



STATE 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
Address: Court of Appeals, Division One, State Courts Building, 1501 West Washington, Phoenix, AZ 85007
(please note: this address is public information and not subject to redaction)
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 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/ Samuel A. Thumma

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 1) **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 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 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.

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.

Subsection (2)(a):

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
Samuel A. Thumma	State of Arizona Human Resources 100 North 15 th Avenue Phoenix, Arizona 85007	Court of Appeals	Judge
Spouse	Snell & Wilmer LLP 400 East Van Buren One Arizona Center Phoenix, Arizona 85004-2202	Law Firm	Legal Services
Minor Child	Phoenix Country Day School 3901 East Stanford Drive Paradise Valley, Arizona 85253	Education	Education Services

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
None			

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.

PUBLIC OFFICER OR HOUSEHOLD MEMBER ⁴ 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)
Spouse	License to practice law	Spouse	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 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		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

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.

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		<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 (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	

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
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”).

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
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” 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

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.

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
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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		<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, 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.

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.

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
Spouse	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 & Spouse	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 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.

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.

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.
Secretary of State Revision January 2017

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)
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 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)
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" 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
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" 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
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 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
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

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.
 Secretary of State Revision January 2017

**FINANCIAL DISCLOSURE STATEMENT ATTACHMENT
Samuel A. Thumma – (2016)**

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
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 & Spouse	Member and Officer
Samuel A. Thumma and [Name of Spouse] Family Trust c/o Samuel A. Thumma Mailing address listed above	Samuel A. Thumma & Spouse	Trustees
Appellate Judges Education Institute SMU Dedman School of Law P.O. Box 750112 Dallas, Texas 75275-0112	Samuel A. Thumma	Board Member and Secretary
Although not a business, organization, trust, nonprofit organization or association, I hold certain funds for the benefit of our minor child and owe fiduciary obligations with respect to those funds.	Samuel A. Thumma	Fiduciary Obligation
Snell & Wilmer LLP 400 E. Van Buren One Arizona Center Phoenix, AZ 85004-2202	Spouse	Partner
Lex Mundi Pro Bono Foundation 2100 West Loop South, Suite 1000 Houston, Texas 77027	Spouse	Board Member

FINANCIAL DISCLOSURE STATEMENT ATTACHMENT

Samuel A. Thumma (2016)

8. Ownership or Financial Interest in Businesses, Trusts or Investment Funds (including holdings in accounts with/managed by/held by Wells Fargo; Morgan Stanley; Fidelity Investments; Nuveen Asset Management; Samuel A. Thumma and [Name of Spouse] Family Trust; 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

Public Officer or Household Member Having The Interest	Name And Address of Business, Trust or Investment Fund	Description of the Business, Trust or Investment Fund	Value Category
Samuel A. Thumma FBO Minor Child	The Growth Fund of America-529A Indianapolis, IN	Mutual Fund/College Fund	1
Samuel A. Thumma FBO Minor Child	New Perspective Fund-529A Indianapolis, IN	Mutual Fund/College Fund	1
Samuel A. Thumma FBO Minor Child	The Investment Company of America-529A Indianapolis, IN	Mutual Fund/College Fund	1
Samuel A. Thumma FBO Minor Child	American Balanced Fund-529A Indianapolis, IN	Mutual Fund/College Fund	1
Samuel A. Thumma FBO Minor Child	American Mutual Fund -529A Indianapolis, IN	Mutual Fund/College Fund	2
Samuel A. Thumma FBO Minor Child	American Funds AMCAP-529A Indianapolis, IN	Mutual Fund/College Fund	1
Samuel A. Thumma & Spouse FBO Minor Child	College Bound Fund Principal Protection Inc. Portfolio Alt-A Oconomowoc, WI	Mutual Fund/College Fund	2
Samuel A. Thumma & Spouse FBO Minor Child	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 (2016)

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Samuel A. Thumma	TWB Investment Partnership, LP (I & II) Seattle, Washington	Investment Fund	1
Spouse	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	Allianz GI 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 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 Inst King of Prussia, PA	Mutual Fund/401(a)	2
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	Vanguard Total Bond Market Index Fund Malvern, PA	Mutual Fund/401(a)	1
Samuel A. Thumma & Spouse	Alkermes PLC-ALKS Waltham, MA	Stock	1
Samuel A. Thumma & Spouse	Alnylam Pharmaceuticals-ALNY Cambridge, MA	Stock	2
Samuel A. Thumma & Spouse	American States Water Co.-AWR San Dimas, CA	Stock	1

