HCOYX Dallas, TX	Mutual Fund	2*
Samuel A. Thumma & [REDACTED]	Columbia Select LG CP Growth Z – UMLGX Chicago, IL	Mutual Fund	2*
Samuel A. Thumma & [REDACTED]	First Trust Dorsey Wright Focus 5 ETF – FV Wheaton, IL	Mutual Fund	2*

FINANCIAL DISCLOSURE STATEMENT ATTACHMENT

Samuel A. Thumma (2015)

Page 8 - #8 Continued

Samuel A. Thumma & [REDACTED]	Abengoa Yield PLC ORD SHS- ABY Seville, Spain	Mutual Fund	1*
Samuel A. Thumma & [REDACTED]	Oppenheimer Intl SM Com Y- OSMYX Denver, CO	Mutual Fund	1*
Samuel A. Thumma & [REDACTED]	Matthews Asian India Inv – MINDX San Francisco, CA	Mutual Fund	2*
Samuel A. Thumma & [REDACTED]	Matthews China Divident Inv – MCDFX San Francisco, CA	Mutual Fund	1*
Samuel A. Thumma & [REDACTED]	T Rowe Price Diversified Small Cap Growth – PRDSX Baltimore, MD	Mutual Fund	1*
Samuel A. Thumma & [REDACTED]	Invesco Small Cap Value - VSMIX Atlanta, GA	Mutual Fund	2*
Samuel A. Thumma & [REDACTED]	PIMCo Real Return P-PRLPX Samford, CT	Mutual Fund	1*
Samuel A. Thumma & [REDACTED]	SPDR Series Trust DB Int GVT- WIP New York, NY	Mutual Fund	1*
Samuel A. Thumma & [REDACTED]	SPDR S&P Emerging Asia Pacif- GMF New York, NY	Mutual Fund	1*
Samuel A. Thumma & [REDACTED]	SPDR S&P China ETF - GXC New York, NY	Mutual Fund	1*
Samuel A. Thumma & [REDACTED]	Mirae Asia Great Consumer I- MGCIX New York, NY	Mutual Fund	1*
Samuel A. Thumma & [REDACTED]	Guggenheim China Small Cap ETF- HAO Topeka, KS	Mutual Fund	1*
Samuel A. Thumma & [REDACTED]	Thornburg International Growth I – TINGX Santa Fe, NM	Mutual Fund	2* (sold in a prior period)
Samuel A. Thumma	Morgan Stanley Bank, N.A. New York, NY	Cash	1
Samuel A. Thumma	First Trust Dorsey Wright Focus 5 ETF – FV Wheaton, IL	Mutual Fund	1

FINANCIAL DISCLOSURE STATEMENT ATTACHMENT

Samuel A. Thumma (2015)

Page 9 - #8 Continued

Samuel A. Thumma	Guggenheim S&P 500 Pur Value-RPV Topeka, KS	Mutual Fund	1
Samuel A. Thumma	iShares Currency Hedged Japan-HEWJ New York, NY	Mutual Fund	1
Samuel A. Thumma	Columbia Select LG CP Growth Z – UMLGX Chicago, IL	Mutual Fund	1
Samuel A. Thumma	Cohen & Steers Preferred Securities & Income-CPXIX New York, NY	Mutual Fund	1
Samuel A. Thumma	Matthews Asian Japan Fund – MJFOX San Francisco, CA	Mutual Fund	2
Samuel A. Thumma	Highland Global Allocation I – HCOYX Dallas, TX	Mutual Fund	1
Samuel A. Thumma	John Hancock Seaport-JSFDX Boston, MA	Mutual Fund	1
Samuel A. Thumma	T Rowe Price Mid-Cap Growth Adv – PAMCX Baltimore, MD	Mutual Fund	2
Samuel A. Thumma	T Rowe Price Diversified Small Cap Growth – PRDSX Baltimore, MD	Mutual Fund	1
Samuel A. Thumma	Wisdom Tree Europe Hedged Equity – HEDJ New York, NY	Mutual Fund	2
Samuel A. Thumma	PIMCo Short Term Bond - PTSPX Samford, CT	Mutual Fund	1
Samuel A. Thumma	PIMCo Income - PONPX Samford, CT	Mutual Fund	1
Samuel A. Thumma	PIMCo International Stocks Plus AR-PIUHX Samford, CT	Mutual Fund	2
Samuel A. Thumma	Doubleline Total Return - DBLTX Los Angeles, CA	Mutual Fund	2
Samuel A. Thumma	Metropolitan West Total Return Bond - MWTIX Los Angeles, CA	Mutual Fund	2

FINANCIAL DISCLOSURE STATEMENT ATTACHMENT**Samuel A. Thumma (2015)****Page 10 - #8 Continued**

Samuel A. Thumma	Oakmark – OAKMX Kansas City, MO	Mutual Fund	2
Samuel A. Thumma	Sun America Focused Dividend – FDSAX Woodland Hills, CA	Mutual Fund	2
Samuel A. Thumma	Touchstone Sands Capital Select Growth – CFSIX Providence, RI	Mutual Fund	2
Samuel A. Thumma	Cheniere Energy – LNG Houston, TX	Stock	1*
Samuel A. Thumma	PIMCo Real Return P-PRLPX Samford, CT	Mutual Fund	1*
Samuel A. Thumma	NRG Yield Inc. Com – NYLD Princeton, NJ	Stock	1*
Samuel A. Thumma	iShares MSCI Japan ETF -EWJ New York, NY	Mutual Fund	1*
Samuel A. Thumma	SPDR Series Trust DB Int GVT- WIP New York, NY	Mutual Fund	1*
Samuel A. Thumma	Abengoa Yield PLC ORD SHS- ABY Seville, Spain	Mutual Fund	1*
Samuel A. Thumma	Invesco Small Cap Value - VSMIX Atlanta, GA	Mutual Fund	2*
Samuel A. Thumma	Matthews Asian India Inv – MINDX San Francisco, CA	Mutual Fund	1*
Samuel A. Thumma	Oppenheimer Intl SM Com Y- OSMYX Denver, CO	Mutual Fund	1*
Samuel A. Thumma	Matthews China Divident Inv – MCDFX San Francisco, CA	Mutual Fund	1*
Samuel A. Thumma	Mirae Asia Great Consumer I- MGCIX New York, NY	Mutual Fund	1*
Samuel A. Thumma	Wisdom Tree Japan Hedged Equity ETF –DXJ New York, NY	Mutual Fund	2*
Samuel A. Thumma	Putnam Equity Spectrum – PYSYX Boston, MA	Mutual Fund	2*

FINANCIAL DISCLOSURE STATEMENT ATTACHMENT

Samuel A. Thumma (2015)

Page 11 - #8 Continued

Samuel A. Thumma	Baron Real Estate Fund – BREIX New York, NY	Mutual Fund	1*
Samuel A. Thumma	SPDR S&P China ETF - GXC New York, NY	Mutual Fund	1*
Samuel A. Thumma	SPDR S&P Emerging Asia Pacif- GMF New York, NY	Mutual Fund	1*
Samuel A. Thumma	PIMCo Fundamental Index Plus AR Strategy - PIXPX Samford, CT	Mutual Fund	2*
Samuel A. Thumma	Natixis Oakmark International – NOIAX Kansas City, MO	Mutual Fund	1*
Samuel A. Thumma	BlackRock Global long Short Credit Wilmington, DE	Mutual Fund	1*
Samuel A. Thumma	Thornburg Developing World – THDIX Santa Fe, NM	Mutual Fund	1*
Samuel A. Thumma	Williams Partners Co. – WMB Tulsa, OK	Stock	1*
Samuel A. Thumma	Semgroup Corp.-SEMG Tulsa, OK	Stock	1*
Samuel A. Thumma	Oneok Inc. – OKE Tulsa, OK	Stock	1*
Samuel A. Thumma	Targa Resources – TRGP Houston, TX	Mutual Fund	1*
Samuel A. Thumma	Loomis Sayles Strategic Income Fund A - NEZYX Los Angeles, CA	Mutual Fund	1* (sold in a prior period)
	Morgan Stanley Bank, N.A. New York, NY	Cash	1
	First Trust Dorsey Wright Focus 5 ETF – FV Wheaton, IL	Mutual Fund	1
	Guggenheim S&P 500 Pur Value- RPV Topeka, KS	Mutual Fund	1
	iShares MSCI Japan ETF -EWJ New York, NY	Mutual Fund	1
	Wisdom Tree Europe Hedged Equity – HEDJ New York, NY	Mutual Fund	1

FINANCIAL DISCLOSURE STATEMENT ATTACHMENT

Samuel A. Thumma (2015)

Page 12 - #8 Continued

	Cohen & Steers Preferred Securities & Income-CPXIX New York, NY	Mutual Fund	1
	Columbia Select LG CP Growth Z – UMLGX Chicago, IL	Mutual Fund	1
	Highland Global Allocation I – HCOYX Dallas, TX	Mutual Fund	1
	John Hancock Seaport-JSFDX Boston, MA	Mutual Fund	1
	Touchstone Sands Capital Select Growth – CFSIX Providence, RI	Mutual Fund	1
	Oakmark International – OAKIX Kansas City, MO	Mutual Fund	1
	T Rowe Price Diversified Small Cap Growth – PRDSX Baltimore, MD	Mutual Fund	1
	Matthews Asian Japan Fund – MJFOX San Francisco, CA	Mutual Fund	1
	Metropolitan West Total Return Bond – MWTIX Los Angeles, CA	Mutual Fund	1
	T Rowe Price Mid-Cap Growth Adv – PAMCX Baltimore, MD	Mutual Fund	1
	PIMCo Income - PONPX Samford, CT	Mutual Fund	1
	Doubleline Total Return Bond Fund 1 Los Angeles, CA	Mutual Fund	1
	PIMCo International Stocks Plus AR-PIUHX Samford, CT	Mutual Fund	1
	PIMCo Short Term Bond - PTSPX Samford, CT	Mutual Fund	1
	Sun America Focused Dividend – FDSAX Woodland Hills, CA	Mutual Fund	1

FINANCIAL DISCLOSURE STATEMENT ATTACHMENT

Samuel A. Thumma (2015)

Page 13 - #8 Continued

	Fidelity Contrafund Boston, MA	Mutual Fund	3
	Fidelity Nasdaq Composite Index Fund Boston, MA	Mutual Fund	3
	PIMCo Income Samford, CT	Mutual Fund	2
	Templeton Global Index San Mateo, CA	Mutual Fund	1
	SPDR Gold Trust New York, NY	Mutual Fund	1*
	Virtus Emerging Markets 1 Hartford, CT	Mutual Fund	1*
	Oppenheimer Intl SM Com Y- OSMYX Denver, CO	Mutual Fund	1*
	Invesco Small Cap Value - VSMIX Atlanta, GA	Mutual Fund	1*
	Matthews Asian India Inv – MINDX San Francisco, CA	Mutual Fund	1*
	PIMCo Real Return P-PRLPX Samford, CT	Mutual Fund	1*
	SPDR Series Trust DB Int GVT- WIP New York, NY	Mutual Fund	1*
	Oakmark – OAKMX Kansas City, MO	Mutual Fund	1*
	Matthews China Divident Inv – MCDFX San Francisco, CA	Mutual Fund	1*
	Mirae Asia Great Consumer I- MGCIX New York, NY	Mutual Fund	1*
	Baron Real Estate Fund – BREIX New York, NY	Mutual Fund	1*
	Putnam Equity Spectrum – PYSYX Boston, MA	Mutual Fund	1*
	Wisdom Tree Japan Hedged Equity ETF –DXJ New York, NY	Mutual Fund	1*

FINANCIAL DISCLOSURE STATEMENT ATTACHMENT

Samuel A. Thumma (2015)

Page 14 - #8 Continued

	SPDR S&P Emerging Asia Pacif-GMF New York, NY	Mutual Fund	1*
	PIMCo Fundamental Index Plus AR Strategy - PIXPX Samford, CT	Mutual Fund	1*
	Loomis Sayles Strategic Income Fund A - NEZYX Los Angeles, CA	Mutual Fund	1*
	Aston/Montag & Caldwell GRW – MCGFX Chicago, IL	Mutual Fund	1*
	BlackRock Equity Dividend A Short Credit Wilmington, DE	Mutual Fund	1*

FINANCIAL DISCLOSRE STATEMENT ATTACHMENT
Samuel A. Thumma (2015)

9. Bonds

Name of Public Officer or Member of Household Issued Bonds	Issuing State or Local Government Agency	Value Category	Date Acquired and/or Divested
Samuel A. Thumma & [REDACTED]	Casa Grande, Arizona Incl Dev Auth Hosp	1	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & [REDACTED]	Surprise, Arizona Mun Ppty Corp Wastewtr Dev	2	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & [REDACTED]	San Diego CA Community College District	1	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & [REDACTED]	California EDL Facs Autho Univ of Sthn Calif Rev	2	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & [REDACTED]	West Basin CA Muni Wtr Dist Ref Rev Serv-A	1	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & [REDACTED]	Arizona Trans Board Trans Excise Tax Rev Maricopa Co Road FD	1	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & [REDACTED]	Salt River Proj Ariz Agric Impt & Pwr Dist Elec Rev	1	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & [REDACTED]	Pima County Arizona Sewer Rev	1	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & [REDACTED]	AZ State Water Infrastructure Auth Water Quality	1	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & [REDACTED]	Mesa Ariz. Genl Oblig Unsolicited	1	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & [REDACTED]	Northern Arizona University Sys Rev Ref Unsolicited	1	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & [REDACTED]	Texas Wtr Dev Brd St WTR Imp FND Rev-A	2	Date: X Acquired: 12/23/2015 <input type="checkbox"/> Divested:

FINANCIAL DISCLOSURE STATEMENT ATTACHMENT

Samuel A. Thumma (2015)

Page 2 - #9 Continued

Samuel A. Thumma & [REDACTED]	Arizona Brd Regents ASU Sys Rev-A	2	Date: X Acquired: 12/23/2015 <input type="checkbox"/> Divested:
Samuel A. Thumma & [REDACTED]	Johnson Cnty NC Genl Oblig Ref-B	2	Date: X Acquired: 12/22/2015 <input type="checkbox"/> Divested:
Samuel A. Thumma & [REDACTED]	Scottsdale Muni Prop Corp Excise Tax Rev Ref	1	Date: X Acquired: 12/21/2015 <input type="checkbox"/> Divested:
Samuel A. Thumma & [REDACTED]	Mesa Ariz Util Sys Rev	1	Date: X Acquired: 11/12/2015 <input type="checkbox"/> Divested:
Samuel A. Thumma & [REDACTED]	Tucson Arizona STR Sys Rer Ref	1	Date: X Acquired: 1/29/2015 <input type="checkbox"/> Divested:
Samuel A. Thumma & [REDACTED]	Arizona Trans Board Grant Anticipation Notes	1	Date: <input type="checkbox"/> Acquired: X Divested: 1/29/2015
Samuel A. Thumma	NelNet Inc. Floating Rate Corporate Blend Lincoln, NE	1	Date: <input type="checkbox"/> Acquired: X Divested: 4/14/2015
Samuel A. Thumma & [REDACTED]	Pima County Arizona Regl Transn Auth Transn Excise Tax	1	Date: <input type="checkbox"/> Acquired: X Divested: 11/9/2015