

STATEMENT OF ECONOMIC INTERESTS

COVER PAGE

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NAME OF FILER	(LAST)	(FIRST)	(MIDDLE)
Caen, Ann Moller			

1. Office, Agency, or Court

Agency Name (Do not use acronyms)

City and County of San Francisco

Division, Board, Department, District, if applicable

Your Position

Public Utilities Commission

Commissioner

► If filing for multiple positions, list below or on an attachment. (Do not use acronyms)

Agency: _____ Position: _____

2. Jurisdiction of Office (Check at least one box)☐ State☐ Judge or Court Commissioner (Statewide Jurisdiction)☐ Multi-County _____☒ County of San Francisco☒ City of San Francisco☐ Other _____**3. Type of Statement (Check at least one box)**☒ **Annual:** The period covered is January 1, 2015, through December 31, 2015

-or-

The period covered is ____/____/____, through December 31, 2015

☐ **Leaving Office:** Date Left ____/____/____ (Check one)☐ The period covered is January 1, 2015, through the date of leaving office.☐ **Assuming Office:** Date assumed ____/____/____☐ The period covered is ____/____/____, through the date of leaving office.☐ **Candidate:** Election Year _____ and office sought, if different than Part 1: _____**4. Schedule Summary (must complete)**► Total number of pages including this cover page: 11**Schedules attached**☒ **Schedule A-1 - Investments** – schedule attached☐ **Schedule C - Income, Loans, & Business Positions** – schedule attached☐ **Schedule A-2 - Investments** – schedule attached☐ **Schedule D - Income – Gifts** – schedule attached☐ **Schedule B - Real Property** – schedule attached☐ **Schedule E - Income – Gifts – Travel Payments** – schedule attached

-or-

☐ **None - No reportable interests on any schedule****5. Verification**

MAILING ADDRESS	STREET	CITY	STATE	ZIP CODE
(Business or Agency Address Recommended - Public Document)				

San Francisco

CA

94115

DAYTIME TELEPHONE NUMBER

E-MAIL ADDRESS

()

I have used all reasonable diligence in preparing this statement. I have reviewed this statement and to the best of my knowledge the information contained herein and in any attached schedules is true and complete. I acknowledge this is a public document.

I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Date Signed 03/31/2016
(month, day, year)Signature Ann Moller Caen
(File the originally signed statement with your filing official.)

SCHEDULE A-1**Investments****Stocks, Bonds, and Other Interests**

(Ownership Interest is Less Than 10%)

Do not attach brokerage or financial statements.

CALIFORNIA FORM 700

FAIR POLITICAL PRACTICES COMMISSION

Name

Caen, Ann Moller

▶ NAME OF BUSINESS ENTITY

General Electric

GENERAL DESCRIPTION OF THIS BUSINESS

GE

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☐ \$10,001 - \$100,000
☒ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☐ Stock ☒ Other Bonds
(Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
 ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
 ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

Wal-Mart

GENERAL DESCRIPTION OF THIS BUSINESS

Retail

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☐ \$10,001 - \$100,000
☒ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☐ Stock ☒ Other Bond
(Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
 ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
 ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

Walt Disney Co

GENERAL DESCRIPTION OF THIS BUSINESS

Entertainment

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____
(Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
 ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
 ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

DUKE ENERGY

GENERAL DESCRIPTION OF THIS BUSINESS

ENERGEY

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____
(Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
 ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
 ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

GENERAL ELECTRIC

GENERAL DESCRIPTION OF THIS BUSINESS

MULTINATIONAL CONGLOMERATE

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____
(Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
 ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
 ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

HEWLETT PACKARD

GENERAL DESCRIPTION OF THIS BUSINESS

COMPUTER

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____
(Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
 ☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
 ACQUIRED DISPOSED

Comments: _____

SCHEDULE A-1**Investments****Stocks, Bonds, and Other Interests**

(Ownership Interest is Less Than 10%)

Do not attach brokerage or financial statements.

