

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Dickson, Stephen

Administrator, Federal Aviation Administration, Department of Transportation

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- **Committee on Commerce, Science, and Transportation**
-

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Dickson, Stephen [electronically signed on 10/12/2018 by Dickson, Stephen in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Kaleta, Judith, Certifying Official [electronically signed on 04/16/2019 by Kaleta, Judith in Integrity.gov]

Other review conducted by

/s/ Carlson, Terence W, Ethics Official [electronically signed on 04/15/2019 by Carlson, Terence W in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 04/17/2019 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Delta Air Lines	See Endnote	Atlanta, Georgia	Corporation	Senior Vice President-Flight Operations	9/2006	10/2018
2	USAFA Endowment, Inc.	See Endnote	Colorado Springs, Colorado	Non-Profit	Director	12/2016	Present

2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Delta Air Lines, stock options (2018 long-term incentive program award) (value not readily ascertainable): 585 shares vest 2/25/2019; 877 shares vest 2/25/2020; 1,754 shares vest 2/25/2021; all options strike \$51.23; all options expire 3 years after vesting date		N/A			None (or less than \$201)
2	Delta Air Lines		N/A		Salary, Bonus & Benefits	\$3,259,195
3	Delta Air Lines, deferred compensation (2018 management incentive plan award): variable cash award based on corporate performance	See Endnote	N/A	\$250,001 - \$500,000		None (or less than \$201)
4	Delta Air Lines stock		N/A	\$500,001 - \$1,000,000	Dividends Capital Gains Interest	\$100,001 - \$1,000,000
5	Fidelity IRA		No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1	BlackRock Strategic Income Instl (BSIIX)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
5.2	Fidelity Daily Money US Treasury (FDUXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	DFA US Large Cap Value (DFLVX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
5.4	Lazard Emerging Markets Instl (LZEMX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
5.5	PRIMECAP Odyssey Growth (POGRX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.6	UBS ETRACS Alerian MLP Infrastructure Index (MLPI)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
5.7	WisdomTree Japan Hedged Equity (DXJ)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
6	Fidelity Roth IRA	No			
6.1	BlackRock Strategic Income Instl (BSIIX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
6.2	DFA US Large Cap Value (DFLVX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
6.3	Fidelity Daily Money US Treasury (FDUXX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
6.4	Semper MBS Total Return Instl (SEMMX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
6.5	SPDR Dow Jones International Real Estate (RWX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
6.6	Vanguard Total Bond Market Index Admiral (VBTLX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
6.7	Evermore Global (EVGIX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.8	iShare MSCI Europe (EZU)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
6.9	Infinity Core Alternative Fund	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
7	Schwab IRA				
7.1	DFA US Large Cap Value (DFLVX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
7.2	BlackRock Strategic Income Instl (BSIIX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
7.3	Schwab Money Market (SchwabCash)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.4	Vanguard Equity International (VTRIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.5	PIONEER ILS INTERVAL FD INST (XILSX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
7.6	PRIMECAP ODYSSEY GROWTH (POGRX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
8	Schwab Roth IRA	No			
8.1	DFA US Large Cap Value (DFLVX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.2	Schwab Money Market (SchwabCash)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.3	EVERMORE GLOBAL VALUE INST CLASS (EVGIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
8.4	PIONEER ILS INTERVAL FD INST (XILSX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
8.5	FEG DIRECTIONAL ACCS TEILIMITED LIABILITY CO DELAWARE	No		Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.5.1	Darsana Fund LP (underlying holdings and income are not readily ascertainable)		No	\$50,001 - \$100,000		
8.5.2	Pennant Windward Fund, L.P. (underlying holdings and income are not readily ascertainable)		No	\$1,001 - \$15,000		
8.6	GT ERISA FUND LTD A FEXEMPTED COMPANY CLASS A (Underlying holdings are subject to a confidentiality agreement)		No	\$500,001 - \$1,000,000		None (or less than \$201)
8.7	ISHARES MSCI EUROZONE ETF		Yes	None (or less than \$1,001)		None (or less than \$201)
9	Pension Benefit Guaranty Corporation, Delta Pilots Retirement Plan, Defined Benefit Plan (value not readily ascertainable) \$4,020.92 / month payable 10/1/2022		N/A			None (or less than \$201)
10	iShares MSCI Eurozone ETF (EZU)		Yes	None (or less than \$1,001)		\$15,001 - \$50,000
11	Lazard Global Listed Infrastructure Open (GLFOX)		Yes	None (or less than \$1,001)		\$201 - \$1,000
12	Pioneer ILS Interval Fund (XILSX)		Yes	None (or less than \$1,001)		\$5,001 - \$15,000
13	Delta Air Lines, deferred compensation (2016 long-term incentive program award): variable cash award based on corporate performance	See Endnote	N/A	\$250,001 - \$500,000		None (or less than \$201)
14	Delta Air Lines, deferred compensation (2017 long-term incentive program award): variable cash award based on corporate performance	See Endnote	No	\$100,001 - \$250,000		None (or less than \$201)
