

# FINANCIAL DISCLOSURE STATEMENT

Name of Public Officer or Candidate:

Samuel Thumma

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

State Courts Building 1501 West Washington Phoenix AZ 85007

Public Office Held or Sought:

Judge of the Court of Appeals Division I

District / Division Number (if applicable):

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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 2019.
- 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 2020. 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 January, 2019, to the month of January, 2020.

## **VERIFICATION**

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

**/S/ Samuel Thumma 1/25/2020**

Signature of Public Officer or Candidate

## 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. 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 members of your household?  Yes (if yes, disclose how many)   No

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.

## 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.

**What to disclose in in subsection (2)(b):** 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.

### Subsection (2)(a):

PUBLIC OFFICER OR HOUSEHOLD MEMBER BENEFITED	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 Thumma	State of Arizona Human Resources, 100 North 15th 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

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

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

### 3. Professional, Occupational and Business Licenses

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

This includes licenses in which you or a member of your household had an "interest," which includes (but is not limited to) any business license held by a "controlled" or "dependent" business as defined in Question 12.

<b>PUBLIC OFFICER OR HOUSEHOLD MEMBER</b>	<b>TYPE OF LICENSE</b>	<b>PERSON OR ENTITY HOLDING THE LICENSE</b>	<b>JURISDICTION OR ENTITY THAT ISSUED LICENSE</b>
Samuel 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 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);
- 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.

<b>PUBLIC OFFICER OR HOUSEHOLD MEMBER OWING THE DEBT</b>	<b>NAME AND ADDRESS OF CREDITOR (OR PERSON TO WHOME PAYMENTS ARE MADE)</b>	<b>DISCLOSE IF THE DEBT WAS FIRST INCURRED OR COMPLETELY DISCHARGED DURING THIS REPORTING PERIOD</b>
N/A	N/A	N/A

**Memo:**

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, select "N/A" (for "not applicable") if the debt was not first incurred or fully discharged during the period covered by this Financial Disclosure Statement.

<b>PUBLIC OFFICER OR HOUSEHOLD MEMBER OWED THE DEBT</b>	<b>NAME OF DEBTOR</b>	<b>APPROXIMATE VALUE OF DEBT</b>	<b>DISCLOSE IF THE DEBT WAS FIRST INCURRED OR COMPLETELY DISCHARGED DURING THIS REPORTING PERIOD</b>
N/A	N/A	N/A	N/A

**Memo:**  
None

## 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 from parents, grandparents, siblings, children and grandchildren; or
- Political campaign contributions reported on campaign finance reports.

PUBLIC OFFICER OR HOUSEHOLD MEMBER WHO RECEIVED GIFT(S) OVER \$500	NAME OF GIFT DONOR
N/A	N/A

## 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 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
Samuel Thumma Spouse	Tierra del Sol, an Iowa Family Farm Limited Liability Company c/o Neven Conrad, Esq., PO Box 91, Laurens, Iowa 50554	Member and Officer
Samuel Thumma Spouse	Samuel A. Thumma and [Name of Spouse] Family Trust c/o Samuel A. Thumma Mailing address listed previously	Trustees
Samuel Thumma	Appellate Judges Education Institute, Inc. Bolch Judicial Institute, Duke School of Law, 210 Science Drive Box 90362, Durham, North Carolina 27708	Board Member and Secretary
Samuel Thumma	Although not a business, organization, trust, nonprofit organization or association, I hold certain funds for the benefit of our child and owe fiduciary obligations with respect to those funds c/o Samuel A. Thumma Mailing address listed previously	Fiduciary Obligations
Spouse	Snell & Wilmer LLP 400 E. Van Buren, One Arizona Center, Phoenix, AZ 85004-2202	Partner



## 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 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
Samuel Thumma	The Growth Fund of America-529A Indianapolis, IN	Mutual Fund/College Fund	\$1,000 - \$25,000
Samuel Thumma	New Perspective Fund-529A Indianapolis, IN	Mutual Fund/College Fund	\$1,000 - \$25,000
Samuel Thumma	The Investment Company of America -529A Indianapolis, IN	Mutual Fund/College Fund	\$1,000 - \$25,000
Samuel Thumma	American Balanced Fund-529A Indianapolis, IN	Mutual Fund/College Fund	\$1,000 - \$25,000
Samuel Thumma	American Funds AMCAP Fund-529A Indianapolis, IN	Mutual Fund/College Fund	\$1,000 - \$25,000
Samuel Thumma	American Mutual Fund -529A Indianapolis, IN	Mutual Fund/College Fund	\$1,000 - \$25,000
Spouse	College Bound Fund Invesco Moderate College Portfolio A Oconomowoc, WI	Mutual Fund/College Fund	\$25,001 - \$100,000
Spouse	College Bound Fund Invesco Stable Value Portfolio A Oconomowoc, WI	Mutual Fund/College Fund	\$25,001 - \$100,000
Samuel Thumma	Thumma Land Trust No. 1 Laurens, IA	Trust	\$100,001 +
Samuel Thumma	Retirement Time Account - Wells Fargo Phoenix, AZ	Retirement Account	\$1,000 - \$25,000
Samuel Thumma	TWB Investment Partnership, LP (I and II) Seattle, WA	Investment Fund	\$1,000 - \$25,000
Samuel Thumma	Public Safety Personnel Retirement Elected Officials Retirement Plan Phoenix, AZ	Reterement Benefit	\$100,001 +