FINANCIAL DISCLOSURE STATEMENT ATTACHMENT

Samuel A. Thumma (2016)

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Samuel A. Thumma & Spouse	Apple Computer, Inc.-AAPL Cupertino, CA	Stock	2
Samuel A. Thumma & Spouse	Arrowhead Research Corp.-ARWR Pasadena, CA	Stock	1
Samuel A. Thumma & Spouse	Barrick Gold Corp.-ABX Toronto, Ontario Canada	Stock	1
Samuel A. Thumma & Spouse	Bluebird Bio Inc.-BLUE Cambridge, MA	Stock	2
Samuel A. Thumma & Spouse	Charter Communications – CHTR Stamford, CT	Stock	1
Samuel A. Thumma & Spouse	Chesapeake Energy Corp.-CHK Oklahoma City, OK	Stock	1
Samuel A. Thumma & Spouse	Collectis SA Spon ADR – CLLS New York, NY	Stock	1
Samuel A. Thumma & Spouse	Chevron Corp.-CVX San Ramon, CA	Stock	1
Samuel A. Thumma & Spouse	Chimerix, Inc.-CMRX Durham, NC	Stock	1
Samuel A. Thumma & Spouse	Clovis Oncology Inc.-CLVS Boulder, CO	Stock	2
Samuel A. Thumma & Spouse	ConocoPhillips-COP Houston, TX	Stock	1
Samuel A. Thumma & Spouse	Cytori Therapeutics Inc.-CYTX San Diego, CA	Stock	1
Samuel A. Thumma & Spouse	Exact Sciences Corp-EXAS Madison, WI	Stock	2
Samuel A. Thumma & Spouse	Exxon Mobil Corp.-XOM Irving, TX	Stock	1
Samuel A. Thumma & Spouse	First Solar, Inc.-FSLR Tempe, AZ	Stock	1
Samuel A. Thumma & Spouse	Foundation Medicine Inc.-FMI Cambridge, MA	Stock	1
Samuel A. Thumma & Spouse	Genomic Health Inc.-GHDX Redwood City, CA	Stock	1
Samuel A. Thumma & Spouse	Halozyme Therapeutics Inc.-HALO San Diego, CA	Stock	1
Samuel A. Thumma & Spouse	Heron Therapeutics Inc.-HRTX Redwood City, CA	Stock	1
Samuel A. Thumma & Spouse	Ionis Pharmaceuticals-IONS (PKA Isis Pharmaceuticals, Inc.) Carlsbad, CA	Stock	2
Samuel A. Thumma & Spouse	Illumina Inc.-ILMN San Diego, CA	Stock	1
Samuel A. Thumma & Spouse	Incyte Corp.-INCY Wilmington, DE	Stock	2
Samuel A. Thumma & Spouse	Infinity Pharma, Inc.-INFI Cambridge, MA	Stock	1

FINANCIAL DISCLOSURE STATEMENT ATTACHMENT

Samuel A. Thumma (2016)