15	Delta Air Lines, deferred compensation (2018 long-term incentive program award): variable cash award based on corporate performance	See Endnote	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	Delta Air Lines, stock options (2017 long-term incentive program award) (value not readily ascertainable): 2,504 vested shares exp. 2/1/2021; 2,086 shares vest 2/1/2019; 1,391 shares vest 2/1/2020; all options strike \$49.33; all unvested options expire 3 years after vesting date	N/A			None (or less than \$201)
17	Delta 401(k)	No			
17.1	BlackRock Strategic Income Instl (BSIIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
17.2	Boston Partners Long/Short Eq Instl (BPLSX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
17.3	DFA US Large Cap Value (DFLVX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
17.4	Evermore Global Value I (EVGIX)	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
17.5	Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17.6	JP Morgan Ultra Short Income (JPST)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
17.7	Lord Abbett Inflation Focused I (LIFIX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
17.8	PRIMECAP Odyssey Growth (POGRX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
17.9	UBS ETRACS Alerian MLP Infrastructure Index ETN (MLPI)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
17.10	VanEck Vectors Oil Service (OIH)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
17.11	Vanguard Dividend Growth (VDIGX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.12	Vanguard Equity Intl Value (VTRIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
17.13	Delta 401(k) Plan Bond Fund Index	Yes	\$15,001 - \$50,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY		CITY, STATE	STATUS AND TERMS	DATE
1	Delta Air Lines	See Endnote	Atlanta, Georgia	Pursuant to the company's 2018 management incentive plan, I will receive a cash bonus based on corporate performance in 2/2019. My bonus is pro rated based on my separation date.	2/2018
2	Delta Air Lines		Atlanta, Georgia	I will not participate in this defined contribution plan after my separation.	2/1991
3	Delta Air Lines		Atlanta, Georgia	Pursuant to my employment contract with Delta Air Lines, I am entitled to receive pension payments under the Delta Pilots Retirement Plan . The Plan is held in trust by the Pension Benefit Guarantee Corporation and PBGC will issue monthly pension payments on behalf of the Plan beginning on 10/1/2022.	2/1991
4	Delta Air Lines	See Endnote	Atlanta, Georgia	Pursuant to the company's 2016, 2017, and 2018 long-term incentive programs, I will receive a cash awards and stock options in 2/2019, 2/2020, and 2/2021 based on corporate performance. My awards will be pro rated based on my separation date.	2/2016
5	Delta Air Lines		Atlanta, Georgia	Pursuant to company policy, upon separation I am entitled to receive retired officer travel benefits, including a capped annual tax gross up	10/2018
6	Delta Air Lines		Atlanta, Georgia	Pursuant to company policy, upon separation the company will continue paying premiums for a term life insurance policy	10/2018

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Delta Air Lines	Atlanta, Georgia	Senior Vice President-Flight Operations

5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Fidelity IRA	No			
1.1	BlackRock Strategic Income Instl (BSIIX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
1.2	iShares MSCI Eurozone (EZU)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.3	Vanguard Dividend Growth (VDIGX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
1.4	Vanguard Total World (VT)	Yes	None (or less than \$1,001)		\$201 - \$1,000
2	Fidelity Roth IRA	No			
2.1	BlackRock Strategic Income Opportunities Inv A (BASIX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.2	DFA US Large Cap Value (DFLVX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
2.3	Lord Abbett Inflation Focused A (LIFAX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
2.4	UBS ETRACS Alerian MLP Infrastructure Index (MLPI)	Yes	None (or less than \$1,001)		\$201 - \$1,000
3	Schwab IRA	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	ISHARES MSCI EUROZONE ETF (EZU)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
3.2	BlackRock Strategic Income Instl (BSIIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.3	Schwab Money Market (SchwabCash)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	Vanguard Dividend Growth (VDIGX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3.5	Vanguard Total World (VT)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4	Schwab Roth IRA	No			
4.1	DELTA AIR LINES INC	N/A	None (or less than \$1,001)		None (or less than \$201)
4.2	BlackRock Strategic Income Opportunities Inv A (BASIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.3	DFA US Large Cap Value (DFLVX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.4	Schwab Money Market (SchwabCash)	Yes	None (or less than \$1,001)		None (or less than \$201)
4.5	UBS ETRACS Alerian MLP Infrastructure Index (MLPI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Bank account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	US Bank Money Market Account (cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
3	Fidelity Brokerage	No			
3.1	BlackRock Strategic Income Instl (BSIIX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
3.2	Lord Abbett Short Duration Income I (LLDYX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
3.3	PIMCO Short-Term Instl (PTSHX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
3.4	Semper MBS Total Return Instl (SEMMX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
4	Fidelity Brokerage	No			
