Filing ID #10013282

Financial Disclosure Report

Clerk of the House of Representatives • Legislative Resource Center • 135 Cannon Building • Washington, DC 20515

Filer Information

Name: Charles H. Norris
Status: Congressional Candidate
State/District: CO01

Filing Information

Filing Type: Candidate Report
Filing Year: 2016
Filing Date: 06/30/2016
Period Covered: 01/01/2015– 05/31/2016

Schedule A: Assets and "Unearned" Income

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Checking Accounts ⇒ UMB Checking	JT	$22,289.49	Interest	$1 - $200	$1 - $200
Checking Accounts ⇒ Wells Fargo Checking	JT	$7,205.89	Interest	$1 - $200	$1 - $200
CHN IRAs ⇒ LPL CHN IRA Roth ⇒ Accelerated Diagnostics, Inc. (AXDXc) Description: ao 31MAY16		$7,117.60	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA Roth ⇒ Ballard Power Systems (BLDPc) Description: ao 31MAY16		$48.30	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA Roth ⇒ Cash Description: ao 31MAY16		$50.50	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA Roth ⇒ Genie Energy LTD (GNE'Ac) Description: ao 31MAY16		$65.88	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
CHN IRAs ⇒ LPL CHN IRA Roth ⇒ Principal Global Diversified Income CL C (PGDCXr) DESCRIPTION: ao 31MAY16		$18,862.90	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA Roth ⇒ Southwest Airlines DESCRIPTION: ao 31MAY16		$1,274.40	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA Roth ⇒ Straight Path Communications Inc CL B (STRPc) DESCRIPTION: ao 31MAY16		$128.04	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA traditional ⇒ Cash DESCRIPTION: ao 31MAY16		$8,139.53	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA traditional ⇒ Fidelity Advisor consumer discretionary CL I (FCNIX) DESCRIPTION: ao 31MAY16		$3,672.12	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA traditional ⇒ Fidelity Advisor finl services CL I (FFSIX) DESCRIPTION: ao 31MAY16		$3,607.87	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA traditional ⇒ Fidelity Advisor industrials CL I (FCLIX) DESCRIPTION: ao 31MAY16		$3,674.31	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA traditional ⇒ Fidelity Advisor materials CL i(FMFEX) DESCRIPTION: ao 31MAY16		$3,674.31	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA traditional ⇒ Fidelity Advisor Short Fixed Income CL I (FSXIX) DESCRIPTION: ao 31MAY16		$5,504.53	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA traditional ⇒ Fidelity Advisors health care CL I (FHCIX) DESCRIPTION: ao 31MAY16		$3,579.89	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA traditional ⇒ Fidelity Advsior energy (FANIX)		$3,674.31	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Description: ao 31MAY16					
CHN IRAs ⇒ LPL CHN IRA traditional ⇒ IDT Corp CL B New (IDTc) Description: ao 31MAY16		$133.83	Tax-Deferred		
CHN IRAs ⇒ LPL CHN IRA traditional ⇒ Prudential QMQr long short equity CL Z (PLHZX Description: ao 31MAY16		$6,780.66	Tax-Deferred		
CHN IRAs ⇒ WF CHN IRA Traditional ⇒ cash Description: ao 31MAY16		$427.87	Tax-Deferred		
CHN IRAs ⇒ WF CHN IRA Traditional ⇒ IVY FUNDS INC science & tech fd CL C (WSTCX) Description: ao 31MAY16		$9,591.28	Tax-Deferred		
CHN IRAs ⇒ WF CHN IRA Traditional ⇒ TEKLA World Healthcare FD (THW) Description: ao 31MAY16		$13,128.78	Tax-Deferred		
CHN SEP ⇒ Vanguard Dividend Growth Fund (DVIGX) Description: ao 31MAY16		$9,433.10	Tax-Deferred		
Insurance ⇒ John Hancock Whole Life Policy Description: ao 31MAY16		$1,001 - $15,000	Interest	$1 - $200	$115.89
Loans to campaign Description: As of Primary date	JT	$1,001 - $15,000	None		
LPL Investments ⇒ AB High Income Mun Advisor CL (ABTYX) Description: ao 31MAY16	JT	$11,320.26	Dividends, Interest	$201 - $1,000	Not Applicable
LPL Investments ⇒ Barclays Bank Delaware Description: ao 31MAY16	JT	$3,075.76	None		
LPL Investments ⇒ Black Rock Strategic Mun Opptys Instl CL (MAMTX) Description: ao 31MAY16	JT	$11,251.16	Dividends, Interest	$201 - $1,000	Not Applicable

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
LPL Investments ⇒ Corporate Property Associates 18 Global CL C DESCRIPTION: ao 31MAY16	JT	$19,137.90	Dividends, Interest	$201 - $1,000	Not Applicable
LPL Investments ⇒ Fidelity Advisor consumer discretionary CL I (FCNIX) DESCRIPTION: ao 31MAY16	JT	$3,413.25	Dividends	$1 - $200	Not Applicable
LPL Investments ⇒ Fidelity Advisor Energy CL I (FANIX) DESCRIPTION: ao 31MAY16	JT	$3,543.12	Dividends	$1 - $200	Not Applicable
LPL Investments ⇒ Fidelity Advisor health care CL I (FHCIX) DESCRIPTION: ao 31MAY16	JT	$3,454.91	Dividends	None	Not Applicable
LPL Investments ⇒ Fidelity Advisor industrials CL I (FCLIX) DESCRIPTION: ao 31MAY16	JT	$3,450.12	Dividends	$1 - $200	Not Applicable
LPL Investments ⇒ Fidelity Advisor Materials CL I (FMFEX) DESCRIPTION: ao 31MAY16	JT	$3,509.02	Dividends	$1 - $200	Not Applicable
LPL Investments ⇒ Fidelity Advisor(r) Finl Services CL I (FFSIX) DESCRIPTION: ao 31MAY16	JT	$3,450.89	Dividends, Interest	$1 - $200	Not Applicable
LPL Investments ⇒ Fidelity Advisor(r) short fixed income CL I (FSXIX) DESCRIPTION: ao 31MAY16	JT	$6,484.22	Interest	$1 - $200	Not Applicable
LPL Investments ⇒ First Trust Municipal Incm SEL 66 MO CE RE DESCRIPTION: ao 31MAY16	JT	$11,100.90	Interest	$201 - $1,000	Not Applicable
LPL Investments ⇒ PIMCO INCOME r CL P (PONPX) DESCRIPTION: ao 31MAY16	JT	$9,537.72	Dividends, Interest	$201 - $1,000	Not Applicable
LPL Investments ⇒ Principal (r) Global Diversified Income CL P (PGDPX) DESCRIPTION: ao 31MAY16	JT	$7,386.29	Dividends, Interest	$201 - $1,000	Not Applicable

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
LPL Investments ⇒ Principal (r) short term income CL P (PSTPX) DESCRIPTION: ao 31MAY16	JT	$11,567.09	Interest	$1 - $200	Not Applicable
LPL Investments ⇒ Prosaver Secure II Fixed Annuity DESCRIPTION: ao 31MAY16	JT	$56,481.48	Tax-Deferred		
LPL Investments ⇒ Prudential (r) Short Duration High Yeald Income CL Z (HYSZX) DESCRIPTION: ao 31MAY16	JT	$7,689.02	Dividends, Interest	$201 - $1,000	Not Applicable
LPL Investments ⇒ Prudential QMAr Long short equity CL Z (PLHZX)	JT	$7,192.55	Dividends, Interest	None	Not Applicable
Real Estate (Rental) ⇒ Denver Condo LOCATION: Denver/Denver, CO, US DESCRIPTION: rental income is gross for the property		$246,700.00	Rent	$18,000.00	$14,400.00
Real Estate (Rental) ⇒ Ft Collins Condo LOCATION: Ft Collins/Larimer, CO, US DESCRIPTION: rental rate is gross rent for property		$114,400.00	Rent	$9,540.00	$9,540.00
Real Estate (Rental) ⇒ Office in personal residence LOCATION: Denver/Denver, CO, US DESCRIPTION: rental is gross rental for 1 room office. Asset value is total value for entire residence.		$476,800.00	Rent	$2,472.00	$2,472.00
Savings Accounts ⇒ Wells Fargo Saving	JT	$4,377.04	Interest	$1 - $200	$1 - $200
SHT IRAs ⇒ LPL SHT IRA roth ⇒ American Geacon SIMr High Yield Opptys Investor CL (SHYPX) DESCRIPTION: ao 31MAY16	SP	$4,152.68	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA roth ⇒ cash DESCRIPTION: ao 31MAY16	SP	$1,031.97	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA roth ⇒	SP	$4,506.65	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
JANUSr FLEXIBLE BOND CL T (JAFIX) Description: ao 31MAY16					
SHT IRAs ⇒ LPL SHT IRA roth ⇒ MFSr GROWTH CL I (MFEIX) Description: ao 31MAY16	SP	$3,626.04	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA roth ⇒ OAKMARKr CL I Description: ao 31MAY16	SP	$3,944.62	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA roth ⇒ OAKMARKr INTL CL I (OAKIX) Description: ao 31MAY16	SP	$17,501.01	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA Traditional ⇒ Cash Description: ao 30APR16	SP	$35,444.00	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA Traditional ⇒ DFA Invt Dibmensions US Core Equty 2 Port Description: ao 30APR16	SP	$25,037.00	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA Traditional ⇒ Pimco Funds Income Fund CL P Description: ao 30APR16	SP	$22,578.00	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA Traditional ⇒ Principal Funds In Shrt Trm Inc Fd CIP Description: ao 30APR16	SP	$29,763.00	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA Traditional ⇒ Principal Funds Inc Global Diversified Description: ao 30APR16	SP	$19,920.00	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA Traditional ⇒ Prudential Long Short Equy CI Z Description: ao 30APR16	SP	$23,005.00	Tax-Deferred		
SHT IRAs ⇒ LPL SHT IRA Traditional ⇒ Vanguard Short Term Government Bond Description: ao 30APR16	SP	$105,935.00	Tax-Deferred		
SHT IRAs ⇒ WF SHT IRA traditional ⇒ Cash	SP	$309.05	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Description: ao 31MAY16					
SHT IRAs ⇒ WF SHT IRA traditional ⇒ IVY Funds Inc Science & Tech FD CL C (WSTCX) Description: ao 31MAY16	SP	$17,843.68	Tax-Deferred		
SHT IRAs ⇒ WF SHT IRA traditional ⇒ Principal Invs Fd Global Real Estate CL A (POSAX) Description: ao 31MAY16	SP	$23,406.14	Tax-Deferred		
SHT IRAs ⇒ WF SHT IRA traditional ⇒ TEKLA World Health Funds (THW) Description: ao 31MAY16	SP	$3,537.50	Tax-Deferred		
SHT SEP ⇒ Vanguard-0303 Targ Ret '15 Fund Description: ao 30JUN16	SP	$5,479.41	Tax-Deferred		
Wells Fargo Investments ⇒ Cash on Hand Description: ao 31MAY16	JT	$974.27	Interest	None	None
Wells Fargo Investments ⇒ Dreyfus Advantage Fnds Opportunistic MidCap Value Fd CLA (DMCVX) Description: ao 31MAY16	JT	$24,309.08	Dividends, Interest	$1 - $200	$201 - $1,000
Wells Fargo Investments ⇒ Federated Muni & Stack Advantage Fund-8 (FMNBX) Description: ao 31MAY16	JT	$25,486.04	Dividends, Interest	$201 - $1,000	$201 - $1,000
Wells Fargo Investments ⇒ First Trust Global Bond Income Clsd-end Port Series 19 REIN Description: ao 31MAY16	JT	$36,299.81	Interest	$2,501 - $5,000	$2,501 - $5,000
Wells Fargo Investments ⇒ Goldman Sachs TR mid cap equity fund CL A (GCMAX) Description: ao 31MAY16	JT	$24,007.11	Dividends	$1 - $200	$201 - $1,000
Wells Fargo Investments ⇒ Oppenheimer Int Bond Fund CL A (OIBAX) Description: ao 31MAY16	JT	$24.49	Interest	None	None

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Wells Fargo Investments ⇒ Oppenheimer Strategic Income Fd CL A (OPSIX) DESCRIPTION: ao 31MAY16	JT	$50.78	Dividends, Interest	$1 - $200	$1 - $200
Wells Fargo Investments ⇒ TEKLA World Healthcare Fd (THW) DESCRIPTION: ao 31MAY16	JT	$10,612.50	Dividends	$201 - $1,000	$1 - $200

* Asset class details available at the bottom of this form.

Schedule C: Earned Income

Source	Type	Amount Current Year to Filing	Amount Preceding Year
Geo-Hydro, Inc.	Employment as a geologist	$40,000.02	$40,000.02

Schedule D: Liabilities

None disclosed.

Schedule E: Positions

Position	Name of Organization
CEO, secretary, treasurer	Geo-Hydro, Inc.

Schedule F: Agreements

None disclosed.

Schedule J: Compensation in Excess of $5,000 Paid by One Source

None disclosed.

Schedule A Asset Class Details

- Checking Accounts (Owner: JT)
  LOCATION: US
- CHN IRAs
  DESCRIPTION: CHN IRAs
- CHN IRAs ⇒ LPL CHN IRA Roth
  DESCRIPTION: Roth CHN IRA with LPL Financial
- CHN IRAs ⇒ LPL CHN IRA traditional

Description: traditional CHN IRA with LPL Financial

- CHN IRAs ⇒ WF CHN IRA Traditional
  Description: Traditional CHN IRA with Wells Fargo
- CHN SEP
- Insurance
  Location: US
- LPL Investments (Owner: JT)
  Location: US
- Real Estate (Rental)
  Location: US
- Savings Accounts (Owner: JT)
  Location: US
- SHT IRAs (Owner: SP)
  Description: SHT IRAs
- SHT IRAs ⇒ LPL SHT IRA roth (Owner: SP)
  Description: Roth IRA with LPL Financial
- SHT IRAs ⇒ LPL SHT IRA Traditional (Owner: SP)
  Description: Traditional IRA with LPL Financial
- SHT IRAs ⇒ WF SHT IRA traditional (Owner: SP)
  Description: traditional IRA with Wells Fargo
- SHT SEP (Owner: SP)
- Wells Fargo Investments (Owner: JT)
  Location: US
  Description: Joint account with Wells Fargo Investors

Exclusions of Spouse, Dependent, or Trust Information

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 benefiting you, your spouse, or dependent child?

○ Yes ◉ No

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?

○ Yes ◉ No

Certification and Signature

☑ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: Charles H. Norris , 06/30/2016