HAND DELIVERED





**UNITED STATES HOUSE OF REPRESENTATIVES**
**2013 FINANCIAL DISCLOSURE STATEMENT**

**Form A**
For Use by Members, Officers, and Employees

**Name:** Michael Rogers **Daytime Telephone:** ______

| | | | |
|---|---|---|---|
| **FILER STATUS** | [X] Member of or Candidate for U.S. House of Representatives — State: MI District: 8 | | [ ] Officer or Employee — Employing Office: ______ |
| **REPORT TYPE** | [ ] 2013 Annual (Due: May 15, 2014) | [ ] Amendment | [X] Termination Date: Jan 2 2015 |

## PRELIMINARY INFORMATION – ANSWER EACH OF THESE QUESTIONS

| | Yes | No |
|---|---|---|
| **A.** Did you, your spouse, or your dependent child: a. Own any reportable asset that was worth more than $1,000 at the end of the reporting period? or b. Make more than $200 in unearned income from any reportable asset during the reporting period? | X | |
| **B.** Did you, your spouse, or your dependent child purchase, sell, or exchange any securities or reportable real estate in a transaction exceeding $1,000 during the reporting period? | X | |
| **C.** Did you or your spouse have "earned" income (*e.g.*, salaries, honoraria, or pension/IRA distributions) of $200 or more during the reporting period? | X | |
| **D.** Did you, your spouse, or your dependent child have any reportable liability (more than $10,000) at any point during the reporting period? | X | |
| **E.** Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing? | | |
| **F.** Did you have any reportable agreement or arrangement with an outside entity during the reporting period or in the current calendar year up through the date of filing? | X | ■ |
| **G.** Did you, your spouse, or your dependent child receive any reportable gift(s) totaling more than $350 in value from a single source during the reporting period? | | X |
| **H.** Did you, your spouse, or your dependent child receive any reportable travel or reimbursements for travel totaling more than $350 in value from a single source during the reporting period? | X | |
| **I.** Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article during the reporting period? | | X |

**ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"**

## IPO, EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION - ANSWER EACH OF THESE QUESTIONS

| | Yes | No |
|---|---|---|
| **IPO** – Did you purchase any shares that were allocated as a part of an Initial Public Offering during the reporting period? If you answered "yes" to this question, please contact the Committee on Ethics for further guidance. | | X |
| **TRUSTS** – Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust that benefits you, your spouse, or dependent child? | | X |
| **EXEMPTION** – Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics. | | X |

## SCHEDULE A – ASSETS & "UNEARNED INCOME"

**Name:** Michael Rogers | **Page** 2 **of** 9

**BLOCK A — Asset and/or Income Source**

Identify (a) each asset held for investment or production of income and with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other reportable asset or source of income that generated more than $200 in "unearned" income during the year.

Provide complete names of stocks and mutual funds (do not use only ticker symbols).

For **all IRAs** and other retirement plans (such as 401(k) plans) provide the value for each asset held in the account that exceeds the reporting thresholds.

For bank and other cash accounts, total the amount in all interest-bearing accounts. If the total is over $5,000, list every financial institution where there is more than $1,000 in interest bearing accounts.

For rental and other real property held for investment, provide a complete address or description, *e.g.*, "rental property," and a city and state.

For an ownership interest in a privately-held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.

**Exclude:** Your personal residence, including second homes and vacation homes (*unless* there was rental income during the reporting period); and any financial interest in, or income derived from, a federal retirement program, including the Thrift Savings Plan.

If you have a privately-traded fund that is an Excepted Investment Fund, please check the "EIF" box.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or jointly held with anyone (JT), in the optional column on the far left.

For a detailed discussion of Schedule A requirements, please refer to the instruction booklet.

**BLOCK B — Value of Asset**

Indicate value of asset at close of the reporting period. If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold during the reporting period and is included only because it generated income, the value should be "None."

*Column M is for assets held by your spouse or dependent child in which you have no interest.

**BLOCK C — Type of Income**

Check all columns that apply. For accounts that generate tax-deferred income (such as 401(k), IRA, or 529 accounts), you may check the "Tax-Deferred" column. **Dividends, interest, and capital gains, even if reinvested, must be disclosed as income for assets held in taxable accounts.** Check "None" if the asset generated no income during the reporting period.

