



**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 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 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  
(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.<sup>1</sup>

### 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 children<sup>2</sup> 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 12 below.

---

<sup>1</sup> 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.

<sup>2</sup> 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 <sup>3</sup> 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 <sup>th</sup> 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	Massachusetts Institute of Technology Women's Technology Program MIT Room 38-491 77 Massachusetts Avenue Cambridge, MA 02139	Education	Education Services
Minor Child	First Solar, Inc. 350 West Washington Street, Suite 600 Tempe, Arizona 85281	Photovoltaic Solar Systems	Internship

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

PUBLIC OFFICER OR HOUSEHOLD MEMBER <sup>3</sup> 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 12 below.

PUBLIC OFFICER OR	TYPE OF LICENSE	PERSON OR ENTITY HOLDING THE	JURISDICTION OR ENTITY THAT ISSUED
-------------------	-----------------	------------------------------	------------------------------------

<sup>3</sup> 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 November 29, 2017

HOUSEHOLD MEMBER <sup>4</sup> AFFECTED		LICENSE	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 debt<sup>5</sup> 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.

PUBLIC OFFICER OR HOUSEHOLD MEMBER <sup>4</sup> 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.

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.

<sup>4</sup> 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.

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

PUBLIC OFFICER OR HOUSEHOLD MEMBER <sup>6</sup> 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 <sup>7</sup> WHO RECEIVED GIFT(S) OVER \$500	NAME OF GIFT DONOR
None	

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

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

<sup>6</sup> 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.

<sup>7</sup> 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 <sup>7</sup> 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, check the box to indicate the value of the interest.

PUBLIC OFFICER OR HOUSEHOLD MEMBER <sup>8</sup> 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, 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 <sup>8</sup> ISSUED BONDS	ISSUING STATE OR LOCAL GOVERNMENT AGENCY	APPROXIMATE VALUE OF BONDS	IF THE BONDS WERE FIRST ACQUIRED OR COMPLETELY DISCHARGED DURING THIS REPORTING PERIOD, PROVIDE THE DATE (MM/DD/YYYY) AND CHECK THE APPROPRIATE BOX
See attached		<input type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +	Date: <input type="checkbox"/> Acquired <input type="checkbox"/> Divested

### 10. Real Property Ownership

**What to disclose:** Arizona real property (land) and improvements which was owned by you or a member of your household during the period covered by this Financial Disclosure Statement, other than your primary residence or property you use for personal recreation. Also describe the

<sup>8</sup> 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 November 29, 2017

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.

PUBLIC OFFICER OR HOUSEHOLD MEMBER <sup>9</sup> 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

## 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
I serve as a Commissioner from Arizona on the National Conference of Commissioners of Uniform State Laws (the Uniform Law Commission). Although not in my official capacity as a Judge, I requested and received reimbursement from the State of Arizona for a portion of my out of pocket expenses for the July 2017 Annual Meeting of the Uniform Law Commission.	San Diego, California	<input checked="" type="checkbox"/> \$1,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$100,000 <input type="checkbox"/> \$100,001 +

<sup>9</sup> 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 November 29, 2017

## 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 <sup>10</sup> 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 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.

### 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

<sup>10</sup> 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 November 29, 2017

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)
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.

#### 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 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			

### 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
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

### 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
None		Date: <input type="checkbox"/> Incurred <input type="checkbox"/> Discharged

**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 <sup>11</sup> 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

<sup>11</sup> 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 November 29, 2017

**FINANCIAL DISCLOSURE STATEMENT ATTACHMENT****Samuel A. Thumma – (2017)****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, Inc. SMU Dedman School of Law P.O. Box 750112 Dallas, Texas 75275-0112  Center for Judicial Studies Duke School of Law 210 Science Drive ▪ Box 90362 Durham, North Carolina 27708	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 (2017)**

**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/exchanged 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**

<b>Public Officer or Household Member Having The Interest</b>	<b>Name And Address of Business, Trust or Investment Fund</b>	<b>Description of the Business, Trust or Investment Fund</b>	<b>Value Category</b>
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 (2017)****Page 2 - #8 Continued**

Samuel A. Thumma	TWB Investment Partnership, LP (I & II) Seattle, Washington	Investment Fund	1
Samuel A. Thumma	Public Safety Personnel Retirement Elected Officials Retirement Plan Phoenix, Arizona	Retirement Benefit	3
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	American Funds 2025 Retirement Fund Indianapolis, IN	Mutual Fund/401(a)	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)	3
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	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	Nationwide Inv Dest Mod Aggr Inst King of Prussia, PA	Mutual Fund/401(a)	2*
Samuel A. Thumma & Spouse	Adamis Pharmaceuticals-ADMP San Diego, CA	Stock	1