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Spouse	Snell & Wilmer Profit Sharing & Savings Plan - Fidelity Investments Institutional Services Co. Boston, MA	Retirement Fund	\$100,001 +
Samuel Thumma	State of Arizona 401(a) Plan Phoenix, AZ	Retirement Fund	\$100,001 +
Samuel Thumma	American Funds 2025 Retirement Fund Indianapolis, IN	Mutual Fund/401(a)	\$25,001 - \$100,000
Samuel Thumma	Nuveen Real Estate Securities Fund - Class I Chicago, IL	Mutual Fund/401(a)	\$1,000 - \$25,000
Samuel Thumma	American Funds Capital World Growth & Income - Class R6 Indianapolis, IN	Mutual Fund/401(a)	\$25,001 - \$100,000
Samuel Thumma	Dodge & Cox International Stock Fund Boston, MA	Mutual Fund/401(a)	\$25,001 - \$100,000
Samuel Thumma	AllianzGI NFJ Small-Cap Value Fund - Institutional Class New York, NY	Mutual Fund/401(a)*	\$1,000 - \$25,000
Samuel Thumma	Fidelity Contrafund Boston, MA	Mutual Fund/401(a)	\$100,001 +
Samuel Thumma	Washington Mutual Investors Fund (SM) - Class R6 Indianapolis, IN	Mutual Fund/401(a)	\$25,001 - \$100,000
Samuel Thumma	Wells Fargo Growth Fund - Institutional Class San Francisco, CA	Mutual Fund/401(a)	\$25,001 - \$100,000
Samuel Thumma	The Income Fund of America(R) - Class R6 Indianapolis, IN	Mutual Fund/401(a)	\$1,000 - \$25,000
Samuel Thumma	Neuberger Berman High Income Bond Fund - Class R6 New York, NY	Mutual Fund/401(a)	\$25,001 - \$100,000
Samuel Thumma	Vanguard Total Bond Market Index Fund - Admiral Shares Malvern, PA	Mutual Fund/401(a)*	\$25,001 - \$100,000
Samuel Thumma Spouse	Adamis Pharmaceuticals-ADMP San Diego, CA	Stock	\$1,000 - \$25,000

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Samuel Thumma Spouse	Alkermes PLC-ALKS Waltham, MA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Alnylam Pharmaceuticals-ALNY Cambridge, MA	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	American States Water Co.-AWR San Dimas, CA	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	Apple Computer, Inc. - AAPL Cupertino, CA	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	Ardelyx Inc.-ARDX Fremont, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Arrowhead Research Corp.-ARWR Pasadena, CA	Stock	\$100,001 +
Samuel Thumma Spouse	AT & T, Inc.-T Dallas, TX	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	B P Prudhoe Bay Royalty Trust-BPT Austin, TX	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Barrick Gold Corp.-ABX Toronto, Ontario Canada	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Bluebird Bio Inc.-BLUE Cambridge, MA	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	Collectis SA Spon ADR – CLLS New York, NY	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Charter Communications – CHTR Stamford, CT	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Chesapeake Energy Corp.-CHK Oklahoma City, OK	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Chevron Corp.-CVX San Ramon, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Chimerix, Inc.-CMRX Durham, NC	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Clovis Oncology Inc.-CLVS Boulder, CO	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	ConocoPhillips-COP Houston, TX	Stock	\$25,001 - \$100,000

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Samuel Thumma Spouse	Corvus Pharmaceuticals-CRVS Burlingame, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Cytokinetics Inc.-CYTX San Diego, CA	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	Exact Sciences Corp-EXAS Madison, WI	Stock	\$100,001 +
Samuel Thumma Spouse	Exxon Mobil Corp.-XOM Irving, TX	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	First Solar, Inc.-FSLR Tempe, AZ	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Genomic Health Inc.-GHDX Redwood City, CA	Stock*	\$1,000 - \$25,000
Samuel Thumma Spouse	Halozyne Therapeutics Inc.-HALO San Diego, CA	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	Heron Therapeutics Inc.-HRTX Redwood City, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Illumina Inc.-ILMN San Diego, CA	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	Immune Design Corp - IMDZ Seattle, WA	Stock*	\$1,000 - \$25,000
Samuel Thumma Spouse	Incyte Corp.-INCY Wilmington, DE	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	Infinity Pharma, Inc.-INFI Cambridge, MA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Innoviva Inc.-INVA South San Francisco, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Insmmed Inc.-INSM Monmouth Junction, NJ	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	Intuitive Surgical Inc.-ISRG Sunnyvale, CA	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	Ionis Pharmaceuticals-IONS Carlsbad, CA	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	Kinross Gold Corp. New-KGC Toronto, Ontario Canada	Stock	\$1,000 - \$25,000

