

File No. 160911

Committee Item No. 4

Board Item No. 16

## COMMITTEE/BOARD OF SUPERVISORS

### AGENDA PACKET CONTENTS LIST

Committee: Rules Committee

Date September 8, 2016

Board of Supervisors Meeting

Date September 20, 2016

#### Cmte Board

- |                                     |                          |  |
|-------------------------------------|--------------------------|--|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Motion                                       |
| <input type="checkbox"/>            | <input type="checkbox"/> | Resolution                                   |
| <input type="checkbox"/>            | <input type="checkbox"/> | Ordinance                                    |
| <input type="checkbox"/>            | <input type="checkbox"/> | Legislative Digest                           |
| <input type="checkbox"/>            | <input type="checkbox"/> | Budget and Legislative Analyst Report        |
| <input type="checkbox"/>            | <input type="checkbox"/> | Legislative Analyst Report                   |
| <input type="checkbox"/>            | <input type="checkbox"/> | Youth Commission Report                      |
| <input type="checkbox"/>            | <input type="checkbox"/> | Introduction Form (for hearings)             |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Department/Agency Cover Letter and/or Report |
| <input type="checkbox"/>            | <input type="checkbox"/> | MOU  |
| <input type="checkbox"/>            | <input type="checkbox"/> | Grant Information Form                       |
| <input type="checkbox"/>            | <input type="checkbox"/> | Grant Budget                                 |
| <input type="checkbox"/>            | <input type="checkbox"/> | Subcontract Budget                           |
| <input type="checkbox"/>            | <input type="checkbox"/> | Contract/Agreement                           |
| <input type="checkbox"/>            | <input type="checkbox"/> | Form 126 – Ethics Commission                 |
| <input type="checkbox"/>            | <input type="checkbox"/> | Award Letter                                 |
| <input type="checkbox"/>            | <input type="checkbox"/> | Application                                  |
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Public Correspondence                        |

OTHER (Use back side if additional space is needed)

- |                                     |                          |                   |
|-------------------------------------|--------------------------|-------------------|
| <input checked="" type="checkbox"/> | <input type="checkbox"/> | Information Sheet |
| <input type="checkbox"/>            | <input type="checkbox"/> |                   |
| <input type="checkbox"/>            | <input type="checkbox"/> |                   |
| <input type="checkbox"/>            | <input type="checkbox"/> |                   |
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| <input type="checkbox"/>            | <input type="checkbox"/> |                   |
| <input type="checkbox"/>            | <input type="checkbox"/> |                   |

Completed by: Derek Evans Date September 2, 2016

Completed by: \_\_\_\_\_ Date \_\_\_\_\_

An asterisked item represents the cover sheet to a document that exceeds 25 pages.  
The complete document can be found in the file.

1 [Confirming Reappointment, Public Utilities Commission - Ann Moller Caen]

2  
3 Motion confirming the mayoral reappointment of Ann Moller Caen, to the Public  
4 Utilities Commission, Seat No. 3, for the unexpired portion of a four-year term ending  
5 August 1, 2020.

6  
7 WHEREAS, Pursuant to Charter, Section 4.112, the Mayor has submitted a  
8 communication notifying the Board of Supervisors of the reappointment of Ann Moller Caen to  
9 the Public Utilities Commission, received by the Clerk of the Board on August 8, 2016; and  
10 now, therefore, be it

11 MOVED, That the Board of Supervisors hereby confirms the mayoral reappointment of  
12 Ann Moller Caen to the Public Utilities Commission, Seat No. 3, must be a member with  
13 experience in project finance, for an unexpired portion of a four-year term ending August 1,  
14 2020.

OFFICE OF THE MAYOR  
SAN FRANCISCO



EDWIN M. LEE  
MAYOR

**Notice of Appointment**

August 8, 2016

Angela Calvillo  
Clerk of the Board, Board of Supervisors  
San Francisco City Hall  
1 Carlton B. Goodlett Place  
San Francisco, CA 94102

Dear Ms. Calvillo,

Pursuant to Section 4.112 of the Charter of the City and County of San Francisco, I hereby make the following nominations:

Francesca Vietor, to the Public Utilities Commission, Seat 1, for a term ending August 1, 2020;

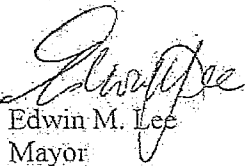
Anni Moller Caen, to the Public Utilities Commission, Seat 3, for a term ending August 1, 2020; and

Vince Courtney, Jr., to the Public Utilities Commission, Seat 5, for a term ending August 1, 2020.