4.1	BlackRock Strategic Income Instl (BSIIX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
4.2	Boston Partners Long/Short Eq Instl (BPLSX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
4.3	Evermore Global Value I (EVGIX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
4.4	Fidelity Daily Money US Treasury (FDUXX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
4.5	iShares MSCI Eurozone (EZU)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
4.6	iShares Russell 2000 (IWM)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
4.7	IVA Worldwide I (IVWIX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
4.8	Lazard Emerging Markets Instl (LZEMX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.9	Lord Abbett Inflation Focused I (LIFIX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
4.10	Maingate MLP I (IMLPX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
4.11	PRIMECAP Odyssey Growth (POGRX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
4.12	Semper MBS Total Return Instl (SEMMX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
4.13	Vanguard Dividend Growth (VDIGX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
4.14	Vanguard Interm-Term Tax Ex Inv (VWITX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
4.15	Vanguard Interm-Term Tax-Exempt Admiral (VWIUX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
4.16	WisdomTree Japan Hedged Equity (DXJ)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
4.17	World REMS Intl Real Estate Value Opportunity Founders (REIFX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
5	Schwab Brokerage	No			
5.1	BlackRock Strategic Income Instl (BSIIX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
5.2	iShares Russell 2000 (IWM)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
5.3	Maingate MLP I (IMLPX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
5.4	Schwab Money Market (SchwabCash)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.5	Semper MBS Total Return Instl (SEMMX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.6	Vanguard Dividend Growth (VDIGX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
5.7	Vanguard Interm-Term Tax-Exempt Admiral (VWIUX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
5.8	WisdomTree Japan Hedged Equity (DXJ)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
5.9	ISHARES MSCI EUROZONE ETF	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
5.10	BOSTON PARTNERS LONG SHORT EQ INST (BPLSX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
5.11	BERKSHIRE HATHAWAY CLASS B (BRKB)	Yes	\$250,001 - \$500,000		None (or less than \$201)
6	Schwab Brokerage	No			
6.1	BlackRock Strategic Income Instl (BSIIX)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
6.2	JP Morgan Ultra Short Income (JPST)	Yes	\$50,001 - \$100,000		None (or less than \$201)
6.3	Lazard Emerging Markets Instl (LZEMX)	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
6.4	Maingate MLP I (IMLPX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
6.5	Schwab Money Market (SchwabCash)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.6	Semper MBS Total Return Instl (SEMMX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
6.7	Vanguard Interm-Term Tax-Exempt Admiral (VWIUX)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
6.8	VANGUARD DIV GROWTH FD INVESTOR SHRS (VDIGX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.9	PRIMECAP ODYSSEY GROWTH (POGRX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
6.10	EVERMORE GLOBAL VALUE INST CL (EVGIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
6.11	BARON EMRG MKTS FD INST (BEXIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.12	WISDOMTREE JAPAN HEDGED EQUITY ETF (DXJ)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.13	VANGUARD INTL VALUE FUND INV (VTRIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.14	REMS INTL REAL ESTATE VALUE OPPTY FOUNDERS (REIFX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
6.15	IVA WORLDWIDE FD CL I (IVWIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.16	AQR MGD FUTURES STRAT HV FD CL I (QMHIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
7	Schwab Brokerage	No			
7.1	ALTABA INCORPORATED AABA	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
7.2	Reynolds American Inc (RAI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
7.3	Royal Dutch Shell PLC A Spons ADR (RDSA)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
7.4	Mead Johnson Nutrition Company (MJN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
7.5	Rio Tinto PLC Spons ADR (RIO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
7.6	Syngenta AG (SYT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.7	Apple Inc (AAPL)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.8	Total S A Sponsored ADR (TOT)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.9	Enel Generacion Chile S.A. (EOCC)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.10	Banco Santander (SAN)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.11	BP PLC (BP)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.12	HSBC Holdings PLC (HSBC)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.13	Microsoft Corp (MSFT)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.14	PJSC Lukoil Oil ADR (LUKOY) (Energy)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.15	Westpac Banking Corp ADR (WBK)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.16	Turna Rete Elettrica Nazionale Adr (TEZNY) (Utilities)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.17	ING Group NV ADR (ING)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.18	Canon Inc ADR (CAJ)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.19	Siemens AG ADR (SIEGY) (Industrials: Diversified Industrials)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.20	Svenska Cellulosa Aktiebolaget SA (SVCBY) (Basic Materials)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.21	Vodafone Group PLC (VOD)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.22	BNP Paribas ADR (BNPQY) (Financial Services)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
