

## HAWAII STATE ETHICS COMMISSION DISCLOSURE OF FINANCIAL INTERESTS: LONG FORM

<b>FILER</b>		
LIM	RICHARD	C.
Last Name	First Name	M.I.

<b>FOR STATE EMPLOYEES</b> DBEDT Department Director's Office Division Director Position	<b>FOR STATE BOARD/COMMISSION MEMBERS</b>  Board/Commission Name  <b>BEGIN</b> <span style="float: right;"><b>END</b></span> <i>Term of Office (mm/dd/yyyy)</i>
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**FOR EACH ITEM, EXCEPT ITEM 9, DISCLOSE INTERESTS OF FILER, SPOUSE, AND DEPENDENT CHILDREN.**  
 USE ABBREVIATIONS: "F" for filer, "SP" for spouse, "DC" for dependent children, and "JT" for joint interests of the spouse and filer.

**ITEM 1: INCOME FOR SERVICES RENDERED FOR PRECEDING CALENDAR YEAR**

List the source and amount of all income of \$1,000 or more received during the preceding calendar year for services rendered (INCLUDING INCOME EARNED FROM YOUR STATE POSITION), and the nature of the services rendered.

F, SP, DC, JT	NAME AND ADDRESS OF SOURCE OF INCOME	AMOUNT	SERVICES RENDERED
F	State of Hawaii Dept. of Business, Economic Development & Tourism P.O. Box 2359 Honolulu, HI 96804	F	Employee
<input type="checkbox"/> Check here if entry is None		<input type="checkbox"/> Check here if additional sheets are attached	

**ITEM 2: OWNERSHIP OR BENEFICIAL INTERESTS IN BUSINESSES**

List the amount and identity of every ownership or beneficial interest held during the disclosure period in any business in or outside of the State if the interest has a value of \$5,000 or more or is equal to 10% or more of the ownership of the business. YOU ARE REQUIRED TO LIST ALL STOCKS, MUTUAL FUNDS OR OTHER NON-RETIREMENT INVESTMENT INTERESTS VALUED AT \$5,000 OR MORE. Please see instructions available at <http://hawaii.gov/ethics>.

F, SP, DC, JT	BUSINESS NAME AND ADDRESS	NATURE OF BUSINESS	NATURE OF INTEREST	VALUE OR NO. OF SHARES
F	It's All About Kids, LLC 737 Bishop Street, Suite 3180 Honolulu, HI 96813	Internet	Limited partnership	C
F	HNS Investors, LLC Pioneer Plaza 900 Fort Street Mall, Suite 1800 Honolulu, HI 96813	Technology	Limited partnership	C
<input type="checkbox"/> Check here if entry is None		<input checked="" type="checkbox"/> Check here if additional sheets are attached		

**ITEM 3: TRANSFER OF OWNERSHIP OR BENEFICIAL INTERESTS IN BUSINESSES**

List any ownership or beneficial interests in businesses transferred during the disclosure period and the date of transfer.

F, SP, DC, JT	OWNERSHIP OR BENEFICIAL INTEREST TRANSFERRED DURING THIS DISCLOSURE PERIOD	DATE OF TRANSFER
	See attachment.	
<input type="checkbox"/> Check here if entry is None <input checked="" type="checkbox"/> Check here if additional sheets are attached		

**ITEM 4: CREDITORS**

List the name of each creditor to whom the value of \$3,000 or more was owed during the disclosure period and the original amount and amount outstanding. Exclude debts from retail installment transactions for the purchase of consumer goods.

F, SP, DC, JT	NAME OF CREDITOR	ORIGINAL AMOUNT OWED	AMOUNT OUTSTANDING
F	Bank of America	H	G
<input type="checkbox"/> Check here if entry is None <input type="checkbox"/> Check here if additional sheets are attached			

**ITEM 5: OFFICERSHIPS, DIRECTORSHIPS, TRUSTEESHIPS**

List every officership, directorship, trusteeship, or other fiduciary relationship held during the disclosure period in any business or organization, the term of office, and the annual compensation.