CALIFORNIA FORM 700

FAIR POLITICAL PRACTICES COMMISSION

Name

Caen, Ann Moller

▶ NAME OF BUSINESS ENTITY

HUMANA

GENERAL DESCRIPTION OF THIS BUSINESS

HEALTHCARE

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☐ \$10,001 - \$100,000
☒ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
 ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

IBM

GENERAL DESCRIPTION OF THIS BUSINESS

COMPUTER

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
 ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

EXCELON CORP

GENERAL DESCRIPTION OF THIS BUSINESS

ENERGY

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☐ \$10,001 - \$100,000
☒ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
 ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

LIFEPOINT HOSPITAL

GENERAL DESCRIPTION OF THIS BUSINESS

HEALTHCARE

FAIR MARKET VALUE

☒ \$2,000 - \$10,000 ☐ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☐ Stock ☐ Other _____ (Describe)
☒ Partnership ☒ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
 ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

PFIZER

GENERAL DESCRIPTION OF THIS BUSINESS

PHARMACEUTICAL

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
 ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

SIGMA ALDRICH CORP

GENERAL DESCRIPTION OF THIS BUSINESS

LIFE SCIENCE

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
 ACQUIRED DISPOSED

Comments: _____

SCHEDULE A-1**Investments****Stocks, Bonds, and Other Interests**

(Ownership Interest is Less Than 10%)

Do not attach brokerage or financial statements.

CALIFORNIA FORM 700

FAIR POLITICAL PRACTICES COMMISSION

Name

Caen, Ann Moller

▶ NAME OF BUSINESS ENTITY

SPECTRA ENERGY CORP

GENERAL DESCRIPTION OF THIS BUSINESS

ENERGY

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
 ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

FIDELITY NATIONAL FINANCIAL

GENERAL DESCRIPTION OF THIS BUSINESS

FINANCIAL

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
 ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

GOLDMAN SACHS

GENERAL DESCRIPTION OF THIS BUSINESS

INVESTMENTS

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☐ Stock ☒ Other BONDS _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
 ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

MASCO CORP

GENERAL DESCRIPTION OF THIS BUSINESS

MANUFACTURER OF HOME IMPROVEMENT ITEMS

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☐ Stock ☒ Other BONDS _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
 ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

PRINCIPAL LIFE

GENERAL DESCRIPTION OF THIS BUSINESS

FINANCIAL SERVICES

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☐ Stock ☒ Other BONDS _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
 ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

SEALED AIR CORP

GENERAL DESCRIPTION OF THIS BUSINESS

FOOD CARE

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☐ Stock ☒ Other BONDS _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
 ACQUIRED DISPOSED

Comments: _____

SCHEDULE A-1

Investments

Stocks, Bonds, and Other Interests

(Ownership Interest is Less Than 10%)

Do not attach brokerage or financial statements.