7.23	KB Financial Group Inc ADR (KB)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
8	Schwab Brokerage	No			
8.1	3M Company (MMM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.2	Abbott Laboratories (ABT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.3	AbbVie Inc (ABBV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.4	Accenture Ltd Cl A (ACN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.5	Adecco Group SA (AHEXY) (Industrials: Staffing & Outsourcing Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.6	Adidas Salomon AG Spons ADR (ADDYY) (Consumer Cyclical: Footwear & Accessories)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.7	Ageas Spons ADR (AGESY) (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.8	AIA Group Ltd (AAGIY) (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.9	Air Liquide ADR (AIQUY) (Basic Materials)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.10	Alexandria Real Estate Equities Inc (ARE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.11	Allianz AG (AZSEY) (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.12	Allstate Corp (ALL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.13	Altria Group Inc (MO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.14	American Express Co (AXP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.15	Ameriprise Financial Inc (AMP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.16	Ametek Inc (AME)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.17	Amgen Inc (AMGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.18	Amphenol Corp (APH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.19	Annaly Capital Management Inc (NLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.20	Apple Inc (AAPL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.21	Applied Materials Inc (AMAT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.22	Astrazeneca PLC ADR F (AZN)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.23	AT&T Inc (T)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.24	Atlas Copco Ser A (ATLKY) (Industrials: Diversified Industrials)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
8.25	Atos Origin SA (AEXAY) (Technology)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.26	AU Optronics Corp (AUO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.27	Australia & New Zealand Banking Group Ltd (ANZBY) (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.28	Auto Data Processing (ADP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.29	AXA SA (AXAHY) (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.30	Banco Bilbao Viscaya Argentina ADR (BBVA) (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.31	Banco Do Brasil SA Sponsored ADR (BDORY) (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.32	Banco Santander (SAN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.33	Bank of America Corp (BAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.34	Bank of New York Mellon Corp (BK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.35	Bank of Nova Scotia (BNS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.36	BASF AG Spons ADR (BASFY) (Basic Materials)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.37	Bayerische Motoren Werke AG Spons ADR (BMWYY) (Consumer Cyclical: Auto Manufacturers)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.38	BHP Billiton Ltd (BHP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.39	BNP Paribas ADR (BNPQY) (Financial Services)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.40	BOC Hong Kong Spons ADR (BHKLY) (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.41	Boeing Co (BA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.42	BP PLC (BP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.43	Bristol-Myers Squibb Company (BMY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.44	Broadcom Inc (AVGO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.45	CAE Inc (CAE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.46	Canadian National Railway Co (CNI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.47	Canadian Natural Resources Ltd (CNQ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.48	Canon Inc ADR (CAJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.49	Capital One Financial Corp (COF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.50	Carlsburg As Sponsored ADR (CABGY) (Consumer Defensive: Beverages - Brewers)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.51	Carnival PLC ADR (CUK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.52	Caterpillar Inc (CAT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.53	Charles Schwab Corp (SCHW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.54	Chevron Corp (CVX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.55	China Constr Bk Corp ADR (CICHY) (Financial Services)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.56	Chunghwa Telecom Co Ltd (CHT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.57	Cisco Systems Inc (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.58	Citigroup Inc (C)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.59	Clorox Co (CLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.60	Coca Cola Company (KO)	N/A	\$1,001 - \$15,000		\$5,001 - \$15,000
