DAVID P. JOYCE
MEMBER OF CONGRESS
14TH DISTRICT OF OHIO

CONGRESS OF THE UNITED STATES
HOUSE OF REPRESENTATIVES
WASHINGTON, D.C.

COMMITTEE ON
APPROPRIATIONS

MC

October 27, 2015

Hon. Karen Haas
Office of the Clerk
U.S. House of Representatives
U.S. Capitol, Room H-154
Washington, D.C. 20515

Dear Honorable Karen Haas:

Please accept this letter as an addendum to my 2014 Financial Disclosure Statement. Attached and below you will find information answering the questions raised in a September 28th, 2015 Dear Colleague letter I received from House Ethics Committee Chairman Charlie Dent.

Regarding Schedule A, Section A 4

The asset SPDR S&P Mid Cap 400 ETF is listed as an Asset on 3 separate pages (3, 5, 6) because I own that asset within 3 different accounts. I reported as sold on page 13, and that transaction was related to the asset I reported owning on page 5. The other assets had no sales associated with them.

Regarding Schedule A, Section A 7

The assets listed as Vanguard 403, which is a University Hospitals administered retirement fund for my wife, and the Roth IRA Account contain following underlying asset, Fidelity Freedom 2030 Fund.

Regarding Schedule B, Section B 6

The Ethics Committee noted that it appeared some assets had been previously reported as owned, but were not reported as an Asset or Transaction in my 2014 filing. The confusion arose due to my handwriting, which made certain assets appear as if they had not been reported this year. The following assets were indeed reported correctly in 2014: ETFS Physical Precious Metal, Market Vectors ETF Oil Funds, Baidu Inc., Cognizant Tech, D R Horton, First Solar Inc., Lennar Corp., Mellanox Technologies LTD., Walter Investments, and Whirlpool.

On Schedule A, the Assets listed on Page 6, from Dividend + Income, Fd-Instl Cl to Vanguard Sm Cap Value Fund S&P Mid Cap 400 ETF are all assets held within my David P. Joyce Trust, which has been listed in my previous filings.

On Schedule A, the Assets listed on Page 2, from Dividend Plus Income to iShares Russell 2000 Value are all assets held within my Rita M. Joyce IRA, which has been listed in my previous filings.

On Schedule A the Asset SPIDER Funds was reported as owned in 2013 and has since.

Regarding Schedule B, Section B 7

The following assets the Ethics Committee noted in this section were assets that I did not indicate I had previously purchased, many of which were purchased before I ran for and was elected to Congress. As such, I hope the following will clarify my financial history for the public.

The following assets were originally purchased on the following dates:

Abbott Laboratories, 10/3/12
Annaly Capital Management Inc., 10/3/12
Apple Inc, 5/20/11
Cameron International, 10/3/12
CBS Outdoor Americas, 7/2/14
China Mobile, 11/4/13
Citrix Systems, 7/10/09
Coca-Cola Co., 12/14/11
Compania de Minas Buenaventura S.A. ADS, 10/2/13
CVS Health Corp. 12/4/11
EMC Corporation, 12/14/11
Ebay, 10/29/13
ETFS Physical Precious Metal Basket, 5/6/11
Express Scripts holding Co., 7/10/09
Google Inc_old, 7/10/09
iPath DJ-AIG Commodity Index Fund, 3/3/11
iPatch MSCI India Index ETN, 11/20/08
iShares FTSE/Xinhua China25 Index, 5/20/09
iShares Goldman Sachs Nat Res, 6/4/10
iShares Inc MSCI Brazil Index, 10/14/10
iShares MSCI Australia Index, 10/14/10
iShares MSCI Canada, 10/14/10
iShares MSCI South Korea Index, 5/6/11

iShares S&P Latin America, 4/22/10
iShares US Home Construction, 11/21/13
Market Vectors Oil Services, 11/21/13
Mellanox Technologies Ltd., 9/24/13
National Oilwell Varco Inc, 2/26/13
Northstar Asset Mgmt Group, 6/12/13
NOW Inc., 2/26/13
Palo Alto Networks Inc, 11/1/13
Philip Morris Int'l, 12/14/11
PowerShs DB Agriculture Fd Lp, 3/3/11
Wells Fargo & Company, 10/19/12

Regarding Schedule B, Section B 7 (II)

The following asset, Lennar Corp., was reported as purchased on page 8, and sold on page 12, in my 2014 disclosure. It is not reported as owned on Schedule A because I do not own any more of the asset.

