



# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Mrs. Kathaleen Wall  
**Status:** Congressional Candidate  
**State/District:** TX22

## FILING INFORMATION

**Filing Type:** Candidate Report  
**Filing Year:** 2019  
**Filing Date:** 11/18/2019

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Advanced Micro Devices, Inc. (AMD) [ST]	JT	None	Capital Gains	None	\$1,000,001 - \$5,000,000
Aggie's Chariot, LLC [OL]	JT	\$1,000,001 - \$5,000,000	None		
LOCATION: HOUSTON, TX, US DESCRIPTION: Single Member LLC					
Alger Small Cap Focus FD CL A [MF]		\$1,001 - \$15,000	Tax-Deferred		
Amazon.com, Inc. (AMZN) [ST]	JT	Over \$50,000,000	Capital Gains	\$1,000,001 - \$5,000,000	Over \$5,000,000
American FDS Europacific Growth [MF]		\$1,001 - \$15,000	Tax-Deferred		
American Funds Fundamental Invs A LW [MF]		\$15,001 - \$50,000	Tax-Deferred		
American Mutual Fund [MF]		\$15,001 - \$50,000	Tax-Deferred		
Amidex35 Mutual CL A [MF]		\$1,001 - \$15,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Apple Hospitality REIT, Inc. Common Shares (APLE) [ST]		\$1,001 - \$15,000	Tax-Deferred		
Apple Inc. (AAPL) [ST]	JT	None	Capital Gains, Dividends	None	\$1,000,001 - \$5,000,000
Austin Sigma Inc. [OL] LOCATION: Houston, TX, US DESCRIPTION: Software Development	JT	\$15,001 - \$50,000	None		
Capital Income Builder-A [MF]		\$100,001 - \$250,000	Tax-Deferred		
CenterPoint Energy, Inc (CNP) [ST]		\$1,001 - \$15,000	Tax-Deferred		
Citizens State Bank account [BA]	JT	\$1,001 - \$15,000	Interest	\$1 - \$200	\$1 - \$200
Columbia Mid Cap Index [MF]		\$1,001 - \$15,000	Tax-Deferred		
Counter Assault Security Service LLC [OL] LOCATION: Houston, TX, US DESCRIPTION: Service Industry	SP	\$500,001 - \$1,000,000	None		
Cullen/Frost Bankers, Inc. (CFR) [ST]	JT	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	\$2,501 - \$5,000
CyberArk Software Ltd. - Ordinary Shares (CYBR) [ST]		\$1,001 - \$15,000	Tax-Deferred		
Davis Real Estate FD CL A [EF]		\$1,001 - \$15,000	Tax-Deferred		
Eaton Vance High Income Opportunities A [EF]		\$1 - \$1,000	Tax-Deferred		
Energys (ENS) [ST]		\$1 - \$1,000	Tax-Deferred		
Facebook, Inc. - Class A (FB) [ST]	JT	None	Capital Gains	None	Over \$5,000,000
Fidelity 500 Index Fund [MF]	SP	\$500,001 - \$1,000,000	Tax-Deferred		

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income Current Year to Filing</b>	<b>Income Preceding Year</b>
Fidelity Advisor Growth Opp Fund [MF]		\$1,001 - \$15,000	Tax-Deferred		
Fidelity Freedom 2050 [MF]	SP	\$1,001 - \$15,000	Tax-Deferred		
Fidelity Government Cash Reserves [BA]	JT	\$500,001 - \$1,000,000	Dividends	\$100,001 - \$1,000,000	\$15,001 - \$50,000
Fidelity Government Cash Reserves [IH]		\$1,001 - \$15,000	Tax-Deferred		
Fidelity Govt Money Market Daily Money Class [BA]	JT	\$50,001 - \$100,000	Dividends	\$100,001 - \$1,000,000	\$50,001 - \$100,000
Franklin Small Cap Value Fund A [MF]		\$1,001 - \$15,000	Tax-Deferred		
Frost Bank accounts [BA]	JT	\$5,000,001 - \$25,000,000	Interest	\$100,001 - \$1,000,000	\$100,001 - \$1,000,000
Fuller & Thaler Behavioral Small-Cap EQT [MF]		\$1,001 - \$15,000	Tax-Deferred		
Guggenheim Total Return CL P [EF]		\$1,001 - \$15,000	Tax-Deferred		
Hope Biosciences LLC [OL]	JT	\$5,000,001 - \$25,000,000	None		
LOCATION: Houston, TX, US					
DESCRIPTION: Medical Research					
Invesco AIM Govt & Agency ST Inv TR - Income [IH]		\$1,001 - \$15,000	Tax-Deferred		
Invesco AIM Govt & Agency ST Inv TR-Principal [BA]		\$1 - \$1,000	Tax-Deferred		
Invesco Oppenheimer SR Floating Rate A [EF]		\$1,001 - \$15,000	Tax-Deferred		
Janus Enterprise A Load Waived [MF]		\$1,001 - \$15,000	Tax-Deferred		
JP Morgan Chase Bank accounts [BA]	JT	\$250,001 - \$500,000	Interest	\$1 - \$200	\$1,001 - \$2,500
JP Morgan Deposit Sweep [BA]	JT	None	Interest	None	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
JP Morgan Government BD FD [EF]		\$1,001 - \$15,000	Tax-Deferred		
JP Morgan US Government Money Market [BA]	JT	\$1,000,001 - \$5,000,000	Dividends	\$100,001 - \$1,000,000	\$15,001 - \$50,000
Koppers Holdings Inc. Koppers Holdings Inc. (KOP) [ST]		\$1 - \$1,000	Tax-Deferred		
L.C. Wall Jr. & Grace Wall Family Trust [OL]		\$1,001 - \$15,000	Interest	None	\$1 - \$200
LOCATION: Leon County, TX, US DESCRIPTION: Oil and Gas Interests					
Lam Research Corporation (LRCX) [ST]	JT	None	Capital Gains	None	None
ManIDger LLC [OL]	JT	\$15,001 - \$50,000	None		
LOCATION: Houston, TX, US DESCRIPTION: Software Development					
MFS Mid Cap Value A [MF]		\$1,001 - \$15,000	Tax-Deferred		
Microsoft Corporation (MSFT) [ST]	JT	None	Capital Gains, Dividends	None	\$100,001 - \$1,000,000
Nationwide WR IVY ASST STRAT [MF]	SP	None	Tax-Deferred		
Netflix, Inc. (NFLX) [ST]	JT	None	Capital Gains	None	Over \$5,000,000
Neuberger Berman Emerg Mkts EQ A LW [MF]		\$1,001 - \$15,000	Tax-Deferred		
Nu Skin Enterprises, Inc. (NUS) [ST]		\$1,001 - \$15,000	Tax-Deferred		
Nucor Corporation (NUE) [ST]		\$1,001 - \$15,000	Tax-Deferred		
NVIDIA Corporation (NVDA) [ST]	JT	None	Capital Gains, Dividends	None	\$1,000,001 - \$5,000,000
Palo Alto Networks, Inc. (PANW) [ST]	JT	None	Capital Gains	None	\$100,001 - \$1,000,000
Parametric International Equity Investor		\$1,001 - \$15,000	Tax-Deferred		