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Samuel A. Thumma & Spouse	Insmed Inc.-INSM Monmouth Junction, NJ	Stock	1
Samuel A. Thumma & Spouse	Intuitive Surgical Inc.-ISRG Sunnyvale, CA	Stock	1
Samuel A. Thumma & Spouse	Juno Therapeutics Inc.-JUNO Seattle, WA	Stock	2
Samuel A. Thumma & Spouse	Kinross Gold Corp. New-KGC Toronto, Ontario Canada	Stock	1
Samuel A. Thumma & Spouse	Kite Pharma Inc.-KITE Santa Monica, CA	Stock	1
Samuel A. Thumma & Spouse	La.Jolla Pharmaceutical Co.-LJPC San Diego, CA	Stock	1
Samuel A. Thumma & Spouse	Ligand Pharmaceuticals-LGND San Diego, CA	Stock	2
Samuel A. Thumma & Spouse	Mirati Therapeutics Inc. – MRTX San Diego, CA	Stock	1
Samuel A. Thumma & Spouse	Monsanto Co. New-MON St. Louis, MO	Stock	1
Samuel A. Thumma & Spouse	Myriad Genetics, Inc.-MYGN Salt Lake City, UT	Stock	1
Samuel A. Thumma & Spouse	Neurocrine Biosciences Inc.-NBIX San Diego, CA	Stock	2
Samuel A. Thumma & Spouse	Nevro Corp.-NVRO Redwood City, CA	Stock	2
Samuel A. Thumma & Spouse	Newmont Mining Corp.-NEM Greenwood Village, CO	Stock	1
Samuel A. Thumma & Spouse	Omeros Corp.-OMER Seattle, WA	Stock	1
Samuel A. Thumma & Spouse	Pacific Biosciences of California- PACB Menlo Park, CA	Stock	1
Samuel A. Thumma & Spouse	Phillips 66-PSX Houston, TX	Stock	1
Samuel A. Thumma & Spouse	Prothena CRP PLC PRTA pka ADR Dublin, Ireland (Prothena Biosciences, South San Francisco, CA)	Stock	1
Samuel A. Thumma & Spouse	QualComm Inc.-QCOM San Diego, CA	Stock	1
Samuel A. Thumma & Spouse	Quidel Corp.-QDEL San Diego, CA	Stock	1
Samuel A. Thumma & Spouse	Regulus Therapeutics Inc.-RGLS San Diego, CA	Stock	1
Samuel A. Thumma & Spouse	Sorrento Therapeutics Inc.-SRNE San Diego, CA	Stock	1
Samuel A. Thumma & Spouse	Sangamo Biosciences Inc.-SGMO Richmond, CA	Stock	1

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Samuel A. Thumma (2016)

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Samuel A. Thumma & Spouse	Sanofi - GCVRZ Cambridge, MA	Stock	1
Samuel A. Thumma & Spouse	Sarepta Therapeutics, Inc.-SRPT Cambridge, MA	Stock	2
Samuel A. Thumma & Spouse	Seattle Genetics Inc.-SGEN Bothell, WA	Stock	2
Samuel A. Thumma & Spouse	Service Corp. Int'l-SCI Houston, TX	Stock	1
Samuel A. Thumma & Spouse	Spark Therapeutics Inc. - ONCE Philadelphia, PA	Stock	1
Samuel A. Thumma & Spouse	Spectrum Pharmaceuticals, Inc.- SPPI Irvine, CA	Stock	1
Samuel A. Thumma & Spouse	Tekla Healthcare – HQH Boston, MA	Mutual Fund	2
Samuel A. Thumma & Spouse	Tetraphase Pharmaceuticals, Inc.- TTPH Watertown, MA	Stock	1
Samuel A. Thumma & Spouse	Theravance Biopharma Inc.-TBPH South San Francisco, CA	Stock	1
Samuel A. Thumma & Spouse	Time Inc.-TIME New York, NY	Stock	1
Samuel A. Thumma & Spouse	Time Warner, Inc. New-TWX New York, NY	Stock	1
Samuel A. Thumma & Spouse	Trius Therapeutics Contingent Value Right San Diego, CA	Stock	1
Samuel A. Thumma & Spouse	Trovagene Inc.-TROV San Diego, CA	Stock	1
Samuel A. Thumma & Spouse	Vical Inc.-VICL San Diego, CA	Stock	1
Samuel A. Thumma & Spouse	Xencor Inc.-XNCR Monrovia, CA	Stock	1
Samuel A. Thumma & Spouse	Time Warner, Inc. Cable-TWC New York, NY	Stock	1*
Samuel A. Thumma & Spouse	Sequenom Inc.-SQNM San Diego, CA	Stock	1*
Samuel A. Thumma & Spouse	Seventy Seven Energy, Inc.-SSE Oklahoma City, OK	Stock	1*
Samuel A. Thumma & Spouse	Theravance, Inc.-THRX South San Francisco, CA	Stock	1*
Samuel A. Thumma & Spouse	Morgan Stanley Bank, N.A. New York, NY	Cash	1
Samuel A. Thumma & Spouse	Berkshire Hathaway A Omaha, NE	Stock	3

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Samuel A. Thumma (2016)