I am confident Ms. Vietor, Ms. Caen, and Mr. Courtney Jr., electors of San Francisco, will continue to serve the City and County well. Attached herein for your reference are their qualifications to serve.

Should you have any questions related to these nominations, please contact my Director of Legislative and Government Affairs, Nicole Elliott, at (415) 554-7940.

Sincerely,

  
Edwin M. Lee  
Mayor

RECEIVED  
BOARD OF SUPERVISORS  
SAN FRANCISCO  
2016 AUG -8 PM 4:37  
BY [Signature]

### **Ann Moller Caen**

Commissioner Caen is President of her own company, Moller & Associates, a consulting firm. She also serves on the Board of Governors of the San Francisco Symphony, the Board of Trustees of Golden Gate University, as well as the UCSF Foundation. She has served on Boards of the San Francisco Convention and Visitors Bureau, the Fisherman's Wharf Merchant's Association, and the San Francisco Museum of Modern Art. Commissioner Caen was also a Director of Pier 39, Siwel, Inc., and Sico, Inc. Additionally, she was President of the Nob Hill Capital and Publisher of the San Francisco Visitor News. She is also involved with the Audubon Canyon Ranch, the International Hospitality Center, KQED, the California Pacific Medical Center, the San Francisco Junior League, and the Northern California Cancer Center.

Commissioner Caen holds a Bachelor in Science in Biology and Education and an MBA in Finance. She is the widow of Pulitzer Prize-winning columnist, Herb Caen. She was first appointed to the Public Utilities Commission by Mayor Willie L. Brown, Jr. in March 1997, and reappointed for a second term in November 2001. Mayor Gavin Newsom reappointed her to a third term in 2005, Mayor Edwin Lee reappointed her to a fourth term in September 2012. She served as President of the Commission from July 1998 to January 2000; September 2001 until January 2003; January 2008 until September 2009; and October 2014 until October 2015.

**CALIFORNIA FORM 700**  
 FAIR POLITICAL PRACTICES COMMISSION  
 A PUBLIC DOCUMENT

**STATEMENT OF ECONOMIC INTERESTS**  
**COVER PAGE**

 E-Filed  
 03/31/2016  
 18:42:15

 Filing ID:  
 160022057

Please type or print in ink.

 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☐ Leaving Office: Date Left \_\_\_\_/\_\_\_\_/\_\_\_\_  
(Check one)