Name

Caen, Ann Moller

<p>► NAME OF BUSINESS ENTITY</p> <p>TELEFONICA EMI</p> <hr/> <p>GENERAL DESCRIPTION OF THIS BUSINESS</p> <p>COMMUNICATIONS</p> <hr/> <p>FAIR MARKET VALUE</p> <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> \$2,000 - \$10,000 <input checked="" type="checkbox"/> \$10,001 - \$100,000 </div> <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000 </div> <p>NATURE OF INVESTMENT</p> <div style="display: flex; align-items: center;"> <input checked="" type="checkbox"/> Stock <input type="checkbox"/> Other _____ <small>(Describe)</small> </div> <div style="margin-top: 5px;"> <input type="checkbox"/> Partnership <input type="radio"/> Income Received of \$0 - \$499 <input type="radio"/> Income Received of \$500 or More (<i>Report on Schedule C</i>) </div> <p>IF APPLICABLE, LIST DATE:</p> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <div style="text-align: center;">____/____/____ ACQUIRED</div> <div style="text-align: center;">____/____/____ DISPOSED</div> </div>	<p>► NAME OF BUSINESS ENTITY</p> <p>ACCENTURE PLC CLA</p> <hr/> <p>GENERAL DESCRIPTION OF THIS BUSINESS</p> <p>CONSULTING</p> <hr/> <p>FAIR MARKET VALUE</p> <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> \$2,000 - \$10,000 <input checked="" type="checkbox"/> \$10,001 - \$100,000 </div> <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000 </div> <p>NATURE OF INVESTMENT</p> <div style="display: flex; align-items: center;"> <input checked="" type="checkbox"/> Stock <input type="checkbox"/> Other _____ <small>(Describe)</small> </div> <div style="margin-top: 5px;"> <input type="checkbox"/> Partnership <input type="radio"/> Income Received of \$0 - \$499 <input type="radio"/> Income Received of \$500 or More (<i>Report on Schedule C</i>) </div> <p>IF APPLICABLE, LIST DATE:</p> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <div style="text-align: center;">____/____/____ ACQUIRED</div> <div style="text-align: center;">____/____/____ DISPOSED</div> </div>
<p>► NAME OF BUSINESS ENTITY</p> <p>ACE LIMITED</p> <hr/> <p>GENERAL DESCRIPTION OF THIS BUSINESS</p> <p>INSURANCE</p> <hr/> <p>FAIR MARKET VALUE</p> <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> \$2,000 - \$10,000 <input checked="" type="checkbox"/> \$10,001 - \$100,000 </div> <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000 </div> <p>NATURE OF INVESTMENT</p> <div style="display: flex; align-items: center;"> <input checked="" type="checkbox"/> Stock <input type="checkbox"/> Other _____ <small>(Describe)</small> </div> <div style="margin-top: 5px;"> <input type="checkbox"/> Partnership <input type="radio"/> Income Received of \$0 - \$499 <input type="radio"/> Income Received of \$500 or More (<i>Report on Schedule C</i>) </div> <p>IF APPLICABLE, LIST DATE:</p> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <div style="text-align: center;">____/____/____ ACQUIRED</div> <div style="text-align: center;">____/____/____ DISPOSED</div> </div>	<p>► NAME OF BUSINESS ENTITY</p> <p>AMERICAN EXPRESS</p> <hr/> <p>GENERAL DESCRIPTION OF THIS BUSINESS</p> <p>FINANCIAL SERVICES</p> <hr/> <p>FAIR MARKET VALUE</p> <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> \$2,000 - \$10,000 <input checked="" type="checkbox"/> \$10,001 - \$100,000 </div> <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000 </div> <p>NATURE OF INVESTMENT</p> <div style="display: flex; align-items: center;"> <input checked="" type="checkbox"/> Stock <input type="checkbox"/> Other _____ <small>(Describe)</small> </div> <div style="margin-top: 5px;"> <input type="checkbox"/> Partnership <input type="radio"/> Income Received of \$0 - \$499 <input type="radio"/> Income Received of \$500 or More (<i>Report on Schedule C</i>) </div> <p>IF APPLICABLE, LIST DATE:</p> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <div style="text-align: center;">____/____/____ ACQUIRED</div> <div style="text-align: center;">____/____/____ DISPOSED</div> </div>
<p>► NAME OF BUSINESS ENTITY</p> <p>AMERN TOWER CORP</p> <hr/> <p>GENERAL DESCRIPTION OF THIS BUSINESS</p> <p>COMMUNICATION</p> <hr/> <p>FAIR MARKET VALUE</p> <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> \$2,000 - \$10,000 <input checked="" type="checkbox"/> \$10,001 - \$100,000 </div> <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000 </div> <p>NATURE OF INVESTMENT</p> <div style="display: flex; align-items: center;"> <input checked="" type="checkbox"/> Stock <input type="checkbox"/> Other _____ <small>(Describe)</small> </div> <div style="margin-top: 5px;"> <input type="checkbox"/> Partnership <input type="radio"/> Income Received of \$0 - \$499 <input type="radio"/> Income Received of \$500 or More (<i>Report on Schedule C</i>) </div> <p>IF APPLICABLE, LIST DATE:</p> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <div style="text-align: center;">____/____/____ ACQUIRED</div> <div style="text-align: center;">____/____/____ DISPOSED</div> </div>	<p>► NAME OF BUSINESS ENTITY</p> <p>APACHE CORP</p> <hr/> <p>GENERAL DESCRIPTION OF THIS BUSINESS</p> <p>OIL AND GAS</p> <hr/> <p>FAIR MARKET VALUE</p> <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> \$2,000 - \$10,000 <input checked="" type="checkbox"/> \$10,001 - \$100,000 </div> <div style="display: flex; justify-content: space-between;"> <input type="checkbox"/> \$100,001 - \$1,000,000 <input type="checkbox"/> Over \$1,000,000 </div> <p>NATURE OF INVESTMENT</p> <div style="display: flex; align-items: center;"> <input checked="" type="checkbox"/> Stock <input type="checkbox"/> Other _____ <small>(Describe)</small> </div> <div style="margin-top: 5px;"> <input type="checkbox"/> Partnership <input type="radio"/> Income Received of \$0 - \$499 <input type="radio"/> Income Received of \$500 or More (<i>Report on Schedule C</i>) </div> <p>IF APPLICABLE, LIST DATE:</p> <div style="display: flex; justify-content: space-around; margin-top: 10px;"> <div style="text-align: center;">____/____/____ ACQUIRED</div> <div style="text-align: center;">____/____/____ DISPOSED</div> </div>

