

# STATEMENT OF ECONOMIC INTERESTS

## COVER PAGE

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NAME OF FILER	(LAST)	(FIRST)	(MIDDLE)
Whalen, James E			

**1. Office, Agency, or Court**

Agency Name (Do not use acronyms)

CITY OF SAN DIEGO

Division, Board, Department, District, if applicable

Planning Commission

Your Position

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 \_\_\_\_\_☒ City of San Diego☐ Other \_\_\_\_\_**3. Type of Statement (Check at least one box)**☐ **Annual:** The period covered is January 1, 2013, through December 31, 2013

-or-

The period covered is \_\_\_\_/\_\_\_\_/\_\_\_\_, through December 31, 2013

☒ **Assuming Office:** Date assumed 05 / 20 / 2014☐ **Leaving Office:** Date Left \_\_\_\_/\_\_\_\_/\_\_\_\_ (Check one)☐ The period covered is January 1, 2013, through the date of leaving office.☐ The period covered is \_\_\_\_/\_\_\_\_/\_\_\_\_, through the date of leaving office.☐ **Candidate:** Election Year \_\_\_\_\_ and office sought, if different than Part 1: \_\_\_\_\_**4. Schedule Summary**

Check applicable schedules or "None."

► Total number of pages including this cover page: 13

☒ **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 Diego

CA

92108-2820

DAYTIME TELEPHONE NUMBER

( )

E-MAIL ADDRESS (OPTIONAL)

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 06/02/2014  
(month, day, year)Signature James E Whalen  
(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

Whalen, James E

## ▶ NAME OF BUSINESS ENTITY

Altera Corp SR Global Notes

GENERAL DESCRIPTION OF THIS BUSINESS

Industrial

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

IF APPLICABLE, LIST DATE:

01 / 28 / 14           /       /        
 ACQUIRED                  DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Ford Motor Credit Co Sr Notes

GENERAL DESCRIPTION OF THIS BUSINESS

Industrial

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 Corporate 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

General Electric Cap Corp

GENERAL DESCRIPTION OF THIS BUSINESS

Industrial

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 Corporate 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

KLA Tencor Corp Sr Gbl Notes

GENERAL DESCRIPTION OF THIS BUSINESS

Industrial

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

IF APPLICABLE, LIST DATE:

05 / 01 / 14           /       /        
 ACQUIRED                  DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Omnicom Group Inc Sr Notes

GENERAL DESCRIPTION OF THIS BUSINESS

Industrial

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 Corporate 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

Wal-Mart Stores Inc Sr Global

GENERAL DESCRIPTION OF THIS BUSINESS

Industrial

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 Corporate Bond  
(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