-or-

The period covered is \_\_\_\_/\_\_\_\_/\_\_\_\_, through December 31, 2015

☐ 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

<p>▶ NAME OF BUSINESS ENTITY <u>General Electric</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>GE</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000      <input type="checkbox"/> \$10,001 - \$100,000  <input checked="" type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input type="checkbox"/> Stock      <input checked="" type="checkbox"/> Other <u>Bonds</u> (Describe)  <input type="checkbox"/> Partnership    <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:  <u>      </u> / <u>      </u> / <u>      </u>      <u>      </u> / <u>      </u> / <u>      </u>                                           ACQUIRED                      DISPOSED         </p>	<p>▶ NAME OF BUSINESS ENTITY <u>Wal-Mart</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>Retail</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000      <input type="checkbox"/> \$10,001 - \$100,000  <input checked="" type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input type="checkbox"/> Stock      <input checked="" type="checkbox"/> Other <u>Bond</u> (Describe)  <input type="checkbox"/> Partnership    <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:  <u>      </u> / <u>      </u> / <u>      </u>      <u>      </u> / <u>      </u> / <u>      </u>                                           ACQUIRED                      DISPOSED         </p>
<p>▶ NAME OF BUSINESS ENTITY <u>Walt Disney Co</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>Entertainment</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000      <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input checked="" type="checkbox"/> Stock      <input type="checkbox"/> Other _____ (Describe)  <input type="checkbox"/> Partnership    <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:  <u>      </u> / <u>      </u> / <u>      </u>      <u>      </u> / <u>      </u> / <u>      </u>                                           ACQUIRED                      DISPOSED         </p>	<p>▶ NAME OF BUSINESS ENTITY <u>DUKE ENERGY</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>ENERGEY</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000      <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input checked="" type="checkbox"/> Stock      <input type="checkbox"/> Other _____ (Describe)  <input type="checkbox"/> Partnership    <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:  <u>      </u> / <u>      </u> / <u>      </u>      <u>      </u> / <u>      </u> / <u>      </u>                                           ACQUIRED                      DISPOSED         </p>
<p>▶ NAME OF BUSINESS ENTITY <u>GENERAL ELECTRIC</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>MULTINATIONAL CONGLOMERATE</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000      <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input checked="" type="checkbox"/> Stock      <input type="checkbox"/> Other _____ (Describe)  <input type="checkbox"/> Partnership    <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:  <u>      </u> / <u>      </u> / <u>      </u>      <u>      </u> / <u>      </u> / <u>      </u>                                           ACQUIRED                      DISPOSED         </p>	<p>▶ NAME OF BUSINESS ENTITY <u>HEWLETT PACKARD</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>COMPUTER</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000      <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input checked="" type="checkbox"/> Stock      <input type="checkbox"/> Other _____ (Describe)  <input type="checkbox"/> Partnership    <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:  <u>      </u> / <u>      </u> / <u>      </u>      <u>      </u> / <u>      </u> / <u>      </u>                                           ACQUIRED                      DISPOSED         </p>

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

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

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

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

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

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:

FPPC Form 700 (2015/2016) Sch. A-1

FPPC Advice Email: advice@fppc.ca.gov

FPPC Toll-Free Helpline: 866/275-3772 www.fppc.ca.gov

# 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

<p>► NAME OF BUSINESS ENTITY <u>SPECTRA ENERGY CORP</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>ENERGY</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000    <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000    <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input checked="" type="checkbox"/> Stock    <input type="checkbox"/> Other _____ (Describe)  <input type="checkbox"/> Partnership    <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED                      DISPOSED         </p>	<p>► NAME OF BUSINESS ENTITY <u>FIDELITY NATIONAL FINANCIAL</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>FINANCIAL</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000    <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000    <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input checked="" type="checkbox"/> Stock    <input type="checkbox"/> Other _____ (Describe)  <input type="checkbox"/> Partnership    <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED                      DISPOSED         </p>
<p>► NAME OF BUSINESS ENTITY <u>GOLDMAN SACHS</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>INVESTMENTS</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000    <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000    <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input type="checkbox"/> Stock    <input checked="" type="checkbox"/> Other <u>BONDS</u> _____ (Describe)  <input type="checkbox"/> Partnership    <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED                      DISPOSED         </p>	<p>► NAME OF BUSINESS ENTITY <u>MASCO CORP</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>MANUFACTURER OF HOME IMPROVEMENT ITEMS</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000    <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000    <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input type="checkbox"/> Stock    <input checked="" type="checkbox"/> Other <u>BONDS</u> _____ (Describe)  <input type="checkbox"/> Partnership    <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED                      DISPOSED         </p>
<p>► NAME OF BUSINESS ENTITY <u>PRINCIPAL LIFE</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>FINANCIAL SERVICES</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000    <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000    <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input type="checkbox"/> Stock    <input checked="" type="checkbox"/> Other <u>BONDS</u> _____ (Describe)  <input type="checkbox"/> Partnership    <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED                      DISPOSED         </p>	<p>► NAME OF BUSINESS ENTITY <u>SEALED AIR CORP</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>FOOD CARE</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000    <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000    <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input type="checkbox"/> Stock    <input checked="" type="checkbox"/> Other <u>BONDS</u> _____ (Describe)  <input type="checkbox"/> Partnership    <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED                      DISPOSED         </p>

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

TELEFONICA EMI

GENERAL DESCRIPTION OF THIS BUSINESS

COMMUNICATIONS

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

ACE LIMITED

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

AMERN TOWER CORP

GENERAL DESCRIPTION OF THIS BUSINESS

COMMUNICATION

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

ACCENTURE PLC CLA.

