

**Mail to:**  
IECDB  
510 East 12th, Suite 1A  
Des Moines, Iowa 50319  
Or Fax: (515)281-3701

Reset Form

FORM  
PFD  
For office use only

# Iowa Ethics and Campaign Disclosure Board

Required by Iowa Code section 68B.35, 68B.3(2), and rules in 351 – Chapter 7.

## Personal Financial Disclosure Statement

Name: John Baldwin

Please type or print legibly

Agency or department: Corrections

Position held: Interim Director

Statewide office sought (non-incumbent candidates only): \_\_\_\_\_

This statement is for Calendar Year 2006. Check if this is an amended statement.

**This statement is required to cover the calendar year preceding the year the report is due.**

**General instructions: Complete each of Parts A, B, and C below. Attach additional pages if necessary.**

\* \* \* \* \*

**Part A. Business, Occupation, or Profession.** By position or job title, list each business, occupation, or profession in which you were engaged during the previous calendar year, including the name and nature of each business or employer. If you were not employed by anyone other than the agency and for the position held above check here.

- 1. Corrections --State of Iowa
- 2. \_\_\_\_\_

**Part B. Income sources of more than \$1,000.** In the categories below list each source from which you received **more than \$1000** in gross annual income during the previous calendar year. **The amount or value of the holding is not required to be listed.** This includes the total amount of any income received jointly with one or more persons exceeding \$1000. Do not report income received solely by your spouse or other family members. A source is reportable if the gross income produced was subject to federal or state income tax during the reporting period. If you have nothing to report under Part B check here.

**1. Securities.** List any company in which you owned securities

- 1. See Attached: Securities in yellow
- 2. and financial institutions not highlighted
- 3. \_\_\_\_\_

**2. Instruments of Financial Institutions.** List the institutions from which you received annual gross income such as certificates of deposit or savings accounts.

Reset Form

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**3. Trusts.** State the nature or type of the trusts.

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**4. Real Estate.** List the nature of real estate interests including an interest from which income was derived from the selling of property. Do not list the location, address, or legal description

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**5. Retirement Systems.** List the name of the employer/sponsor of any retirement benefit system.

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**6. Sales to political subdivisions.** List any sales of a good or service to a political subdivision of the state if a commission from the sale was received.

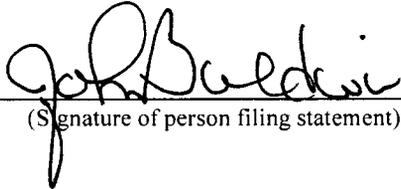
1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

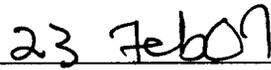
**7. Other.** List other sources of annual gross income not reported above that were reported for tax purposes.

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

**Part C. Certified Signature.**

I certify that this statement is true and accurate to the best of my knowledge. I understand that I am subject to potential civil and criminal penalties for failing to file an accurate statement or for failing to file this statement by the required due date.

  
\_\_\_\_\_  
(Signature of person filing statement)

  
\_\_\_\_\_  
(Date)



Prepared by: Chuck Hartlieb  
515 283 7060

Symbol\CUSIP	Description
LSBRX	LOOMIS SAYLES BOND FUND RETAIL
VUG	VANGUARD GROWTH
PFG	PRINCIPAL FINANCIAL GROUP INC
VTV	VANGUARD VALUE ETF
FPL	FPL GROUP INC
#SBCX	SB MONEY FUNDS CASH PORT CL A
VZ	VERIZON COMMUNICATIONS
NHMAX	NUVEEN HIGH YIELD MUNI BD FD
TIP	ISHARES TRUST LEHMAN TIPS
VWO	VANGUARD INTL EQUITY INDEX FD
FE	FIRSTENERGY CORP
VBK	VANGUARD SMALL-CAP GROWTH
LNT	ALLIANT ENERGY CORP-USD
WYE	WYETH
VBR	VANGUARD SMALL-CAP VALUE
#VALUC	LMP FUNDMIL VALUE C
IAR	IDEARC INC
ALU	*** ALCATEL-LUCENT ADR
TOTALS	



Prepared by: Chuck Hartlieb  
515 283 7060

Symbol\CUSIP	Description
#SBCX	SB MONEY FUNDS CASH PORT CL A
TEVA	*** TEVA PHARMACEUTICAL INDS
KGPHY	*** KINGFISHER PLC
EON	*** E ONAG SPONS ADR
SHG	*** SHINHAN FINANCIAL GRP CO
ERJ	*** EMBRAER-EMPRESA BRASILERIA
UBS	*** UBS AG (NEW)
RHHBY	*** ROCHE HLDG LTD SPON ADR
NOK	*** NOKIA CORP SPONSORED ADR
NVS	*** NOVARTIS AG ADR
AIB	*** ALLIED IRISH BKS SPON ADR
WMMVY	*** WAL-MART DE MEXICO SA DE
AMX	*** AMERICA MOVIL S.A.B DE CV
BCS	*** BARCLAYS PLC-ADR
LYG	*** LLOYDS TSB GRP PLC SP ADR
E	*** ENI SPA SPONSORED ADR
DOX	AMDOCS LTD
TM	*** TOYOTA MOTOR CORP ADR NEW
CHL	*** CHINA MOBILE LTD
RG	*** ROGERS COMMUNICATIONS INC
ADDYY	*** ADIDAS AG SPON ADR
KMTUY	*** KOMATSU LTD ADR NEW
SNP	*** CHINA PETROLEUM&CHEM ADR
FTE	*** FRANCE TELECOM SA SPON ADR
CNQ	*** CANADIAN NATURAL RES LTD
AIQUY	*** AIR LIQUIDE ADR
CSG	*** CADBURY SCHWEPPES PLC ADR
VOD	*** VODAFONE GROUP PLC SPONS
NVO	*** NOVO-NORDISK A S ADR
TEF	*** TELEFONICA S.A. SPON ADR

The above summary/prices/quotes/statistics have been obtained from sources believed to be reliable. All transactions processed by Smith Barney, and as such superfluous Smith Barney is a division and service mark of Citigroup Global Markets Inc. Merit Independent, third-party research on certain companies covered by the firm's research that a copy of this research be sent to them.



Prepared by: Chuck Hartlieb  
515 283 7060

Symbol\CUSIP	Description
SBMRY	*** SABMILLER PLC SPON ADR
RTP	*** RIO TINTO PLC-GBP
SSDOY	*** SHISEIDO LTD SPONSORED ADR
ABOYY	*** ALLIANCE BOOTS PLC ADR
BKJAY	*** BANK YOKOHAMA LTD JAPAN
CCL	*** CARNIVAL CORP
PMMAY	*** PUMA AGR DASSLER SPORT
SLB	*** SCHLUMBERGER LTD
PCU	SOUTHERN COPPER CORP DEL
SAY	*** SATYAM COMPUTER SERVICES
MDIUY	*** MEDIASET S P A SPONSORED
SOMLY	*** SECOM LTD ADR
POT	*** POTASH CORP SASK INC-
NIHD	NIH HLDGS INC CLASS B NEW
LOGI	*** LOGITECH INTERNATIONAL SA,
NTDOY	*** NINTENDO CO LTD ADR NEW
TOTALS	

The above summary/prices/quotes/statistics have been obtained from sources believed to be reliable. All transactions processed by Smith Barney, and as such superfluous Smith Barney is a division and service mark of Citigroup Global Markets Inc. Merit Independent, third-party research on certain companies covered by the firm's research that a copy of this research be sent to them.