**BLOCK D — Amount of Income**

For assets for which you checked "Tax-Deferred" in Block C, you may check the "None" column. For all other assets indicate the category of income by checking the appropriate box below. **Dividends, interest, and capital gains, even if reinvested, must be disclosed as income for assets held in taxable accounts.** Check "None" if no income was earned or generated.

*Column XII is for assets held by your spouse or dependent child in which you have no interest.

**BLOCK E — Transaction**

Indicate if the asset had purchases (P), sales (S), or exchanges (E) exceeding $1,000 in the reporting period.

If only a portion of an asset was sold, please indicate as follows: (S (part)).

Leave this column blank if there are no transactions that exceeded $1,000.

| SP, DC, JT | Asset | 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 | 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 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Examples: SP | Mega Corp. Stock | | | | | | X | | | | | | | | | | X | | | | | | | | | | X | | | | | | | | | S(part) |
| Examples: | Simon & Schuster | | | Indefinite | | | | | | | | | | | | | | | | | | | Royalties | | | | | | | | | | | | | |
| Examples: | ABC Hedge Fund | X | | | | | | | X | | | | | | | | | | | | | | Partnership Income | | | | | | | | | | | | | |
| | B of America | | | | X | | | | | | | | | | | | | | X | | | | | | X | | | | | | | | | | | |
| | Wells Fargo | | | | | | X | | | | | | | | | | X | | | | | | | | | | | | X | | | | | | | |
| | Bi Petro | | | | X | | | | | | | | | | | | X | | | | | | | | | X | | | | | | | | | | |
| DC | MI 529 Agg Age | | | | X | | | | | | | | | | | | X | | | | | X | | | | X | | | | | | | | | | |
| DC | MI 529 Agg Age | | | | X | | | | | | | | | | | | X | | | | | X | | | | X | | | | | | | | | | |
| DC | MI 529 Agg Age | | | | X | | | | | | | | | | | | X | | | | | X | | | | X | | | | | | | | | | |

Use additional sheets if more space is required.

# SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name: Michael Rogers

Page 3 of 9

BLOCK A – Asset and/or Income Source; BLOCK B – Value of Asset; BLOCK C – Type of Income; BLOCK D – Amount 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 | 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 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| SP | USAA Checking | | | | | X | | | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | |
| SP | USAA Savings | | | | | X | | | | | | | | | | | | | X | | | | | | | X | | | | | | | | | | |
| | See Attached | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Use additional sheets if more space is required.

# SCHEDULE B – TRANSACTIONS

**Name:** Michael Rogers | **Page** 4 **of** 9

Report any purchase, sale, or exchange transactions that exceeded $1,000 in the reporting period of any security or real property held by you, your spouse, or your dependent child for investment or the production of income. Include transactions that resulted in a capital loss. Provide a brief description of an exchange transaction. Exclude transactions between you, your spouse, or dependent children, or the purchase or sale of your personal residence, unless it generated rental income. If only a portion of an asset is sold, please choose "partial sale" as the type of transaction.

**Capital Gains**: If a sales transaction resulted in a capital gain in excess of $200, check the "capital gains" box, unless it was an asset in a tax-deferred account, and disclose the capital gain income on Schedule A.

* Column K is for assets solely held by your spouse or dependent child.

| SP, DC, JT | Asset | | Type of Transaction | | | | Check Box if Capital Gain Exceeded $200 | Date (MO/DA/YR) or Quarterly, Monthly, or Bi-weekly, if applicable | Amount of Transaction | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | [illegible] | Sale | [illegible] | Exchange | | | A [illegible] | B $15,001-$50,000 | C [illegible] | D $100,001-$250,000 | E [illegible] | F $500,001-$1,000,000 | G [illegible] | H $5,000,001-$25,000,000 | I [illegible] | J Over $50,000,000 | K [illegible] |
| SP | *Example* | *Mega Corp. Stock* | | | X | | X | 3/5/13 | | X | | | | | | | | | |
| | See Attached | | | | | | | | | | | | | | | | | | |

**Use additional sheets if more space is required.**

## SCHEDULE C – EARNED INCOME

Name: Michael Rogers | Page 5 of 9

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. government) totaling $200 or more during the reporting period. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000. See examples below.