F, SP, DC, JT	NAME AND ADDRESS OF BUSINESS	TITLE HELD	TERM OF OFFICE	ANNUAL COMPENSATION
	See attachment.			
<input type="checkbox"/> Check here if entry is None <input checked="" type="checkbox"/> Check here if additional sheets are attached				

**ITEM 6: INTERESTS IN REAL PROPERTY HELD, EXCLUDING PERSONAL RESIDENCE(S)**

List interests in real property in or outside of the State held during the disclosure period, if the interest has a value of \$10,000 or more. Real property that is your personal residence or the personal residence of your spouse or dependent children need not be listed.

F,SP, DC,JT	STREET ADDRESS	TAX MAP KEY NUMBER (IF TAX MAP KEY NUMBER EXISTS)	VALUE
JT	4970 Kilauea Avenue, #311 Honolulu, HI 96815	1-3-5-017-035-0171-000	H

Check here if entry is None

Check here if additional sheets are attached

**ITEM 7: INTERESTS IN REAL PROPERTY ACQUIRED, EXCLUDING PERSONAL RESIDENCE(S)**

List interests in real property in or outside of the State acquired during the disclosure period, if the interest has a value of \$10,000 or more. Real property that is your personal residence or the personal residence of your spouse or dependent children need not be listed.

F,SP, DC,JT	STREET ADDRESS AND TAX MAP KEY NUMBER (IF TAX MAP KEY NUMBER EXISTS)	AMOUNT & NATURE OF CONSIDERATION PAID	NAME OF PERSON RECEIVING THE CONSIDERATION

Check here if entry is None

Check here if additional sheets are attached

**ITEM 8: INTERESTS IN REAL PROPERTY TRANSFERRED, EXCLUDING PERSONAL RESIDENCE(S)**

List interests in real property in or outside of the State transferred during the disclosure period, if the interest has a value of \$10,000 or more. Real property that was your personal residence or the personal residence of your spouse or dependent children need not be listed.

F,SP, DC,JT	STREET ADDRESS AND TAX MAP KEY NUMBER (IF TAX MAP KEY NUMBER EXISTS)	AMOUNT & NATURE OF CONSIDERATION RECEIVED	NAME OF PERSON FURNISHING THE CONSIDERATION

Check here if entry is None

Check here if additional sheets are attached

**ITEM 9: CLIENTS PERSONALLY REPRESENTED BEFORE STATE AGENCIES**

List the names of clients personally represented by you before state agencies, except in ministerial matters, for a fee or compensation during the disclosure period, excluding clients represented before courts.

NAME OF CLIENT	NAME OF STATE AGENCY
<input checked="" type="checkbox"/> Check here if entry is None <input type="checkbox"/> Check here if additional sheets are attached	

**ITEM 10: CREDITOR INTERESTS IN INSOLVENT BUSINESSES**

List the amount and identity of every creditor interest in insolvent businesses, held during the disclosure period, if the interest has a value of \$5,000 or more.

F, SP, DC, JT	NAME AND ADDRESS OF BUSINESS	NATURE OF BUSINESS	NATURE OF INTEREST	VALUE
<input checked="" type="checkbox"/> Check here if entry is None <input type="checkbox"/> Check here if additional sheets are attached				

**FILER**

Richard C. Lim

5/23/2014

Type Name of Filer (First, M.I., Last)(Signature required on this line if you are filing a paper form)

Date (m/d/yyyy)

**CERTIFICATION:** By checking this box or signing your name on this form, you signify and affirm that you are the person whose name appears as the "Filer" above and the information contained in the form is true, correct and complete to the best of your knowledge and belief. You further certify that you understand that there are statutory penalties for failing to report the information required by Hawaii law.

