

# STATEMENT OF ECONOMIC INTERESTS

## COVER PAGE

Date Initial Filing Received

Filing Official Use Only

 E-Filed  
 03/03/2020  
 15:07:14

 Filing ID:  
 187798428

Please type or print in ink.

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☐ Multi-County \_\_\_\_\_☒ City of San Diego☐ Judge, Retired Judge, Pro Tem Judge, or Court Commissioner  
(Statewide Jurisdiction)☐ County of \_\_\_\_\_☐ Other \_\_\_\_\_**3. Type of Statement (Check at least one box)**☒ **Annual:** The period covered is January 1, 2019 through  
December 31, 2019

-or-

The period covered is \_\_\_\_/\_\_\_\_/\_\_\_\_, through  
December 31, 2019☐ **Assuming Office:** Date assumed \_\_\_\_/\_\_\_\_/\_\_\_\_☐ **Leaving Office:** Date Left \_\_\_\_/\_\_\_\_/\_\_\_\_  
(Check one circle)☐ The period covered is January 1, 2019 through the date of  
leaving office.☐ The period covered is \_\_\_\_/\_\_\_\_/\_\_\_\_, through the date  
of leaving office.☐ **Candidate:** Date of Election \_\_\_\_\_ and office sought, if different than Part 1: \_\_\_\_\_**4. Schedule Summary (must complete) ► Total number of pages including this cover page: 13****Schedules attached**☒ **Schedule A-1 - Investments** – schedule attached☒ **Schedule A-2 - Investments** – schedule attached☐ **Schedule B - Real Property** – schedule attached☒ **Schedule C - Income, Loans, & Business Positions** – schedule attached☐ **Schedule D - Income – Gifts** – 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

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 03/03/2020  
(month, day, year)Signature James E Whalen  
(File the originally signed paper statement with your filing official.)



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

(Ownership Interest is Less Than 10%)

*Investments must be itemized.**Do not attach brokerage or financial statements.***CALIFORNIA FORM 700**

FAIR POLITICAL PRACTICES COMMISSION

Name

Whalen, James E

## ▶ 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:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

General Mills 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:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

## ▶ 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:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Verizon Communications

GENERAL DESCRIPTION OF THIS BUSINESS

Telecommunications 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:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Truist Financial Corporation

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:

04 / 25 / **19**             /        / **19**  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

JP Morgan Chase GBL FXD-To-FLT 3.559%

GENERAL DESCRIPTION OF THIS BUSINESS

Banks

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

IF APPLICABLE, LIST DATE:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

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

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

(Ownership Interest is Less Than 10%)

*Investments must be itemized.**Do not attach brokerage or financial statements.***CALIFORNIA FORM 700**

FAIR POLITICAL PRACTICES COMMISSION

Name

Whalen, James E

## ▶ NAME OF BUSINESS ENTITY

Centerpoint Energy Inc

GENERAL DESCRIPTION OF THIS BUSINESS

Utilities

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 / 16 / 19           /     / 19  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

General Motors Finance CO GLBL 4.200%

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

IF APPLICABLE, LIST DATE:

11 / 01 / 18      07 / 16 / 19  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Lilly Eli & Company

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:

     /     / 19           /     / 19  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Cisco Systems Inc

GENERAL DESCRIPTION OF THIS BUSINESS

Information 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:

     /     / 19           /     / 19  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Intel Corporation

GENERAL DESCRIPTION OF THIS BUSINESS

Information 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:

03 / 16 / 17      04 / 17 / 19  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Walgreen Boots Alliance 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:

     /     / 19           /     / 19  
 ACQUIRED      DISPOSED

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

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

(Ownership Interest is Less Than 10%)

*Investments must be itemized.**Do not attach brokerage or financial statements.***CALIFORNIA FORM 700**

FAIR POLITICAL PRACTICES COMMISSION

Name

Whalen, James E

## ▶ NAME OF BUSINESS ENTITY

Chevron 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:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Lockheed Martin 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:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Morgan Stanley

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:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

General Electric Co Senior NTS 4.375%

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

IF APPLICABLE, LIST DATE:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Goldman Sachs Inc SR GBL FRN 3.61800%

GENERAL DESCRIPTION OF THIS BUSINESS

Banks

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

IF APPLICABLE, LIST DATE:

       /        / **19**             /        / **19**  
 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:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

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



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

(Ownership Interest is Less Than 10%)

*Investments must be itemized.**Do not attach brokerage or financial statements.***CALIFORNIA FORM 700**

FAIR POLITICAL PRACTICES COMMISSION

Name

Whalen, James E

## ▶ NAME OF BUSINESS ENTITY

Qualcomm Inc

GENERAL DESCRIPTION OF THIS BUSINESS

Information 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:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Carnival Corporation

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:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

CitiGroup 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:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Citigroup SR Notes 2.700%

GENERAL DESCRIPTION OF THIS BUSINESS

Banks

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

IF APPLICABLE, LIST DATE:

       /        / **19**             /        / **19**  
 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:

       /        / **19**             /        / **19**  
 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:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

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

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

(Ownership Interest is Less Than 10%)

*Investments must be itemized.**Do not attach brokerage or financial statements.***CALIFORNIA FORM 700**

FAIR POLITICAL PRACTICES COMMISSION

Name

Whalen, James E

## ▶ 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:

       /        / **19**             /        / **19**  
 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:

       /        / **19**             /        / **19**  
 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:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Hollyfrontier Corp Senior NTS 5.875% 04-01-2026 C01/26

GENERAL DESCRIPTION OF THIS BUSINESS

Corporate Bonds

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

IF APPLICABLE, LIST DATE:

**04 / 01 / 19**             /        / **19**  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

CVS Health Corporation

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:

**01 / 08 / 19**             /        / **19**  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Broadcom Inc

GENERAL DESCRIPTION OF THIS BUSINESS

Information 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:

**08 / 09 / 19**             /        / **19**  
 ACQUIRED      DISPOSED

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



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

(Ownership Interest is Less Than 10%)

*Investments must be itemized.**Do not attach brokerage or financial statements.***CALIFORNIA FORM 700**

FAIR POLITICAL PRACTICES COMMISSION

Name

Whalen, James E

## ▶ NAME OF BUSINESS ENTITY

OMNICOM GROUP

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:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Abbvie 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:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Energy Transfer PRTRNS C11/22 3.600%

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

IF APPLICABLE, LIST DATE:

10 / 24 / **17**      03 / 19 / **19**  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Amgen 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:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Microsoft Corp

GENERAL DESCRIPTION OF THIS BUSINESS

Information 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:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

## ▶ NAME OF BUSINESS ENTITY

schlumberger 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:

       /        / **19**             /        / **19**  
 ACQUIRED      DISPOSED

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

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

(Ownership Interest is Less Than 10%)

*Investments must be itemized.**Do not attach brokerage or financial statements.***CALIFORNIA FORM 700**

FAIR POLITICAL PRACTICES COMMISSION

Name

Whalen, James E

## ▶ NAME OF BUSINESS ENTITY

BB&T Corp

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:

04 / 25 / 19           /     / 19  
 ACQUIRED                  DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Bank of America FXD/FLT C04/22 2.881%

GENERAL DESCRIPTION OF THIS BUSINESS

Banks

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

IF APPLICABLE, LIST DATE:

     /     / 19           /     / 19  
 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:

     /     / 19           /     / 19  
 ACQUIRED                  DISPOSED

## ▶ NAME OF BUSINESS ENTITY

Sempra Energy

GENERAL DESCRIPTION OF THIS BUSINESS

Utilities

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:

04 / 24 / 18      10 / 16 / 19  
 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:

     /     / 19           /     / 19  
 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:

     /     / 19           /     / 19  
 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	
Whalen, James E	

**▶ 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**

Real Estate Development Consulting

**FAIR MARKET VALUE**☐ \$0 - \$1,999☐ \$2,000 - \$10,000☐ \$10,001 - \$100,000☒ \$100,001 - \$1,000,000☐ Over \$1,000,000**IF APPLICABLE, LIST DATE:**

\_\_\_\_/\_\_\_\_/19

ACQUIRED

\_\_\_\_/\_\_\_\_/19

DISPOSED

**NATURE OF INVESTMENT**☐ Partnership☐ Sole Proprietorship

Corporate Shareholder

☒ OtherYOUR BUSINESS POSITION Director, President**▶ 1. BUSINESS ENTITY OR TRUST**

Name

Address (Business Address Acceptable)

Check one

☐ Trust, go to 2     ☐ Business Entity, complete the box, then go to 2
**GENERAL DESCRIPTION OF THIS BUSINESS****FAIR MARKET VALUE**☐ \$0 - \$1,999☐ \$2,000 - \$10,000☐ \$10,001 - \$100,000☐ \$100,001 - \$1,000,000☐ Over \$1,000,000**IF APPLICABLE, LIST DATE:**

\_\_\_\_/\_\_\_\_/19

ACQUIRED

\_\_\_\_/\_\_\_\_/19

DISPOSED

**NATURE OF INVESTMENT**☐ Partnership☐ Sole Proprietorship☐ Other

YOUR BUSINESS POSITION \_\_\_\_\_

**▶ 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.)
☐ None or ☒ Names listed below  
Baldwin & Sons
Gayl HynekThe Gildred Companies**▶ 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
Consulting
 Description of Business Activity or  
 City or Other Precise Location of Real Property
**FAIR MARKET VALUE**☐ \$2,000 - \$10,000☒ \$10,001 - \$100,000☐ \$100,001 - \$1,000,000☐ Over \$1,000,000**IF APPLICABLE, LIST DATE:**

\_\_\_\_/\_\_\_\_/19

ACQUIRED

\_\_\_\_/\_\_\_\_/19

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
**▶ 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.)
☐ None or ☐ Names listed below
**▶ 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**☐ \$2,000 - \$10,000☐ \$10,001 - \$100,000☐ \$100,001 - \$1,000,000☐ Over \$1,000,000**IF APPLICABLE, LIST DATE:**

\_\_\_\_/\_\_\_\_/19

ACQUIRED

\_\_\_\_/\_\_\_\_/19

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: \_\_\_\_\_

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

Hamann Companies  
HomeFed Fanita Rancho, LLC  
Ikon, Ltd.  
Sager-Escondido Annexation  
SDG&E  
Indie Law Group, APC  
Elliot Megdal & Associates  
GDCI Proctor Valley, LP  
Good Earth Plants Company LLC  
Newland Group, Inc  
Clean Focus Renewables Inc  
Haagen-Empire Ranch  
Raintree Residential LLC  
Pacific Hospitality Group  
Urban Corps

# 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 Development Consulting

YOUR BUSINESS POSITION

Director, President

 GROSS INCOME RECEIVED ☐ No Income - Business Position Only

☐ \$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  
(For self-employed use Schedule A-2.)

☐ Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.)

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

☐ Loan repayment

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

(Describe)

☐ 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 ☐ No Income - Business Position Only

☐ \$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  
(For self-employed use Schedule A-2.)

☐ Partnership (Less than 10% ownership. For 10% or greater use Schedule A-2.)

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

☐ Loan repayment

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

(Describe)

☐ Other \_\_\_\_\_  
(Describe)

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

\* You are not required to report loans from a commercial lending institution, 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: \_\_\_\_\_