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Samuel Thumma Spouse	La Jolla Pharmaceutic Co.-LJPC San Diego, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Ligand Pharmaceuticals-LGND San Diego, CA	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	Mirati Therapeutics Inc. – MRTX San Diego, CA	Stock	\$100,001 +
Samuel Thumma Spouse	Myriad Genetics, Inc.-MYGN Salt Lake City, UT	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Neurocrine Biosciences Inc.-NBIX San Diego, CA	Stock	\$100,001 +
Samuel Thumma Spouse	Nevro Corp.-NVRO Redwood City, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Newmont Mining Corp.-NEM Greenwood Village, CO	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	Omeros Corp.-OMER Seattle, WA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Pacific Biosciences of California- PACB Menlo Park, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Phillips 66-PSX Houston, TX	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	Prothena Corp PLC PRTA Dublin, Ireland	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	QualComm Inc.-QCOM San Diego, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Quidel Corp.-QDEL San Diego, CA	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	Regulus Therapeutics Inc.-RGLS San Diego, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Sangamo Biosciences Inc.-SGMO Richmond, CA	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	Sanofi - GCVRZ Cambridge, MA	Rights & Bearer Warrants*	\$1,000 - \$25,000

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

Samuel Thumma Spouse	Sarepta Therapeutics, Inc.-SRPT Cambridge, MA	Stock*	\$100,001 +
Samuel Thumma Spouse	Seattle Genetics Inc.-SGEN Bothell, WA	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	Sorrento Therapeutics Inc.-SRNE San Diego, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Spark Therapeutics Inc. – ONCE Philadelphia, PA	Stock*	\$25,001 - \$100,000
Samuel Thumma Spouse	Spectrum Pharmaceuticals, Inc.- SPPI Irvine, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Tetraphase Pharmaceuticals, Inc.- TTPH Watertown, MA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Theravance Biopharma Inc.-TBPH South San Francisco, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Tocagen Inc.-TOCA San Diego, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Trovagene Inc.-TROV San Diego, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Vical Inc.-VICL San Diego, CA	Stock*	\$1,000 - \$25,000
Samuel Thumma Spouse	Xencor Inc.-XNCR Monrovia, CA	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	Tekla Healthcare - HQH Boston, MA	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma Spouse	Foundation Medicine Inc. - FMI Cambridge, MA	Stock*	\$100,001 +
Samuel Thumma Spouse	Juno Therapeutics Inc.-JUNO Seattle, WA	Stock*	\$100,001 +
Samuel Thumma Spouse	Monsanto Co New-MON St. Louis, MO	Stock*	\$25,001 - \$100,000
Samuel Thumma Spouse	Time Inc.-TIME New York, NY	Stock*	\$1,000 - \$25,000

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

Samuel Thumma Spouse	Time Warner, Inc. New-TWX New York, NY	Stock*	\$1,000 - \$25,000
Samuel Thumma Spouse	Berkshire Hathaway A Omaha, NE	Stock	\$100,001 +
Samuel Thumma Spouse	Morgan Stanley Bank, N.A. New York, NY	Cash	\$1,000 - \$25,000
Samuel Thumma Spouse	Abbott Laboratories - ABT Lake Bluff, IL	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Activision Blizzard Inc. - ATVI Santa Monica, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Allergan PLC – AGN Dublin, Ireland	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Alphabet – GOOGL Mountain View, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	American International Group-AIG New York, NY	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Apple – APPL Cupertino, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Blackstone – BX New York, NY	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Boston Scientific - BSX Marlborough, MA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	CBS Corp – CBS New York, NY	Stock*	\$1,000 - \$25,000
Samuel Thumma Spouse	Chevron – CVX San Ramon, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Chubb – CB Zurich, Switzerland	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Cisco Systems Inc - CSCO San Jose, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Citigroup Inc.-C New York, NY	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Danaher Corp – DHR Washington, DC	Stock	\$1,000 - \$25,000

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Samuel Thumma Spouse	Deere & Co-DE Moline, IL	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Dow Dupont, Inc.-DWDP Midland, MI	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Walt Disney & Co.-DIS Brentwood, NY	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Garrett Motion, Inc. - GTX Morris Plains, NJ	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	EOG Resources – EOG Houston, TX	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Honeywell International – HON Morris Plains, NJ	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Ingersoll-Rand PLC – IR Davidson, NC	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	International Business Machines – IBM North Castle, NY	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Johnson & Johnson-JNJ New Brunswick, NJ	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Kraft Heinz Co.-KHC Chicago, IL	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	JP Morgan Chase – JPM New York, NY	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Lockheed Martin Corp-LMT Bethesda, MD	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Lowes Companies Inc.-LOW Mooresville, NC	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Mondelez International-MDLZ Deerfield, IL	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Nextera Energy Inc. Juno Beach, FL	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Occidental Petroleum Corp – OXY Houston, TX	Stock	\$1,000 - \$25,000