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Samuel A. Thumma & Spouse	Doubleline Total Return - DBLTX Los Angeles, CA	Mutual Fund	2
Samuel A. Thumma & Spouse	Doubleline Shiller Enhanced CAPE-DSEEX Los Angeles, CA	Mutual Fund	2
Samuel A. Thumma & Spouse	Henderson International Opportunities-HFOIX Chicago, IL	Mutual Fund	1
Samuel A. Thumma & Spouse	Invesco Developing Markets – GTDYY Kansas City, MO	Mutual Fund	2
Samuel A. Thumma & Spouse	Matthews Asian Japan Fund – MJFOX San Francisco, CA	Mutual Fund	2
Samuel A. Thumma & Spouse	Oakmark – OAKMX Kansas City, MO	Mutual Fund	3
Samuel A. Thumma & Spouse	Sun America Focused Dividend – FDSAX Woodland Hills, CA	Mutual Fund	2
Samuel A. Thumma & Spouse	Allergan PLC – AGN Dublin, Ireland	Stock	1
Samuel A. Thumma & Spouse	Alphabet – GOOGL Mountain View, CA	Stock	1
Samuel A. Thumma & Spouse	Amazon – AMZN Seattle, WA	Stock	1
Samuel A. Thumma & Spouse	Amgen – AMGN Thousand Oaks, CA	Stock	1
Samuel A. Thumma & Spouse	Apple – APPL Cupertino, CA	Stock	1
Samuel A. Thumma & Spouse	BlackRock – BLK New York, NY	Stock	1
Samuel A. Thumma & Spouse	Blackstone – BX New York, NY	Stock	1
Samuel A. Thumma & Spouse	CBS Corp – CBS New York, NY	Stock	1
Samuel A. Thumma & Spouse	Charles Schwab – SCHW San Francisco, CA	Stock	1
Samuel A. Thumma & Spouse	Chevron – CVX San Ramon, CA	Stock	1
Samuel A. Thumma & Spouse	Chubb – CB Zurich, Switzerland	Stock	1
Samuel A. Thumma & Spouse	Cognizant Technology Solutions – CTSH Teaneck, NJ	Stock	1
Samuel A. Thumma & Spouse	Comcast – CMCSA Philadelphia, PA	Stock	1

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Samuel A. Thumma (2016)

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Samuel A. Thumma & Spouse	Costco Wholesale – COST Issaquah, WA	Stock	1
Samuel A. Thumma & Spouse	Crown Castle Int'l – CCI Houston, TX	Stock	1
Samuel A. Thumma & Spouse	Danaher Corp – DHR Washington, DC	Stock	1
Samuel A. Thumma & Spouse	EOG Resources – EOG Houston, TX	Stock	1
Samuel A. Thumma & Spouse	Estee Lauder Co – EL New York, NY	Stock	1
Samuel A. Thumma & Spouse	Exelon Corp – EXC Chicago, IL	Stock	1
Samuel A. Thumma & Spouse	Gilead Science – GILD Foster City, CA	Stock	1
Samuel A. Thumma & Spouse	Goldman Sachs Group – GS New York, NY	Stock	1
Samuel A. Thumma & Spouse	Honeywell International – HON Morris Plains, NJ.	Stock	1
Samuel A. Thumma & Spouse	Ingersoll-Rand PLC – IR Davidson, NC	Stock	1
Samuel A. Thumma & Spouse	International Business Machines – IBM North Castle, NY	Stock	1
Samuel A. Thumma & Spouse	JP Morgan Chase – JPM New York, NY	Stock	1
Samuel A. Thumma & Spouse	Mastercard – MA Purchase, NY	Stock	1
Samuel A. Thumma & Spouse	McKesson – MCK San Francisco, CA	Stock	1
Samuel A. Thumma & Spouse	Medtronic – MDT Dublin, Ireland	Stock	1
Samuel A. Thumma & Spouse	Microsoft – MSFT Redmond, WA	Stock	1
Samuel A. Thumma & Spouse	Nike – NIKE Beaverton, OR	Stock	1
Samuel A. Thumma & Spouse	Occidental Petroleum Corp – OXY Houston, TX	Stock	1
Samuel A. Thumma & Spouse	Oracle Corp – ORCL Redwood City, CA	Stock	1
Samuel A. Thumma & Spouse	PepsiCo Inc. – PEP Purchase, NY	Stock	1
Samuel A. Thumma & Spouse	Pfizer – PFE New York, NY	Stock	1
Samuel A. Thumma & Spouse	Schlumberger – SLB Stroud, United Kingdom	Stock	1
Samuel A. Thumma & Spouse	T-Mobile US – TMUS Bellevue, WA	Stock	1

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Samuel A. Thumma (2016)