Whalen, James E

<p><b>► NAME OF BUSINESS ENTITY</b></p> <p>Morgan Stanley Sr Global Mtn</p> <hr/> <p><b>GENERAL DESCRIPTION OF THIS BUSINESS</b></p> <p>Financial</p> <hr/> <p><b>FAIR MARKET VALUE</b></p> <p><input checked="" type="checkbox"/> \$2,000 - \$10,000      <input type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000</p> <p><b>NATURE OF INVESTMENT</b></p> <p><input type="checkbox"/> Stock    <input checked="" type="checkbox"/> Other Corporate Bond  <small>(Describe)</small></p> <p><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><b>IF APPLICABLE, LIST DATE:</b></p> <p>____/____/____      ____/____/____  ACQUIRED                  DISPOSED</p>	<p><b>► NAME OF BUSINESS ENTITY</b></p> <p>Bear Stearns Cos (JPM) Sr Glbl</p> <hr/> <p><b>GENERAL DESCRIPTION OF THIS BUSINESS</b></p> <p>Banks</p> <hr/> <p><b>FAIR MARKET VALUE</b></p> <p><input checked="" type="checkbox"/> \$2,000 - \$10,000      <input type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000</p> <p><b>NATURE OF INVESTMENT</b></p> <p><input type="checkbox"/> Stock    <input checked="" type="checkbox"/> Other Corporate Bond  <small>(Describe)</small></p> <p><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><b>IF APPLICABLE, LIST DATE:</b></p> <p>____/____/____      ____/____/____  ACQUIRED                  DISPOSED</p>
<p><b>► NAME OF BUSINESS ENTITY</b></p> <p>Citigroup Inc Sr Global Notes</p> <hr/> <p><b>GENERAL DESCRIPTION OF THIS BUSINESS</b></p> <p>Banks</p> <hr/> <p><b>FAIR MARKET VALUE</b></p> <p><input checked="" type="checkbox"/> \$2,000 - \$10,000      <input type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000</p> <p><b>NATURE OF INVESTMENT</b></p> <p><input type="checkbox"/> Stock    <input checked="" type="checkbox"/> Other Corporate Bond  <small>(Describe)</small></p> <p><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><b>IF APPLICABLE, LIST DATE:</b></p> <p>____/____/____      ____/____/____  ACQUIRED                  DISPOSED</p>	<p><b>► NAME OF BUSINESS ENTITY</b></p> <p>Goldman Sachs Sr Global Notes</p> <hr/> <p><b>GENERAL DESCRIPTION OF THIS BUSINESS</b></p> <p>Banks</p> <hr/> <p><b>FAIR MARKET VALUE</b></p> <p><input checked="" type="checkbox"/> \$2,000 - \$10,000      <input type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000</p> <p><b>NATURE OF INVESTMENT</b></p> <p><input type="checkbox"/> Stock    <input checked="" type="checkbox"/> Other Corporate Bond  <small>(Describe)</small></p> <p><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><b>IF APPLICABLE, LIST DATE:</b></p> <p>____/____/____      ____/____/____  ACQUIRED                  DISPOSED</p>
<p><b>► NAME OF BUSINESS ENTITY</b></p> <p>Chevron Corp</p> <hr/> <p><b>GENERAL DESCRIPTION OF THIS BUSINESS</b></p> <p>Energy</p> <hr/> <p><b>FAIR MARKET VALUE</b></p> <p><input checked="" type="checkbox"/> \$2,000 - \$10,000      <input type="checkbox"/> \$10,001 - \$100,000  <input type="checkbox"/> \$100,001 - \$1,000,000      <input type="checkbox"/> Over \$1,000,000</p> <p><b>NATURE OF INVESTMENT</b></p> <p><input checked="" type="checkbox"/> Stock    <input type="checkbox"/> Other _____  <small>(Describe)</small></p> <p><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><b>IF APPLICABLE, LIST DATE:</b></p> <p>____/____/____      ____/____/____  ACQUIRED                  DISPOSED</p>	<p><b>► NAME OF BUSINESS ENTITY</b></p> <p>ConocoPhillips</p> <hr/> <p><b>GENERAL DESCRIPTION OF THIS BUSINESS</b></p> <p>Energy</p> <hr/> <p><b>FAIR MARKET VALUE</b></p> <p><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><b>NATURE OF INVESTMENT</b></p> <p><input checked="" type="checkbox"/> Stock    <input type="checkbox"/> Other _____  <small>(Describe)</small></p> <p><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><b>IF APPLICABLE, LIST DATE:</b></p> <p>____/____/____      ____/____/____  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

Whalen, James E

## ▶ NAME OF BUSINESS ENTITY

Total SA Spon Adr

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

International Paper Co

GENERAL DESCRIPTION OF THIS BUSINESS

Materials

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:

03 / 27 / 14           /      /       
ACQUIRED                      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Freeport - McMoran Copper

GENERAL DESCRIPTION OF THIS BUSINESS

Materials

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:

10 / 11 / 13           /      /       
ACQUIRED                      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

General Electric Company

GENERAL DESCRIPTION OF THIS BUSINESS

Industrials

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 Parcel Service- CL B

GENERAL DESCRIPTION OF THIS BUSINESS

Industrials

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

McDonalds Corp

GENERAL DESCRIPTION OF THIS BUSINESS

Consumer Discretionary

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

Whalen, James E

## ▶ NAME OF BUSINESS ENTITY

Target Corp

GENERAL DESCRIPTION OF THIS BUSINESS

Consumer Discretionary

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

Altria Group Inc

GENERAL DESCRIPTION OF THIS BUSINESS

Consumer Staples

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

Molson Coors Brewing Co-B

GENERAL DESCRIPTION OF THIS BUSINESS

Consumer Staples

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

Royal Dutch Shell PLC A-Adr

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:

08 / 01 / 13             /        /         
ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Pepsico Incorporated

GENERAL DESCRIPTION OF THIS BUSINESS

Consumer Staples

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

Philip Morris Intl Inc

GENERAL DESCRIPTION OF THIS BUSINESS

Consumer Staples

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

Whalen, James E

## ▶ NAME OF BUSINESS ENTITY

Baxter International Inc

GENERAL DESCRIPTION OF THIS BUSINESS

Health 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 \_\_\_\_\_ (Describe)  
☐ Partnership      ☐ Income Received of \$0 - \$499  
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

11 / 27 / 13      \_\_\_\_\_  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Johnson & Johnson

GENERAL DESCRIPTION OF THIS BUSINESS

Health 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 \_\_\_\_\_ (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 Inc

GENERAL DESCRIPTION OF THIS BUSINESS

Health 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 \_\_\_\_\_ (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

Sanofi-Aventis-Adr

GENERAL DESCRIPTION OF THIS BUSINESS

Health 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 \_\_\_\_\_ (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

JPMorgan Chase & Co

GENERAL DESCRIPTION OF THIS BUSINESS

Financials

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

AFLAC Inc

GENERAL DESCRIPTION OF THIS BUSINESS

Financials

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

Whalen, James E

## ▶ NAME OF BUSINESS ENTITY

Metlife

GENERAL DESCRIPTION OF THIS BUSINESS

Financials

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

PNC Financial Services Group

GENERAL DESCRIPTION OF THIS BUSINESS

Financials

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

Travelers Cos Inc

GENERAL DESCRIPTION OF THIS BUSINESS

Financials

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

Wells Fargo & Company

GENERAL DESCRIPTION OF THIS BUSINESS

Financials

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

Cisco Systems Inc

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

Twain Semiconductor-SP ADR

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:

01 / 17 / 14             /        /         
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

Whalen, James E

## ▶ NAME OF BUSINESS ENTITY

Merck & Company Inc

GENERAL DESCRIPTION OF THIS BUSINESS

Health 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 \_\_\_\_\_ (Describe)  
☐ Partnership      ☐ Income Received of \$0 - \$499  
☐ Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:

       /        /             11 / 26 / 13  
ACQUIRED                      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Time Warner Cable

GENERAL DESCRIPTION OF THIS BUSINESS

Consumer Discretionary

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:

       /        /             02 / 19 / 14  
ACQUIRED                      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Hewlett-Packard Co Global

GENERAL DESCRIPTION OF THIS BUSINESS

Industrial

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

IF APPLICABLE, LIST DATE:

10 / 22 / 13             /        /         
ACQUIRED                      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Xerox Corp Senior Notes

GENERAL DESCRIPTION OF THIS BUSINESS

Industrial

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

IF APPLICABLE, LIST DATE:

10 / 29 / 13             /        /         
ACQUIRED                      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Transocean LTD

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

Nucor Corporation

GENERAL DESCRIPTION OF THIS BUSINESS

Materials

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

Whalen, James E

## ▶ NAME OF BUSINESS ENTITY

Applied Materials Inc

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

GENERAL DESCRIPTION OF THIS BUSINESS

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 DESCRIPTION OF THIS BUSINESS

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 DESCRIPTION OF THIS BUSINESS

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 DESCRIPTION OF THIS BUSINESS

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 DESCRIPTION OF THIS BUSINESS

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-2

## Investments, Income, and Assets of Business Entities/Trusts

(Ownership Interest is 10% or Greater)

<b>CALIFORNIA FORM</b>	<b>700</b>
<b>FAIR POLITICAL PRACTICES COMMISSION</b>	
Name	
<u>Whalen, James E</u>	