**HAWAII STATE ETHICS COMMISSION  
DISCLOSURE OF FINANCIAL INTERESTS (LONG FORM)  
ATTACHMENT**

**Richard Curtis Lim  
April 30, 2014**

**ITEM 2: OWNERSHIP OR BENEFICIAL INTERESTS IN BUSINESSES**

<b>F, SP, DC, JT</b>	<b>BUSINESS NAME AND ADDRESS</b>	<b>NATURE OF BUSINESS</b>	<b>NATURE OF INTEREST</b>	<b>VALUE OR NO. OF SHARES</b>
F	Ansera Ventures II 560-1188 West Georgia Street Vancouver, BC, Canada V644A2	Investments	Limited Partnership	E
F	Araca Opportunistic Value Fund II LLC 1006 Mokulua Drive Kailua, HI 96734	Real Estate	Limited Partnership	D
F	BBiTV Davies Pacific Center, Suite 1700 841 Bishop Street Honolulu, HI 96813	Technology	Limited Partnership	C
F	Chipin Equities I, LLC 2800 Woodlawn Drive, Suite 138 Honolulu, HI 96822	Internet	Limited Partnership	D
F	Diamond Head Capital International LP 3693 Diamond Head Circle Honolulu, HI 96815	Hedge Fund	Limited Partnership	C
F	JCM Investments LP 560-1188 West Georgia Street Vancouver, BC, Canada V644A2	Investments	Limited Partnership	G
F	Kolohala Uboost Investments LLC 900 Fort Street Mall, Suite 1570 Honolulu, HI 96813	Internet	Limited Partnership	D
F	R2J LLC 841 Bishop Street, Suite 860 Honolulu, HI 96813	Real Estate	Limited Partnership	B
F	R2BD LLC 841 Bishop Street, Suite 860 Honolulu, HI 96813	Real Estate	Limited Partnership	H
F	R3BST LLC 841 Bishop Street, Suite 860 Honolulu, HI 96813	Real Estate	Limited Partnership	H
F	Radiance Rewards, LLC 3475 West Oak Trail Road Santa Ynez, CA 93460	Technology	Limited Partnership	F
F	Saratoga Ventures V, LP 5201 Great America Parkway, #3302 Santa Clara, CA 95054	Medical Devices	Limited Partnership	E
F	Sennet Capital LLC 560-1188 West Georgia Street Vancouver, BC, Canada V644A2	Merchant Banking	Limited Partnership	C
F	Sky Capital LLC 1068 Noio Street Honolulu, HI 96816	Investments	Limited Partnership	E
F	Tempest Investors LLC 841 Bishop Street, Suite 1515 Honolulu, HI 96813	Film	Limited Partnership	D

F, SP, DC, JT	BUSINESS NAME AND ADDRESS	NATURE OF BUSINESS	NATURE OF INTEREST	VALUE OR NO. OF SHARES
F	Abbott Labs c/o Morgan Stanley	Healthcare	Stock	C
F	Allscripts Healthcare Solution Inc c/o Morgan Stanley	Healthcare	Stock	C
F	Amazon Com, Inc c/o Morgan Stanley	Retail	Stock	B
F	Anheuser Busch c/o Morgan Stanley	Food & Beverage	Stock	D
F	Arch Coal Inc c/o Royal Alliance	Coal	Stock	B
F	AT&T, Inc c/o Morgan Stanley	Telecomm	Stock	C
F	Bank of Hawaii c/o Royal Alliance	Finance	Stock	D
F	Blackrock MuniYield California c/o Morgan Stanley	Asset management	Stock	B
F	Caterpillar Inc c/o Morgan Stanley	Manufacturing	Stock	C
F	CBS Corp c/o Morgan Stanley	Mass media	Stock	C
F	Central Pacific Financial Corp c/o Royal Alliance	Finance	Stock	E
F	Citigroup Inc c/o Morgan Stanley	Finance	Stock	C
F	Cohen & Steers Infrastructure c/o Morgan Stanley	Asset Management	Stock	B
F	Colgate Palmolive Co c/o Morgan Stanley	Consumer products	Stock	C
F	Columbia Property Trust Inc c/o Morgan Stanley	Asset management	Stock	C
F	ConAgra Foods, Inc. c/o Morgan Stanley	Agriculture	Stock	D
F	Conoco Phillips c/o Morgan Stanley	Energy	Stock	C
F	Costamare Inc c/o Morgan Stanley	Shipping	Stock	C
F	Crown Castle Intl Corp c/o Morgan Stanley	Telecomm	Stock	C
F	Dow Chemical Corp c/o Morgan Stanley	Chemical	Stock	C
F	Exelon Corp c/o Morgan Stanley	Energy	Stock	A
F	Exxon Mobil Corp c/o Morgan Stanley	Oil, Gas	Stock	B
F	Freeport-McMoran c/o Royal Alliance	Mining	Stock	C
F	HCA Holdings Inc c/o Morgan Stanley	Healthcare	Stock	B
F	Hewlett Packard Co c/o Morgan Stanley	Technology/computers	Stock	B
F	iPath Dow Jones c/o Morgan Stanley	Index	Stock	D
F	IShares S&P Global Timber & Wood c/o Morgan Stanley	Forestry	Stock	C
F	IShares Tr Barclays c/o Royal Alliance	Bank	Stock	D
F	Johnson & Johnson c/o Morgan Stanley	Pharmaceutical	Stock	C