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Samuel A. Thumma & Spouse	Thermo Fisher Scientific – TMO Waltham, MA	Stock	1
Samuel A. Thumma & Spouse	Union Pacific Corp – UNP Omaha, NE	Stock	1
Samuel A. Thumma & Spouse	Wells Fargo & Co – WFC San Francisco, CA	Stock	1
Samuel A. Thumma & Spouse	Wisdom Tree Europe Hedged Equity – HEDJ New York, NY	Mutual Fund	2
Samuel A. Thumma & Spouse	iShares Currency Hedged MSCI Eurozone-HEZU New York, NY	Mutual Fund	2*
Samuel A. Thumma & Spouse	iShares Currency Hedged Japan- HEWJ New York, NY	Mutual Fund	2*
Samuel A. Thumma & Spouse	iShares MSCI USA Min Volatility- USMV New York, NY	Mutual Fund	2*
Samuel A. Thumma & Spouse	Lord Abbett Growth Leaders- LGLFX Jersey City, NJ	Mutual Fund	2*
Samuel A. Thumma & Spouse	Cohen & Steers Preferred Securities & Income-CPXIX New York, NY	Mutual Fund	2*
Samuel A. Thumma & Spouse	Henderson European Focus-HFEIX Chicago, IL	Mutual Fund	2*
Samuel A. Thumma & Spouse	T Rowe Price Mid-Cap Growth Adv – PAMCX Baltimore, MD	Mutual Fund	2*
Samuel A. Thumma & Spouse	iShares Currency Hedged MSCI Eurozone-HEZU New York, NY	Mutual Fund	2*
Samuel A. Thumma & Spouse	iShares Currency Hedged Japan- HEWJ New York, NY	Mutual Fund	2*
Samuel A. Thumma & Spouse	iShares MSCI USA Min Volatility- USMV New York, NY	Mutual Fund	2*

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Samuel A. Thumma (2016)

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Samuel A. Thumma	Morgan Stanley Bank, N.A. New York, NY	Cash	1
Samuel A. Thumma	Allergan PLC – AGN Dublin, Ireland	Stock	1
Samuel A. Thumma	Alphabet – GOOGL Mountain View, CA	Stock	1
Samuel A. Thumma	Amazon – AMZN Seattle, WA	Stock	1
Samuel A. Thumma	Amgen – AMGN Thousand Oaks, CA	Stock	1
Samuel A. Thumma	Apple – APPL Cupertino, CA	Stock	1
Samuel A. Thumma	BlackRock – BLK New York, NY	Stock	1
Samuel A. Thumma	Blackstone – BX New York, NY	Stock	1
Samuel A. Thumma	CBS Corp – CBS New York, NY	Stock	1
Samuel A. Thumma	Charles Schwab – SCHW San Francisco, CA	Stock	1
Samuel A. Thumma	Chevron – CVX San Ramon, CA	Stock	1
Samuel A. Thumma	Chubb – CB Zurich, Switzerland	Stock	1
Samuel A. Thumma	Cognizant Technology Solutions – CTSH Teaneck, NJ	Stock	1
Samuel A. Thumma	Comcast – CMCSA Philadelphia, PA	Stock	1
Samuel A. Thumma	Costco Wholesale – COST Issaquah, WA	Stock	1
Samuel A. Thumma	Crown Castle Int'l – CCI Houston, TX	Stock	1
Samuel A. Thumma	Danaher Corp – DHR Washington, DC	Stock	1
Samuel A. Thumma	EOG Resources – EOG Houston, TX	Stock	1
Samuel A. Thumma	Estee Lauder Co – EL New York, NY	Stock	1
Samuel A. Thumma	Exelon Corp – EXC Chicago, IL	Stock	1
Samuel A. Thumma	Gilead Science – GILD Foster City, CA	Stock	1
Samuel A. Thumma	Goldman Sachs Group – GS New York, NY	Stock	1

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Samuel A. Thumma (2016)