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income Current Year to Filing</b>	<b>Income Preceding Year</b>
[MF]					
Pimco Com Real RET STRA Admin CL [EF]		\$1,001 - \$15,000	Tax-Deferred		
Schlumberger N.V. (SLB) [ST]		\$1 - \$1,000	Tax-Deferred		
Templeton Global Bond Fund CL A [EF]		\$1,001 - \$15,000	Tax-Deferred		
Texas RT Systems LLC [OL]	JT	\$50,001 - \$100,000	O&G Royalties	None	None
LOCATION: Houston, TX, US DESCRIPTION: Oil and Gas Production					
Texas Sky Wireless LLC [OL]	JT	None	None		
LOCATION: Houston, TX, US DESCRIPTION: Single Member LLC					
Texas Thorium, LLC [OL]	JT	\$15,001 - \$50,000	None		
LOCATION: Houston, TX, US DESCRIPTION: Single Member LLC					
Trinseo S.A. Ordinary Shares (TSE) [ST]		\$1 - \$1,000	Tax-Deferred		
Verizon Communications Inc. (VZ) [ST]		\$1 - \$1,000	Tax-Deferred		
Wall Ranch - Leon County Executive LLC [OL]		\$1 - \$1,000	None		
LOCATION: Leon County, TX, US DESCRIPTION: Oil and Gas drilling rights					
Wall Ranch - Leon County GP, LLC [OL]		\$15,001 - \$50,000	None		
LOCATION: Leon County, TX, US DESCRIPTION: Farming and Ranching					
Wall Ranch - Leon County LTD [OL]		\$15,001 - \$50,000	None		
LOCATION: Leon County, TX, US DESCRIPTION: Farming and Ranching					

\* For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

## **SCHEDULE C: EARNED INCOME**

Source	Type	Amount Current Year to Filing	Amount Preceding Year
Austin Sigma Inc.	Salary paid monthly	\$5,000.00	\$6,000.00

#### SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	Visa	March 2019	Credit card montly bill	\$15,001 - \$50,000
SP	Chase	August 2019	Credit card montly bill	\$10,000 - \$15,000

#### SCHEDULE E: POSITIONS

Position	Name of Organization
Sec/Treasurer	Austin Sigma, Inc.
Employee	Austin Sigma, Inc.
Trustee	L.C. Wall Jr. & Grace Wall Family Trust
Limited Partner	Wall Ranch-Leon County Ltd.
LLC Member	Wall Ranch-Leon County GP, LLC
LLC Member	Wall Ranch-Leon County Executive LLC
LLC Member/VP	Aggies Chariot, LLC
VP/Sec	Texas Thorium, LLC
LLC Member/Sec	Texas Sky Wireless, LLC

#### SCHEDULE F: AGREEMENTS

Date	Parties To	Terms of Agreement
October 2019	Austin Sigma, Inc. and myself	Employee agreement, including payment of salary

#### SCHEDULE J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

Source (Name and Address)	Brief Description of Duties
Austin Sigma, Inc. (Houston, TX, US)	Consulting & Management Services

#### 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:** Mrs. Kathaleen Wall , 11/18/2019