**FINANCIAL DISCLOSURE STATEMENT ATTACHMENT**

**Samuel A. Thumma (2017)**

**Page 3 - #8 Continued**

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	2
Samuel A. Thumma & Spouse	Apple Computer, Inc.-AAPL Cupertino, CA	Stock	2
Samuel A. Thumma & Spouse	Ardelyx Inc.-ARDX Fremont, CA	Stock	1
Samuel A. Thumma & Spouse	Arrowhead Research Corp.-ARWR Pasadena, CA	Stock	1
Samuel A. Thumma & Spouse	B P Prudhoe Bay Royalty Trust- BPT Austin, TX	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	2
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	Corvus Pharmaceuticals-CRVS Burlingame, CA	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	2
Samuel A. Thumma & Spouse	Genomic Health Inc.-GHDX Redwood City, CA	Stock	1

**FINANCIAL DISCLOSURE STATEMENT ATTACHMENT****Samuel A. Thumma (2017)****Page 4 - #8 Continued**

Samuel A. Thumma & Spouse	Halozyne Therapeutics Inc.-HALO San Diego, CA	Stock	2
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	2
Samuel A. Thumma & Spouse	Incyte Corp.-INCY Wilmington, DE	Stock	2
Samuel A. Thumma & Spouse	Infinity Pharma, Inc.-INFI Cambridge, MA	Stock	1
Samuel A. Thumma & Spouse	Innoviva Inc.-INVA South San Francisco, CA	Stock	1
Samuel A. Thumma & Spouse	Insmid Inc.-INSM Monmouth Junction, NJ	Stock	2
Samuel A. Thumma & Spouse	Intuitive Surgical Inc.-ISRG Sunnyvale, CA	Stock	2
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	2*
Samuel A. Thumma & Spouse	La Jolla Pharmaceutic 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	2
Samuel A. Thumma & Spouse	Myriad Genetics, Inc.-MYGN Salt Lake City, UT	Stock	2
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	2
Samuel A. Thumma & Spouse	Omeros Corp.-OMER Seattle, WA	Stock	2

**FINANCIAL DISCLOSURE STATEMENT ATTACHMENT**

**Samuel A. Thumma (2017)**

**Page 5 - #8 Continued**

Samuel A. Thumma & Spouse	Pacific Biosciences of California-PACB Menlo Park, CA	Stock	1
Samuel A. Thumma & Spouse	Phillips 66-PSX Houston, TX	Stock	2
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	2
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	2
Samuel A. Thumma & Spouse	Spark Therapeutics Inc. – ONCE Philadelphia, PA	Stock	2
Samuel A. Thumma & Spouse	Spectrum Pharmaceuticals, Inc.-SPPI Irvine, CA	Stock	2
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

**FINANCIAL DISCLOSURE STATEMENT ATTACHMENT****Samuel A. Thumma (2017)****Page 6 - #8 Continued**

Samuel A. Thumma & Spouse	Tocagen Inc.-TOCA San Diego, CA	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	2
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
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	American International Group-AIG New York, NY	Stock	1
Samuel A. Thumma & Spouse	Amgen – AMGN Thousand Oaks, CA	Stock	1
Samuel A. Thumma & Spouse	Analog Devices-ADI Norwood, MA	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	Citigroup Inc.-C New York, NY	Stock	1
Samuel A. Thumma & Spouse	Cognizant Technology Solutions – CTSH Teaneck, NJ	Stock	1

**FINANCIAL DISCLOSURE STATEMENT ATTACHMENT****Samuel A. Thumma (2017)****Page 7 - #8 Continued**

Samuel A. Thumma & Spouse	Comcast – CMCSA Philadelphia, PA	Stock	1*
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	Dow Dupont, Inc.-DWDP Midland, MI Wilmington, DE	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	Johnson & Johnson-JNJ New Brunswick, NJ	Stock	1
Samuel A. Thumma & Spouse	Kraft Heinz Co.-KHC Chicago, IL	Stock	1
Samuel A. Thumma & Spouse	JP Morgan Chase – JPM New York, NY	Stock	1
Samuel A. Thumma & Spouse	Lockheed Martin Corp-LMT Bethesda, MD	Stock	1
Samuel A. Thumma & Spouse	Lowes Companies Inc.-LOW Mooresville, NC	Stock	1
Samuel A. Thumma & Spouse	Mondelez International-MDLZ Deerfield, IL	Stock	1
Samuel A. Thumma & Spouse	McKesson – MCK San Francisco, CA	Stock	1*
Samuel A. Thumma & Spouse	MasterCard – MA Purchase, NY	Stock	1*
Samuel A. Thumma & Spouse	Medtronic – MDT Dublin, Ireland	Stock	1*