GENERAL DESCRIPTION OF THIS BUSINESS

CONSULTING

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

AMERICAN EXPRESS

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        (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

APACHE CORP

GENERAL DESCRIPTION OF THIS BUSINESS

OIL AND GAS

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

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

<p>NAME OF BUSINESS ENTITY <u>DU PONT</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>CHEMICAL</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000      <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input checked="" type="checkbox"/> Stock      <input type="checkbox"/> Other _____ (Describe)  <input type="checkbox"/> Partnership      <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED      DISPOSED         </p>	<p>NAME OF BUSINESS ENTITY <u>EMC CORP</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>TECHNOLOGY</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000      <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input checked="" type="checkbox"/> Stock      <input type="checkbox"/> Other _____ (Describe)  <input type="checkbox"/> Partnership      <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED      DISPOSED         </p>
<p>NAME OF BUSINESS ENTITY <u>EXXON MOBILE</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>OIL</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000      <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input checked="" type="checkbox"/> Stock      <input type="checkbox"/> Other _____ (Describe)  <input type="checkbox"/> Partnership      <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED      DISPOSED         </p>	<p>NAME OF BUSINESS ENTITY <u>LAS VEGAS SANDS CORP</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>ENTERTAINMENT</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000      <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input checked="" type="checkbox"/> Stock      <input type="checkbox"/> Other _____ (Describe)  <input type="checkbox"/> Partnership      <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED      DISPOSED         </p>
<p>NAME OF BUSINESS ENTITY <u>MASTERCARD INC</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>FINANCIAL SERVICE</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000      <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input checked="" type="checkbox"/> Stock      <input type="checkbox"/> Other _____ (Describe)  <input type="checkbox"/> Partnership      <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED      DISPOSED         </p>	<p>NAME OF BUSINESS ENTITY <u>MCKESSON CORP</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>PHARMACEUTICAL DISTRIBUTION</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000      <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input checked="" type="checkbox"/> Stock      <input type="checkbox"/> Other _____ (Describe)  <input type="checkbox"/> Partnership      <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED      DISPOSED         </p>

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

<p>▶ NAME OF BUSINESS ENTITY <u>METLIFE INC</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>INSURANCE</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000    <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000    <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input checked="" type="checkbox"/> Stock    <input type="checkbox"/> Other _____ (Describe)  <input type="checkbox"/> Partnership    <input type="checkbox"/> Income Received of \$0 - \$499  <input type="checkbox"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED                      DISPOSED         </p>	<p>▶ NAME OF BUSINESS ENTITY <u>MICROSOFT CORP</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>SOFTWARE</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000    <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000    <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input checked="" type="checkbox"/> Stock    <input type="checkbox"/> Other _____ (Describe)  <input type="checkbox"/> Partnership    <input type="checkbox"/> Income Received of \$0 - \$499  <input type="checkbox"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED                      DISPOSED         </p>
<p>▶ NAME OF BUSINESS ENTITY <u>NIKE INC</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>SHOES</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000    <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000    <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input checked="" type="checkbox"/> Stock    <input type="checkbox"/> Other _____ (Describe)  <input type="checkbox"/> Partnership    <input type="checkbox"/> Income Received of \$0 - \$499  <input type="checkbox"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED                      DISPOSED         </p>	<p>▶ NAME OF BUSINESS ENTITY <u>NOVARTIS AG</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>PHARMACEUTICAL</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000    <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000    <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input checked="" type="checkbox"/> Stock    <input type="checkbox"/> Other _____ (Describe)  <input type="checkbox"/> Partnership    <input type="checkbox"/> Income Received of \$0 - \$499  <input type="checkbox"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED                      DISPOSED         </p>
<p>▶ NAME OF BUSINESS ENTITY <u>ORACLE CORP</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>SOFTWARE</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000    <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000    <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input checked="" type="checkbox"/> Stock    <input type="checkbox"/> Other _____ (Describe)  <input type="checkbox"/> Partnership    <input type="checkbox"/> Income Received of \$0 - \$499  <input type="checkbox"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED                      DISPOSED         </p>	<p>▶ NAME OF BUSINESS ENTITY <u>PEPSICO INC</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>BEVERAGE</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000    <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000    <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input checked="" type="checkbox"/> Stock    <input type="checkbox"/> Other _____ (Describe)  <input type="checkbox"/> Partnership    <input type="checkbox"/> Income Received of \$0 - \$499  <input type="checkbox"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED                      DISPOSED         </p>

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

OILFIELD 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

<p>► NAME OF BUSINESS ENTITY <u>YUM BRANDS INC</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>FOOD</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000    <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000    <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input checked="" type="checkbox"/> Stock    <input type="checkbox"/> Other _____ (Describe)  <input type="checkbox"/> Partnership    <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED                      DISPOSED         </p>	<p>► NAME OF BUSINESS ENTITY <u>DOUBLELINE TOTAL</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>INVESTMENT</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000    <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000    <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input type="checkbox"/> Stock    <input checked="" type="checkbox"/> Other <u>BOND FUND</u> (Describe)  <input type="checkbox"/> Partnership    <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED                      DISPOSED         </p>
<p>► NAME OF BUSINESS ENTITY <u>RIDGEWORTH</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>INVESTMENTS</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000    <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000    <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input type="checkbox"/> Stock    <input checked="" type="checkbox"/> Other <u>BONDS FUND</u> (Describe)  <input type="checkbox"/> Partnership    <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED                      DISPOSED         </p>	<p>► NAME OF BUSINESS ENTITY <u>EVERCORE WEALTH MANAGEMENT</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>INVESTMENT</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000    <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000    <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input type="checkbox"/> Stock    <input checked="" type="checkbox"/> Other <u>EQUITY FUND</u> (Describe)  <input type="checkbox"/> Partnership    <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED                      DISPOSED         </p>
<p>► NAME OF BUSINESS ENTITY <u>ENBRIDGE ENERGY</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>ENERGY</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000    <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000    <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input type="checkbox"/> Stock    <input checked="" type="checkbox"/> Other <u>ETF</u> (Describe)  <input type="checkbox"/> Partnership    <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED                      DISPOSED         </p>	<p>► NAME OF BUSINESS ENTITY <u>iSHARES TRUST</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>ETF</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000    <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000    <input type="checkbox"/> Over \$1,000,000         </p> <p>NATURE OF INVESTMENT  <input type="checkbox"/> Stock    <input checked="" type="checkbox"/> Other <u>ETF</u> (Describe)  <input type="checkbox"/> Partnership    <input type="radio"/> Income Received of \$0 - \$499                                           <input type="radio"/> Income Received of \$500 or More (Report on Schedule C)         </p> <p>IF APPLICABLE, LIST DATE:            _____ / _____ / _____            ACQUIRED                      DISPOSED         </p>

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

<p>▶ NAME OF BUSINESS ENTITY <u>GUGGENHEIM EXCHANGE</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>FINANCIAL SERVICES</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000      <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000 </p> <p>NATURE OF INVESTMENT  <input type="checkbox"/> Stock      <input checked="" type="checkbox"/> Other <u>ETF</u> (Describe)  <input type="checkbox"/> Partnership      <input type="radio"/> Income Received of \$0 - \$499  <input type="radio"/> Income Received of \$500 or More (Report on Schedule C) </p> <p>IF APPLICABLE, LIST DATE:  <u>      </u> / <u>      </u> / <u>      </u>      <u>      </u> / <u>      </u> / <u>      </u>  ACQUIRED      DISPOSED </p>	<p>▶ NAME OF BUSINESS ENTITY <u>PLUM CREEK TIMBER</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>LANDOWNER</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000      <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000 </p> <p>NATURE OF INVESTMENT  <input type="checkbox"/> Stock      <input checked="" type="checkbox"/> Other <u>ETF</u> (Describe)  <input type="checkbox"/> Partnership      <input type="radio"/> Income Received of \$0 - \$499  <input type="radio"/> Income Received of \$500 or More (Report on Schedule C) </p> <p>IF APPLICABLE, LIST DATE:  <u>      </u> / <u>      </u> / <u>      </u>      <u>      </u> / <u>      </u> / <u>      </u>  ACQUIRED      DISPOSED </p>
<p>▶ NAME OF BUSINESS ENTITY <u>SPDR GOLD TRUST</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>ETF</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000      <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000 </p> <p>NATURE OF INVESTMENT  <input type="checkbox"/> Stock      <input checked="" type="checkbox"/> Other <u>ETF</u> (Describe)  <input type="checkbox"/> Partnership      <input type="radio"/> Income Received of \$0 - \$499  <input type="radio"/> Income Received of \$500 or More (Report on Schedule C) </p> <p>IF APPLICABLE, LIST DATE:  <u>      </u> / <u>      </u> / <u>      </u>      <u>      </u> / <u>      </u> / <u>      </u>  ACQUIRED      DISPOSED </p>	<p>▶ NAME OF BUSINESS ENTITY <u>WISDOM TREE EMERGING MARKET</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>ETF</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000      <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000 </p> <p>NATURE OF INVESTMENT  <input type="checkbox"/> Stock      <input checked="" type="checkbox"/> Other <u>ETF</u> (Describe)  <input type="checkbox"/> Partnership      <input type="radio"/> Income Received of \$0 - \$499  <input type="radio"/> Income Received of \$500 or More (Report on Schedule C) </p> <p>IF APPLICABLE, LIST DATE:  <u>      </u> / <u>      </u> / <u>      </u>      <u>      </u> / <u>      </u> / <u>      </u>  ACQUIRED      DISPOSED </p>
<p>▶ NAME OF BUSINESS ENTITY <u>BANK OF AMERICA</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>BANKING</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000      <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000 </p> <p>NATURE OF INVESTMENT  <input type="checkbox"/> Stock      <input checked="" type="checkbox"/> Other <u>Bonds</u> (Describe)  <input type="checkbox"/> Partnership      <input type="radio"/> Income Received of \$0 - \$499  <input type="radio"/> Income Received of \$500 or More (Report on Schedule C) </p> <p>IF APPLICABLE, LIST DATE:  <u>      </u> / <u>      </u> / <u>      </u>      <u>      </u> / <u>      </u> / <u>      </u>  ACQUIRED      DISPOSED </p>	<p>▶ NAME OF BUSINESS ENTITY <u>BANK OF AMERICA</u></p> <p>GENERAL DESCRIPTION OF THIS BUSINESS <u>BANKING</u></p> <p>FAIR MARKET VALUE  <input type="checkbox"/> \$2,000 - \$10,000      <input checked="" type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000 </p> <p>NATURE OF INVESTMENT  <input type="checkbox"/> Stock      <input checked="" type="checkbox"/> Other <u>BONDS</u> (Describe)  <input type="checkbox"/> Partnership      <input type="radio"/> Income Received of \$0 - \$499  <input type="radio"/> Income Received of \$500 or More (Report on Schedule C) </p> <p>IF APPLICABLE, LIST DATE:  <u>      </u> / <u>      </u> / <u>      </u>      <u>      </u> / <u>      </u> / <u>      </u>  ACQUIRED      DISPOSED </p>

Comments:

Ed Harrington  
4075 A 19<sup>th</sup> Street  
San Francisco, CA 94114

August 30, 2016

Rules Committee  
San Francisco Board of Supervisors  
1 Dr. Carlton B Goodlett Pl., Room 244  
San Francisco, CA 94102

Dear Members of the San Francisco Board of Supervisors Rules Committee:

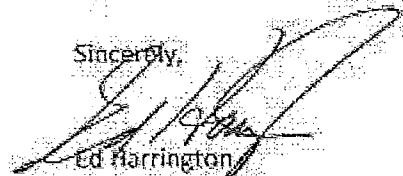
I am writing in support of Commissioner Ann Caen's reappointment to the San Francisco Public Utilities Commission (SFPUC).

Ms. Caen has been on the Commission for 19 years. As Commissioner, she prioritized the rebuild of our City's core water and wastewater infrastructure. Through our Water System Improvement Program (WSIP), we have rebuilt our dams, our major pipelines and other key infrastructure points to help ensure we can continue to deliver water after a major seismic event. As Commissioner, Ann approved the master plan and funding program for these projects. She then held staff accountable to make sure ratepayers were getting value for their investments. Thanks to the work of Commissioner Caen, SFPUC staff and many others, the WSIP is more than 90% complete and has become a model for infrastructure improvement.

With the WSIP winding down, the SFPUC has launched its Sewer System Improvement Program (SSIP) to rebuild and upgrade our City's aging sewer infrastructure. With her experience from the "birth" of WSIP through its near completion, Commissioner Caen is uniquely qualified to help ensure the SFPUC delivers the SSIP in a manner that meets the needs of the City's residents and businesses.