Comments: _____

SCHEDULE A-1**Investments****Stocks, Bonds, and Other Interests**

(Ownership Interest is Less Than 10%)

Do not attach brokerage or financial statements.

CALIFORNIA FORM 700

FAIR POLITICAL PRACTICES COMMISSION

Name

Caen, Ann Moller

▶ NAME OF BUSINESS ENTITY

APPLE INC

GENERAL DESCRIPTION OF THIS BUSINESS

COMPUTER

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

AUTO DATA PROCESSING

GENERAL DESCRIPTION OF THIS BUSINESS

COMPUTING SERVICES

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

BERKSHIRE HATHAWAY

GENERAL DESCRIPTION OF THIS BUSINESS

INVESTMENT

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

CELANESE CORP

GENERAL DESCRIPTION OF THIS BUSINESS

GLOBAL TECHNOLOGY

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

CENTURY LINK INC.

GENERAL DESCRIPTION OF THIS BUSINESS

COMMUNICATION AND DATA SERVICES

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

DIAGEO PLC

GENERAL DESCRIPTION OF THIS BUSINESS

BEVERAGE

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

Comments: _____

SCHEDULE A-1**Investments****Stocks, Bonds, and Other Interests**

(Ownership Interest is Less Than 10%)

Do not attach brokerage or financial statements.

CALIFORNIA FORM 700

FAIR POLITICAL PRACTICES COMMISSION

Name

Caen, Ann Moller

▶ NAME OF BUSINESS ENTITY

DU PONT

GENERAL DESCRIPTION OF THIS BUSINESS

CHEMICAL

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

EMC CORP

GENERAL DESCRIPTION OF THIS BUSINESS

TECHNOLOGY

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

EXXON MOBILE

GENERAL DESCRIPTION OF THIS BUSINESS

OIL

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

LAS VEGAS SANDS CORP

GENERAL DESCRIPTION OF THIS BUSINESS

ENTERTAINMENT

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

MASTERCARD INC

GENERAL DESCRIPTION OF THIS BUSINESS

FINANCIAL SERVICE

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

MCKESSON CORP

GENERAL DESCRIPTION OF THIS BUSINESS

PHARMACEUTICAL DISTRIBUTION

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

Comments: _____

SCHEDULE A-1**Investments****Stocks, Bonds, and Other Interests**

(Ownership Interest is Less Than 10%)

Do not attach brokerage or financial statements.

CALIFORNIA FORM 700

FAIR POLITICAL PRACTICES COMMISSION

Name

Caen, Ann Moller

▶ NAME OF BUSINESS ENTITY

METLIFE INC

GENERAL DESCRIPTION OF THIS BUSINESS

INSURANCE

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

MICROSOFT CORP

GENERAL DESCRIPTION OF THIS BUSINESS

SOFTWARE

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

NIKE INC

GENERAL DESCRIPTION OF THIS BUSINESS

SHOES

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

NOVARTIS AG

GENERAL DESCRIPTION OF THIS BUSINESS

PHARMACEUTICAL

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

ORACLE CORP

GENERAL DESCRIPTION OF THIS BUSINESS

SOFTWARE

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

PEPSICO INC

GENERAL DESCRIPTION OF THIS BUSINESS

BEVERAGE

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

Comments: _____

SCHEDULE A-1**Investments****Stocks, Bonds, and Other Interests**

(Ownership Interest is Less Than 10%)

Do not attach brokerage or financial statements.

CALIFORNIA FORM 700

FAIR POLITICAL PRACTICES COMMISSION

Name

Caen, Ann Moller

▶ NAME OF BUSINESS ENTITY

ROPER INDUSTRIES

GENERAL DESCRIPTION OF THIS BUSINESS

PRODUCTION

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

SCHLUMBERGER LTD

GENERAL DESCRIPTION OF THIS BUSINESS

OILFIED SERVICES

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

SHERWIN WILLIAMS

GENERAL DESCRIPTION OF THIS BUSINESS

PAINT

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

TJX COS INC.

GENERAL DESCRIPTION OF THIS BUSINESS

APPAREL

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

UNION PACIFIC CORP

GENERAL DESCRIPTION OF THIS BUSINESS

RAILS

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

UNITED TECHNOLOGIES CORP

GENERAL DESCRIPTION OF THIS BUSINESS

AEROSPACE

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

Comments: _____

SCHEDULE A-1**Investments****Stocks, Bonds, and Other Interests**

(Ownership Interest is Less Than 10%)

Do not attach brokerage or financial statements.

CALIFORNIA FORM 700

FAIR POLITICAL PRACTICES COMMISSION

Name

Caen, Ann Moller

▶ NAME OF BUSINESS ENTITY

YUM BRANDS INC

GENERAL DESCRIPTION OF THIS BUSINESS

FOOD

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☒ Stock ☐ Other _____ (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

DOUBLELINE TOTAL

GENERAL DESCRIPTION OF THIS BUSINESS

INVESTMENT

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☐ Stock ☒ Other BOND FUND (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

RIDGEWORTH

GENERAL DESCRIPTION OF THIS BUSINESS

INVESTMENTS

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☐ Stock ☒ Other BONDS FUND (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

EVERCORE WEALTH MANAGEMENT

GENERAL DESCRIPTION OF THIS BUSINESS

INVESTMENT

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☐ Stock ☒ Other EQUITY FUND (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

ENBRIDGE ENERGY

GENERAL DESCRIPTION OF THIS BUSINESS

ENERGY

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☐ Stock ☒ Other ETF (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

iSHARES TRUST

GENERAL DESCRIPTION OF THIS BUSINESS

ETF

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☐ Stock ☒ Other ETF (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

Comments: _____

SCHEDULE A-1**Investments****Stocks, Bonds, and Other Interests**

(Ownership Interest is Less Than 10%)

Do not attach brokerage or financial statements.

CALIFORNIA FORM 700

FAIR POLITICAL PRACTICES COMMISSION

Name

Caen, Ann Moller

▶ NAME OF BUSINESS ENTITY

GUGGENHEIM EXCHANGE

GENERAL DESCRIPTION OF THIS BUSINESS

FINANCIAL SERVICES

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☐ Stock ☒ Other ETF (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

PLUM CREEK TIMBER

GENERAL DESCRIPTION OF THIS BUSINESS

LANDOWNER

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☐ Stock ☒ Other ETF (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

SPDR GOLD TRUST

GENERAL DESCRIPTION OF THIS BUSINESS

ETF

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☐ Stock ☒ Other ETF (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

WISDOM TREE EMERGING MARKET

GENERAL DESCRIPTION OF THIS BUSINESS

ETF

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☐ Stock ☒ Other ETF (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

BANK OF AMERICA

GENERAL DESCRIPTION OF THIS BUSINESS

BANKING

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☐ Stock ☒ Other Bonds (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

▶ NAME OF BUSINESS ENTITY

BANK OF AMERICA

GENERAL DESCRIPTION OF THIS BUSINESS

BANKING

FAIR MARKET VALUE

☐ \$2,000 - \$10,000 ☒ \$10,001 - \$100,000
☐ \$100,001 - \$1,000,000 ☐ Over \$1,000,000

NATURE OF INVESTMENT

☐ Stock ☒ Other BONDS (Describe)
☐ Partnership ☐ Income Received of \$0 - \$499
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

 / / / /
ACQUIRED DISPOSED

Comments: _____