**FINANCIAL DISCLOSURE STATEMENT ATTACHMENT****Samuel A. Thumma (2017)****Page 8 - #8 Continued**

Samuel A. Thumma & Spouse	Microsoft – MSFT Redmond, WA	Stock	1*
Samuel A. Thumma & Spouse	Nike – NKE 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	Sherwin Williams Company-SHW Cleveland, OH	Stock	1
Samuel A. Thumma & Spouse	Stanley Black & Decker-SWK New Britain, CT	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
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	Walt Disney & Co.-DIS Brentwood, NY	Stock	1
Samuel A. Thumma & Spouse	Wells Fargo & Co – WFC San Francisco, CA	Stock	1
Samuel A. Thumma & Spouse	Xilinx-ZLNX San Jose, CA	Stock	1
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 – GTDYX 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

**FINANCIAL DISCLOSURE STATEMENT ATTACHMENT**

**Samuel A. Thumma (2017)**

**Page 9 - #8 Continued**

Samuel A. Thumma & Spouse	Sun America Focused Dividend – FDSAX Woodland Hills, CA	Mutual Fund	3
Samuel A. Thumma & Spouse	Wisdom Tree Europe Hedged Equity – HEDJ New York, NY	Mutual Fund	2
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	American International Group-AIG New York, NY	Stock	1
Samuel A. Thumma	Amgen – AMGN Thousand Oaks, CA	Stock	1
Samuel A. Thumma	Analog Devices Inc.-ADI Norwood, MA	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	Citigroup Inc.-C New York, NY	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*

**FINANCIAL DISCLOSURE STATEMENT ATTACHMENT****Samuel A. Thumma (2017)****Page 10 - #8 Continued**

Samuel A. Thumma	Danaher Corp – DHR Washington, DC	Stock	1
Samuel A. Thumma	Dow Dupont, Inc.-DWDP Midland, MI Wilmington, DE	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
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	Johnson & Johnson-JNJ New Brunswick, NJ	Stock	1
Samuel A. Thumma	Kraft Heinz Co.-KHC Chicago, IL	Stock	1
Samuel A. Thumma	Lockheed Martin Corp-LMT Bethesda, MD	Stock	1
Samuel A. Thumma	Lowes Companies Inc.-LOW Mooresville, NC	Stock	1
Samuel A. Thumma	Mondelez International-MDLZ Deerfield, IL	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

**FINANCIAL DISCLOSURE STATEMENT ATTACHMENT**

**Samuel A. Thumma (2017)**

**Page 11 - #8 Continued**

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	Sherwin Williams Company-SHW Cleveland, OH	Stock	1
Samuel A. Thumma	Stanley Black & Decker-SWK New Britain, CT	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	Walt Disney & Co.-DIS Brentwood, NY	Stock	1
Samuel A. Thumma	Xilinx-ZLNX San Jose, CA	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
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

**FINANCIAL DISCLOSURE STATEMENT ATTACHMENT****Samuel A. Thumma (2017)****Page 12 - #8 Continued**

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	1
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 - MWTIX Los Angeles, CA	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

**FINANCIAL DISCLOSURE STATEMENT ATTACHMENT****Samuel A. Thumma (2017)****Page 13 - #8 Continued**

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

**FINANCIAL DISCLOSRE STATEMENT ATTACHMENT**

**Samuel A. Thumma (2017)**

**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	Surprise, Arizona Mun Ppty Corp Wastewtr Dev	2	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	2	Date: 11/10/2017 X Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	Maricopa Cnty Ariz Uni Uni Sch Dist No. 80 Chandler Ser-B	1	Date: 4/21/2017 X Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	Maricopa Cnty Ariz Uni Sch Dist No. 097 Impt Ser-C	1	Date: 3/3/2017 X Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	Phoenix Ariz Genl Oblig Ref	1	Date: 1/17/2017 X 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	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:
Samuel A. Thumma & Spouse	Arizona Brd Regents ASU Sys Rev-A	2	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:

**FINANCIAL DISCLOSURE STATEMENT ATTACHMENT**

**Samuel A. Thumma (2017)**

**Page 2 - #9 Continued**

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	2	Date: N/A <input type="checkbox"/> Acquired: <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 <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	Central Arizona Water Delivery Rev	2	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	New York Dormitory Auth Sales Tax Rev	2	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	Louisiana St Hwy Impt Rev-A	2	Date: N/A <input type="checkbox"/> Acquired: <input type="checkbox"/> Divested:
Samuel A. Thumma & Spouse	Casa Grande, Arizona Indl Dev Auth Hosp	1	Date: 3/17/2017 <input type="checkbox"/> Acquired: X Divested:
Samuel A. Thumma & Spouse	Arizona Sch Facs Board CTFS Partn Rev Ref-A	2	Date: 11/10/2017 <input type="checkbox"/> Acquired: X Divested:
Samuel A. Thumma & Spouse	Arizona Trans Board Trans Excise Tax Rev Maricopa Co Road FD	1	Date: 2/28/2017 <input type="checkbox"/> Acquired: X Divested:
Samuel A. Thumma & Spouse	Pima County Arizona Sewer Rev	1	Date: 4/21/2017 <input type="checkbox"/> Acquired: X Divested: