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THE GOVERNOR

MEMBER OF THE PENNSYLVANIA SECURITIES COMMISSION



COMMONWEALTH OF PENNSYLVANIA
OFFICE OF THE GOVERNOR
HARRISBURG

November 14, 2011

To the Honorable, the Senate
of the Commonwealth of Pennsylvania:

In conformity with law, I have the honor hereby to nominate for the advice and consent of the Senate, The Honorable Sandra Schultz Newman, 1120 Ginkgo Lane, Gladwyne 19035, Montgomery County, Seventeenth Senatorial District, for appointment as a member of the Pennsylvania Securities Commission, to serve until the third Tuesday of January 2015, and until her successor is appointed and qualified, vice Robert M. Lam, Rydal, whose term expired.

A handwritten signature in black ink that reads "Tom Corbett".

TOM CORBETT
Governor

STATEMENT OF FINANCIAL INTERESTS

PLEASE PRINT NEATLY

01 LAST NAME FIRST NAME MI SUFFIX

N	E	W	M	A	N													S	
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02 ADDRESS City State Zip Code Area Code Phone

1120 Ginkgo Lane Gladwyne PA 19035 610 527-0404

NOTE: IF YOU ARE INCLUDING ATTACHMENTS, DO NOT INCLUDE ANYTHING THAT BEARS YOUR SOCIAL SECURITY NUMBER OR FINANCIAL ACCOUNT NUMBERS.

03 STATUS Check applicable block or blocks, more than one block may be marked. (See instructions on page 2)

A Candidate (including write-in) C Public Official (Current) D Public Employee (Current) E Check this block if you are filing as a solicitor

B Nominee C Public Official (Former) D Public Employee (Former) Check this block if you are amending an original filing

04 PUBLIC POSITION OR PUBLIC OFFICE (administrator, member, Commissioner, job title, etc.) seeking hold held

A

B P A S E C U R I T I E S C O M M I S S I O N - Commissioner seeking hold held

05 GOVERNMENTAL ENTITY in which you are/were an Official, Employee, Candidate or Nominee (e.g., dept, agency, authority, borough, board, commission, county, school district, twp, etc.)

A

B P A S e c u r i t i e s C o m m i s s i o n

06 OCCUPATION OR PROFESSION (This may be the same as block 4) 07 YEAR The information in blocks 8 through 15 below represents financial interests for the PRIOR calendar year indicated:

Attorney 2 0 1 0

08 REAL ESTATE INTERESTS (See instructions on page 2) If NONE, check this box.

09 CREDITORS (See instructions on page 2). Creditor (Name and Address) If NONE, check this box.

Name: SEE ATTACHED SCHEDULE "D" Address:

Interest Rate

10 DIRECT OR INDIRECT SOURCES OF INCOME including (but not limited to) all employment. (See instructions on pg. 2) ONLY IF NONE, check this block. (OFFICIAL USE ONLY)

Name: SEE ATTACHED SCHEDULE "A" Address:

STATE ETHICS COMMISSION

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11 GIFTS (See instructions on page 2) If NONE, check this box.

Source of Gift

Address of Source of Gift

Circumstances (including description) of Gift

Value of Gift

3 31

12 TRANSPORTATION, LODGING, HOSPITALITY (See instructions on page 2) If NONE, check this box.

Source (Name and Address)

Value

13 OFFICE, DIRECTORSHIP OR EMPLOYMENT IN ANY BUSINESS (See instructions on page 2) If NONE, check this box.

Business Entity (Name and Address)

Name: SEE ATTACHED SCHEDULE "B" Address:

Position Held

14 FINANCIAL INTEREST IN ANY LEGAL ENTITY IN BUSINESS FOR PROFIT (See instructions on page 2) If NONE, check this box.

Name and Address of Business

SEE ATTACHED SCHEDULE "C"

Interest Held

15 BUSINESS INTERESTS TRANSFERRED TO IMMEDIATE FAMILY MEMBER (See instructions on page 2) If NONE, check this box.

Business (Name and Address)

Transferee (Name and Address)

Interest Held

Relationship

Date Transferred

The undersigned hereby affirms that the foregoing information is true and correct to the best of said person's knowledge, information and belief; said affirmation being made subject to the penalties prescribed by 18 Pa.C.S. §4904 (unsworn falsification to authorities) and the Public Official and Employee Ethics Act, 65 Pa.C.S. §1109(b).

Signature [Signature] Enter Current Date 11/22/11

THIS FORM IS CONSIDERED DEFICIENT IF ANY BLOCK ABOVE IS NOT COMPLETED. MAKE A COPY FOR YOUR RECORDS.

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Schedule D

Block 09 – Creditors

<u>Name</u>	<u>Address</u>	<u>Interest Rate</u>
Bank of America Visa	P O Box 982235 El Paso, TX 79998-2235	18%
American Express Platinum	P O Box 981535 El Paso, TX 79998-1535	18%
American Express Bus Platinum	P O Box 981535 El Paso, TX 79998-1535	18%
Chase Travel Plus	P O Box 15298 Wilmington, DE 19850-5298	18%

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Schedule A

Block 10 – Direct or Indirect Sources of Income

<u>Name</u>	<u>Address</u>	<u>Type of Income</u>
Bank of America, N.A.	Tax Reporting AZ1-200-19-06 PO Box 29961 Phoenix, AZ 85038-0961	Interest
Capital One Bank USA, N.A.	P O Box 61540 New Orleans, LA 70161	Interest
Chase	P.O.Box 659749 San Antonio, TX 78265-7826	Interest
Wachovia Bank, N.A.	P.O. Box 3908 Portland, OR 97208	Interest
Newman Racing Stables	1079 Baron Drive Bryn Mawr, PA 19010	Interest
Newman Wine & Spirits, LP	C/O Four Tower Bridge 200 Barr Harbor Drive Suite 400 West Conshohocken, PA 19428	Interest
Wilmington Trust Company	1100 North Market Street Wilmington, DE 19890-0900	Interest
Wilmington Trust Company	1100 North Market Street Wilmington, DE 19890-0900	Dividends
Newman Racing Stables	1079 Baron Drive Bryn Mawr, PA 19010	Dividends
Sandra Schultz Newman LLC	200 Barr Harbor Drive Suite 400 West Conshohocken, PA 19428	Professional Fee Income
Wilmington Trust Company	1100 North Market Street Wilmington, DE 19890-0900	Capital Gains
Newman Racing Stables	1079 Baron Drive Bryn Mawr, PA 19010	Capital Gains

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Schedule A continued

Block 10 – Direct or Indirect Sources of Income

<u>Name</u>	<u>Address</u>	<u>Type of Income</u>
Laurel Guida Group	C/O Guida Management, Inc. 173 San Remo Drive Jupiter, FL 33458	Capital Gains
Bank of New York Mellon	P.O. Box 185 Pittsburgh, PA 15230-0185	IRA Distributions
Commonwealth of Pennsylvania State Employees' Retirement System	30 North Third Street Suite 150 Harrisburg, PA 17101-1716	Retirement Distributions
T. Rowe Price Cozen O'Connor Profit Sharing and 401K Plan	4555 Painters Mill Road Owings Mills, MD 21117	Retirement Distributions
T. Rowe Price Retirement Plan Services, Inc.	4555 Painters Mill Road Owings Mills, MD 21117	Retirement Distributions and Rollover
Laurel Guida Group	C/O Guida Management, Inc. 173 San Remo Drive Jupiter, FL 33458	Partnership Income
Holiday Medical Center Inc.	5310 NW 33rd Avenue Suite 211 Fort Lauderdale, FL 33309	Self-Employment Income
Newman Racing Stables	1079 Baron Drive Bryn Mawr, PA 19010	Partnership Income
Newman Wine & Spirits, LP	C/O Four Tower Bridge 200 Barr Harbor Drive Suite 400 West Conshohocken, PA 19428	Partnership Income

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U.S. Social Security Administration

Social Security
First Floor
1700 Markley Street
Norristown, PA 19401

Social Security Benefits

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Schedule B

Block 13 – Office, Directorship or Employment in Any Business

<u>Name</u>	<u>Address</u>	<u>Position Held</u>
Sandra Schultz Newman LLC	200 Barr Harbor Drive Suite 400 West Conshohocken, PA 19428	Sole Member
Newman Family Charitable Foundation	1120 Ginkgo Lane Gladwyne, PA 19035	Trustee/Officer
Drexel University College of Medicine Board of Trustees	245 N 15 th Street Philadelphia, PA	Trustee

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Schedule C

Block 14 – Financial Interest in Any Legal Entity in Business for Profit

<u>Name</u>	<u>Address</u>	<u>Interest Held</u>
Laurel Guida Group	C/O Guida Management, Inc. 173 San Remo Drive Jupiter, FL 33458	15.675%
Holiday Medical Center, Inc.	5310 NW 33rd Avenue Suite 211 Fort Lauderdale, FL 33309	5.279428%
Newman Racing Stables	1079 Baron Drive Bryn Mawr, PA 19010	50%
Newman Wine & Spirits, LP	C/O Four Tower Bridge 200 Barr Harbor Drive Suite 400 West Conshohocken, PA 19428	6.5391%
Sandra Schultz Newman LLC	200 Barr Harbor Drive Suite 400 West Conshohocken, PA 19428	100%

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