This may seem like a small thing, but Commissioner Caen actually reads the packets of information sent to her so that she can be an active participant in Commission meetings. She often asks questions about items based on the reading and her understanding of the history and her grasp of the issues involved. As a former General Manager of the SFPUC, I know that I benefited greatly from Ann's experience and sage advice. I highly recommend her for reappointment to the San Francisco Public Utilities Commission.

Sincerely,



Ed Harrington  
Former General Manager, SFPUC

cc: Members, San Francisco Board of Supervisors  
Nicole Elliot  
Derek Evans





**Statement by Nicole Sandkulla, Chief Executive Officer of the  
Bay Area Water Supply and Conservation Agency at the Hearing  
for Ann Caen to be Reappointed as a Member of the  
San Francisco Public Utilities Commission**

**September 8, 2016**

My name is Nicole Sandkulla and I am the Chief Executive Officer of the Bay Area Water Supply and Conservation Agency. I support enthusiastically the confirmation of Ann Caen for a fifth term as a member of the San Francisco Public Utilities Commission.

I have worked with Ann Caen during her extraordinary four terms as a member of the Commission and the four times she has been its President. She is a strategic executive with the intellect to define issues, the executive ability to sort through details of the water business, and the determination to make prompt decisions, talents that benefit all water users who depend on the San Francisco Regional (Hetch Hetchy) Water System.

Currently, she is designated as the Commission member with special knowledge of finance. This is especially important with the Commission's billion-dollar construction projects, which are paid for by water customers of the System. She is fair, intellectually honest, and open-minded.

Ms. Caen's responsibility is first and foremost to the Commission, of course. But she understands the concept of customer satisfaction and demonstrates a real interest in satisfying the needs of 1.7 million residents and 30,000 customers outside of San Francisco who use two thirds of the System's water and pay two thirds of the cost.

BAWSCA and its 26 member agencies in Alameda, San Mateo, and Santa Clara counties appreciate her interest in their water needs, which was highlighted by her recent participation in a regular BAWSCA Board meeting in Foster City, and interaction with its members.

Above all, Ms. Caen's personal integrity and wide experience in community affairs reassure BAWSCA that she will support its objectives of a reliable supply of high quality water at a fair price.

It is a great pleasure to urge her reappointment to the Public Utilities Commission.

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August 31, 2016

The Hon. London Breed, President  
City and County of San Francisco Board of Supervisors  
San Francisco City Hall  
1 Dr. Carlton B. Goodlett Place  
San Francisco, CA 94102-4689

**Subject: Recommendation for Ann Caen to be reappointed as a member of the San Francisco Public Utilities Commission**

Dear Supervisor Breed,

As the former Chief Executive Officer of the Bay Area Water Supply and Conservation Agency, I am writing to support the confirmation of Ann Caen for another term as a member of the San Francisco Public Utilities Commission.

I have had the pleasure of working with Ms. Caen since she was first appointed to the Commission in 1997. Ms. Caen consistently displays the characteristics of an effective public official. She considers matters thoughtfully, listens intently to public testimony, demands staff provide the information necessary to make sound decisions, and truly enjoys the role of commissioner in providing reliable utility service.

As a four-time president, Ms. Caen has led the Commission through major decisions during critical periods. She was president in 2002 when the Commission adopted the first capital improvement program, now called the Water System Improvement Program, for rebuilding the earthquake-prone Regional Water System.

While deeply loyal to the City and County of San Francisco, Ms. Caen demonstrates a genuine interest in the well-being of the entire region. The 26 cities, water districts and water companies that purchase water from the Regional Water System benefit from Ms. Caen's continued determination to see the Water System Improvement Program completed.

I urge the Rules Committee and the Board of Supervisors to confirm her appointment to the Public Utilities Commission.

Sincerely,

  
Arthur R. Jensen  
Former Chief Executive Officer

cc: Members of the City and County of San Francisco Board of Supervisors, c/o Clerk of the Board  
The Hon. Edwin M. Lee, Mayor, City and County of San Francisco  
Ms. Ann Caen, Commissioner, San Francisco Public Utilities Commission