**▶ 1. BUSINESS ENTITY OR TRUST**J. Whalen Associates, Inc.

Name

San Diego, CA 92108-2820

Address (Business Address Acceptable)

Check one

☐ Trust, go to 2     ☒ Business Entity, complete the box, then go to 2
**GENERAL DESCRIPTION OF THIS BUSINESS**Consulting Firm

FAIR MARKET VALUE

IF APPLICABLE, LIST DATE:

☐ \$0 - \$1,999☐ \$2,000 - \$10,000☐ \$10,001 - \$100,000☒ \$100,001 - \$1,000,000☐ Over \$1,000,000\_\_\_\_/\_\_\_\_/\_\_\_\_  
ACQUIRED\_\_\_\_/\_\_\_\_/\_\_\_\_  
DISPOSED

NATURE OF INVESTMENT

☐ Partnership☐ Sole Proprietorship☒ Corp Shareholder

Other

YOUR BUSINESS POSITION Director, President**▶ 1. BUSINESS ENTITY OR TRUST**East County Renewable Coalition

Name

San Diego, CA 92108-2820

Address (Business Address Acceptable)

Check one

☐ Trust, go to 2     ☒ Business Entity, complete the box, then go to 2
**GENERAL DESCRIPTION OF THIS BUSINESS**Advocacy Group

FAIR MARKET VALUE

IF APPLICABLE, LIST DATE:

☐ \$0 - \$1,999☒ \$2,000 - \$10,000☐ \$10,001 - \$100,000☐ \$100,001 - \$1,000,000☐ Over \$1,000,000\_\_\_\_/\_\_\_\_/\_\_\_\_  
ACQUIRED\_\_\_\_/\_\_\_\_/\_\_\_\_  
DISPOSED

NATURE OF INVESTMENT

☐ Partnership☒ Sole Proprietorship☐ OtherYOUR BUSINESS POSITION Executive Director**▶ 2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)**☐ \$0 - \$499☒ \$10,001 - \$100,000☐ \$500 - \$1,000☐ OVER \$100,000☐ \$1,001 - \$10,000**▶ 2. IDENTIFY THE GROSS INCOME RECEIVED (INCLUDE YOUR PRO RATA SHARE OF THE GROSS INCOME TO THE ENTITY/TRUST)**☒ \$0 - \$499☐ \$10,001 - \$100,000☐ \$500 - \$1,000☐ OVER \$100,000☐ \$1,001 - \$10,000**▶ 3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE (Attach a separate sheet if necessary.)**☐ NoneBuilding Industry AssociationThe Newland Group**▶ 3. LIST THE NAME OF EACH REPORTABLE SINGLE SOURCE OF INCOME OF \$10,000 OR MORE (Attach a separate sheet if necessary.)**☒ None**▶ 4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD OR LEASED BY THE BUSINESS ENTITY OR TRUST**

Check one box:

☐ INVESTMENT☒ REAL PROPERTY

Name of Business Entity, if Investment, or

Assessor's Parcel Number or Street Address of Real Property

San Diego

Description of Business Activity or

City or Other Precise Location of Real Property

FAIR MARKET VALUE

IF APPLICABLE, LIST DATE:

☐ \$2,000 - \$10,000☒ \$10,001 - \$100,000☐ \$100,001 - \$1,000,000☐ Over \$1,000,000\_\_\_\_/\_\_\_\_/\_\_\_\_  
ACQUIRED\_\_\_\_/\_\_\_\_/\_\_\_\_  
DISPOSED

NATURE OF INTEREST

☐ Property Ownership/Deed of Trust☐ Stock☐ Partnership☐ Leasehold\_\_\_\_  
Yrs. remaining☒ Other Additional Office
☐ Check box if additional schedules reporting investments or real property are attached
**▶ 4. INVESTMENTS AND INTERESTS IN REAL PROPERTY HELD OR LEASED BY THE BUSINESS ENTITY OR TRUST**

Check one box:

☐ INVESTMENT☐ REAL PROPERTY

Name of Business Entity, if Investment, or

Assessor's Parcel Number or Street Address of Real Property

Description of Business Activity or

City or Other Precise Location of Real Property

FAIR MARKET VALUE

IF APPLICABLE, LIST DATE:

☐ \$2,000 - \$10,000☐ \$10,001 - \$100,000☐ \$100,001 - \$1,000,000☐ Over \$1,000,000\_\_\_\_/\_\_\_\_/\_\_\_\_  
ACQUIRED\_\_\_\_/\_\_\_\_/\_\_\_\_  
DISPOSED

NATURE OF INTEREST

☐ Property Ownership/Deed of Trust☐ Stock☐ Partnership☐ Leasehold\_\_\_\_  
Yrs. remaining☐ Other
☐ Check box if additional schedules reporting investments or real property are attached

Comments: \_\_\_\_\_

# SCHEDULE C

## Income, Loans, & Business Positions

(Other than Gifts and Travel Payments)

**CALIFORNIA FORM 700**
**FAIR POLITICAL PRACTICES COMMISSION**
**Name**

Whalen, James E

**▶ 1. INCOME RECEIVED**

NAME OF SOURCE OF INCOME

J. Whalen Associates, Inc.

ADDRESS (Business Address Acceptable)

San Diego, CA 92108-2820

BUSINESS ACTIVITY, IF ANY, OF SOURCE

Real Estate Consulting

YOUR BUSINESS POSITION

Director, President

GROSS INCOME RECEIVED

- ☐ \$500 - \$1,000      ☐ \$1,001 - \$10,000  
☐ \$10,001 - \$100,000      ☒ OVER \$100,000

CONSIDERATION FOR WHICH INCOME WAS RECEIVED

- ☒ Salary      ☐ Spouse's or registered domestic partner's income  
☐ Loan repayment      ☐ Partnership

☐ Sale of \_\_\_\_\_  
 (Real property, car, boat, etc.)

☐ Commission or      ☐ Rental Income, list each source of \$10,000 or more

☐ Other \_\_\_\_\_  
 (Describe)

**▶ 1. INCOME RECEIVED**

NAME OF SOURCE OF INCOME

ADDRESS (Business Address Acceptable)

BUSINESS ACTIVITY, IF ANY, OF SOURCE

YOUR BUSINESS POSITION

GROSS INCOME RECEIVED

- ☐ \$500 - \$1,000      ☐ \$1,001 - \$10,000  
☐ \$10,001 - \$100,000      ☐ OVER \$100,000

CONSIDERATION FOR WHICH INCOME WAS RECEIVED

- ☐ Salary      ☐ Spouse's or registered domestic partner's income  
☐ Loan repayment      ☐ Partnership

☐ Sale of \_\_\_\_\_  
 (Real property, car, boat, etc.)

☐ Commission or      ☐ Rental Income, list each source of \$10,000 or more

☐ Other \_\_\_\_\_  
 (Describe)

**▶ 2. LOANS RECEIVED OR OUTSTANDING DURING THE REPORTING PERIOD**

\* You are not required to report loans from commercial lending institutions, or any indebtedness created as part of a retail installment or credit card transaction, made in the lender's regular course of business on terms available to members of the public without regard to your official status. Personal loans and loans received not in a lender's regular course of business must be disclosed as follows:

NAME OF LENDER\*

ADDRESS (Business Address Acceptable)

BUSINESS ACTIVITY, IF ANY, OF LENDER

HIGHEST BALANCE DURING REPORTING PERIOD

- ☐ \$500 - \$1,000  
☐ \$1,001 - \$10,000  
☐ \$10,001 - \$100,000  
☐ OVER \$100,000

INTEREST RATE

TERM (Months/Years)

\_\_\_\_\_%      ☐ None

SECURITY FOR LOAN

- ☐ None      ☐ Personal residence

☐ Real Property \_\_\_\_\_

Street address

City

☐ Guarantor \_\_\_\_\_

☐ Other \_\_\_\_\_

(Describe)

Comments: \_\_\_\_\_

Additional Sources of Income of \$10,000 or more for J. Whalen Associates, Inc.:

The Newland Group