**EXCLUDE**: Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

**INCOME LIMITS and PROHIBITED INCOME**: The 2013 limit on outside earned income for Members and employees compensated at or above the "senior staff" rate was $26,955. In addition, certain types of income (notably honoraria, director's fees, and payments for *professional services involving a fiduciary relationship*) were totally prohibited.

| | **Source** (include date of receipt for honoraria) | **Type** | **Amount** |
|---|---|---|---|
| Examples: | *Keene State* | Approved Teaching Fee | $6,000 |
| | State of Maryland | Legislative Pension | *$18,000* |
| | Civil War Roundtable (Oct. 2) | Spouse Speech | $1,000 |
| | Ontario County Board of Education | Spouse Salary | N/A |
| | Qualys Inc Board of Director | Spouse Salary | |
| | Aspen Medical USA CEO | Spouse Salary | |
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**Use additional sheets if more space is required.**

## SCHEDULE D – LIABILITIES

Name: Michael Rogers



Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or your dependent child. **Mark the highest amount owed during the reporting period.** **Members**: Members are required to report all liabilities secured by real property including mortgages on their personal residence. **Exclude**: Any mortgage on your personal residence (unless you rent it out or are a Member); loans secured by automobiles, household furniture, or appliances; liabilities of a business in which you own an interest (unless you are personally liable); and liabilities owed to you by a spouse or the child, parent, or sibling of you or your spouse. Report a ***revolving charge account*** (*i.e.*, credit card) only if the balance at the close of reporting period exceeded $10,000. *Column K is for liabilities held solely by your spouse or dependent child.

| SP, DC, JT | Creditor | Date Liability Incurred MO/YR | Type of Liability | Amount of Liability | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | A $10,001-$15,000 | B $15,001-$50,000 | C $50,001-$100,000 | D $100,001-$250,000 | E $250,001-$500,000 | F $500,001-$1,000,000 | G $1,000,001-$5,000,000 | H $5,000,001-$25,000,000 | I $25,000,001-$50,000,000 | J Over $50,000,000 | K Over $1,000,000* (Spouse/DC Liability) |
| | *Example* First Bank of Wilmington, DE | 5/98 | Mortgage on Rental Property, Dover, DE | | | | X | | | | | | | |
| JT | Wells Fargo | 10/12 | Mortgage, Va | | | | | | X | | | | | |
| JT | USAA | 8/14 | Mortgage, Md | | | | | X | | | | | | |
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## SCHEDULE E – POSITIONS

Report all positions, compensated or uncompensated, held during the current or prior calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, nonprofit organization, labor organization, or educational or other institution other than the United States. **Exclude**: Positions listed in Schedule C; positions held in any religious, social, fraternal, or political entities (such as political parties and campaign organizations); and positions solely of an honorary nature.

| Position | *Name of Organization* |
|---|---|
| NA | |
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**Use additional sheets if more space is required.**

## SCHEDULE F – AGREEMENTS

Name: Michael Rogers | Page 7 of 9

Identify the date, parties to, and general terms of any agreement or arrangement that you have with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

| Date | Parties to Agreement | Terms of Agreement |
| --- | --- | --- |
| 2/14 | Cumulus Media | Nationally Syndicated radio commentary |
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## SCHEDULE G – GIFTS

Report the source (including name, city, and state), a brief description, and the value of all gifts totaling more than $350 received by you, your spouse, or a dependent child from any source during the year. **Exclude**: Gifts from relatives, gifts of personal hospitality from an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $140 or less need not be added towards the $350 disclosure threshold. **Note**: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

| Source | | Description | Value |
| --- | --- | --- | --- |
| *Example:* | Mr. Joseph Smith, Arlington, VA | Silver Platter (determination of personal friendship received from the Ethics Committee) | $400 |
| NA | | | |
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**Use additional sheets if more space is required.**

## SCHEDULE H – TRAVEL PAYMENTS and REIMBURSEMENTS

Name: Michael Rogers



Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $350 received by you, your spouse, or your dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense. Disclosure is required regardless of whether the expenses were paid directly by the sponsor or were paid by you and reimbursed by the sponsor.

**EXCLUDE**: Privately-sponsored travel approved by the Ethics Committee, if post-travel disclosure was filed with the Clerk; travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (FGDA, 5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to the filer.

| | Source | Date(s) | City of Departure – Destination — City of Return | Lodging? (Y/N) | Food? (Y/N) | Family Member Included? (Y/N) |
|---|---|---|---|---|---|---|
| *Examples:* | Government of China (MECEA) | Aug. 6-11 | DC-Beijing, China - DC | Y | Y | N |
| | Habitat for Humanity (charity fundraiser) | Mar. 3-4 | DC-Boston-DC | Y | Y | Y |
| | American Enterprise Inst | 3/6-9 | DC-Sea Island, GA-DC | Y | Y | Y |
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**Use additional sheets if more space is required.**

## SCHEDULE I – PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

Name: Michael Rogers



List the source, activity (*i.e.*, speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of paying an honorarium to you. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Ethics.

| Source | | Activity | Date | Amount |
|---|---|---|---|---|
| *Examples:* | Association of American Associations, Washington, DC | Speech | Feb, 2, 2013 | $2,000 |
| | XYZ Magazine | Article | Aug. 13, 2013 | $500 |
| | NA | | | |
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Use additional sheets if more space is required.

Sullivan Bruyette Speros & Blayney

# PERFORMANCE BY SECURITY INCLUDING ACCRUED INTEREST

## *Michael and Kristi Rogers*

## *Consolidated Portfolio*

**Discounted Cash Flow Method**

*From 01-01-14 To 12-31-14*

| Security | 01-01-14 Market Value | Realized Gains | Unrealized Gains | Interest Dividends | IRR +Fees | 12-31-14 Market Value | Pct. of Assets |
|---|---|---|---|---|---|---|---|
| *Cash* | | *[Fees]* | | | | | |
| Distribution for Reinvestment | 0 | 0 | | 0 | 0.00 | 0 | 0.00 |
| LT Distributions: Cash | 0 | 0 | | 0 | 0.00 | 0 | 0.00 |
| Schwab Government Securities | 10,136 | -3,700 | | 0 | -23.60 | 12,566 | 3.80 |
| | 10,136 | -3,700 | | 0 | -23.60 | 12,566 | 3.80 |
| ST Bond Funds | | | | | | | |
| Guggenheim BulletShares 2014 HY Corp | 9,060 | -144 | 0 | 228 | 0.92 | 0 | 0.00 |
| Vanguard Short-Term Investment-Grade | 7,060 | 0 | -27 | 152 | 1.76 | 7,184 | 2.17 |
| | 16,120 | -144 | -27 | 380 | 1.29 | 7,184 | 2.17 |
| Municipal Bond Funds | | | | | | | |
| Vanguard Inter-Term Tax-Exempt | 19,207 | 0 | 770 | 607 | 7.28 | 19,977 | 6.04 |
| | 19,207 | 0 | 770 | 607 | 7.28 | 19,977 | 6.04 |
| US Bond Funds | | | | | | | |
| DoubleLine Core Fixed Income I | 9,359 | 242 | 0 | 163 | 10.35 | 0 | 0.00 |
| *PIMCO Total Return* | *5,870* | *101* | *0* | *55* | *6.23* | *0* | *0.00* |
| Vanguard Total Bond Market | 41,466 | 0 | 1,202 | 1,188 | 5.83 | 42,668 | 12.91 |
| | 56,695 | 343 | 1,202 | 1,406 | 6.23 | 42,668 | 12.91 |
| Global Bond Funds | | | | | | | |
| Templeton Income Global Bond Adv | 19,877 | 92 | -805 | 1,153 | 2.57 | 15,436 | 4.67 |
| | 19,877 | 92 | -805 | 1,153 | 2.57 | 15,436 | 4.67 |
| US Equities | | | | | | | |
| Large Cap | | | | | | | |
| Prudential Jennison Blend A | 3,049 | 113 | 0 | 0 | 8.76 | 0 | 0.00 |
| SPDR S&P 500 Fd ETF | 97,332 | 1,484 | 8,152 | 1,700 | 13.73 | 80,366 | 24.31 |
| Schwab S&P 500 - Select | 0 | 0 | 197 | 111 | 30.37 | 6,197 | 1.87 |
| Vanguard High Dividend Yield | 42,004 | 1,434 | 2,434 | 1,016 | 13.91 | 34,031 | 10.29 |
| | 142,384 | 3,031 | 10,783 | 2,827 | 13.86 | 120,594 | 36.48 |
| Small/Mid Cap | | | | | | | |
| Vanguard Extended Market Index | 28,780 | 660 | 912 | 255 | 9.15 | 19,138 | 5.79 |
| | 28,780 | 660 | 912 | 255 | 9.15 | 19,138 | 5.79 |
| US Equities Total | 171,164 | 3,691 | 11,695 | 3,082 | 13.19 | 139,732 | 42.27 |

