

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

**FILER**  
**Bal** **Eugene** M.I.  
 Last Name First Name

<b>FOR STATE EMPLOYEES</b>  Department  Division  Position	<b>FOR STATE BOARD/COMMISSION MEMBERS</b> University of Hawaii Board of Regents Board/Commission Name 07/31/2013 <span style="float: right;">06/30/2018</span> <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 OF EMPLOYER / OTHER SOURCE(S) OF INCOME	AMOUNT	SERVICES RENDERED
F	SRI International	B	Consulting
<input type="checkbox"/> Check here if entry is None <span style="margin-left: 200px;"><input type="checkbox"/> Check here if additional sheets are attached</span>			

**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://ethics.hawaii.gov>.

F, SP, DC, JT	NAME OF BUSINESS	NATURE OF BUSINESS	NATURE OF INTEREST	VALUE OR NO. OF SHARES
F	Eugene Bal III	Consulting	Sole Proprietor	D
<input type="checkbox"/> Check here if entry is None <span style="margin-left: 200px;"><input checked="" type="checkbox"/> Check here if additional sheets are attached</span>				

**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

Check here if entry is None

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

Check here if entry is None

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 OF BUSINESS	TITLE HELD	TERM OF OFFICE	ANNUAL COMPENSATION
F	University of Hawaii Board of Regents	Regent/Vice Chair	07/2013 - 06/2018	\$ 0
F	Research Corporation of the University of Hawaii	Director/Vice Chair	09/2014 - Present	\$ 0
F	Maui County Council of the Boy Scouts of America	Director/President	02/2012 - Present	\$ 0
SP	Nisei Veterans Memorial Center	Director/Secretary	07/2007 - Present	\$ 0

Check here if entry is None

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	322 Molokai Hema Street Kahului, HI 96732	2380200040000	G

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

Check here if entry is None
  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 OF BUSINESS	NATURE OF BUSINESS	NATURE OF INTEREST	VALUE

Check here if entry is None
  Check here if additional sheets are attached

**FILER**

Eugene Bal

5/17/2015

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.

Form D-201, Financial Disclosure – Ethics Commission

2014 (Filed in 2015)

Item 2. Ownership or Beneficial Interests in Businesses

F, SP, DC, JT	Name of Business	Nature of Business	Nature of Interest	Value or No. of Shares
JT	Miller/Howard Income Equity	Mutual Fund	Shareholder	F
JT	Federated Investors	Mutual Fund	Shareholder	E
JT	Schafer Cullen Capital Mgt	Mutual Fund	Shareholder	E
JT	Berkshire Hathaway	Stock	Shareholder	C
JT	Exxon Mobil	Stock	Shareholder	B
JT	Johnson & Johnson	Stock	Shareholder	C
JT	Microsoft	Stock	Shareholder	G
JT	Maui Soda & Ice Works	Stock	Shareholder	D
JT	Bernstein Diversified Muni	Mutual Fund	Shareholder	D
JT	T. Rowe Price Summit Muni	Mutual Fund	Shareholder	C
JT	Thornburg Intermed Muni	Mutual Fund	Shareholder	C
JT	Vanguard Tax Exempt	Mutual Fund	Shareholder	B
JT	Wells Fargo Ultra S/T Muni	Mutual Fund	Shareholder	D
JT	American Century Value	Mutual Fund	Shareholder	C
JT	Artisan Mid Cap	Mutual Fund	Shareholder	C
JT	Dreyfus Tax Managed	Mutual Fund	Shareholder	B
JT	IShares Russell 2000	Mutual Fund	Shareholder	B
JT	Nationwide Geneva	Mutual Fund	Shareholder	B
JT	Vanguard Growth	Mutual Fund	Shareholder	C
JT	Vanguard REIT	Mutual Fund	Shareholder	B
JT	Vanguard Value	Mutual Fund	Shareholder	B
JT	Aberdeen-EQY	Mutual Fund	Shareholder	C
JT	American Europacific	Mutual Fund	Shareholder	C
JT	AQR Managed Futures	Mutual Fund	Shareholder	B
JT	PIMCO Emerging Local	Mutual Fund	Shareholder	B