8.61	Coloplast A/S ADR (CLPBY) (Healthcare)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.62	Comcast Corp A (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.63	Compania Cervecerias Unidas SA Spon ADR (CCU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.64	ConocoPhillips (COP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.65	Constellation Brands Inc (STZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.66	Costco Wholesale Corp (COST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.67	CVS Health Corp (CVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.68	DAIWA House Ind Ltd (DWAHY) (Real Estate)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.69	Danaher Corp (DHR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.70	Deutsche Telekom ADR (DTEGY) (Communication Services)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.71	Diageo PLC ADR F (DEO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.72	DowDuPont (DWDP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.73	DR Reddys Labs Ltd (RDY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.74	East Japan Ry Co ADR (EJPRY) (Industrials: Railroads)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.75	Eaton Corp PLC (ETN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.76	Emerson Electric Co (EMR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.77	Enbridge Inc (ENB)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
8.78	Enel Generacion Chile S.A. (EOCC) (Utilities)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
8.79	Enel Societa Per Azi (ENLAY) (Utilities)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.80	EOG Resources Inc (EOG)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
8.81	Equinix Inc (EQIX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.82	Essex Property Trust Inc (ESS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.83	Essilor Intl ADR (ESLOY) (Healthcare)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.84	Essity AKT (ESSYY) (Consumer Defensive: Household & Personal Products)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.85	Estee Lauder Companies Inc (EL)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.86	Experian Group Ltd (EXPGY) (Industrials: Business Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.87	Exxon Mobil Corporation (XOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.88	Fanuc Corp (FANUY) (Industrials: Diversified Industrials)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
8.89	FedEx Corp (FDX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.90	Fresenius Medical Care AG (FMS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.91	Genpact Ltd (G)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.92	GlaxoSmith Kline Sponsored ADR (GSK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.93	Goldman Sachs Group Inc (GS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.94	Halliburton Co (HAL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.95	Heineken NV Spons Ads (HEINY) (Consumer Defensive: Beverages - Brewers)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.96	Helmerich & Payne Inc (HP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.97	Hewlett Packard Enterprise Company (HPE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.98	Hitachi Ltd (HTHIY) (Technology)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.99	Home Depot Inc (HD)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.100	Honda Motor (HMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.101	Honeywell International (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.102	HSBC Holdings PLC (HSBC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.103	Iberdrola SA Spons ADR (IBDRY) (Utilities)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.104	Illinois Tool Works Inc (ITW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.105	Imperial Brands PLC (IMBBY) (Consumer Defensive: Tobacco)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.106	Industrial & Com ADR (IDCBY) (Financial Services)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
8.107	Infosys Technologies Ltd (INFY)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
8.108	ING Group NV ADR (ING)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
8.109	Ingersoll Rand PLC (IR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.110	Intel Corp (INTC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.111	Intercontinental Hotels Group PLC (IHG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.112	International Paper Co (IP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.113	Intuit Inc (INTU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.114	Itau Unibanco Banco Multiplo SA (ITUB)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.115	Jardine Matheson Hldgs Ltd ADR (JMHL) (Industrials: Conglomerates)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.116	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.117	JP Morgan Chase & Co (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.118	Julius Baer Group Ltd (JBAXY) (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.119	KasikornBank Public Co Ltd (KPCPY) (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.120	Kimberly-Clark Corp (KMB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.121	Komatsu Ltd ADR (KMTUY) (Industrials: Farm & Construction Equipment)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.122	Koninklijke Philips NV (PHG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.123	Kroger Company (KR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.124	Lilly Eli & Company (LLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.125	L'Oreal Co ADR (LRLCY) (Consumer Defensive: Household & Personal Products)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.126	