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

Samuel Thumma Spouse	Oracle Corp – ORCL Redwood City, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Paypal - PYPL San Jose, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Pfizer – PFE New York, NY	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Philip Morris Internatoinal Inc - PM New York, NY	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Resideo Technologies - REZI Golden Valley, MN	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Sherwin Williams Company-SHW Cleveland, OH	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Stanley Black & Decker-SWK New Britian, CT	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	T-Mobile US – TMUS Bellevue, WA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Thermo Fisher Scientific – TMO Waltham, MA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	TJX Cos Inc. - TJX Framingham, MA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Wells Fargo & Co - WFC San Francisco, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Visa - V Foster City, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Xilinx-ZLNX San Jose, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	iShares MSCI Minimum Volitility USA - USMV San Francisco, CA	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma Spouse	Vanguard Growth - VUG Malvern, PA	Mutual Fund	\$1,000 - \$25,000
Samuel Thumma Spouse	Vanguard Value ETF - VTV Malvern, PA	Mutual Fund	\$1,000 - \$25,000

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Samuel Thumma Spouse	Wisdom Tree Europe Hedged Equity - HEDJ New York, NY	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma Spouse	Wisdom Tree Japan Hedged Equity - DXJ New York, NY	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma Spouse	Doubleline Shiller Enhanced CAPE-DSEEX Los Angeles, CA	Mutual Fund	\$100,001 +
Samuel Thumma Spouse	Doubleline Total Return - DBLTX Los Angeles, CA	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma Spouse	Bny Mellon Small / Mid Cap Growth - SDSCX New York, NY	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma Spouse	Franklin International Growth - FNGZX San Mateo, CA	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma Spouse	Janus Henderson International Opportunities - HFOIX Chicago, IL	Mutual Fund	\$1,000 - \$25,000
Samuel Thumma Spouse	Invesco Developing Markets – GTDYX Kansas City, MO	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma Spouse	Matthews Asian Japan Fund - MJFOX San Francisco, CA	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma Spouse	Oakmark - OAKMX Kansas City, MO	Mutual Fund	\$100,001 +
Samuel Thumma	Morgan Stanley Bank, N.A. New York, NY	Cash	\$1,000 - \$25,000
Samuel Thumma	Allergan PLC – AGN Dublin, Ireland	Stock	\$1,000 - \$25,000
Samuel Thumma	Alphabet – GOOGL Mountain View, CA	Stock	\$1,000 - \$25,000
Samuel Thumma	American International Group-AIG New York, NY	Stock	\$1,000 - \$25,000
Samuel Thumma	Activision Blizzard Inc. - ATVI Santa Monica, CA	Stock	\$1,000 - \$25,000

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

Samuel Thumma	Abbott Laboratories - ABT Lake Bluff, IL	Stock	\$1,000 - \$25,000
Samuel Thumma	Apple – APPL Cupertino, CA	Stock	\$1,000 - \$25,000
Samuel Thumma	Blackstone – BX New York, NY	Stock	\$1,000 - \$25,000
Samuel Thumma	Boston Scientific - BSX Marlborough, MA	Stock*	\$1,000 - \$25,000
Samuel Thumma	CBS Corp – CBS New York, NY	Stock*	\$1,000 - \$25,000
Samuel Thumma	Chevron – CVX San Ramon, CA	Stock	\$1,000 - \$25,000
Samuel Thumma	Chubb – CB Zurich, Switzerland	Stock	\$1,000 - \$25,000
Samuel Thumma	Cisco Systems Inc - CSCO San Jose, CA	Stock	\$1,000 - \$25,000
Samuel Thumma	Citigroup Inc.-C New York, NY	Stock*	\$1,000 - \$25,000
Samuel Thumma	Deere & Co-DE Moline, IL	Stock	\$1,000 - \$25,000
Samuel Thumma	Danaher Corp – DHR Washington, DC	Stock	\$1,000 - \$25,000
Samuel Thumma	Dow Dupont, Inc.-DWDP Midland, MI	Stock	\$1,000 - \$25,000
Samuel Thumma	EOG Resources – EOG Houston, TX	Stock	\$1,000 - \$25,000
Samuel Thumma	Garrett Motion, Inc. - GTX Morris Plains, NJ	Stock	\$1,000 - \$25,000
Samuel Thumma	Honeywell International – HON Morris Plains, NJ	Stock	\$1,000 - \$25,000
Samuel Thumma	Ingersoll-Rand PLC – IR Davidson, NC	Stock	\$1,000 - \$25,000

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

Samuel Thumma	International Business Machines – IBM North Castle, NY	Stock	\$1,000 - \$25,000
Samuel Thumma	JP Morgan Chase – JPM New York, NY	Stock	\$1,000 - \$25,000
Samuel Thumma	Johnson & Johnson-JNJ New Brunswick, NJ	Stock*	\$1,000 - \$25,000
Samuel Thumma	Kraft Heinz Co.-KHC Chicago, IL	Stock	\$1,000 - \$25,000
Samuel Thumma	Lockheed Martin Corp-LMT Bethesda, MD	Stock	\$1,000 - \$25,000
Samuel Thumma	Lowes Companies Inc.-LOW Mooresville, NC	Stock	\$1,000 - \$25,000
Samuel Thumma	Mondelez International-MDLZ Deerfield, IL	Stock*	\$1,000 - \$25,000
Samuel Thumma	Nextera Energy Inc. Juno Beach, FL	Stock	\$1,000 - \$25,000
Samuel Thumma	Occidental Petroleum Corp – OXY Houston, TX	Stock	\$1,000 - \$25,000
Samuel Thumma	Oracle Corp – ORCL Redwood City, CA	Stock	\$1,000 - \$25,000
Samuel Thumma	Paypal - PYPL San Jose, CA	Stock	\$1,000 - \$25,000
Samuel Thumma	Pfizer – PFE New York, NY	Stock	\$1,000 - \$25,000
Samuel Thumma	Philip Morris Internatoinal Inc - PM New York, NY	Stock	\$1,000 - \$25,000
Samuel Thumma	Resideo Technologies - REZI Golden Valley, MN	Stock	\$1,000 - \$25,000
Samuel Thumma	Sherwin Williams Company-SHW Cleveland, OH	Stock	\$1,000 - \$25,000
Samuel Thumma	Stanley Black & Decker-SWK New Britian, CT	Stock	\$1,000 - \$25,000