F, SP, DC, JT	BUSINESS NAME AND ADDRESS	NATURE OF BUSINESS	NATURE OF INTEREST	VALUE OR NO. OF SHARES
F	JP Morgan Chase & Co c/o Morgan Stanley	Finance	Stock	C
F	Kimberly Clark Corp c/o Morgan Stanley	Consumer Goods	Stock	C
F	Las Vegas Sands Corp c/o Royal Alliance	Hospitality	Stock	D
F	Mainstay Marketfield c/o Morgan Stanley	Asset management	Stock	D
F	Market Vectors ETF c/o Royal Alliance	Steel, Gold, Metals	Stock	F
F	Matthews Asia Dividend c/o Morgan Stanley	Asset Management	Stock	F
F	McDonald's Corp c/o Royal Alliance, Morgan Stanley	Food & Beverage	Stock	E
F	Norfolk Southern Corp c/o Morgan Stanley	Transportation	Stock	C
F	NRG Energy Inc c/o Morgan Stanley	Energy	Stock	C
F	Oracle Corp c/o Morgan Stanley	Technology	Stock	C
F	Pepsico Corp c/o Royal Alliance	Food & Beverage	Stock	C
F	Petroleo Brasil c/o Morgan Stanley	Petroleum	Stock	C
F	Pfizer, Inc c/o Morgan Stanley	Pharmaceutical	Stock	D
F	Philip Morris International c/o Morgan Stanley	Tobacco	Stock	C
F	PPL Corp c/o Morgan Stanley	Utility	Stock	C
F	Prospect Capital Corp c/o Royal Alliance	Asset Management	Stock	E
F	Salient MLP & Energy c/o Morgan Stanley	Energy	Stock	D
F	Sempra Energy c/o Morgan Stanley	Energy	Stock	C
F	Sunpower Corp c/o Morgan Stanley	Energy	Stock	D
F	Symetra Financial Corp c/o Royal Alliance	Finance	Stock	D
F	Telus Corp c/o Morgan Stanley	Telecommunications	Stock	C
F	Third Point Reinsurance Ltd c/o Morgan Stanley	Insurance	Stock	C
F	Vale SA c/o Royal Alliance	Mining	Stock	B
F	Vanguard Dividend c/o Morgan Stanley	Stock Fund	Stock	D
F	Wells Fargo & Co c/o Royal Alliance	Financial	Stock	C
F	Williams Companies, Inc. c/o Morgan Stanley	Oil	Stock	C
F	Wisdom Tree Emerging Markets Equity c/o Morgan Stanley	Asset Management	Stock	C
F	Zais Financial Corp c/o Morgan Stanley	Finance	Stock	C
SP	Alexander & Baldwin c/o Royal Alliance	Real Estate	Stock	C