Lowe's Companies Inc (LOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.127	LVMH Moët Hennessy Louis VTTN ADR (LVMUY) (Consumer Cyclical: Luxury Goods)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.128	Manulife Financial Corp (MFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.129	Marine Harvest ASA ADR (MHGVY) (Consumer Defensive: Farm Products)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.130	Marriott Intl Inc Cl A (MAR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.131	Mastercard Inc (MA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.132	McDonalds Corp (MCD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.133	Medtronic PLC (MDT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.134	Merck & Co Inc (MRK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.135	MetLife Inc (MET)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
8.136	Microsoft Corp (MSFT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.137	Mitsubishi UFJ Finl Group (MUFG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.138	Morgan Stanley (MS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.139	Naspers Ltd (NPSNY) (Technology)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.140	Nestle SA Reg B ADR (NSRGY) (Consumer Defensive: Packaged Foods)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8.141	Netease Inc (NTES)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.142	NextEra Energy Inc (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.143	Nike Inc Class B (NKE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.144	Nintendo Ltd Spons ADR (NTDOY) (Technology)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.145	Nippon Telegraph & Telephone Corp Spons ADR (NTTYY) (Communication Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.146	Northern Trust Corp (NTRS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.147	Novartis AG Spons ADR (NVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.148	Novo Nordisk ADR (NVO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.149	NTT Docomo Inc (DCMY) (Communication Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.150	NVIDIA Corp (NVDA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.151	Occidental Petroleum Corp (OXY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.152	Oneok Inc (OKE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.153	Open Text Corp (OTEX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.154	Oracle Corporation (ORCL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.155	Orix Corporation ADR (IX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.156	Paccar Inc (PCAR)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.157	Panasonic Corp (PCRFY) (Technology)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.158	Parker-Hannifin Corp (PH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.159	Pepsico Incorporated (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.160	Pernod-Ricard SA ADR (PDRDY) (Consumer Defensive: Beverages - Wineries & Distilleries)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.161	Pfizer Inc (PFE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.162	Phillips 66 (PSX)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
8.163	Ping An Ins Co Of China (PNGAY) (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.164	PNC Financial Service Corp (PNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.165	Posco (PKX)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
8.166	PPG Industries Inc (PPG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.167	Praxair Inc (PX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.168	Procter & Gamble Co (PG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.169	Prudential Financial Inc (PRU)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
8.170	PT BK Mandiri PE ADR (PPERY) (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.171	PVH Corp (PVH)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.172	Qualcomm Inc (QCOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.173	Red Electrica De ADR (RDEIY) (Utilities)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.174	Rio Tinto PLC Spons ADR (RIO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.175	Roche Hldgs Ltd Spons ADR (RHHBY) (Healthcare)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.176	Rockwell Automation Inc (ROK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.177	Rockwell Collins Inc (COL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.178	Roper Technologies Inc (ROP)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
8.179	Royal Bank of Canada Montreal Quebec (RY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.180	Royal Dutch Shell PLC A Spons ADR (RDSA) (Energy)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.181	Safran Sa Unspn/ ADR (SAFRY) (Industrials: Aerospace & Defense)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.182	Sanofi (SNY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.183	Sasol Ltd (SSL)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
8.184	Schneider Electric SE (SBGSY) (Industrials: Diversified Industrials)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.185	Schwab Government Money (SWGXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.186	Seven & I Holdings ADR (SVNDY) (Consumer Defensive: Grocery Stores)	N/A	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.187	SK Telecom Co Ltd ADR (SKM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.188	Smith & Nephew PLC (SNN)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