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

Samuel Thumma	T-Mobile US – TMUS Bellevue, WA	Stock	\$1,000 - \$25,000
Samuel Thumma	Thermo Fisher Scientific – TMO Waltham, MA	Stock*	\$1,000 - \$25,000
Samuel Thumma	TJX Cos Inc. - TJX Framingham, MA	Stock	\$1,000 - \$25,000
Samuel Thumma	Visa - V Foster City, CA	Stock	\$1,000 - \$25,000
Samuel Thumma	Walt Disney & Co.-DIS Brentwood, NY	Stock	\$1,000 - \$25,000
Samuel Thumma	Wells Fargo & Co - WFC San Francisco, CA	Stock	\$1,000 - \$25,000
Samuel Thumma	Xilinx-ZLNX San Jose, CA	Stock*	\$1,000 - \$25,000
Samuel Thumma	Ranger Active Bear ETF Bethesda, MD	Mutual Fund	\$1,000 - \$25,000
Samuel Thumma	Vanguard Growth - VUG Malvern, PA	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma	Vanguard Value ETF - VTV Malvern, PA	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma	Wisdom Tree Europe Hedged Equity - HEDJ New York, NY	Mutual Fund	\$1,000 - \$25,000
Samuel Thumma	Wisdom Tree Japan Hedged Equity - DXJ New York, NY	Mutual Fund	\$1,000 - \$25,000
Samuel Thumma	Vanguard Inflation Protected Securities - VIPSX Malvern, PA	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma	Invesco Developing Markets – GTDYX Kansas City, MO	Mutual Fund	\$1,000 - \$25,000
Samuel Thumma	First Eagle Gold – FEGIX New York, NY	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma	Dreyfus Small / Mid Cap Growth - SDSCX New York, NY	Mutual Fund	\$1,000 - \$25,000

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

Samuel Thumma	Franklin International Growth - FNGZX San Mateo, CA	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma	Doubleline Total Return - DBLTX Los Angeles, CA	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma	Columbia Select LG CP Growth - UMLGX Chicago, IL	Mutual Fund*	\$1,000 - \$25,000
Samuel Thumma	Matthews Asian Japan Fund - MJFOX San Francisco, CA	Mutual Fund	\$1,000 - \$25,000
Samuel Thumma	Doubleline Shiller Enhanced CAPE-DSEEX Los Angeles, CA	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma	PIMCo Income - PONPX Samford, CT	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma	Metropolitan West Total Return Bond - MWTIX Los Angeles, CA	Mutual Fund	\$25,001 - \$100,000
Spouse	Morgan Stanley Bank, N.A. New York, NY	Cash	\$1,000 - \$25,000
Spouse	Vanguard Growth - VUG Malvern, PA	Mutual Fund*	\$1,000 - \$25,000
Spouse	Vanguard Value ETF Index - VTV Malvern, PA	Mutual Fund*	\$1,000 - \$25,000
Spouse	Wisdom Tree Japan Hedged Equity - DXJ New York, NY	Mutual Fund*	\$1,000 - \$25,000
Spouse	Vanguard Inflation Protected Securities - VIPSX Malvern, PA	Mutual Fund*	\$1,000 - \$25,000
Spouse	Invesco Developing Markets - GTDYX Kansas City, MO	Mutual Fund*	\$1,000 - \$25,000
Spouse	First Eagle Gold - FEGIX New York, NY	Mutual Fund*	\$1,000 - \$25,000
Spouse	Franklin International Growth - FNGZX San Mateo, CA	Mutual Fund*	\$1,000 - \$25,000

