

HAWAII STATE ETHICS COMMISSION DISCLOSURE OF FINANCIAL INTERESTS: LONG FORM

FILER

Putnam
Last Name

Lee
First Name

M.I.

FOR STATE EMPLOYEES

Department

Division

Position

FOR STATE BOARD/COMMISSION MEMBERS

University of Hawaii Board of Regents

Board/Commission Name

07/01/2014

06/30/2019

BEGIN

END

Term of Office (mm/dd/yyyy)

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

Check here if entry is None

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://ethics.hawaii.gov>.

F, SP, DC, JT	NAME OF BUSINESS	NATURE OF BUSINESS	NATURE OF INTEREST	VALUE OR NO. OF SHARES

Check here if entry is None

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

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

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

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 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

Lee Putnam

05/23/2016

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.

Filer Name Lee Putnam

Check all that apply. - State Board/Commission Member

Department

Division

State Employee Position

State Board or Commission Name University of Hawaii Board of Regents

Term of Office Start Jul 01, 2014

Term of Office End Jun 30, 2019

Category 1: Income for services rendered for preceding calendar year None

START Item #1 Who holds interest?

Item #1 Name of Employer/ Other source of income

Item #1 Compensation received

Item #1 Description of services rendered

START Item #2 Who holds interest?

Item #2 Name of Employer/ Other source of income

Item #2 Compensation received

Item #2 Description of services rendered

START Item #3 Who holds interest?

Item #3 Name of Employer/ Other source of income

Item #3 Compensation received

Item #3 Description of services rendered

START Item #4 Who holds interest?

Item #4 Name of Employer/ Other source of income

Item #4 Compensation received

Item #4 Description of services rendered

START Item #5 Who holds interest?

Item #5 Name of Employer/ Other source of income

Item #5 Compensation received

Item #5 Description of services rendered

Category 2: Ownership or Beneficial Interests in Businesses Yes, I have items

START Item #1 Who holds interest? Filer

Item #1 Legal name of business Abbott Laboratories

Item #1 Nature of business Pharmaceuticals/Biotechnology

Item #1 Nature of interest shareholder

Item #1 Value of interest B : At least \$1,000 but less than \$10,000

Item #1 Number of Shares

START Item #2 Who holds interest? Filer

Item #2 Legal name of business Adobe Systems, Inc

Item #2 Nature of business Software

Item #2 Nature of interest shareholder

Item #2 Value of interest B : At least \$1,000 but less than \$10,000

Item #2 Number of Shares

START Item #3 Who holds interest? Filer

Item #3 Legal name of business Align Technology, Inc

Item #3 Nature of business Healthcare Equipment

Item #3 Nature of interest shareholder

Item #3 Value of interest B : At least \$1,000 but less than \$10,000

Item #3 Number of Shares

START Item #4 Who holds interest? Filer

Item #4 Legal name of business Alphabet Inc Class C

Item #4 Nature of business Software/Computer Services

Item #4 Nature of interest shareholder

Item #4 Value of interest B : At least \$1,000 but less than \$10,000

Item #4 Number of Shares

START Item #5 Who holds interest? Filer

Item #5 Legal name of business Alphabet Inc Class A

Item #5 Nature of business Software/Computer Services
Item #5 Nature of interest shareholder
Item #5 Value of interest B : At least \$1,000 but less than \$10,000
Item #5 Number of Shares

Category 3: Transfer of Ownership or Beneficial Interests in Businesses Yes, I have items

START Item #1 Who holds interest? Filer
Item #1 Ownership or beneficial interest transferred during this disclosure period Angie's List
Item #1 Date of transfer Oct 14, 2015
START Item #2 Who holds interest? Filer
Item #2 Ownership or beneficial interest transferred during this disclosure period Blackberry Ltd
Item #2 Date of transfer Oct 14, 2015
START Item #3 Who holds interest? Filer
Item #3 Ownership or beneficial interest transferred during this disclosure period Community Health Systems
Item #3 Date of transfer Oct 14, 2015
START Item #4 Who holds interest? Filer
Item #4 Ownership or beneficial interest transferred during this disclosure period Chevron
Item #4 Date of transfer Oct 14, 2015
START Item #5 Who holds interest? Filer
Item #5 Ownership or beneficial interest transferred during this disclosure period Potbelly Corp
Item #5 Date of transfer Oct 14, 2015

Category 4: Creditors Yes, I have items

START Item #1 Who holds interest? Filer
Item #1 Legal name of creditor First Hawaiian Bank
Item #1 Original amount owed H : At least \$250,000 but less than \$500,000
Item #1 Amount outstanding G : At least \$150,000 but less than \$250,000
START Item #2 Who holds interest? Filer
Item #2 Legal name of creditor Bank of America
Item #2 Original amount owed I : At least \$500,000 but less than \$750,000
Item #2 Amount outstanding I : At least \$500,000 but less than \$750,000
START Item #3 Who holds interest?
Item #3 Legal name of creditor
Item #3 Original amount owed
Item #3 Amount outstanding
START Item #4 Who holds interest?
Item #4 Legal name of creditor
Item #4 Original amount owed
Item #4 Amount outstanding
START Item #5 Who holds interest?
Item #5 Legal name of creditor
Item #5 Original amount owed
Item #5 Amount outstanding

Category 5: Officerships, Directorships, Trusteeships Yes, I have items

START Item #1 Who holds interest? Filer
Item #1 Legal name of entity Hawaii Veterans Memorial Fund
Item #1 Title held Trustee
Item #1 Term of Office 2014-2017
Item #1 Annual compensation A : Less than \$1,000
START Item #2 Who holds interest?
Item #2 Legal name of entity
Item #2 Title held
Item #2 Term of Office
Item #2 Annual compensation
START Item #3 Who holds interest?
Item #3 Legal name of entity
Item #3 Title held
Item #3 Term of Office
Item #3 Annual compensation
START Item #4 Who holds interest?
Item #4 Legal name of entity
Item #4 Title held
Item #4 Term of Office
Item #4 Annual compensation
START Item #5 Who holds interest?
Item #5 Legal name of entity
Item #5 Title held
Item #5 Term of Office
Item #5 Annual compensation

Category 6: Interests in Real Property Held, excluding Personal Residence(s) None

START Item #1 Who holds interest?
Item #1 Street address
Item #1 Tax Map Key
Item #1 Value
START Item #2 Who holds interest?
Item #2 Street address
Item #2 Tax Map Key
Item #2 Value
START Item #3 Who holds interest?
Item #3 Street address
Item #3 Tax Map Key
Item #3 Value
START Item #4 Who holds interest?
Item #4 Street address
Item #4 Tax Map Key
Item #4 Value
START Item #5 Who holds interest?
Item #5 Street address
Item #5 Tax Map Key
Item #5 Value

Category 7: Interests in Real Property Acquired, excluding Personal Residence(s) None

START Item #1 Who holds interest?
Item #1 Street address
Item #1 Tax Map Key
Item #1 Amount of consideration paid
Item #1 Nature of consideration paid
Item #1 Legal name of person or entity receiving the consideration
START Item #2 Who holds interest?
Item #2 Street address
Item #2 Tax Map Key
Item #2 Amount of consideration paid
Item #2 Nature of consideration paid
Item #2 Legal name of person or entity receiving the consideration
START Item #3 Who holds interest?
Item #3 Street address
Item #3 Tax Map Key
Item #3 Amount of consideration paid
Item #3 Nature of consideration paid
Item #3 Legal name of person or entity receiving the consideration
START Item #4 Who holds interest?
Item #4 Street address
Item #4 Tax Map Key
Item #4 Amount of consideration paid
Item #4 Nature of consideration paid
Item #4 Legal name of person or entity receiving the consideration
START Item #5 Who holds interest?
Item #5 Street address
Item #5 Tax Map Key
Item #5 Amount of consideration paid
Item #5 Nature of consideration paid
Item #5 Legal name of person or entity receiving the consideration

Category 8: Interests in Real Property Transferred, excluding Personal Residence(s) None

START Item #1 Who holds interest?
Item #1 Street address
Item #1 Tax Map Key
Item #1 Amount of consideration received
Item #1 Nature of consideration received
Item #1 Legal name of person or entity furnishing the consideration
START Item #2 Who holds interest?
Item #2 Street address
Item #2 Tax Map Key
Item #2 Amount of consideration received
Item #2 Nature of consideration received
Item #2 Legal name of person or entity furnishing the consideration
START Item #3 Who holds interest?
Item #3 Street address
Item #3 Tax Map Key
Item #3 Amount of consideration received
Item #3 Nature of consideration received
Item #3 Legal name of person or entity furnishing the consideration
START Item #4 Who holds interest?
Item #4 Street address
Item #4 Tax Map Key
Item #4 Amount of consideration received
Item #4 Nature of consideration received
Item #4 Legal name of person or entity furnishing the consideration
START Item #5 Who holds interest?
Item #5 Street address
Item #5 Tax Map Key

Item #5 Amount of consideration received
Item #5 Nature of consideration received
Item #5 Legal name of person or entity furnishing the consideration

Category 9: Clients Personally Represented before State Agencies None

START Item #1 Legal name of client
Item #1 Name of State Agency
START Item #2 Legal name of client
Item #2 Name of State Agency
START Item #3 Legal name of client
Item #3 Name of State Agency
START Item #4 Legal name of client
Item #4 Name of State Agency
START Item #5 Legal name of client
Item #5 Name of State Agency

Category 10: Creditor Interests in Insolvent Businesses None

START Item #1 Who holds interest?
Item #1 Legal name of entity
Item #1 Nature of business
Item #1 Nature of interest
Item #1 Value
START Item #2 Who holds interest?
Item #2 Legal name of entity
Item #2 Nature of business
Item #2 Nature of interest
Item #2 Value
START Item #3 Who holds interest?
Item #3 Legal name of entity
Item #3 Nature of business
Item #3 Nature of interest
Item #3 Value
START Item #4 Who holds interest?
Item #4 Legal name of entity
Item #4 Nature of business
Item #4 Nature of interest
Item #4 Value
START Item #5 Who holds interest?
Item #5 Legal name of entity
Item #5 Nature of business
Item #5 Nature of interest
Item #5 Value

Upload your additional information [2016 item 2 added page.xlsx](#)
[2016 item 3 added page.xlsx](#)

By checking this box, 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. - I sign and affirm

Filer Name Lee Putnam

Lee Putnam - UH Board of Regents
 Item 2. Ownership or Beneficial Interests

Held By	Legal Name	Nature of Business	Nature of Interest	Value
Filer	Apple Inc	Technology/Hardware/Equipment	shareholder	C
Filer	Automatic Data Processing Inc	Support Services	shareholder	C
Filer	Celgene Corp	Biotechnology	shareholder	B
Filer	Facebook Inc	Software/Computer Services	shareholder	B
Filer	Fastenal Co	Industrial Supplier	shareholder	B
Filer	Gartner Inc	Software/Computer Services	shareholder	B
Filer	Mastercard Incorporated	Financial Services	shareholder	B
Filer	Nike Inc	Retail	shareholder	B
Filer	O Reilly Automotive Inc	Specialty Retail	shareholder	B
Filer	Oracle Corporation	Software/Computer Services	shareholder	B
Filer	Priceline Group Inc	Travel/Leisure	shareholder	B
Filer	Regeneron Pharmaceuticals Inc	Pharmaceuticals/Biotechnology	shareholder	B
Filer	Starbucks Corp	Specialty Retail	shareholder	B
Filer	TJX Companies Inc New	General Retail	shareholder	B
Filer	Visa In	Financial Services	shareholder	B
Filer	Alexander & Baldwin Inc	Real Estate Investment/Services	shareholder	C
Filer	AT&T Inc	Telecommunications	shareholder	C
Filer	Coca Cola Company	Beverages	shareholder	C
Filer	Dow Chemical Company	Chemicals	shareholder	C
Filer	General Electric Company	General Industrials	shareholder	C
Filer	Johnson & Johnson	Healthcare	shareholder	C
Filer	McDonalds Corp	Restaurants	shareholder	C
Filer	Philip Morris International Inc	Tobacco	shareholder	C
Filer	Procter & Gamble	Household Goods	shareholder	C
Filer	Qualcomm Inc	Technology/Hardware/Equipment	shareholder	B
Filer	United Parcel Svc Inc	Industrial Transportation	shareholder	C
Filer	Unitedhealth Group Inc	Healthcare Equipment/Services	shareholder	C
Filer	Wells Fargo & Co	Financial Services	shareholder	C
Filer	3M Company	General Industrials	shareholder	C

Lee Putnam - UH Board of Regents
Item 2. Ownership or Beneficial Interests

Held By	Legal Name	Nature of Business	Nature of Interest	Value
Filer	Medtronic PLC	Healthcare Equipment/Services	shareholder	C
Filer	Toronto-Dominion Bank	Financial Services	shareholder	C

Lee Putnam - UH Board of Regents
Item 3 - Transfer of Ownership or Beneficial Interests

Held By	Name	Transfer Date
Filer	Qualcomm	10/14/2015
Filer	XLK Sector SPDR Trust	10/14/2015
Filer	Zynga Inc	10/14/2015
Filer	QQQ Powershares	10/14/2015
Filer	Aquila Hawaiian Trust	2/24/2016
Filer	Bank of Hawaii	12/30/5015
Filer	Directv	7/27/2015
Filer	eBay	10/26/2015
Filer	Merck	10/28/2015
Filer	Microsoft	10/28/2015
Filer	Time Warner	10/22/2015
Filer	Yahoo	10/28/2015
Filer	Enterprise Products	10/22/2015
Filer	Ishares Core S&P	10/22/2015
Filer	Ishares Global Utilities	10/22/2015
Filer	Ishares US Tech	10/22/2015
Filer	Cytosorbents	10/14/2015
Filer	RiteAid	10/14/2015