# PERFORMANCE BY SECURITY INCLUDING ACCRUED INTEREST

***Michael and Kristi Rogers***

***Consolidated Portfolio***

**Discounted Cash Flow Method**

*From 01-01-14 To 12-31-14*

| Security | 01-01-14 Market Value | Realized Gains | Unrealized Gains | Interest Dividends | IRR +Fees | 12-31-14 Market Value | Pct. of Assets |
|---|---|---|---|---|---|---|---|
| International Stock Funds | | | | | | | |
| Developed | | | | | | | |
| Vanguard Total Intl Stock Mkt Index | 27,552 | 0 | -2,265 | 905 | -4.83 | 30,261 | 9.15 |
| iShares Dow Jones Intl Select Div | 18,932 | 0 | -2,121 | 1,014 | -5.98 | 16,811 | 5.09 |
| | 46,484 | 0 | -4,386 | 1,919 | -5.28 | 47,072 | 14.24 |
| Emerging/Regional | | | | | | | |
| Matthews Asian Growth & Income Instl | 9,255 | 435 | 0 | 0 | 11.17 | 0 | 0.00 |
| Vanguard FTSE Emerging Markets ETF | 18,966 | 528 | -273 | 302 | 4.11 | 9,765 | 2.95 |
| | 28,221 | 963 | -273 | 302 | 5.70 | 9,765 | 2.95 |
| International Stock Fu Total | 74,705 | 963 | -4,659 | 2,221 | -2.31 | 56,837 | 17.19 |
| Global Allocation | | | | | | | |
| Blackrock Global Allocation | 7,958 | 0 | -577 | 748 | 2.15 | 8,129 | 2.46 |
| Ivy Asset Strategy I | 12,480 | 0 | -2,528 | 1,949 | -4.68 | 9,951 | 3.01 |
| | 20,438 | 0 | -3,106 | 2,698 | -2.01 | 18,080 | 5.47 |
| Commodities | | | | | | | |
| Deutsche Enhanced Commodity Strategy I | 20,019 | 0 | -1,915 | 673 | -6.25 | 18,104 | 5.48 |
| | 20,019 | 0 | -1,915 | 673 | -6.25 | 18,104 | 5.48 |
| **TOTAL PORTFOLIO** | **408,361** | **1,245** | **3,154** | **12,220** | **4.63** | **330,583** | **100.00** |

The Total Portfolio realized gains includes a fee of -3,700

**Sullivan Bruyette Speros & Blayney**

**PURCHASE AND SALE**

***Michael & Kristi Rogers, TBE***

***Account #XXXX-6842 Model GRO***

*From 01-01-14 To 12-31-14*

| Trade Date | Settle Date | Quantity | Security | Unit Price | Amount |
|---|---|---|---|---|---|
| **SALES** | | | | | |
| 06-09-2014 | 06-10-2014 | 874.671 | DoubleLine Core Fixed Income I | 10.98 | 9,601 |
| 06-09-2014 | 06-10-2014 | 489.696 | Matthews Asian Growth & Income Instl | 19.79 | 9,691 |
| 06-09-2014 | 06-10-2014 | 549.128 | PIMCO Total Return | 10.87 | 5,971 |
| 06-09-2014 | 06-10-2014 | 138.022 | Prudential Jennison Blend A | 22.91 | 3,162 |
| 06-09-2014 | 06-12-2014 | 128.000 | SPDR S&P 500 Fd ETF | 195.33 | 25,002 |
| 12-17-2014 | 12-22-2014 | 8.000 | SPDR S&P 500 Fd ETF | 199.98 | 1,600 |
| 06-09-2014 | 06-10-2014 | 360.608 | Templeton Income Global Bond Adv | 13.34 | 4,812 |
| 06-09-2014 | 06-12-2014 | 188.000 | Vanguard Extended Market Index | 86.21 | 16,208 |
| 06-09-2014 | 06-12-2014 | 200.000 | Vanguard FTSE Emerging Markets ETF | 43.57 | 8,715 |
| 06-09-2014 | 06-12-2014 | 17.000 | Vanguard FTSE Emerging Markets ETF | 43.57 | 741 |
| 06-09-2014 | 06-12-2014 | 200.000 | Vanguard High Dividend Yield | 66.23 | 13,245 |
| 06-09-2014 | 06-12-2014 | 167.000 | Vanguard High Dividend Yield | 66.23 | 11,060 |
| | | | | | 109,807 |

**Sullivan Bruyette Speros & Blayney**
**PURCHASE AND SALE**
***Kristi M. Rogers Rollover IRA***
***Account #XXXX-8605 Model GRO***
*From 01-01-14 To 12-31-14*

| Trade Date | Settle Date | Quantity | Security | Unit Price | Amount |
|---|---|---|---|---|---|
| **PURCHASES** | | | | | |
| 07-17-2014 | 07-17-2014 | 3.107 | Blackrock Global Allocation | 21.97 | 68 |
| 12-17-2014 | 12-17-2014 | 6.501 | Blackrock Global Allocation | 19.63 | 128 |
| 12-17-2014 | 12-22-2014 | 58.000 | Vanguard Extended Market Index | 86.10 | 4,994 |
| 06-09-2014 | 06-12-2014 | 167.000 | Vanguard High Dividend Yield | 66.30 | 11,073 |
| 06-09-2014 | 06-12-2014 | 21.000 | Vanguard High Dividend Yield | 66.31 | 1,392 |
| | | | | | 17,655 |
| **REINVESTED DIVIDENDS** | | | | | |
| 12-17-2014 | 12-17-2014 | 4.050 | Blackrock Global Allocation | 19.63 | 80 |
| 12-17-2014 | 12-17-2014 | 24.100 | Blackrock Global Allocation | 19.63 | 473 |
| 01-03-2014 | 01-03-2014 | 0.948 | Guggenheim BulletShares 2014 HY Corp | 26.68 | 25 |
| 01-03-2014 | 01-03-2014 | 0.711 | Guggenheim BulletShares 2014 HY Corp | 26.68 | 19 |
| 01-03-2014 | 01-03-2014 | 0.635 | Guggenheim BulletShares 2014 HY Corp | 26.68 | 17 |
| 02-10-2014 | 02-10-2014 | 0.850 | Guggenheim BulletShares 2014 HY Corp | 26.49 | 23 |
| 03-10-2014 | 03-10-2014 | 0.755 | Guggenheim BulletShares 2014 HY Corp | 26.52 | 20 |
| 04-08-2014 | 04-08-2014 | 0.792 | Guggenheim BulletShares 2014 HY Corp | 26.53 | 21 |
| 05-08-2014 | 05-08-2014 | 0.730 | Guggenheim BulletShares 2014 HY Corp | 26.47 | 19 |
| 06-09-2014 | 06-09-2014 | 0.616 | Guggenheim BulletShares 2014 HY Corp | 26.46 | 16 |
| 07-08-2014 | 07-08-2014 | 0.557 | Guggenheim BulletShares 2014 HY Corp | 26.40 | 15 |
| 08-08-2014 | 08-08-2014 | 0.539 | Guggenheim BulletShares 2014 HY Corp | 26.40 | 14 |
| 09-09-2014 | 09-09-2014 | 0.423 | Guggenheim BulletShares 2014 HY Corp | 26.42 | 11 |
| 10-08-2014 | 10-08-2014 | 0.455 | Guggenheim BulletShares 2014 HY Corp | 26.40 | 12 |
| 11-10-2014 | 11-10-2014 | 0.406 | Guggenheim BulletShares 2014 HY Corp | 26.37 | 11 |
| 12-08-2014 | 12-08-2014 | 0.176 | Guggenheim BulletShares 2014 HY Corp | 26.29 | 5 |