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Samuel A. Thumma	Honeywell International – HON Morris Plains, NJ.	Stock	1
Samuel A. Thumma	Ingersoll-Rand PLC – IR Davidson, NC	Stock	1
Samuel A. Thumma	International Business Machines – IBM North Castle, NY	Stock	1
Samuel A. Thumma	JP Morgan Chase – JPM New York, NY	Stock	1
Samuel A. Thumma	MasterCard – MA Purchase, NY	Stock	1
Samuel A. Thumma	McKesson – MCK San Francisco, CA	Stock	1
Samuel A. Thumma	Medtronic – MDT Dublin, Ireland	Stock	1
Samuel A. Thumma	Microsoft – MSFT Redmond, WA	Stock	1
Samuel A. Thumma	Nike – NKE Beaverton, OR	Stock	1
Samuel A. Thumma	Occidental Petroleum Corp – OXY Houston, TX	Stock	1
Samuel A. Thumma	Oracle Corp – ORCL Redwood City, CA	Stock	1
Samuel A. Thumma	PepsiCo Inc. – PEP Purchase, NY	Stock	1
Samuel A. Thumma	Pfizer – PFE New York, NY	Stock	1
Samuel A. Thumma	Schlumberger – SLB Stroud, United Kingdom	Stock	1
Samuel A. Thumma	T-Mobile US – TMUS Bellevue, WA	Stock	1
Samuel A. Thumma	Thermo Fisher Scientific – TMO Waltham, MA	Stock	1
Samuel A. Thumma	Union Pacific Corp – UNP Omaha, NE	Stock	1
Samuel A. Thumma	Wells Fargo & Co – WFC San Francisco, CA	Stock	1
Samuel A. Thumma	Ranger Equity Bear – ETF Bethesda, MD	Mutual Fund	1
Samuel A. Thumma	Vanguard Growth - VUG Malvern, PA	Mutual Fund	2
Samuel A. Thumma	Vanguard Mid Cap Value – VOE Malvern, PA	Mutual Fund	1
Samuel A. Thumma	Vanguard Mid Cap Growth - VOT Malvern, PA	Mutual Fund	1

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Samuel A. Thumma (2016)

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Samuel A. Thumma	Vanguard Value ETF Index - VTV Malvern, PA	Mutual Fund	2
Samuel A. Thumma	Vanguard Inflation Protected Securities - VIPSX Malvern, PA	Mutual Fund	2
Samuel A. Thumma	Invesco Developing Markets – GTDYX Kansas City, MO	Mutual Fund	1
Samuel A. Thumma	First Eagle Gold – FEGIX New York NY	Mutual Fund	1
Samuel A. Thumma	Doubleline Shiller Enhanced CAPE- DSEEX Los Angeles, CA	Mutual Fund	2
Samuel A. Thumma	Henderson European Focus-HFEIX Chicago, IL	Mutual Fund	1
Samuel A. Thumma	Columbia Select LG CP Growth Z – UMLGX Chicago, IL	Mutual Fund	1
Samuel A. Thumma	Matthews Asian Japan Fund – MJFOX San Francisco, CA	Mutual Fund	2
Samuel A. Thumma	Wisdom Tree Europe Hedged Equity – HEDJ New York, NY	Mutual Fund	1
Samuel A. Thumma	Wisdom Tree Japan Hedged Equity – DXJ New York, NY	Mutual Fund	1
Samuel A. Thumma	PIMCo Income - PONPX 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 - MWPIX Los Angeles, CA	Mutual Fund	2
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	Cohen & Steers Preferred Securities & Income-CPXIX New York, NY	Mutual Fund	1*
Samuel A. Thumma	Highland Global Allocation I – HCOYX Dallas, TX	Mutual Fund	1*

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Samuel A. Thumma (2016)

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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	First Trust Dorsey Wright Focus 5 ETF - FV Wheaton, IL	Mutual Fund	1*
Samuel A. Thumma	PIMCo Short Term Bond - PTSPX Samford, CT	Mutual Fund	1*
Samuel A. Thumma	PIMCo International Stocks Plus AR-PIUHX Samford, CT	Mutual Fund	2*
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*
Spouse	Morgan Stanley Bank, N.A. New York, NY	Cash	1
Spouse	Vanguard Growth - VUG Malvern, PA	Mutual Fund	1
Spouse	Vanguard Mid Cap Value - VOE Malvern, PA	Mutual Fund	1
Spouse	Vanguard Mid Cap Growth - VOT Malvern, PA	Mutual Fund	1
Spouse	Vanguard Value ETF Index - VTV Malvern, PA	Mutual Fund	1
Spouse	Wisdom Tree Japan Hedged Equity - DXJ New York, NY	Mutual Fund	1
Spouse	AMG Managers Silvercrest Small Cap - ACRTX New York, NY	Mutual Fund	1
Spouse	Cohen & Steers Preferred Securities & Income-CPXIX New York, NY	Mutual Fund	1
Spouse	Vanguard Inflation Protected Securities - VIPSX Malvern, PA	Mutual Fund	1

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Samuel A. Thumma (2016)

