



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

Name of Public Officer or Candidate: David W. Garbarino

Address: 101 W. Jefferson St.
(please note: this address is public information and not subject to redaction) Phoenix, AZ 85003

Public Office Held or Sought: Maricopa County Superior Court Commissioner

District / Division # (if applicable): N/A

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 2016.
- 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 2017. 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.

/s/ David W. Garbarino

Signature of Public Officer or Candidate
(Typewritten signatures accepted)

A. PERSONAL FINANCIAL INTERESTS

This section requires disclosure of your financial interests and/or the financial interests of the member(s) of your household.¹

1. Identification of Household Members and Business Interests

What to disclose: If you are married, is your spouse a member of your household? **Yes** **No** **N/A** (If not married/widowed, select N/A)

Are any minor children² members of your household? **Yes** (if yes, disclose how many 2) **No** **N/A** (If no children, select N/A)

For the remaining questions in this Financial Disclosure Statement, the term “member of your household” or “household member” will be defined as the person(s) who correspond to your “yes” answers above.

You are not required to disclose the names of your spouse or minor children when answering the questions below. Thus, you may identify your household members as “spouse,” “minor child 1,” “minor child 2,” etc. **Please note that if you choose to identify your spouse or minor children by name, the Secretary of State’s office or other local filing officer are not expected to redact that information when posting this Financial Disclosure Statement on the internet or providing it in response to a public records request.**

2. Sources of Personal Compensation

What to disclose: In subsection (2)(a), provide 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.

In subsection (2)(b), if applicable, list anything of value that any other person (outside your household) received for you 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 income of a business, including money you or any member of your household received that constitutes income paid to a business that you or your household member owns or does business as. This type of business income will be disclosed in Question 11 below.

Subsection (2)(a):

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 employer’s name in Section 2, right-click in any row, click “Insert,” and click “Insert Rows Above” or “Insert Rows Below” as needed.

² Minor children include children 18 years old and younger whom you have joint or sole legal custody over.

PUBLIC OFFICER OR HOUSEHOLD MEMBER ³ 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
David W. Garbarino	Maricopa County	County Government	Superior Court Commissioner
David W. Garbarino	Arizona Attorney General's Office	State Government	Legal services
David W. Garbarino	Fidelity National Law Group; Fidelity National Financial	In-house counsel for Fidelity National Financial, and its subsidiaries, providing legal services to the company and its subsidiaries and insureds for covered claims	Legal services
Spouse	Green Project LLC	Landscape-related design and contracting	Landscape design services, marketing, and other business related services
Spouse	Coleman Dahm & Associates	Political consulting	Fundraising and accounting/bookkeeping for the campaign for a city council position (City of Phoenix) of Deb Stark

Subsection (2)(b) (if applicable):

PUBLIC OFFICER OR HOUSEHOLD MEMBER ³ BENEFITTED	NAME AND ADDRESS OF PERSON WHO PROVIDED SERVICES VALUED OVER \$1,000 FOR YOUR OR YOUR HOUSEHOLD MEMBER'S USE OR BENEFIT	NATURE OF SERVICES PROVIDED BY PERSON FOR YOUR OR YOUR HOUSEHOLD MEMBER'S USE OR BENEFIT	NAME AND ADDRESS OF THIRD PARTY WHO PAID FOR PERSON'S SERVICES ON YOUR OR YOUR HOUSEHOLD MEMBER'S BEHALF
N/A	N/A	N/A	N/A

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 Question 11 below.

³ You are not required to disclose the names of your spouse or minor children. Thus, you may identify your household members as "spouse," "minor child 1", "minor child 2," etc
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PUBLIC OFFICER OR HOUSEHOLD MEMBER ⁴ AFFECTED	TYPE OF LICENSE	PERSON OR ENTITY HOLDING THE LICENSE	JURISDICTION OR ENTITY THAT ISSUED LICENSE
David W. Garbarino	Attorney	David W. Garbarino	Arizona Supreme Court
David W. Garbarino	Certified Public Accountant	David W. Garbarino	Arizona State Board of Accountancy

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 debt⁵ 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 the applicable box to indicate 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” if the debt was not first incurred or fully discharged during the period covered by this Financial Disclosure Statement.

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 in Section B 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.

PUBLIC OFFICER OR HOUSEHOLD MEMBER ⁴ 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	N/A	Date: N/A <input type="checkbox"/> Incurred <input type="checkbox"/> Discharged <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”).

⁴ You are not required to disclose the names of your spouse or minor children. Thus, you may identify your household members as “spouse,” “minor child 1”, “minor child 2,” etc

⁵ A “qualifying” debt is a personal debt *other than* the types of debts in the bullet point list above.

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” if the debt was not first incurred or fully discharged during the period covered by this Financial Disclosure Statement.

PUBLIC OFFICER OR HOUSEHOLD MEMBER ⁶ 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	N/A	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: N/A <input type="checkbox"/> Incurred <input type="checkbox"/> Discharged <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 (reciprocal value) 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.

PUBLIC OFFICER OR HOUSEHOLD MEMBER ⁷ WHO RECEIVED GIFT(S) OVER \$500	NAME OF GIFT DONOR
None	N/A

⁶ You are not required to disclose the names of your spouse or minor children. Thus, you may identify your household members as “spouse,” “minor child 1,” “minor child 2,” etc

⁷ You are not required to disclose the names of your spouse or minor children. Thus, you may identify your household members as “spouse,” “minor child 1,” “minor child 2,” etc

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 HOUSEHOLD MEMBER ⁷ 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 HOUSEHOLD MEMBER
Spouse	Deb Stark for Phoenix, 4715 N. 32nd St., Suite 107, Phoenix, AZ 85018	Treasurer; fundraising
Spouse	Nourish Every Child	Director

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”).

PUBLIC OFFICER OR HOUSEHOLD MEMBER ⁸ 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
David W. Garbarino	Fidelity Diversified International Fund - Class K; Symbol: FDIKX	FDIKX is a broadly diversified international equity fund investing primarily in common stocks.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino	PIMCO Total Return Fund Institutional Class; PTTRX	PTTRX invests at least 65% of its total assets in a diversified portfolio of Fixed Income Instruments.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino for the benefit of Grady T. Garbarino	Fidelity 529 Plan - AZ PORTFOLIO 2024 (FIDELITY INDEX) (AZX202495)	Fidelity 529 Plan - AZ PORTFOLIO 2024 (FIDELITY INDEX) (AZX202495) is a target investment fund to be used to pay for children’s college education expenses.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino for the benefit of Wyatt D. Garbarino	Fidelity 529 Plan - AZ PORTFOLIO 2030 (FIDELITY INDEX) (AZX203006)	Fidelity 529 Plan - AZ PORTFOLIO 2030 (FIDELITY INDEX) (AZX203006) is a target investment fund to be used to pay for children’s college education	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +

⁸ You are not required to disclose the names of your spouse or minor children. Thus, you may identify your household members as “spouse,” “minor child 1,” “minor child 2,” etc
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		expenses.	
David W. Garbarino and Heather M. Garbarino	Fidelity National Financial Inc.; FNF	FNF together with its subsidiaries, provides title insurance, and technology and transaction services to the real estate and mortgage industries in the United States. Its Title segment offers title insurance, escrow, and other title related services, including collection and trust activities, trustee sales guarantees, recordings and reconveyances, and home warranty insurance. The company's Black Knight segment provides technology solutions, such as mortgage processing and workflow management software applications, and origination and default technology; and data and analytics services, including alternative valuation services, real estate and mortgage data, modeling and forecasting, and analytical tools that facilitate and automate various business processes in the life cycle of a mortgage. Its Restaurant Group segment owns, operates, and franchises restaurants comprising O'Charley's, Ninety Nine Restaurants, Village Inn, Bakers Square, and Legendary Baking concepts, as well as J. Alexander's. The company also offers information used by title insurance underwriters, title agents, and closing attorneys to underwrite title insurance policies for real property sales and transfer; and offers home inspection and commercial inspection services. Fidelity National Financial, Inc. was founded in 1847 and is headquartered in Jacksonville, Florida.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	FCASH – Fidelity Money Market;	Money market fund.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +

David W. Garbarino and Heather M. Garbarino	FIDELITY GOVERNMENT MONEY MARKET	Money market fund.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Vanguard Inflation-Protected Secs Adm; VAIPX	VAIPX seeks to provide inflation protection and income consistent with investments in Treasury inflation-protected securities.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Schwab U.S. REIT ETF; SCHH	SCHH seeks to track as closely as possible, before fees and expenses, the total return of the Dow Jones U.S. Select REIT Index.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Vanguard Energy Index Fund ETF; VDE	VDE seeks to track the performance of a benchmark index. The fund employs an indexing investment approach designed to track the performance of the MSCI US Investable Market Index (IMI)/Energy 25/50, an index made up of stocks of large, mid-size, and small U.S. companies within the energy sector, as classified under the Global Industry Classification Standard (GICS).	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Fidelity U.S. Bond Index Fund Investor Class; FBIDX	FBIDX seeks to provide investment results that correspond to the aggregate price and interest performance of the debt securities in the Barclays U.S. Aggregate Bond Index.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	iShares International Treasury Bond ETF; IGOV	IGOV seeks to track the investment results of the S&P/Citigroup International Treasury Bond Index Ex-US which composed of non-U.S. developed market government bonds.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	iShares MSCI Emerging Markets ETF; EEM	EEM seeks to track the investment results of the MSCI Emerging Markets Index..	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Orchid Island Capital Inc.; ORC	ORC is a specialty finance company that invests in residential mortgage-backed securities (RMBS).	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Schwab Emerging Markets Equity ETF; SCHE	SCHE seeks to track as closely as possible, before fees and expenses, the total return of the FTSE Emerging Index.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +

David W. Garbarino and Heather M. Garbarino	Schwab International Equity ETF; SCHF	SCHF seeks to track as closely as possible, before fees and expenses, the total return of the FTSE Developed ex US Index.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Schwab U.S. Aggregate Bond ETF; SCHZ	SCHZ seeks to track as closely as possible, before fees and expenses, the total return of the Barclays U.S. Aggregate Bond Index.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Schwab U.S. Dividend Equity ETF; SCHD	SCHD seeks to track as closely as possible, before fees and expenses, the total return of the Dow Jones U.S. Dividend 100TMIndex.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Schwab U.S. Large-Cap Growth ETF; SCHG	SCHG seeks to track as closely as possible, before fees and expenses, the total return of the Dow Jones U.S. Large-Cap Growth Total Stock Market Index.	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Schwab U.S. TIPS ETF; SCHP	SCHP seeks to track as closely as possible, before fees and expenses, the price and yield performance of the Barclays U.S. Treasury Inflation Protected Securities (TIPS) Index (Series L).	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Vanguard Extended Duration Treasury Index Fund ETF Shares; EDV	EDV seeks to track the performance of an index of extended-duration zero-coupon U.S. Treasury securities.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Vanguard REIT Index Fund; VNQ	VNQ seeks to provide a high level of income and moderate long-term capital appreciation by tracking the performance of a benchmark index that measures the performance of publicly traded equity REITs. The fund employs an indexing investment approach designed to track the performance of the MSCI US REIT Index.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Vanguard Wellington Admiral; VWENX (sold in 2016)	VWENX seeks to provide long-term capital appreciation and moderate current income. The fund invests 60% to 70% of its assets in dividend-paying and, to a lesser extent, non-dividend-paying common stocks of established large companies. The remaining 30% to 40% of the fund's assets are invested mainly in fixed income	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +

		securities that the advisor believes will generate a moderate level of current income.	
David W. Garbarino and Heather M. Garbarino	Apple Inc.; AAPL (sold in 2016)	AAPL designs, manufactures and markets mobile communication and media devices, personal computers and portable digital music players and sells a variety of related software, services, peripherals, networking solutions and third-party digital content and applications.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Discovery Communications Inc.; DISCA (sold in 2016)	DISCA is a global media company. The Company provides content across multiple distribution platforms, including pay-television (pay-TV), free-to-air and broadcast television, Websites, digital distribution arrangements and content licensing agreements.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Discovery Communications Inc.; DISCK (sold in 2016)	DISCK is a global media company. The Company provides content across multiple distribution platforms, including pay-television (pay-TV), free-to-air and broadcast television, Websites, digital distribution arrangements and content licensing agreements.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Facebook Inc.; FB (sold in 2016)	FB operates a social media website known as Facebook.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Horizon Technology Finance Corp.; HRZN (sold in 2016)	HRZN is an externally managed, closed-end, non-diversified management investment company. The Company's investment objective is to generate current income from the debt investments it makes and capital appreciation from the warrants it receives when making such debt investments. The Company operates through lending and investment segment. The Company operates as a specialty finance company. It lends to and invests in development-stage companies in the technology, life	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +

		science, healthcare information and services and cleantech industries (collectively Target Industries). The Company is focused on making secured debt investments (Venture Loans) to venture capital backed companies in its Target Industries. It also provides Venture Loans to publicly traded companies in its Target Industries. Its debt investment portfolio consists of approximately 50 debt investments. Horizon Technology Finance Management LLC is the investment advisor of the Company.	
David W. Garbarino and Heather M. Garbarino	Lululemon Athletica Inc.; LULU (sold in 2016)	LULU is a designer, distributor and retailer of technical athletic apparel.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Royal Bank of Canada; RY (sold in 2016)	RY is a diversified financial services company. The Company provides personal and commercial banking, wealth management services, insurance, investor services and capital markets products and services on a global basis.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Scripps Networks Interactive Inc.; SNI (sold in 2016)	SNI is a developer of lifestyle-oriented content for linear and interactive video platforms, including television and the Internet brands.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Walt Disney Co.; DIS (sold in 2016)	DIS is a diversified entertainment company.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Vanguard Mid-Cap Growth Index Fund; VOT (sold in 2016)	VOT seeks to track the performance of the CRSP US Mid Cap Growth Index that measures the investment return of mid-capitalization growth stocks.	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
David W. Garbarino and Heather M. Garbarino	Vanguard Materials Index Fund ETF; Shares VAW (sold in 2016)	VAW seeks to track the performance of a benchmark index. The fund employs an indexing investment approach designed to track the performance of the MSCI US Investable Market Index (IMI)/Materials 25/50, an index made up of stocks of large, mid-size, and small U.S. companies within the materials sector, as classified under	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +

		the Global Industry Classification Standard (GICS).	
David W. Garbarino and Heather M. Garbarino	Valic Guaranteed Fixed Income; VALGF	VALGF offers fixed-return growth for the long term. The interest rate is declared monthly with interest credited on a daily basis at an annual effective rate. The product credits interest under a portfolio interest crediting method in which all deposits receive the same rate regardless of date of initial deposit	<input checked="" 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” if the bonds were not first acquired or fully divested during the period covered by this Financial Disclosure Statement.

PUBLIC OFFICER OR HOUSEHOLD MEMBER ⁸ 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
None	N/A	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: N/A <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” if the land was not first acquired or fully divested during the period covered by this Financial Disclosure Statement

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

PUBLIC OFFICER OR HOUSEHOLD MEMBER ⁹ 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	N/A	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: N/A <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, if you or your household member were self-employed) during the period covered by this Financial Disclosure Statement, which include any corporations, limited liability companies, partnerships, sole proprietorships or any other type of 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 more than 50%. 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 more than 10%; *and* (2) the business received more than \$10,000 from a single source during the period covered by this Financial Disclosure Statement, which amounted to more than 50% of the business’ gross income for the period.

Please note: 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.

PUBLIC OFFICER OR HOUSEHOLD MEMBER ¹⁰ OWNING THE BUSINESS	NAME AND ADDRESS OF BUSINESS	CHECK THE APPROPRIATE BOX IF THE BUSINESS IS “CONTROLLED BY OR “DEPENDENT” ON YOU OR A HOUSEHOLD MEMBER
None	N/A	<input type="checkbox"/> Controlled <input type="checkbox"/> Dependent

Please note: If a business listed in the foregoing Question 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 Question 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 Question 11 above, and the goods or services provided by the business.

⁹ You are not required to disclose the names of your spouse or minor children. Thus, you may identify your household members as “spouse,” “minor child 1,” “minor child 2,” etc

¹⁰ You are not required to disclose the names of your spouse or minor children. Thus, you may identify your household members as “spouse,” “minor child 1,” “minor child 2,” etc

If a single client or customer (whether a 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, the client or customer is deemed a "major client" and therefore you must describe what your business provided to this major client in the third column below. Also, if the major client is a business, please describe the client's type of business activities in the final column below (but if the major client is an individual, write "N/A" for "not applicable" in the final column below).

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

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

If you or your household member does not own a business, or if your or your household member's business is not a controlled business, you may leave this question blank.

NAME OF YOUR OR YOUR HOUSEHOLD MEMBER'S CONTROLLED BUSINESS	GOODS OR SERVICES PROVIDED BY THE CONTROLLED BUSINESS	DESCRIBE WHAT YOUR BUSINESS PROVIDES TO ITS MAJOR CLIENT	TYPE OF BUSINESS ACTIVITIES OF THE MAJOR CLIENT (IF A BUSINESS)
None	N/A	N/A	N/A

13. Dependent Business Information

What to disclose: The name of each dependent business listed in Question 11 above, and the goods or services provided by the business.

If a single client or customer (whether a 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, the client or customer is deemed a "major client" and therefore you must describe what your business provided to this major client in the third column below. Also, if the major client is a business, please describe the client's type of business activities in the final column below (but if the major client is an individual, write "N/A" for "not applicable" in the final column below).

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

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

If you or your household member does not own a business, or if your or your household member's business is not a dependent business, you may leave this question blank.

NAME OF YOUR OR 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 (IF A BUSINESS)
N/A	N/A	N/A	N/A

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” if the land was not first acquired or fully divested during the period covered by this Financial Disclosure Statement

You need not disclose: If you or your household member does not own a business, or if your or your household member’s business is not a dependent business, you may leave this question blank.

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
N/A	N/A	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: N/A <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” if the business debt was not first incurred or fully discharged during the period covered by this Financial Disclosure Statement.

You need not disclose: If you or your household member does not own a business, or if your or your household member’s business is not a controlled or dependent business, you may leave this question blank.

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
N/A	N/A	Date: N/A <input type="checkbox"/> Incurred <input type="checkbox"/> Discharged

16. Controlled or Dependent Business' Debtors

What to disclose: The name of each debtor who owed more than \$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" if the business debt was not first incurred or fully discharged during the period covered by this Financial Disclosure Statement.

You need not disclose: If you or your household member does not own a business, or if your or your household member's business is not a controlled or dependent business, you may leave this question blank.

PUBLIC OFFICER OR HOUSEHOLD MEMBER ¹¹ 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
N/A	N/A	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: N/A <input type="checkbox"/> Incurred <input type="checkbox"/> Discharged

¹¹ You are not required to disclose the names of your spouse or minor children. Thus, you may identify your household members as "spouse," "minor child 1", "minor child 2," etc
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