**Sullivan Bruyette Speros & Blayney**

**PURCHASE AND SALE**

***Kristi M. Rogers Rollover IRA***

***Account #XXXX-8605 Model GRO***

*From 01-01-14 To 12-31-14*

| Trade Date | Settle Date | Quantity | Security | Unit Price | Amount |
|---|---|---|---|---|---|
| 01-15-2014 | 01-15-2014 | 3.804 | Templeton Income Global Bond Adv | 13.03 | 50 |
| 02-18-2014 | 02-18-2014 | 3.845 | Templeton Income Global Bond Adv | 12.84 | 49 |
| 03-17-2014 | 03-17-2014 | 3.885 | Templeton Income Global Bond Adv | 12.81 | 50 |
| 04-15-2014 | 04-15-2014 | 2.937 | Templeton Income Global Bond Adv | 13.02 | 38 |
| 05-15-2014 | 05-15-2014 | 2.924 | Templeton Income Global Bond Adv | 13.15 | 38 |
| 06-16-2014 | 06-16-2014 | 2.903 | Templeton Income Global Bond Adv | 13.28 | 39 |
| 07-15-2014 | 07-15-2014 | 2.923 | Templeton Income Global Bond Adv | 13.30 | 39 |
| 08-15-2014 | 08-15-2014 | 2.902 | Templeton Income Global Bond Adv | 13.27 | 39 |
| 09-15-2014 | 09-15-2014 | 2.946 | Templeton Income Global Bond Adv | 13.26 | 39 |
| 10-15-2014 | 10-15-2014 | 2.974 | Templeton Income Global Bond Adv | 13.05 | 39 |
| 11-17-2014 | 11-17-2014 | 2.959 | Templeton Income Global Bond Adv | 13.15 | 39 |
| 12-15-2014 | 12-15-2014 | 48.154 | Templeton Income Global Bond Adv | 12.29 | 592 |
| 12-15-2014 | 12-15-2014 | 2.727 | Templeton Income Global Bond Adv | 12.29 | 34 |
| 01-31-2014 | 01-31-2014 | 1.095 | Vanguard Short-Term Investment-Grade | 10.74 | 12 |
| 02-28-2014 | 02-28-2014 | 0.993 | Vanguard Short-Term Investment-Grade | 10.76 | 11 |
| 03-31-2014 | 03-31-2014 | 1.086 | Vanguard Short-Term Investment-Grade | 10.73 | 12 |
| 03-31-2014 | 03-31-2014 | 0.185 | Vanguard Short-Term Investment-Grade | 10.76 | 2 |
| 04-30-2014 | 04-30-2014 | 1.063 | Vanguard Short-Term Investment-Grade | 10.75 | 11 |
| 05-30-2014 | 05-30-2014 | 1.088 | Vanguard Short-Term Investment-Grade | 10.78 | 12 |
| 06-30-2014 | 06-30-2014 | 1.050 | Vanguard Short-Term Investment-Grade | 10.77 | 11 |
| 07-31-2014 | 07-31-2014 | 1.068 | Vanguard Short-Term Investment-Grade | 10.74 | 11 |
| 08-29-2014 | 08-29-2014 | 1.069 | Vanguard Short-Term Investment-Grade | 10.75 | 11 |
| 09-30-2014 | 09-30-2014 | 1.016 | Vanguard Short-Term Investment-Grade | 10.71 | 11 |
| 10-31-2014 | 10-31-2014 | 1.014 | Vanguard Short-Term Investment-Grade | 10.73 | 11 |
| 11-28-2014 | 11-28-2014 | 0.966 | Vanguard Short-Term Investment-Grade | 10.73 | 10 |
| 12-17-2014 | 12-17-2014 | 0.820 | Vanguard Short-Term Investment-Grade | 10.65 | 9 |

**Sullivan Bruyette Speros & Blayney**
**PURCHASE AND SALE**
***Kristi M. Rogers Rollover IRA***
***Account #XXXX-8605 Model GRO***
*From 01-01-14 To 12-31-14*

| Trade Date | Settle Date | Quantity | Security | Unit Price | Amount |
|---|---|---|---|---|---|
| 12-17-2014 | 12-17-2014 | 0.630 | Vanguard Short-Term Investment-Grade | 10.65 | 7 |
| 12-31-2014 | 12-31-2014 | 1.000 | Vanguard Short-Term Investment-Grade | 10.66 | 11 |
| | | | | | 2,016 |
| **SALES** | | | | | |
| 12-31-2014 | 12-31-2014 | 348.311 | Guggenheim BulletShares 2014 HY Corp | 26.25 | 9,144 |
| | | | | | 9,144 |

**Sullivan Bruyette Speros & Blayney**
**PURCHASE AND SALE**
***Kristi M. Rogers SEP IRA***
***Account #XXXX-8421 Model GRO***
***KR Solutions LLC***
*From 01-01-14 To 12-31-14*

| Trade Date | Settle Date | Quantity | Security | Unit Price | Amount |
|---|---|---|---|---|---|
| **PURCHASES** | | | | | |
| 10-24-2014 | 10-27-2014 | 192.678 | Schwab S&P 500 - Select | 31.14 | 6,000 |
| 10-24-2014 | 10-29-2014 | 100.000 | Vanguard Total Intl Stock Mkt Index | 49.74 | 4,974 |
| | | | | | 10,974 |