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

Spouse	Doubleline Shiller Enhanced CAPE-DSEEX Los Angeles, CA	Mutual Fund*	\$1,000 - \$25,000
Spouse	Wisdom Tree Europe Hedged Equity - HEDJ New York, NY	Mutual Fund*	\$1,000 - \$25,000
Spouse	Columbia Select LG CP Growth - UMLGX Chicago, IL	Mutual Fund*	\$1,000 - \$25,000
Spouse	Matthews Asian Japan Fund - MJFOX San Francisco, CA	Mutual Fund*	\$1,000 - \$25,000
Spouse	PIMCo Income - PONPX Samford, CT	Mutual Fund*	\$1,000 - \$25,000
Spouse	Doubleline Total Return - DBLTX Los Angeles, CA	Mutual Fund*	\$1,000 - \$25,000
Spouse	T Rowe Price Diversified Small Cap Growth – PRDSX Baltimore, MD	Mutual Fund*	\$1,000 - \$25,000
Spouse	Sun America (AIG) Focused Dividend - FDSAX Woodland Hills, CA	Mutual Fund*	\$1,000 - \$25,000
Spouse	Janus Henderson European Focus-HFEIX Chicago, IL	Mutual Fund*	\$1,000 - \$25,000
Spouse	Vanguard Mid Cap Value – VOE Malvern, PA	Mutual Fund*	\$1,000 - \$25,000
Spouse	Vanguard Mid Cap Growth - VOT Malvern, PA	Mutual Fund*	\$1,000 - \$25,000
Spouse	Cohen & Steers Preferred Securities & Income-CPXIX New York, NY	Mutual Fund*	\$1,000 - \$25,000
Spouse	AMG Managers Silvercrest Small Cap – ACRTX New York, NY	Mutual Fund*	\$1,000 - \$25,000
Spouse	Fidelity Investments Boston, MA	Cash, Bonds and Mutual Funds	\$100,001 +
Samuel Thumma	Wells Fargo Growth Fund San Francisco, CA	Retirement Fund	\$25,001 - \$100,000

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

Samuel Thumma	Fidelity US Bond Index Boston, MA	Mutual Fund/401(a)	\$25,001 - \$100,000
Samuel Thumma	Franklin Small Cap Val R6 San Mateo, CA	Mutual Fund	\$1,000 - \$25,000
Samuel Thumma Spouse	Bellicum Pharmaceuticals, Inc. - BLCM Houston, TX	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	CRISPR Therapeutics - CRSP Cambridge, MA	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	Denali Therapeutics Inc. - DNLI South San Francisco, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Editas Medicine Inc. - EDIT Cambridge, MA	Stock	\$100,001 +
Samuel Thumma Spouse	Intellia Therapeutics Inc. - NTLA Cambridge, MA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Nektar Therapeutics - NKTR San Francisco, CA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Goldman Sachs Funds - FMJXX New York, NY	Mutual Fund	\$100,001 +
Samuel Thumma Spouse	Schlumberger Ltd - SLB Houston, TX	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Service Corp. International - SCI Houston, TX	Stock	\$25,001 - \$100,000
Samuel Thumma Spouse	Solid Biosciences Inc. - SLDB Cambridge, MA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Syros Pharmaceuticals, Inc. - SYRS Cambridge, MA	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	First Eagle Gold Fund Class 1 - FEGIX New York, NY	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma Spouse	Metropolitan West Total Return Bond Fund Class 1 - MWTIX Los Angeles, CA	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma Spouse	Vanguard Real Estate Index E - VNQ Malvern, PA	Mutual Fund	\$1,000 - \$25,000



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

Samuel Thumma Spouse	SPDR Series Dow Jones - RWR Boston, MA	Mutual Fund	\$1,000 - \$25,000
Samuel Thumma Spouse	Transamerica Bond - TFXIX Baltimore, MD	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma Spouse	ALPS Alerian MLP ETF - AMLP Dallas, TX	Mutual Fund	\$25,001 - \$100,000
Samuel Thumma Spouse	iShares Mortgage Real Estate ETF - REM New York, NY	Mutual Fund	\$1,000 - \$25,000
Samuel Thumma Spouse	Iqvia Holdings, Inc. - IQV Durham, NC	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Pacer Benchmark Data & Infrastructure Real Estate - ETF - SRVR Malvern, PA	Mutual Fund	\$1,000 - \$25,000
Samuel Thumma Spouse	Corteva Inc. - CTVA Wilmington, DE	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Dupont De Nemours Inc. - DD Wilmington, DE	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	Viacom CBS Inc - VIAC New York, NY	Stock	\$1,000 - \$25,000
Samuel Thumma Spouse	iShares Residential Real Estate ETF - REZ San Francisco, CA	Mutual Fund*	\$1,000 - \$25,000
Samuel Thumma Spouse	JP Morgan Chase & Co Alerian MLP Index - AMJ New York, NY	Mutual Fund	\$1,000 - \$25,000
Samuel Thumma	Iqvia Holdings Inc. - IQV Durham, NC	Stock	\$1,000 - \$25,000
Samuel Thumma	Pacer Benchmark Data & Infrastructure Real Estate - ETF - SRVR Malvern, PA	Mutual Fund	\$1,000 - \$25,000
Samuel Thumma	Corteva, Inc. - CTVA Wilmington, DE	Stock	\$1,000 - \$25,000
Spouse	Dreyfus Small / Mid Cap Growth - SDSCX New York, NY	Stock*	\$1,000 - \$25,000