<b>F, SP, DC, JT</b>	<b>BUSINESS NAME AND ADDRESS</b>	<b>NATURE OF BUSINESS</b>	<b>NATURE OF INTEREST</b>	<b>VALUE OR NO. OF SHARES</b>
SP	Arch Coal, Inc c/o Royal Alliance	Coal	Stock	B
SP	Bank of Hawaii Corp. c/o Royal Alliance	Bank	Stock	D
SP	Central Pacific Financial Corp c/o Royal Alliance	Finance	Stock	E
SP	Claymore Exchange c/o Royal Alliance	Shipping	Stock	B
SP	Conoco Phillips P.O. Box 2197 Houston, TX 77252-2197	Oil	Stock	D
SP	Janus Triton Fund c/o Royal Alliance	Asset Management	Stock	D
SP	Las Vegas Sands Corp. c/o Royal Alliance	Gambling	Stock	D
SP	Market Vectors c/o Royal Alliance	Steel, Gold	Stock	F
SP	McDonald's Corp. c/o Royal Alliance	Food & Beverage	Stock	E
SP	MGM Resorts International c/o Royal Alliance	Hospitality	Stock	B
SP	Pepsico, Inc c/o Royal Alliance	Food & Beverage	Stock	C
SP	Prospect Capital c/o Royal Alliance	Asset Management	Stock	E
SP	Symetra Financial Corp c/o Royal Alliance	Finance	Stock	D
SP	Vale SA c/o Royal Alliance	Mining	Stock	B



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**ITEM 3: TRANSFER OF OWNERSHIP OR BENEFICIAL INTERESTS IN BUSINESSES**

F, SP, DC, JT	OWNERSHIP OR BENEFICIAL INTEREST TRANSFERRED DURING THIS DISCLOSURE PERIOD	DATE OF TRANSFER
F	Guggenheim FDS c/o Royal Alliance	1/14
F	Abbvie Inc c/o Morgan Stanley	1/14
F	Alexander & Baldwin c/o Royal Alliance	1/14
F	Altria Group Inc. c/o Morgan Stanley	3/14
F, SP	Annaly Capital Management c/o Morgan Stanley, Royal Alliance	10/13
F	Apache Corp c/o Morgan Stanley	12/13
F, SP	Bunge Limited c/o Royal Alliance	2/14
F	Century Link Inc c/o Morgan Stanley	11/13
F	Digital Realty Trust Inc c/o Morgan Stanley	10/13
F	Doubleline Total Ret c/o Morgan Stanley	11/13
F	El Paso Pipeline Partners LP c/o Morgan Stanley	2/14
F	Enterprise Products Partners c/o Morgan Stanley	2/14
F	Exelon Corp c/o Morgan Stanley	10/13
F	John Hancock Floating Rate Income Fund c/o Royal Alliance	3/14
F	Kinder Morgan Holding Co c/o Morgan Stanley	12/13
F	Morgan Stanley Bank c/o Morgan Stanley	2/14
F	Potash Corp of Saskatchewan c/o Morgan Stanley	7/13
F	Sinocoking Coal & Coke Chemical c/o Royal Alliance	10/13
F	Vanguard MSCI Emerging Markets c/o Morgan Stanley	1/14
F	Vodafone GP c/o Morgan Stanley	3/14

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**ITEM 5: OFFICERSHIPS, DIRECTORSHIPS, TRUSTEESHIPS**

<b>F, SP, DC, JT</b>	<b>NAME AND ADDRESS OF BUSINESS</b>	<b>TITLE HELD</b>	<b>TERM OF OFFICE</b>	<b>ANNUAL COMPENSATION</b>
F	Chaminade University 3140 Waiialae Avenue Honolulu, HI 96816	Board of Advisors	2010 - present	A
F	Daihonzan Chozenji 3565 Kalihi Street Honolulu, HI 96819	Director	2005 - present	A
F	Pacific Rim Foundation 2229 Hikino Street Honolulu, HI 96821	Director	1990 – present	A