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Spouse	Invesco Developing Markets – GTDYX Kansas City, MO	Mutual Fund	1
Spouse	Henderson European Focus-HFEIX Chicago, IL	Mutual Fund	1
Spouse	First Eagle Gold – FEGIX New York NY	Mutual Fund	1
Spouse	Doubleline Shiller Enhanced CAPE- DSEEX Los Angeles, CA	Mutual Fund	1
Spouse	Wisdom Tree Europe Hedged Equity – HEDJ New York, NY	Mutual Fund	1
Spouse	Columbia Select LG CP Growth Z – UMLGX Chicago, IL	Mutual Fund	1
Spouse	T Rowe Price Diversified Small Cap Growth – PRDSX Baltimore, MD	Mutual Fund	1
Spouse	Matthews Asian Japan Fund – MJFOX San Francisco, CA	Mutual Fund	1
Spouse	Metropolitan West Total Return Bond – MWTIX Los Angeles, CA	Mutual Fund	1
Spouse	PIMCo Income - PONPX Samford, CT	Mutual Fund	1
Spouse	Doubleline Total Return Bond Fund 1 Los Angeles, CA	Mutual Fund	1
Spouse	Sun America Focused Dividend – FDSAX Woodland Hills, CA	Mutual Fund	1
Spouse	First Trust Dorsey Wright Focus 5 ETF – FV Wheaton, IL	Mutual Fund	1*
Spouse	Guggenheim S&P 500 Pur Value- RPV Topeka, KS	Mutual Fund	1*
Spouse	iShares MSCI Japan ETF -EWJ New York, NY	Mutual Fund	1*
Spouse	Highland Global Allocation I – HCOYX Dallas, TX	Mutual Fund	1*
Spouse	John Hancock Seaport-JSFDX Boston, MA	Mutual Fund	1*

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Samuel A. Thumma (2016)

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Spouse	Touchstone Sands Capital Select Growth – CFSIX Providence, RI	Mutual Fund	1*
Spouse	Oakmark International – OAKIX Kansas City, MO	Mutual Fund	1*
Spouse	T Rowe Price Mid-Cap Growth Adv – PAMCX Baltimore, MD	Mutual Fund	1*
Spouse	PIMCo International Stocks Plus AR-PIUHX Samford, CT	Mutual Fund	1*
Spouse	PIMCo Short Term Bond - PTSPX Samford, CT	Mutual Fund	1*
Spouse	Fidelity Contrafund Boston, MA	Mutual Fund	3*
Spouse	Fidelity Nasdaq Composite Index Fund Boston, MA	Mutual Fund	3*
Spouse	Templeton Global Index San Mateo, CA	Mutual Fund	1*

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Samuel A. Thumma (2016)

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 & Spouse	Casa Grande, Arizona Indl Dev Auth Hosp	1	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	Surprise, Arizona Mun Pty Corp Wastewtr Dev	2	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	San Diego CA Community College District	1	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	California EDL Facs Autho Univ of Sthn Calif Rev	2	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	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 & Spouse	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 & Spouse	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 & Spouse	Pima County Arizona Sewer Rev	1	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	AZ State Water Infrastructure Auth Water Quality	1	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	Mesa Ariz. Genl Oblig Unsolicited	1	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	Northern Arizona University Sys Rev Ref Unsolicited	1	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	Texas Wtr Dev Brd St WTR Imp FND Rev-A	2	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:

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Samuel A. Thumma (2016)

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Samuel A. Thumma & Spouse	Arizona Brd Regents ASU Sys Rev-A	2	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	Johnson Cnty NC Genl Oblig Ref-B	2	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	Scottsdale Muni Prop Corp Excise Tax Rev Ref	1	Date: N/A X Acquired: 8/25/2016 <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	Tucson Arizona STR Sys Rer Ref	1	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	Mesa Ariz Util Sys Rev	1	Date: N/A X Acquired: 12/1/2016 <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	Arizona Sch Facs Board CTFS Partn Rev Ref-A	2	Date: N/A X Acquired: 1/7/2016 <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	Central Arizona Water Delivery Rev	2	Date: N/A X Acquired: 1/15/2016 <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	New York Dormitory Auth Sales Tax Rev	2	Date: N/A X Acquired: 1/4/2016 <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	Louisiana St Hwy Impt Rev-A	2	Date: N/A X Acquired: 1/7/2016 <input type="checkbox"/> Divested: