



STATE FINANCIAL DISCLOSURE STATEMENT

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

Name of Public Officer or Candidate:

Patricia K. Norris

Address: (Please note: this address is public information and not subject to redaction)

111 East Taylor Street, Suite 120, MC8520, Phoenix, Arizona 85004

Public Office Held or Sought:

Judge, Court of Appeals (retired effective July 1, 2017)

District / Division Number (if applicable):

One

Please check the appropriate box that reflects your service for this filing year:

- I am a **public officer** filing this Financial Disclosure Statement covering the 12 months of calendar year 2017.
- 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 2018. 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 _____, to the month of _____.

VERIFICATION

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

Patricia K. Norris

Signature of Public Officer or Candidate

(Digital and 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) **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 12 below.

¹ If additional space is needed to report information on this Financial Disclosure Statement, please attach additional information as numbered exhibits.

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

2. (cont.)

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
Patricia K. Norris	State of Arizona 1501 West Washington Phoenix, Arizona	State Government	Judge, Court of Appeals

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
NA			

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 12 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.

3. (cont.)

PUBLIC OFFICER OR HOUSEHOLD MEMBER ⁴ AFFECTED	TYPE OF LICENSE	PERSON OR ENTITY HOLDING THE LICENSE	JURISDICTION OR ENTITY THAT ISSUED LICENSE
Patricia K. Norris	Law	Patricia K. Norris	Arizona

4. Personal Creditors

What to disclose: The name and address of each creditor to whom you or a member of your household owed a 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. Otherwise, check the box for "N/A" 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.

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.

4. (cont.)

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

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.

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 the box to indicate whether it was incurred or discharged. Otherwise, check "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
NA		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="text"/> <input type="checkbox"/> Incurred <input type="checkbox"/> Discharged <input type="checkbox"/> N/A
		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="text"/> <input type="checkbox"/> Incurred <input type="checkbox"/> Discharged <input type="checkbox"/> N/A
		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="text"/> <input type="checkbox"/> Incurred <input type="checkbox"/> Discharged <input type="checkbox"/> 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.

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
NA	

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
Patricia K. Norris	Arizona Town Hall [501(c)(3)] 2400 West Dunlap, Suite 200 Phoenix, Arizona 85021	Secretary Executive Committee Member

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, check the box to indicate the value of the interest.

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
Geoffrey W. Gates	3M Co. St. Paul, Minnesota	Stock	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 +
Patricia K. Norris	ABBVIE INC North Chicago, Illinois	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	Aberdeen Emergin Markets Philadelphia, Pennsylvania	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" 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.

PUBLIC OFFICER OR HOUSEHOLD MEMBER ¹ 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
Patricia K. Norris	Aberdeen Emergin Markets Philadelphia, Pennsylvania	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 +
Patricia K. Norris	ACE INA HOLDINGS 5.900% 6/15/19(00440EAM9) Philadelphia, Pennsylvania	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	ALEXANDRIA REAL ESTATE EQUITIES INC Pasadena, California	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	ALLIANCE DATA SYSTEMS CORP(018581108) Plano, Texas	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	ALLISON TRANSMISSION HOLDINGS INC Indianapolis, Indiana	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	ALLSTATE CORP(020002101) Northbrook, Illinois	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Alphabet Mountain View, California	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	AMEREN CORP St. Louis, Missouri	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	AMERICAN ELEC PWR INC(025537101) Columbus, Ohio	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	AMERICAN HONDA MTN 2.125% 10/10/18(02665WAC5) Torrance, California	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Amgen Inc Thousand Oaks, California	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +

¹ 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

Patricia K. Norris	APPLE INC 2.000% 5/06/20(037833BD1) Cupertino, California	Corporate Bond	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	APPLIED MATERIALS INC Santa Clara, California	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Arizona Fixed Fund Phoenix, Arizona	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Arizona State Elected Officials Retirement Plan Phoenix, Arizona	100% vested	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	ARTISAN DEVELOPING WORLD-INS Boston, Massachusetts	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	ARTISAN DEVELOPING WORLD-INS Boston, Massachusetts	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	BAIRD CORE PLUS BOND FUND-IS(057071870) Milwaukee, Wisconsin	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Berkshire Hathaway FIN Omaha, Nebraska	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	BERRY PLASTICS G Evansville, Indiana	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Blackrock Inc 3.5% New York, New York	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	BOEING CO(097023105) Chicago, Illinois	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	BP CAP MKTS PLC MTN 2.241% 9/26/18(05565QCG1) Sunbury on Thames, UK	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	BUNGE LIMITED White Plains, New York	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +

Patricia K. Norris	CADENCE DESIGN SYSTEMS INC San Jose, California	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	CALAMOS MARKET NEU INC FD-I Naperville, Illinois	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	CATERPILLAR INC(149123101) Peoria, Illinois	Stock	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	CELGENE CORP(151020104) Summitt, New Jersey	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Chevron San Ramon, California	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	CIGNA CORP(125509109) Bloomfield, Connecticut	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Cisco San Jose, California	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Citigroup 6% New York, New York	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	CITIGROUP INC(172967424) New York, New York	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Comcast Corp Philadelphia, Pennsylvania	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	ConocoPhillips Houston, Texas	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Cummins Columbus, Indiana	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	CVS CAREMARK CORP(126650100) Woonsocket, Rhode Island	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +

Patricia K. Norris	Danaher Corp 2.3% Washington, DC	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	DISCOVER FINL SVCS(254709108) Riverwoods, Illinois	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	EBAY INC 3.250% 10/15/20(278642AC7) San Jose, California	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	EMERSON ELECTRIC 2.625% 2/15/23 St. Louis, Missouri	Corporate Bond	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Emmalou Elizabeth Norris Family Trust Dated August 31, 1993 Prescott, Arizona	Trust Beneficiary	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 +
Patricia K. Norris	EQUINIX INC REIT Redwood City, California	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	ESSEX PROPERTY TRUST INC REIT San Mateo, California	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	F5 NETWORKS INC(315616102) Seattle, Washington	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	FEDEX CORPORATION(31428X106) Memphis, Tennessee	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	Fidelity 500 Index Fund - Institutional Class Boston, Massachusetts	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 +
Geoffrey W. Gates	FIDELITY ADV EMRG MKTS INC-I Boston, Massachusetts	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	FIDELITY ADV EMRG MKTS INC-I Boston, Massachusetts	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	FIDELITY ADV FLO RT H/I-I(315807552) Boston, Massachusetts	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +

Patricia K. Norris	FIDELITY ADV FLO RT H/I-I(315807552) Boston, Massachusetts	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	FRANKLIN FLOAT RATE DLY A-AD(353612781) San Mateo, California	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	GATEWAY FUND-Y(367829884) Horsham, Pennsylvania	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	GATEWAY FUND-Y(367829884) Horsham, Pennsylvania	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	GEN ELEC CAP CRP MTN 4.375% 9/16/20 Norwalk, Connecticut	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 +
Geoffrey W. Gates	Geoffrey W. Gates Family Trust Dated February 27, 1992 as amended Phoenix, Arizona	Settlor, Trustee and Beneficiary	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	GEORGIA POWER CO 4.250% 12/01/19(373334JP7) Atlanta, Georgia	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	GILEAD SCIENCES 3.250% 9/01/22 Foster City, California	Stock	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	GS FS Federal Fund New York, New York	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 +
Patricia K. Norris	GS FS Federal Fund New York, New York	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 +
Patricia K. Norris	HARTFORD FLOATING RATE FUND- Y(416648525) Hartford, Connecticut	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	HILL-ROM HOLDING Batesville, Indiana	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	HOME DEPOT INC(437076102) Atlanta, Georgia	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +

Patricia K. Norris	HUNTINGTON INGALLS INDUSTRIES(446413106) Newport News, Virginia	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	IBM CORP 2.250% 2/19/21 Armonk, North Castle, New York	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	Intel Santa Clara, California	Stock	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	ISHARES CORE S&P MID-CAP ETF Jersey City, New Jersey	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	ISHARES CORE S&P MID-CAP ETF Jersey City, New Jersey	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	Ishares Msci Eafe Index Fund Jersey City, New Jersey	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 +
Patricia K. Norris	Ishares Msci Eafe Index Fund Jersey City, New Jersey	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	Ishares Msci Emerging Markets Jersey City, New Jersey	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	ISHARES RUSSELL 2000 INDEX FUND(464287655) Jersey City, New Jersey	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	iShares S&P 500 Growth Index Fund Jersey City, New Jersey	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	ISHARES TR S&P 500 INDEX FUND(464287200) Jersey City, New Jersey	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	JOHCM INTERNATIONAL SEL-I Berwyn, Pennsylvania	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	JOHCM INTERNATIONAL SEL-I Berwyn, Pennsylvania	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +

Patricia K. Norris	JOHNSON & JOHNSON(478160104) New Brunswick, New Jersey	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	JPMORGAN CHASE MTN 2.350% 1/28/19 New York, New York	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Lam Research Corp Fremont, California	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	LEAR CORP(521865204) Southfield, Michigan	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Lilly And Co Indianapolis, Indiana	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	LOWES COS INC(548661107) Mooresville, North Carolina	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	MCDONALD'S CORP MTN 5.350% 3/01/18(58013MEE0) Oak Brook, Illinois	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Merrill Lynch 6.5% New York, New York	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	Microchip Chandler, Arizona	Stock	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 +
Patricia K. Norris	Microsoft Redmond, Washington	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	Microsoft Redmond, Washington	Stock	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 +
Patricia K. Norris	NBCUNIVERSAL MEDIA 4.375% 4/01/21 New York, New York	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	OWENS CORNING INC Toledo, Ohio	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +

Patricia K. Norris	OWENS ILL INC Perrysburg, Ohio	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	PACCAR FINL CORP MTN 2.200% 9/15/19 Bellevue, Washington	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	Pantheon Chemical Phoenix, Arizona	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Patricia K. Norris Family Trust Dated June 19, 1997 as amended Phoenix, Arizona	Settlor, Trustee and Beneficiary	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 +
Patricia K. Norris	PEPSICO INC(713448108) Purchase, New York	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Pfizer Inc New York, New York	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	PIMCO High Yield Fund Newport Beach, California	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	PIMCO High Yield Fund Newport Beach, California	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	PIMCO Low Duration Fund Newport Beach, California	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	PIMCO UNCONSTRAINED BOND FUND- INS(72201M487) Newport Beach, California	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	PORTLAND GENERAL ELECTRIC CO Portland, Oregon	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	PROG ENER CAROLINA 3.000% 9/15/21 Raleigh, North Carolina	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	PROGRESSIVE CORP OHIO Mayfield Village, Ohio	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +

Patricia K. Norris	RED HAT INC Raleigh, North Carolina	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	ROYAL CARIBBEAN CRUISES LTD Miami, Florida	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	S&P GLOBAL INC New York, New York	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Schlumberger NV Houston, Texas	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	SOUTHWEST AIRLINES CO(844741108) Dallas, Texas	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	STATOILHYDRO ASA 5.250% 4/15/19(85771SAA4) Houston, Texas	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	STEEL DYNAMICS INC Fort Wayne, Indiana	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	T Rowe Price Small-Cap Stock Fund #65 Baltimore, Maryland	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	T Rowe Price Small-Cap Stock Fund #65 Baltimore, Maryland	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 +
Patricia K. Norris	T. Rowe Price Mid-Cap Growth Fund Baltimore, Maryland	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	TARGET CORP 3.875% 7/15/20(87612EAV8) Minneapolis, Minnesota	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	TD AMERITRADE HLDG 5.600% 12/01/19(87236YAA6) Omaha, Nebraska	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	TORONTO DOM BK MTN 2.250% 11/05/19(89114QAV0) Toronto, Canada	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +

Geoffrey W. Gates	TRANSAMERICA EMER MKT DBT-I San Francisco, California	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	TRANSAMERICA EMER MKT DBT-I San Francisco, California	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Travelers Companies Inc Hartford, Connecticut	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	UNITED RENTALS INC Stamford, Connecticut	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	UNUMPROVIDENT CORP(91529Y106) Chattanooga, Tennessee	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	VANGUARD HI YIELD T/E FD- ADMIRAL(922907845) Malvern, Pennsylvania	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	Vanguard Inflation-Protected Securities Fund Malvern, Pennsylvania	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Vanguard Institutional Index Fund Institutional Shares Malvern, Pennsylvania	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	VANGUARD INTM TRM T/E FD- ADM(922907878) Malvern, Pennsylvania	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	VANGUARD REIT ETF(922908553) Malvern, Pennsylvania	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	VANGUARD REIT ETF(922908553) Malvern, Pennsylvania	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	Vanguard Short-Term Investment-Grade Fund Malvern, Pennsylvania	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	Vanguard Short-Term Tax Exempt Fund Malvern, Pennsylvania	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 +

Patricia K. Norris	Vanguard Total International Stock Index Fund Institutional Shares Malvern, Pennsylvania	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	Vanguard Total Stock Market ETF Malvern, Pennsylvania	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 +
Patricia K. Norris	VISA INC 2.200% 12/14/20 Foster City, California	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	Washington Mutual Investors Fund Class R6 Indianapolis, Indiana	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input checked="" type="checkbox"/> \$100,001 +
Patricia K. Norris	Wells Fargo & Co San Francisco, California	Stock	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	WESTPAC BANKING CORP 4.875% 11/19/19(961214BK8) Sydney, Australia	Corporate Bond	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	William Blair International Small Cap Growth Fund Chicago, Illinois	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	William Blair International Small Cap Growth Fund Chicago, Illinois	Mutual Fund	<input type="checkbox"/> \$1,000 - \$25,000 <input checked="" type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Geoffrey W. Gates	WISDOMTREE INTL S/C DVD FUND(97717W760) New York, New York	Mutual Fund	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
Patricia K. Norris	WYNDHAM WORLDWIDE CORP Parsippany-Troy Hills, New Jersey	Stock	<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, check the box to indicate the approximate value of the bonds.

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 the box whether the bonds were acquired or divested. Otherwise, check "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
NA		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="text"/> <input type="checkbox"/> Acquired <input type="checkbox"/> Divested <input type="checkbox"/> N/A
		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="text"/> <input type="checkbox"/> Acquired <input type="checkbox"/> Divested <input type="checkbox"/> N/A
		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="text"/> <input type="checkbox"/> Acquired <input type="checkbox"/> Divested <input type="checkbox"/> N/A

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 check the box to indicate the approximate value of the land.

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 the box to indicate whether the land was acquired or divested. Otherwise, check "N/A" (for "not applicable") 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.

10. (cont.)

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
NA		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="text"/> <input type="checkbox"/> Acquired <input type="checkbox"/> Divested <input type="checkbox"/> N/A
		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="text"/> <input type="checkbox"/> Acquired <input type="checkbox"/> Divested <input type="checkbox"/> N/A
		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="text"/> <input type="checkbox"/> Acquired <input type="checkbox"/> Divested <input type="checkbox"/> N/A

11. Travel Expenses

What to disclose: Each meeting, conference or other event during the period covered in this Financial Disclosure Statement where you participated in your official capacity and travel-related expenses of \$1,000 or more were paid on your behalf (or which you were reimbursed) for that meeting, conference, or other event. "Travel-related expenses" include, but are not limited to, the value of transportation, meals, and lodging to attend the meeting, conference, or other event.

You need not disclose: Any meeting, conference, or other event where paid or reimbursed travel-related expenses were less than \$1,000 or your personal monies were expended related to the travel.

NAME OF MEETING, CONFERENCE, OR EVENT ATTENDED IN OFFICIAL CAPACITY AS PUBLIC OFFICER	LOCATION	AMOUNT OR VALUE OF TRAVEL COSTS
NA		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +
		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +

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.

B. BUSINESS FINANCIAL INTERESTS

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

12. 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 the box to indicate whether it was controlled or dependent 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
NA		<input type="checkbox"/> Controlled <input type="checkbox"/> Dependent
		<input type="checkbox"/> Controlled <input type="checkbox"/> Dependent
		<input type="checkbox"/> Controlled <input type="checkbox"/> Dependent

Please note: If a business listed in the foregoing Question 12 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 12 were “controlled” or “dependent,” you need not complete the remainder of this Financial Disclosure Statement.

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.

13. Controlled Business Information

What to disclose: The name of each controlled business listed in Question 12 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.

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)
NA			

14. Dependent Business Information

What to disclose: The name of each dependent business listed in Question 12 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 13 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)
NA			

15. 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 check the box to indicate the approximate value of the land. 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. Otherwise, check "N/A" (for "not applicable") 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
NA		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="text"/> <input type="checkbox"/> Acquired <input type="checkbox"/> Divested <input type="checkbox"/> N/A
		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="text"/> <input type="checkbox"/> Acquired <input type="checkbox"/> Divested <input type="checkbox"/> N/A
		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="text"/> <input type="checkbox"/> Acquired <input type="checkbox"/> Divested <input type="checkbox"/> N/A

16. 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 the box to indicate whether it was incurred or discharged. Otherwise, check "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
NA		Date: <input type="text"/> <input type="checkbox"/> Incurred <input type="checkbox"/> Discharged <input type="checkbox"/> N/A
		Date: <input type="text"/> <input type="checkbox"/> Incurred <input type="checkbox"/> Discharged <input type="checkbox"/> N/A
		Date: <input type="text"/> <input type="checkbox"/> Incurred <input type="checkbox"/> Discharged <input type="checkbox"/> N/A

17. 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 check the box to indicate the approximate value of the debt by financial category.

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 the box to indicate whether it was incurred or discharged. Otherwise, check "N/A" (for "not applicable") 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
NA		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="text"/> <input type="checkbox"/> Incurred <input type="checkbox"/> Discharged <input type="checkbox"/> N/A
		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="text"/> <input type="checkbox"/> Incurred <input type="checkbox"/> Discharged <input type="checkbox"/> N/A
		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="text"/> <input type="checkbox"/> Incurred <input type="checkbox"/> Discharged <input type="checkbox"/> N/A

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.