

Financial Disclosures

Annual Report for Calendar 2015

The Honorable Brian E Schatz (Schatz, Brian)

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The following statements were checked before filing:

- I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.
- I omitted assets because they meet the three-part test for exemption.

Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria

Did any individual or organization pay you or your spouse more than \$200 or donate any amount to a charity on your behalf, for an article, speech, or appearance? **No**

Part 2. Earned and Non-Investment Income

Did you or your spouse have reportable earned income or non-investment income? **Yes**

#	Who Was Paid	Type	Who Paid	Amount Paid
1	Self	Pension	Employee's Retirement System of the State of Hawaii Honolulu, HI	\$34,888.32
2	Spouse	Salary	Forest City Enterprises Cleveland, OH	> \$1,000

Part 3. Assets

Did you, your spouse, or dependent child own any asset worth more than \$1000, have a deposit account with a balance over \$5,000, or receive income of more than \$200 from an asset? **Yes**

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income</u>	
					<u>Type</u>	<u>Income</u>
1	Bank of Hawaii (Honolulu, HI) Type: Checking, Savings,	eFD: Home Deposit eFD: Home https://efdsearch.senate.gov/search/home/		\$1,001 - \$15,000	Interest,	None (or less than \$201)

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<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
2 Brookfield 401(k)	Retirement Plans Defined Contribution Pension Plan	Spouse			
2.1 Wellington Select Fundamental Value Fund	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
2.2 PRSGX - T. Rowe Price Spectrum Growth (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.3 AEFGX - American Funds EuroPacific Gr A (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3 Employee's Retirement System of the State of Hawaii	Retirement Plans Defined Benefit Pension Plan	Self	Unascertainable	Excepted Investment Fund,	\$15,001 - \$50,000
4 TIAA-CREF Research Corp of UH Retirement	Retirement Plans Defined Contribution Pension Plan	Self			
4.1 CREF Stock	Corporate Securities Stock	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
4.2 TIQRX - TIAA-CREF Equity Index R (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000 hide me	Excepted Investment Fund,	\$201 - \$1,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
4.3	<u>TRSCX</u> - TIAA-CREF Social Choice Eq Retire (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
4.4	<u>TRRSX</u> - TIAA-CREF Real Estate Sec Retire (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
5	Mutual of America 403(b) Thrift	Retirement Plans IRA	Self			
5.1	<u>MASSX</u> - Mutual of America Small Cap Growth Instl (NASDAQ)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
5.2	<u>MAVSX</u> - Mutual of America Small Cap Value Instl (NASDAQ)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
5.3	Mutual of America - Calvert VP SRI Balanced Portfolio	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
5.4	Mutual of America - Fidelity Investments VIP Contrafund	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
6	American Funds 529 <i>Institution: American Funds</i>	Education Savings Plans 529 College Savings Plan	Joint			

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	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
6.1	<u>CWMAX</u> - American Funds Washington Mutual 529A (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
6.2	<u>CWMBX</u> - American Funds Washington Mutual 529B (NASDAQ)	Mutual Funds Mutual Fund	Joint	None (or less than \$1,001)	Excepted Investment Fund,	None (or less than \$201)
6.3	<u>CGFAX</u> - American Funds Growth Fund of Amer 529A (NASDAQ)	Mutual Funds Mutual Fund	Joint	None (or less than \$1,001)	Excepted Investment Fund,	None (or less than \$201)
6.4	<u>CBOAX</u> - American Funds Interm Bd Fd of Amer 529A (NASDAQ)	Mutual Funds Mutual Fund	Joint	None (or less than \$1,001)	Excepted Investment Fund,	None (or less than \$201)
6.5	<u>CICAX</u> - American Funds Invmt Co of Amer 529A (NASDAQ)	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
6.6	<u>CICBX</u> - American Funds Invmt Co of Amer 529B (NASDAQ)	Mutual Funds Mutual Fund	Joint	None (or less than \$1,001)	Excepted Investment Fund,	None (or less than \$201)
7	T. Rowe Price (Kamehameha Schools 401(K))	Retirement Plans Defined Contribution Pension Plan	Spouse			
7.1	T. Rowe Price Retirement 2040 Fund	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000 hide me	Excepted Investment Fund,	None (or less than \$201)

Part 4a. Periodic Transaction Report Summary

In this section, electronically filed periodic transaction report (PTR) transactions are displayed for you. Have you filed any paper-based PTRs in this period? **No**

Part 4b. Transactions

Did you, your spouse, or dependent child buy, sell, or exchange an asset that exceeded \$1,000? **No**

Part 5. Gifts

Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **Yes**

#	Date	Recipient	Gift	Value	From
1	10/21/2015	Self	"Enough Good People" Award (framed print)	\$500.00	American Indian Alaska Native Tourism Association Albuquerque, NM

Part 6. Travel

Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel? **No**

Part 7. Liabilities

Did you, your spouse, or dependent child have a liability worth more than \$10,000 at any time? **Yes**

#	Incurred	Debtor	Type	Rate		Amount	Creditor	Comments
				Points	(Term)			
1	2013	Joint	Mortgage	0	3.750% (30)	\$500,001 - \$1,000,000	First Hawaiian Bank Honolulu, HI	-
2	2013	Joint	Home Equity Line of Credit	-	1.99% (30)	\$15,001 - \$50,000	First Hawaiian Bank Honolulu, HI	-

Part 8. Positions

Did you hold any outside positions during the reporting period? **No**

Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **Yes**

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#	Date	Parties Involved	Type	Status and Terms
1	Dec 2009	State of Hawaii Honolulu, HI	Continuing participation in an employee benefit plan	Pension distributions were received.

Part 10. Compensation

If this is your first report, or you are a candidate did you receive compensation of more than \$5,000 from a single source in the two prior years? No

Attachments & Comments

No attachments added.

No comments added.

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