

# Application for Appointment to the City Council

## Personal Information

\* Are you a registered voter in South San Francisco?

Yes

\* **Name Used on Voter Registration (Last, First, Middle)**

Wong, Alan N

\* **Date of Birth**

\*\*\*\*\*

\* **District Area**

District 5

\* **Street Address**

\*\*\*\*\*

\* **City, State Zip**

South San Francisco CA 94080

\* **Preferred Phone Number**

\*\*\*\*\*

\* **Email**

\*\*\*\*\*

\* **Current Employer and Occupation**

Merrill Lynch - Financial Services

\* Does your position require filing a Form 700 – Statement of Economic Interest? If yes, please attach a copy of the most recent filing.

No

Attachment

Alan Wong Resume.pdf

**Please list any nonprofit organizations for which you are an officer.**

Chartered Financial Analyst Society of San Francisco (CFASF) - Board of Director President

## Questions directed by the City Council at its Regular Meeting of December 09, 2020:

\* **What do you view as the greatest issue presently confronting the City Council of the City of South San Francisco?**

Housing and traffic have already been well documented as important issues for the city. However, I believe the pandemic has brought other important concerns. One of them being how local small businesses have been impacted and the risk of larger companies downsizing to accommodate work from home policies or moving out of SSF to lower cost areas. We saw Oracle do this in RWC. These businesses help our local economy and provide funding for various city programs and we must work to keep them here

\* **What in your background will best prepare you to function as an elected official?**

I believe I have a good balance of institutional knowledge being on the Planning Commission the past 7 years along with a strong sense of our city's future by being actively involved in shaping the 20 year General Plan on the Community Advisory Committee. On PC, I've been honored to serve both Chair and Vice Chair twice, and was on the Housing Subcommittee which has given me a deep understanding of our city's development projects and ordinances.

\* **What role do you believe local government should fulfill in people's lives?**

At a high level, the role of local government is to improve the lives of its community. This should be done by effectively communicating with residents, weighing differing solutions, and setting clear policies through deliberation. More directly, Councilmembers need to listen to it's constituents concerns and create solutions. I think having

foresight for the long term good of the city is important to help create guiding principles for the city to follow.

\* If appointed, do you plan to run for city council in 2022?

No

Please include additional information and/or attach your resume.

Alan Wong Application.pdf

**\* By typing my name, I certify that, to the best of my knowledge, all statements in this application are complete and true. I agree and understand that any mis-statement of material fact will cause me to forfeit all rights to appointment to the City Council.**

Alan Wong

Once this form is submitted, you will receive a response from the Office of the City Clerk within three business days to provide you with information regarding the next steps. Please keep an eye out for this email. If you do not receive an email, please call us at (650) 877-8518.

THIS FORM IS A PUBLIC RECORD, DISCLOSABLE PURSUANT TO GOVT. CODE 6250 ET SEQ.

# **Alan Wong, CFA**

## **What do you view as the greatest issue presently confronting the City Council of the City of South San Francisco?**

Housing and traffic have already been well documented as important issues for the city. However, I believe the pandemic has brought other important concerns. One of them being how local small businesses have been impacted and the risk of larger companies downsizing to accommodate work from home policies or moving out of SSF to lower cost areas. We saw Oracle do this in RWC. These businesses help our local economy and provide funding for various city programs and we must work to keep them here.

Additionally, I think internet access and public Wi-Fi needs to be more accessible across the city and we should make a larger capital investment in this. Our reliance on the internet will only grow in the future and access should be available for those who need it whether for schooling or other services. Public-private partnerships could be looked at to help accomplish this.

Having two young kids, especially during the pandemic, I realize how important childcare is. We need to accommodate a larger number of childcare services even beyond the current plans for the new site to help bring down the long waitlist.

## **What in your background will best prepare you to function as an elected official?**

I believe I have a good balance of institutional knowledge being on the Planning Commission the past 7 years along with a strong sense of our city's future by being actively involved in shaping the 20 year General Plan on the Community Advisory Committee. On PC, I've been honored to serve both Chair and Vice Chair twice, and was on the Housing Subcommittee which has given me a deep understanding of our city's development projects and ordinances.

I also have experience working on a nonprofit organization as I'm currently President of the Board of Directors for the Chartered Financial Analyst (CFA) of San Francisco. In this role we set policies and strategies for the organization similar to what a Council does for a City.

I believe being actively involved in the community is important and have participated in the SSF Citizen's Academy, CERT training, and other community groups.

Since the appointee will be filling the two year term, whoever is selected should be able to contribute right away and I believe I have the background to do so and already know many members of staff.

# Alan Wong, CFA

## **What role do you believe local government should fulfill in people's lives?**

At a high level, the role of local government is to improve the lives of its community. This should be done by effectively communicating with residents, weighing differing solutions, and setting clear policies through deliberation. More directly, Council members need to listen to its constituents concerns and create solutions. I think having foresight for the long term good of the city is important to help create guiding principles for the city to follow.

I remember when I was younger meeting the Mayor of my local city. That had a big influence on me in a positive way and made me want to be more active in my community. It's important to remember the role we play to helping our younger generation and interacting with them is critical.

# Alan Wong, CFA

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## EDUCATION

**CFA Charterholder** – Professional designation in the financial field that requires passing three levels of test  
**University of California, Berkeley**

- Double majored in Economics and Political Science, minored in Education

**Junipero Serra High School, San Mateo**

## VOLUNTEER ORGANIZATIONS

**Chartered Financial Analyst Society of San Francisco**

*July 2014-Present*

*Board of Directors – Current President*

- Also served as Vice President last year and Secretary the year before
- Develop strategies to further education, thought leadership, and professional development in the SF Bay Area investment industry for an organization that has of 3600 members
- Was part of Governance Committee to help create best practices for a nonprofit professional Board
- Helped developed 3 year strategic plan with short, medium, and long term goals

**City of South San Francisco Planning Commission**

*Mar 2013-Present*

*Current Chair*

- Have served as Chair twice and Vice Chair twice
- Makes recommendation to the City Council as to the orderly, physical growth, and development of the community
- Was a member of the Housing Subcommittee that reviewed and provided input on development projects
- Actively participates in the General Plan Community Advisory Committee as an alternate to help guide the future vision of South San Francisco

**Previous Organizations** - Rotary International, Pi Kappa Phi Fraternity, SSF Citizens Academy, CERT training, and Alpha Phi Omega service fraternity

## EXPERIENCE

**Merrill Lynch Wealth Management:**

*Jun 2014 - Present*

*Vice President -Wealth Management Advisor*

- Manage wealth for individuals, families, and small businesses.
- Leads team to deliver exceptional customer service utilizing firm resources
- Listens to clients to help develop personalized financial plans
- Develop investment portfolios tailored to client's goals and risk appetite

**Merrill Lynch - Private Banking and Investment Group:**

*Oct 2006 – Jun 2014*

*Senior Financial Analyst*

- Corresponded with client's advisors (accountants, estate planners, family offices, etc) to gather relevant information and deliver customized solutions
- Created detailed reports to reflect client's performance returns, values, holdings, and risk measures
- Analyzed various investment vehicles and hedging solutions

**Morgan Stanley - Private Wealth Management:**

*Mar 2004 – Oct 2006*

- Frequently communicated with clients to provide high degree of personal service.
- Created operational efficiencies that helped provide institutional OTC products to Private Clients

**INTEREST** Bay Area sports, Traveling, Ironman Triathlon & Marathons, and Barbequing

COVER PAGE

A PUBLIC DOCUMENT

Filed Date: 03/29/2020 10:07 AM  
SAN: 121900272-STH-0272

Please type or print in ink.

NAME OF FILER (LAST) (FIRST) (MIDDLE)  
Wong Alan N

1. Office, Agency, or Court

Agency Name (Do not use acronyms)

City of South San Francisco

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, Retired Judge, Pro Tem Judge, or Court Commissioner (Statewide Jurisdiction)
- Multi-County \_\_\_\_\_  County of \_\_\_\_\_
- City of South San Francisco  Other \_\_\_\_\_

3. Type of Statement (Check at least one box)

- Annual: The period covered is January 1, 2019, through December 31, 2019.  Leaving Office: Date Left \_\_\_\_/\_\_\_\_/\_\_\_\_ (Check one circle.)
- or- The period covered is \_\_\_\_/\_\_\_\_/\_\_\_\_, through December 31, 2019.  The period covered is January 1, 2019, through the date of leaving office.
- Assuming Office: Date assumed \_\_\_\_/\_\_\_\_/\_\_\_\_  -or-  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: 7

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)

DAYTIME TELEPHONE NUMBER EMAIL ADDRESS  
( ) alanwongssf@gmail.com

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 03/29/2020 10:07 AM Signature  
(month, day, year) (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.

Name

Alan Wong

▶ NAME OF BUSINESS ENTITY  
Bank of America

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:  
 \_\_\_\_\_/\_\_\_\_\_/19      \_\_\_\_\_/\_\_\_\_\_/19  
 ACQUIRED      DISPOSED

▶ NAME OF BUSINESS ENTITY  
Disney Co

GENERAL DESCRIPTION OF THIS BUSINESS  
Media 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  
Berkshire Hathaway

GENERAL DESCRIPTION OF THIS BUSINESS  
Conglomerate

FAIR MARKET VALUE  
 \$2,000 - \$10,000       \$10,001 - \$100,000  
 \$100,001 - \$1,000,000       Over \$1,000,000

NATURE OF INVESTMENT  
 Stock       Other \_\_\_\_\_ (Describe)  
 Partnership       Income Received of \$0 - \$499  
 Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:  
 \_\_\_\_\_/\_\_\_\_\_/19      \_\_\_\_\_/\_\_\_\_\_/19  
 ACQUIRED      DISPOSED

▶ NAME OF BUSINESS ENTITY  
EP Energy Corp

GENERAL DESCRIPTION OF THIS BUSINESS  
Oil 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  
Chevron Corp

GENERAL DESCRIPTION OF THIS BUSINESS  
Oil Company

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  
Facebook

GENERAL DESCRIPTION OF THIS BUSINESS  
Social Media

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.

Name

Alan Wong

▶ NAME OF BUSINESS ENTITY  
**FOMO Eats LLC**

GENERAL DESCRIPTION OF THIS BUSINESS  
**Restaurant 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  
**Google**

GENERAL DESCRIPTION OF THIS BUSINESS  
**Internet Company**

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**

GENERAL DESCRIPTION OF THIS BUSINESS  
**Conglomerate**

FAIR MARKET VALUE  
 \$2,000 - \$10,000       \$10,001 - \$100,000  
 \$100,001 - \$1,000,000       Over \$1,000,000

NATURE OF INVESTMENT  
 Stock       Other \_\_\_\_\_ (Describe)  
 Partnership       Income Received of \$0 - \$499  
     Income Received of \$500 or More (Report on Schedule C)

IF APPLICABLE, LIST DATE:  
 \_\_\_\_/\_\_\_\_/19      \_\_\_\_/\_\_\_\_/19  
 ACQUIRED                  DISPOSED

▶ NAME OF BUSINESS ENTITY  
**Netflix**

GENERAL DESCRIPTION OF THIS BUSINESS  
**Media 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  
**Goldman Sachs**

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:  
 \_\_\_\_/\_\_\_\_/19      \_\_\_\_/\_\_\_\_/19  
 ACQUIRED                  DISPOSED

▶ NAME OF BUSINESS ENTITY  
**Valero Energy Corp**

GENERAL DESCRIPTION OF THIS BUSINESS  
**Oil Company**

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.

Name

Alan Wong

▶ NAME OF BUSINESS ENTITY  
Apple Inc

GENERAL DESCRIPTION OF THIS BUSINESS  
Consumer 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:  
04 / 08 / 19      \_\_\_\_\_ / \_\_\_\_ / 19  
 ACQUIRED                      DISPOSED

▶ NAME OF BUSINESS ENTITY  
Paypal Inc

GENERAL DESCRIPTION OF THIS BUSINESS  
Financial Payments

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 / 15 / 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

▶ 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

▶ 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: Apple was purchased on 1/27/16 and rose above \$2k on 4/8/19. Paypal was purchased on 8/24/18 and rose above \$2k on 3/15/19. The latter dates for each are listed above

**SCHEDULE A-2**  
**Investments, Income, and Assets**  
**of Business Entities/Trusts**  
(Ownership Interest is 10% or Greater)

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

Name  
Alan Wong

**▶ 1. BUSINESS ENTITY OR TRUST**

Alan Wong  
Name

101 California St, STE 2575  
Address (Business Address Acceptable)

Check one  
 Trust, go to 2     Business Entity, complete the box, then go to 2

**GENERAL DESCRIPTION OF THIS BUSINESS**  
Financial Services

FAIR MARKET VALUE                      IF APPLICABLE, LIST DATE:  
 \$0 - \$1,999                                      \_\_\_\_\_/\_\_\_\_\_/19                      \_\_\_\_\_/\_\_\_\_\_/19  
 \$2,000 - \$10,000                                      \_\_\_\_\_/\_\_\_\_\_/19                      \_\_\_\_\_/\_\_\_\_\_/19  
 \$10,001 - \$100,000                                      ACQUIRED                      DISPOSED  
 \$100,001 - \$1,000,000  
 Over \$1,000,000

NATURE OF INVESTMENT  
 Partnership     Sole Proprietorship     Employee     Other

YOUR BUSINESS POSITION Financial Advisor

**▶ 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

Merrill Lynch

**▶ 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                                      \_\_\_\_\_/\_\_\_\_\_/19                      \_\_\_\_\_/\_\_\_\_\_/19  
 \$10,001 - \$100,000                                      \_\_\_\_\_/\_\_\_\_\_/19                      \_\_\_\_\_/\_\_\_\_\_/19  
 \$100,001 - \$1,000,000                                      ACQUIRED                      DISPOSED  
 Over \$1,000,000

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

**▶ 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                      IF APPLICABLE, LIST DATE:  
 \$0 - \$1,999                                      \_\_\_\_\_/\_\_\_\_\_/19                      \_\_\_\_\_/\_\_\_\_\_/19  
 \$2,000 - \$10,000                                      \_\_\_\_\_/\_\_\_\_\_/19                      \_\_\_\_\_/\_\_\_\_\_/19  
 \$10,001 - \$100,000                                      ACQUIRED                      DISPOSED  
 \$100,001 - \$1,000,000  
 Over \$1,000,000

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

**▶ 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                                      \_\_\_\_\_/\_\_\_\_\_/19                      \_\_\_\_\_/\_\_\_\_\_/19  
 \$10,001 - \$100,000                                      \_\_\_\_\_/\_\_\_\_\_/19                      \_\_\_\_\_/\_\_\_\_\_/19  
 \$100,001 - \$1,000,000                                      ACQUIRED                      DISPOSED  
 Over \$1,000,000

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: \_\_\_\_\_