The remaining assets reported as sold are underlying assets within my Rollover IRA.

All of my Periodic Transaction Reports should be up to date as well.

If there is any further information you need on this matter, please do not hesitate to contact me.

David P. Joyce
Member of Congress
Ohio's 14th District

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name:

Page_____ of ______

BLOCK A – Asset and/or Income Source; **BLOCK B** – Value of Asset

SP, DC, JT	ASSET NAME	EIF	A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	M Spouse/DC Asset over $1,000,000*
ST	60 Month Note at 5%						X								
	Kelly + Dave Joyce d/b/a Aera Hair LLC Chagrin Falls, OH														
	SPDR S&P Mid Cap 400 ETF						X								
	Chesapeake Energy Corp				X										
	UnitedHealth Group Inc.				X										
	Transcanada Corp.				X										
	Michael Kors Holdings LTD				X										
	Priceline Group Inc.				X										
	Mead Johnson Nutrition				X										
	Procter + Gamble				X										
	Johnson + Johnson					X									
	Berkshire Hathaway Class B				X										
	First Solar Inc.					X									
	Google Class C					X									
	Exelon Corp.				X										

BLOCK C – Type of Income

ASSET NAME	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)
60 Month Note at 5%				X				
Kelly + Dave Joyce d/b/a Aera Hair LLC Chagrin Falls, OH								
SPDR S&P Mid Cap 400 ETF		X			X			
Chesapeake Energy Corp		X			X			
UnitedHealth Group Inc.		X			X			
Transcanada Corp.		X			X			
Michael Kors Holdings LTD	X							
Priceline Group Inc.	X							
Mead Johnson Nutrition	X							
Procter + Gamble	X							
Johnson + Johnson	X							
Berkshire Hathaway Class B	X							
First Solar Inc.	X							
Google Class C	X							
Exelon Corp.	X							

BLOCK D – Amount of Income; **BLOCK E** – Transaction

ASSET NAME	I None	II $1-$200	III $201-$1,000	IV $1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	XII Spouse/DC Asset with Income over $1,000,000*	P, S, S(part), or E
60 Month Note at 5%				X									
Kelly + Dave Joyce d/b/a Aera Hair LLC Chagrin Falls, OH													
SPDR S&P Mid Cap 400 ETF		X											S (part)
Chesapeake Energy Corp		X											P, S (part)
UnitedHealth Group Inc.		X											S (part)
Transcanada Corp.		X											
Michael Kors Holdings LTD	X												
Priceline Group Inc.	X												
Mead Johnson Nutrition	X												
Procter + Gamble	X												P
Johnson + Johnson	X												
Berkshire Hathaway Class B	X												
First Solar Inc.	X												P
Google Class C	X												P
Exelon Corp.	X												

Use additional sheets if more space is required.

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name:

Page_____ of ______

BLOCK A Asset and/or Income Source			BLOCK B Value of Asset													BLOCK C Type of Income								BLOCK D …nt of Income												BLOCK E Transaction
SP, DC, JT	ASSET NAME	EIF	A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	M Spouse/DC Asset over $1,000,000*	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I None	II $1-$200	III $201-$1,000	$1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	XII Spouse/DC Asset with Income over $1,000,000*	P, S, S(part), or E
	Fidelity Tax Free (Non-Amt) Money				X											X								X												
	Fidelity Tax Free (non-AMT) Money Market Mkt						X									X								X												
	Fidelity Tax-Free (non-AMT) Money/Mkt					X										X								X												
SP	Roth IRA						X															X		X												
SP	UH Vanguard 403						X															X		X												
	Northstar Realty Corp. New				X												X			X						X										S(part)
	Boeing Company				X												X			X						X										P
	Discovery Communications				X												X			X					X											P
	Estee Lauder					X											X			X					X											P
	Aduez				X											X								X												P
	Visa Inc Cl A				X												X			X					X											P
	Qihoo 360 Technology Co Ltd				X												X			X					X											P
	iShares MSCI EAFE Index					X											X			X					X											P
	iShares MSCI EAFE Small Cap				X												X			X					X											P
	Guggenheim S&P Healthcare Eq Wt				X												X			X					X											P

Use additional sheets if more space is required.

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name:

Page_____ of ______

BLOCK A Asset and/or Income Source — **BLOCK B** Value of Asset

SP, DC, JT	ASSET NAME	EIF	A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	M Spouse/DC Asset over $1,000,000*
	Guggenheim S&P Healthcare				X										
	WisdomTree Emerging Mkts SmallCap				X										
	iShares Russell 2000 Index					X									
	Touchstone Sands Capital Inst					X									
	Oppenheimer Developing Mkts					X									
	Oppenheimer Developing Mkts							X							
	Aston Tamro Small Cap I					X									
	Dividend Plus + Income Fund [illegible] Class							X							
	Harbor International							X							
	Templeton Global Bond Adv						X								
	Touchstone Sands Capital Inst [illegible]							X							
	Vanguard Windsor II Admiral Shares							X							
	Aston/Fairpointe Mid Cap I Fund							X							
	Aston Tamro Small Cap I						X								

BLOCK C Type of Income — **BLOCK D** Amount of Income — **BLOCK E** Transaction

ASSET NAME	NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	I None	II $1-$200	III $201-$1,000	IV $1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	XII Spouse/DC Asset with Income over $1,000,000*	P, S, S(part), or E
Guggenheim S&P Healthcare		X			X					X											P
WisdomTree Emerging Mkts SmallCap	X								X												P
iShares Russell 2000 Index		X			X					X											P
Touchstone Sands Capital Inst		X			X					X											P
Oppenheimer Developing Mkts	X								X												P
Oppenheimer Developing Mkts		X			X					X											P
Aston Tamro Small Cap I	X								X												P
Dividend Plus + Income Fund [illegible] Class	X								X												P
Harbor International		X			X					X											P
Templeton Global Bond Adv	X								X												P
Touchstone Sands Capital Inst [illegible]		X			X					X											P
Vanguard Windsor II Admiral Shares		X			X					X											P
Aston/Fairpointe Mid Cap I Fund		X			X					X											P
Aston Tamro Small Cap I		X			X					X											P

Use additional sheets if more space is required.

SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name:

Page ____ of ____

SP, DC, JT	BLOCK A Asset and/or Income Source — ASSET NAME	EIF	BLOCK B Value of Asset: A None	B $1-$1,000	C $1,001-$15,000	D $15,001-$50,000	E $50,001-$100,000	F $100,001-$250,000	G $250,001-$500,000	H $500,001-$1,000,000	I $1,000,001-$5,000,000	J $5,000,001-$25,000,000	K $25,000,001-$50,000,000	L Over $50,000,000	M Spouse/DC Asset over $1,000,000*	BLOCK C Type of Income: NONE	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED/BLIND TRUST	TAX-DEFERRED	Other Type of Income (Specify: e.g., Partnership Income or Farm Income)	BLOCK D Amount of Income: I None	II $1-$200	III $201-$1,000	IV $1,001-$2,500	V $2,501-$5,000	VI $5,001-$15,000	VII $15,001-$50,000	VIII $50,001-$100,000	IX $100,001-$1,000,000	X $1,000,001-$5,000,000	XI Over $5,000,000	XII Spouse/DC Asset with Income over $1,000,000*	BLOCK E Transaction P, S, S(part), or E
	Mid Continent Steel 2060 Cheyenne Blvd Suite 8B, Cleveland, OH 44118							X									X						S Corp							X						S Corp
	Healthy Foods LLC 3039 Diamond Pkwy Cleveland, OH						X										X						S Corp				X									S Corp

Use additional sheets if more space is required.

ONE HUNDRED FOURTEENTH CONGRESS

U.S. House of Representatives

COMMITTEE ON ETHICS

Thomas A. Rust
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Administrative Staff Director

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2015 OCT 28 PM 2:31

September 28, 2015

The Honorable David P. Joyce
U.S. House of Representatives
1124 Longworth House Office Building
Washington, DC 20515

Dear Colleague:

A copy of your 2014 Financial Disclosure Statement, recently filed with the Clerk of the House, has been forwarded to this Committee for review. Examination of your Statement suggests the need for additional information or other amendment as noted on the enclosed checklist.

Please submit any necessary amendment to the Clerk of the House **within 30 days of the date of this letter**. Please be advised that pursuant to section 104(d)(1) of the Ethics in Government Act of 1978 (EIGA), any individual filing a required Statement, including amendments, more than 30 days after the due date shall pay a $200 late filing fee to the United States Treasury. In addition, any individual who knowingly and willfully fails to file or falsifies any Statement required under the EIGA may be assessed a maximum civil penalty of up to $50,000 and subjected to criminal prosecution. Therefore, you must promptly file the requested amendment to comply with the statutory requirement.

You may amend your Financial Disclosure Statement either by using the electronic filing system, writing a letter addressed to the Clerk which identifies the section(s) of the Statement that you are amending <u>or</u> by completing a new paper Statement and indicating in the appropriate place that it is an amendment. You may obtain a blank Statement for this purpose from the Committee's Web site at http://ethics.house.gov in the "Financial Disclosure" section. The amendment should be submitted to the Legislative Resource Center either electronically or in paper to Room 135 Cannon House Office Building, Washington, DC 20515.

The Honorable David P. Joyce
Page 2

If you have any questions concerning proper completion of the amendment or do not agree that your Statement requires an amendment, please contact the Committee at (202) 225-7103. Committee Staff is also available to review the amendment prior to filing. If you would like such a review, please fax your request to (202) 225-3713 or email financial.disclosure@mail.house.gov.

Sincerely,

Charles W. Dent
Chairman

Linda T. Sánchez
Ranking Member

CWD/LTS:tn

Enclosure

CY 2014 FINANCIAL DISCLOSURE CHECKLIST: MEMBERS, CANDIDATES, OFFICERS & EMPLOYEES

Name: Joyce, David MC
Filer Status: MC
Type of Report: Annual, rec'd 07/14/2014

FIRST / SIGNATURE PAGE
- ☐ 1. Filer information incomplete or insufficient
- ☐ 2. Preliminary Information box (es) not checked
- ☐ 3. Trust holdings and/or spouse/dependent Exemption box(es) not checked
- ☐ 4. Trust/Spouse Exemption box (es) marked "yes"
- ☐ 5. Statement not properly signed or dated
- ☐ 6. Other

SCHEDULE A. ASSETS & "UNEARNED" INCOME
- ☐ 1. Box on page 1 checked "yes" but no data reported
- ☐ 2. Trusts box on p. 1 marked "yes" but no trust reported
- ☒ 3. Identity not properly reported
  - ☒ a. Incomplete fund or other asset name
  - ☐ b. Real estate identification not provided/insufficient
  - ☐ c. Private business – type / location not provided
- ☒ 4. Value of asset not properly reported
- ☒ 5. Type and/or Amount of Income not properly shown
- ☐ 6. Capital gains on sale reported to exceed $200 on Sch. B are not consistently reported on Sch. A
- ☒ 7. Fund/IRA/401k/trust underlying assets not reported
- ☐ 8. Type of life insurance not properly reported
- ☒ 9. Other

SCHEDULE B. TRANSACTIONS [N/A FOR NEW FILERS]
- ☐ 1. Box on page 1 checked "yes" but no data reported
- ☐ 2. Account identity not properly shown
- ☐ 3. Type of transaction (P, S, E) not properly shown
- ☐ 4. Date not properly shown
- ☐ 5. Category of value not properly shown
- ☒ 6. New/old holding not shown as acquisition/sale
- ☒ 7. Listed asset not shown on Sch. A
- ☒ 8. Other

SCHEDULE C. EARNED INCOME
- ☐ 1. Box on page 1 checked "yes" but no data reported
- ☐ 2. Source and/or type not properly shown
- ☐ 3. Gross amount not properly shown
- ☐ 4. Outside earned income limit exceeded (i.e., $27,255)
- ☐ 5. Teaching Fee – no approval letter filed
- ☐ 6. Other

SCHEDULE D. LIABILITIES
- ☐ 1. Box on page 1 checked "yes" but no data reported
- ☐ 2. Creditor/Type of Liability not sufficiently identified
- ☐ 3. Date Liability Incurred not provided/insufficient
- ☐ 4. Amount of Liability not properly reported
- ☐ 5. Mortgaged property not listed on Sch. A
- ☐ 6. Other

SCHEDULE E. POSITIONS
- ☐ 1. Box on page 1 checked "yes" but no data reported
- ☐ 2. Position(s) not sufficiently identified
- ☐ 3. Organization not sufficiently identified
- ☐ 4. Other

SCHEDULE F. AGREEMENTS
- ☐ 1. Box on page 1 checked "yes" but no data reported
- ☐ 2. More detail needed on agreements
- ☐ 3. Future employment agreements or jobs accepted while in office not reported
- ☐ 4. Other

SCHEDULE G. GIFTS [N/A FOR NEW FILERS]
- ☐ 1. Box on page 1 checked "yes" but no data reported
- ☐ 2. Source/description not sufficient
- ☐ 3. Value not properly reported
- ☐ 4. Gift appears not to be acceptable under gift rule
- ☐ 5. Other

SCHEDULE H. TRAVEL [N/A FOR NEW FILERS]
- ☐ 1. Box on page 1 checked "yes" but no data reported
- ☐ 2. Source not sufficient
- ☐ 3. Dates of travel not reported
- ☐ 4. Description/itinerary not sufficient
- ☐ 5. Food/lodging/personal days response insufficient
- ☐ 6. 4/7 day limit on private travel exceeded
- ☐ 7. No record of travel pre-approval(s) by Committee
- ☐ 8. Travel approval granted but trip(s) not reported
- ☐ 9. Other

SCHEDULE I. PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA [N/A FOR NEW FILERS]
- ☐ 1. Payments in lieu of honoraria not reported properly
- ☐ 2. Limit of $2,000 per event exceeded
- ☐ 3. Confidential list of charities not received (i.e., separate sealed green envelope)
- ☐ 4. Other

SCHEDULE J. COMPENSATION IN EXCESS OF $5,000
- ☐ 1. Box on page 1 checked "yes" but no data reported
- ☐ 2. Source not sufficiently identified
- ☐ 3. Description of duties not sufficient
- ☐ 4. Other

☐ **NO EXCEPTIONS WERE NOTED.**

Detail on Checked Item(s):

Schedule A:
A 3a: Additional information regarding the type, location and identity of the following assets need to be provided.
60 Month Note

A 4: If the following assets have been fully sold (see sale reported on Schedule B), their value should be reported as "None" on Schedule A (if its total income exceeded $200).
SPDR S&P Mid Cap 400 ETF
Chesapeake Energy Corp.
United Health Group Inc.
Northstar Reality Corp. New

SPDR S&P Mid Cap 400 ETF (1)
SPDR S&P Mid Cap 400 ETF (2)

A 5: The type and amount of income for the following assets needs to be disclosed in Schedule A.

TransCanada Corp.
Michael Kors Holdings LTD
Priceline Group Inc.
Mead Johnson Nutrition
Proctor and Gamble
Johnson and Johnson
Berkshire Hathaway Class B
First Solar Inc.
Google Class C
Exelon Corp.
Fidelity Tax Free (non-ATM)
Fidelity Tax Free Non ATM Money Market (1)
Fidelity Tax Free Non ATM Money Market (2)
Roth IRA
Vanguard 403
60 Month Note

A 7: Identify the underlying assets within the asset shown on Schedule A

Roth IRA
Vanguard 403

A 9: The following transactions need to have the Transaction Block show P/S/S(partial)/E for each purchase/sale listed in Schedule A.

SPDR S&P Mid Cap 400 ETF
Chesapeake Energy Corp.
United Health Group Inc.
Northstar Reality Corp. New
SPDR S&P Mid Cap 400 ETF (1)
SPDR S&P Mid Cap 400 ETF (2)
Boeing Company
Discovery Communications
Estee Lauder
Proctor and Gamble
Biogen Inc.
Visa Inc. Cl. A
Avnet
First Solar Inc. Google Class C
Cihoo 360 Tech Co. Ltd.
iShares MSCI EAFE Index
iShares MSCI EAFE Small Cap
Guggenheim S&P Healthcare
Wisdom Tree Energy Mkts. Small Cap
iShares Russell 2000 Index
Touchstone Sands Capital Inst.
Oppenheimer Developing Markets (1)
Oppenheimer Developing Markets (2)
Aston/TAMRO Small Cap I
Dividend and Income Fund – Inst. C I
Tempelton Global Bond Adv.
Harbor International
Touchstone Sands Cap Inst.
Vanguard Windsor II
Aston/Fair point Mid Cap I
A Stan/TAMRO Small Cap I

Schedule B:

B 6: An asset reported as owned in the preceding FD is not reported as owned on Schedule A and is not reported as sold on Schedule B.

SPIDER Index Funds
ETFS Price Metal
iShares US Homes
Manlet Vechos ETF Oil Funds
Baidu Inc.
Cognizant Tech
D R Hourton Inc.
First Solon Inc.
Lerrar
Melliewot Tech
Nobel Corp
National Oilwell
Occidential Petrolium
Pulte Group
Quantu Services
Time Warner
Walter Investments
Whirlpool

DPJ QSST Trust

Mid Coastal South, 2060 Cheyenne Blvd., Suite 8B, Cleveland, OH 44188
Healthy Foods LLC, 30339 Diamond Parkway, Cleveland, OH
Fidelity Money Market
Aston Tameno Small Cap
Touchtone Sands
SPDR S&P Mid Cap
Fidelity floating Rate Money Market

David P Joyce Trust

Fidelity Money Market
Deutsche Bank AG Note
Aston Fairpoint
Aston Tameno
Touchtone Sands
Fidelity Floating Rate
SPDR Index S&P Small Cap
Harbor International
Dividend Plus Incorporated
Oppenheimer Development Market
Powershares Global
Tempelton Global Bond
Vanguard Small Cap
Vanguard Specalized Index
Vanguard Value Vipor
Vanguard Growth
Vanguard Windsor
SPDR Industrial
SPDR Tech
SPDR Tech (M)

Rita M. Joyce IRA

Fidelity Cash Reserves
JP Morgan AlenianIndex
Touchstone Sands
Powershares Multi Sector
WisdomTree Energy Market
Barclays Bank PLC
iShares Energy Mkt
iShares FAFE ETF
Fidelity Floating Rate
ETFS Precious Metals
iShares Russel Growth
iShares Russell Value
SPDR Barclays
Dividen Plus Income
SPDR Mid Cap 400 ETF

B 7: An asset reported as sold on Schedule B is not reported as having been owned on Schedule A and is not reported as previously purchased on Schedule B.

ETFS Physical Precious Metal Basket
iPath DJ-AIG Commodity Index Fund
Powershares DB Agriculture Fd LP
Citrix Systems Inc.
Google Inc. – old
Annaly Capital Management Inc.
CVS Health Corporation
Palo Alto Networks Inc.

Compania de Minas Buenaventura S.A. ADS
China Mobile ADR
Cameron International
Philip Morris Int'l
Wells Fargo and Company
EMC Corporation
Coca-Cola Co.
EBay
NOW Inc.
North Star Asset Management Group 08/06/2014
National Oil well Varco Inc.
Palo Alto Networks Inc. 08/14/2014
Palo Alto Networks Inc. 08/15/2014
CBS Outdoor Americas Inc.
North Star Asset Management Group 08/18/2014
Abbott Laboratories
Apple Inc.
Mellanox Technologies Ltd. 11/10/2014
Mellanox Technologies Ltd. 11/11/2014
Express Scripts Holding Co.
iPath MSCI India Index ETN
iShares S&P Latin America
iShares FTSE/Xinhua China 25 Index
iShares MSCI South Korea Index
iShares MSCI Australia Index
iShares Inc. MSCI Brazil Index
iShares MSCI Canada
ETFS Physical Precious Metal Basket
iShares Goldman Sachs Nat. Res.
iShares US Home Construction
Market Vectors Oil Services

B 7: An asset reported as purchased on Schedule B is not reported as owned on Schedule A and not reported as sold on Schedule B.

Time Warner Cable
Lennar Corp.
Fire Eye Inc.05/14/2014
Xilinx Inc.
Ocwen Financial Corp.
Aetna Inc.
Fire Eye Inc. 08/21/2014
Chicago Bridge and Iron Co. 10/03/2014
Chart Industries
Chicago Bridge and Iron Co. 10/15/2014
Starbucks Corp.
Baker Hughes Inc.

B 8: A periodic transaction report (PTR) for any purchase, sale, or exchange of any stock, bond, commodities future or other covered security that exceeds $1,000 needs to be filed.

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