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

Spouse	Metropolitan West Total Return Bond - MWTIX Los Angeles, CA	Mutual Fund	\$1,000 - \$25,000
Spouse	Delaware Diversivied Income Instl Class - DPFFX Philadelphia, PA	Mutual Fund	\$1,000 - \$25,000
Spouse	Harding Loevner Emerging Markets Advisor CI - HLEMX Bridgewater Township, NJ	Mutual Fund	\$1,000 - \$25,000
Spouse	Harbor Cap Apprec Instl CI - HACAX Chicago, IL	Mutual Fund	\$1,000 - \$25,000
Spouse	Janus Henderson Enterprise CI T - JAENX Chicago, IL	Mutual Fund	\$1,000 - \$25,000
Spouse	Mfs Value CI I - MEIIX Boston, MA	Mutual Fund	\$1,000 - \$25,000
Spouse	T Rowe Price Emerging Markets Bond Investor CI - PREM Baltimore, MD	Mutual Fund	\$1,000 - \$25,000
Spouse	Payden Low Duration Investor CI - PYSBX Milwaukee, WI	Mutual Fund	\$1,000 - \$25,000
Spouse	Clearbridge Large Cap Growth CI I - SBLYX New York, NY	Mutual Fund	\$1,000 - \$25,000
Spouse	John Hancock Disciplined Value CI I - JVLIX Boston, MA	Mutual Fund	\$1,000 - \$25,000
Spouse	Pimco Real Return CI I2 - PRLPX Samford, CT	Mutual Fund	\$1,000 - \$25,000
Spouse	John Hancock Disciplined Val Mid Cap CI I - JVMIX Boston, MA	Mutual Fund	\$1,000 - \$25,000
Spouse	Nuveen Small Cap Value CI I - FSCCX Chicago, IL	Mutual Fund	\$1,000 - \$25,000
Spouse	American Beacon Sim High Yield Opptys CI Y - SHOYX Irving, TX	Mutual Fund	\$1,000 - \$25,000

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

Spouse	Clearbridge Small Cap CI I - LMNXS Baltimore, MD	Mutual Fund	\$1,000 - \$25,000
Spouse	Artisan Intl Value Advisor CI - APDKX Milwaukee, WI	Mutual Fund	\$1,000 - \$25,000
Spouse	Credit Suisse Floating Rate High Income Instl CI - CSHIX Zurich, Switzerland	Mutual Fund*	\$1,000 - \$25,000
Spouse	Maingate MLP CL I - IMLPX Memphis, TN	Mutual Fund*	\$1,000 - \$25,000
Spouse	Dean Small Cap Value - DASCX Cincinnati, OH	Mutual Fund*	\$1,000 - \$25,000
Spouse	Bny Mellon Small / Mid Cap Growth - SDSCX New York, NY	Mutual Fund*	\$1,000 - \$25,000

**Memo:**

Disclosures include holdings in accounts with/managed by/held by Wells Fargo; Morgan Stanley; LPL Financial; 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.

## 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") if the bonds were not first acquired or fully divested during the period covered by this Financial Disclosure Statement.

<b>PUBLIC OFFICER OR HOUSEHOLD MEMBER ISSUED BONDS</b>	<b>ISSUING STATE OR LOCAL GOVERNMENT AGENCY</b>	<b>APPROXIMATE VALUE OF BONDS</b>	<b>DISCLOSE IF THE BONDS WERE FIRST ACQUIRED OR COMPLETELY DISCHARGED DURING THIS REPORTING PERIOD</b>
Samuel Thumma Spouse	Northern Arizona University Sys Rev Ref	\$1,000 - \$25,000	N/A
Samuel Thumma Spouse	Arizona Brd Regents Univ Ariz Sys Rev	\$1,000 - \$25,000	Divested 09/13/2019
Samuel Thumma Spouse	AZ Board of Regents Ariz St Univ Sys Rev-A	\$25,001 - \$100,000	N/A
Samuel Thumma Spouse	Arizona St Transn Brd Hwy Rev Ref-A	\$1,000 - \$25,000	Acquired 07/26/2018
Samuel Thumma Spouse	Arizona Wtr Infrastructure Fin auth Rev Ref-A	\$1,000 - \$25,000	N/A
Samuel Thumma Spouse	California EDL Facs Autho Univ of Sthn Calif Rev	\$25,001 - \$100,000	N/A
Samuel Thumma Spouse	Central Arizona Water Delivery Rev	\$25,001 - \$100,000	N/A
Samuel Thumma Spouse	Colorado Health FACS Authority Hosp Rev	\$1,000 - \$25,000	Acquired 09/05/2018
Samuel Thumma Spouse	Louisiana St Hwy Impt Rev-A	\$1,000 - \$25,000	N/A
Samuel Thumma Spouse	Industl Dev Auth Cnty Maricopa AZ Rev-A	\$25,001 - \$100,000	Acquired 10/19/2018
Samuel Thumma Spouse	Maricopa Cnty Ariz Uni Sch Dist No 80 Chandler Ser-B	\$1,000 - \$25,000	N/A
Samuel Thumma Spouse	Maricopa County Ariz Uni Sch Dist no 95 Queen Creek Impt	\$1,000 - \$25,000	Acquired 02/23/2018

## 9. Ownership of Bonds

Samuel Thumma Spouse	Maricopa County Ariz Uni School Dis No 097 Sch Impt	\$1,000 - \$25,000	Divested 04/15/2019
Samuel Thumma Spouse	Mesa AZ Utility Sys Revenue	\$1,000 - \$25,000	Divested 05/02/2019
Samuel Thumma Spouse	Oklahoma Capital impt Auth St Hwy Cap Rev	\$1,000 - \$25,000	Acquired 02/02/2018
Samuel Thumma Spouse	Phoenix Arizona General Obligation Ref	\$1,000 - \$25,000	Divested 01/22/2019
Samuel Thumma Spouse	Salt Riv Proj Agric Impt & Pwr Dist Ariz	\$25,001 - \$100,000	N/A
Samuel Thumma Spouse	San Diego Calif Cmnty College District	\$1,000 - \$25,000	N/A
Samuel Thumma Spouse	Texas Water Impt Fnd Rev-A	\$25,001 - \$100,000	N/A
Samuel Thumma Spouse	Tucson Arizona Water Sys Rev Ref	\$1,000 - \$25,000	N/A
Samuel Thumma Spouse	West Basin CA Muni Wtr Dist Ref Rev Serv-A	\$1,000 - \$25,000	N/A
Samuel Thumma Spouse	Pima Cnty Ariz Str & Hwy Rev	\$1,000 - \$25,000	Acquired 04/12/2019
Samuel Thumma Spouse	Pima Cnty Ariz Cmnty College Dist Rev	\$1,000 - \$25,000	Acquired 03/13/2019
Samuel Thumma Spouse	Maricopa Cnty Ariz Sch Dist No 214 Tolleson Un High Ser-B	\$1,000 - \$25,000	Acquired 06/17/2019
Samuel Thumma Spouse	Maricopa Cnty Ariz Sch Dist No 3 Tempe Elem Ser-B	\$1,000 - \$25,000	Acquired 01/22/2019
Samuel Thumma Spouse	Roaring Fork Transn Auth Colo Sales & US Impt Rev Ref	\$1,000 - \$25,000	Acquired 08/19/2019
Samuel Thumma Spouse	Mesa Ariz Util Sys Rev-A	\$1,000 - \$25,000	Acquired 05/01/2019
Samuel Thumma Spouse	Pinal Cnty Ariz Obligs Pledged Rev	\$1,000 - \$25,000	Acquired 09/11/2019

## 9. Ownership of Bonds

## 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.

<b>PUBLIC OFFICER OR HOUSEHOLD MEMBER THAT OWNS LAND</b>	<b>LOCATION AND APPROXIMATE SIZE</b>	<b>APPROXIMATE VALUE OF LAND</b>	<b>DISCLOSE IF THE LAND WAS FIRST ACQUIRED OR COMPLETELY DISCHARGED DURING THIS REPORTING PERIOD</b>
N/A	N/A	N/A	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 for 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
Although not in my official capacity as a Judge, I am a Commissioner, National Conference of Commissioners of Uniform State Laws. I received reimbursement from the State of Arizona for a portion of my out of pocket costs for the July 2019 Annual Meeting.	Anchorage, Alaska	\$1,000 - \$25,000
Although not in my official capacity as a Judge, LLM Judicial Studies, Duke University College of Law; four weeks in May/June 2019 (full scholarship, which value includes tuition, fees, books, transportation, some meals and housing).	Durham, North Carolina	\$25,001 - \$100,000



## 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. If the business was both controlled *and* dependent during the period covered by this Financial Disclosure Statement, check *both* boxes. Otherwise, leave the boxes blank.

**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.

PUBLIC OFFICER OR HOUSEHOLD MEMBER OWNING THE BUSINESS	NAME AND ADDRESS OF BUSINESS	DISCLOSE 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	
Samuel Thumma Spouse	Tierra del Sol, an Iowa Family Farm Limited Liability Company c/o Neven Conrad, Esq., P.O. Box 91, Laurens, Iowa 50554	Controlled, Dependent

### 13. Controlled Business Information

**What to disclose:** The name of each controlled business listed in Question 12, 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. Also, if the major client is a business, please describe the client's type of business activities in the final column (but if the major client is an individual, write "N/A" for "not applicable".)

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

**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	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 the 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, 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. Also, if the major client is a business, please describe the client's type of business activities (but if the major client is an individual, write "N/A" for "not applicable".)

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

**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)
Tierra del Sol, an Iowa Family Farm Limited Liability Company	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 the 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.

## 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	DISCLOSE IF THE LAND WAS FIRST ACQUIRED OR COMPLETELY DISCHARGED DURING THIS REPORTING PERIOD
N/A	N/A	N/A	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") 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 THE PAYMENTS ARE MADE)	DISCLOSE IF THE DEBT WAS FIRST INCURRED OR COMPLETELY DISCHARGED DURING THIS REPORTING PERIOD
N/A	N/A	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.

NAME OF CONTROLLED OR DEPENDENT BUSINESS OWED THE DEBT	NAME OF DEBTOR	APPROXIMATE VALUE OF DEBT	DISCLOSE IF THE DEBT WAS FIRST INCURRED OR COMPLETELY DISCHARGED DURING THIS REPORTING PERIOD
N/A	N/A	N/A	N/A