8.189	Softbank Group Corporation (SFTBY) (Communication Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.190	Sonic Healthcare Ltd Sponsored ADR (SKHHY) (Healthcare)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.191	Sony Corp (SNE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.192	State Street Corp (STT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.193	Store Cap Corp Com (STOR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.194	Sumitomo Mitsui Finl Group Inc (SMFG) (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.195	Sun Hung Kai Pptys Ltd ADR (SUHJY) (Real Estate)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.196	Sun Life Financial Inc (SLF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.197	Suncor Energy Inc (SU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.198	Swire Pacific Ltd (SWRAY) (Real Estate)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.199	SwissCom AG (SCMWY) (Communication Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.200	T Rowe Price Group Inc (TROW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.201	Taiwan Semiconductor ADRF (TSM)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.202	Takeda Pharm Co Ltd ADR (TKPYY) (Healthcare)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.203	Taubman Centers Inc (TCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.204	TE Connectivity Ltd (TEL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.205	Tencent Hldgs ADR (TCEHY) (Technology)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.206	Texas Instruments Inc (TXN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.207	TFS Financial Corp (TFSL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.208	Thermo Fisher Scientific Inc (TMO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.209	Time Warner Inc (TWX)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
8.210	Tokio Marine Holdings Inc ADR (TKOMY) (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.211	Toronto-Dominion Bank (TD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.212	Total S A Sponsored ADR (TOT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.213	Toyota Motor ADR (TM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.214	Turna Rete Elettrica Nazionale ADR (TEZNY) (Utilities)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.215	Twenty First Century Fox (FOXA)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.216	UBS Group AG (UBS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.217	Unilever NV (UN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.218	Union Pacific Corp (UNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.219	United Microelectronics Grp (UMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.220	United Overseas Bank Ltd Spons ADR (UOVEY) (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.221	United Parcel Service Inc (UPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.222	United Technologies Corp (UTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.223	UnitedHealth Group Inc (UNH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.224	Vectren Corp (VVC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.225	Verizon Communications (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.226	Visa Inc (V)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.227	Volkswagen AG (VLKAY) (Automobile)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.228	Walgreens Boots Alliance (WBA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.229	Wal-Mart Inc (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.230	Walt Disney Co (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.231	Wells Fargo & Co (WFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.232	Williams Companies (WMB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.233	Woodside Petroleum Ltd (WOPEY) (Energy)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.234	Yum China Holdings Inc (YUMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.235	Zurich Insurance Group Ltd (ZURVY) (Financial Services)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
8.236	A S E INDUSTRIAL HOLDI FUNSPONSORED ADR (ASX)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
8.237	ADOBE SYSTEMS INC (ADBE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.238	AIRBUS GROUP FSPONSORED ADR (EADSY) (Industrials: Aerospace & Defense)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
8.239	AKTIEBOLAGET ELECTROLU FSPONSORED ADR (ELUXY) (Technology)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.240	ALIBABA GROUP HOLDING FSPONSORED ADR (BABA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.241	ALPHABET INC. CLASS A (GOOGL)	N/A	\$15,001 - \$50,000		\$201 - \$1,000
8.242	AMAZON.COM INC (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.243	ARCELOR MITTAL NY FUNSPONSORED ADR (MT)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.244	BAIDU COM INC (BIDU) FSPONSORED ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.245	BERKSHIRE HATHAWAY CLASS B (BRKB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.246	BIOGEN INC (BIIB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.247	BOOKING HOLDINGS INC (BKNG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.248	C S L LIMITED (CSLLY) (Healthcare) FSPONSORED ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.249	CELGENE CORP (CELG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.250	CENTENE COPR (CNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.251	CHARTER COMMUNICATN (CHTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.252	CHINA UNICOM HK (CHU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.253	CHRISTIAN HANSEN HLD ADR (CHYHY) (Basic Materials) FSPONSORED ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.254	CIGNA CORP (CI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.255	COCA COLA AMATIL (CCLAY) (Consumer Defensive: Beverages - Soft Drinks) FSPONSORED ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.256	COCA-COLA EURO PTNRS (CCE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.257	COMMERZBANK AG (CRZBY) (Financial Services) FSPONSORED ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.258	COSTAR GROUP INC (CSGP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.259	EXPRESS SCRIPTS HLDG (ESRX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.260	FACEBOOK INC (FB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.261	FISERV INC (FISV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.262	GIVAUDAN SA (GVDNY) (Basic Materials)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.263	HEIDELBERGCEMENT AG FSPONSORED ADR (HDELY) (Basic Materials)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.264	HUANENG POWER INTL FSPONSORED ADR (HNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.265	IHS MARKIT LTD (INFO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.266	INTESA SANPAOLO SPA FSPONSORED ADR (ISNPY) (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.267	J G C CORP FSPONSORED ADR (JGCCY) (Industrials)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.268	JD COMMON INC FSPONSORED ADR (JD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.269	KAO CORP FUNSPONSORED ADR (KAOOY) (Consumer Defensive: Household & Personal Products)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.270	KINROSS GOLD CORP (KGC)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
8.271	KYOCERA LTD (KYOCY) (Technology)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.272	LENOVO GROUP LIMITED (LNVGY) (Technology)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.273	METTLER TOLEDO INTL (MTD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.274	mitsubishi CO (MSBHY) (Industrials: Conglomerates)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.275	NETFLIX INC (NFLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.276	NOMURA HOLDINGS (NMR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.277	O REILLY AUTOMOTIVE (ORLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.278	PALO ALTO NETWORKS (PANW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.279	PAYPAL HOLDINGS (PYPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.280	PPL CORP (PPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.281	PREMIER INC (PINC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.282	PUBLIC JOINT STOCK (LUKOY) (Energy)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.283	SALESFORCE COM (CRM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.284	SANLAM LTD (SLLDY) (Financial Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.285	SAP SE (SAP)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.286	SGS SA (SGSOY) (Industrials: Business Services)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.287	SINA CORP (SINA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.288	TATA MOTORS LIMITED (TTM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.289	VARIAN MEDICAL SYSTM (VAR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.290	VERISIGN INC (VRSN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.291	WHARF HOLDINGS LTD (WARFY) (Real Estate)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.292	WOORI BK (WF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.293	HUDSON PACIFIC (HPP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	Ovation Alternative Income Fund, LP	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
10	Ardent Financial Fund II, LP	No	\$100,001 - \$250,000	Dividends Capital Gains Interest	\$15,001 - \$50,000
10.1	AFF II Wilmington, LLC (commercial real estate loans)	N/A			
10.2	AFF II Portland, LLC (commercial real estate loans)	N/A			
10.3	AFF II Knoxville, LLC (commercial real estate loans)	N/A			
10.4	AFF II Charity, LLC (commercial real estate loans)	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.5	AFF II Downtown, LLC (commercial real estate loans)	N/A			
10.6	AFF II Wall Street, LLC (commercial real estate loans)	N/A			
10.7	AFF II Hank, LLC (commercial real estate loans)	N/A			
10.8	AFF II Clemson House, LLC (commercial real estate loans)	N/A			
10.9	AFF II Port Royal, LLC (commercial real estate loans)	N/A			
10.10	AFF II Beaumont, LLC (commercial real estate loans)	N/A			
10.11	AFF II Lark, LLC (commercial real estate loans)	N/A			
10.12	AFF II South Village, LLC (commercial real estate loans)	N/A			
10.13	AFF II Cane Bay, LLC (commercial real estate loans)	N/A			
11	Flock Financial Fund, LLC Promissory Note 12%	No	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
12	Porter House Investors, LLC	No			
12.1	Commercial real estate, Jacksonville, FL	N/A	\$50,001 - \$100,000		None (or less than \$201)
13	Monteagle - East Fork Fund, LLC	No			
13.1	Undeveloped land, Dekalb County, AL	N/A	\$50,001 - \$100,000		None (or less than \$201)
14	Residential real estate, Key West, FL	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15	Big Hill Partners LLC	No			
15.1	Undeveloped land, Chatham County, NC	N/A	\$50,001 - \$100,000		None (or less than \$201)
16	Tennessee Branch Partners LLC	No			
16.1	Undeveloped land, Liberty County, GA	N/A	\$50,001 - \$100,000		None (or less than \$201)
17	Diversified HP 2016 Investors (QP) LLC	No	\$100,001 - \$250,000		None (or less than \$201)
17.1	1104 Prospect Redevelopment LLC	No			
17.1.1	Commercial real estate, Cleveland, OH	N/A			
17.2	West Duval Towers LLC	No			
17.2.1	Commercial real estate, Jacksonville, FL	N/A			
17.3	Financial Planning Center LP	No			
17.3.1	Commercial real estate, New Orleans, LA	N/A			
17.4	Olympia Newco LLC	No			
17.4.1	Commercial and residential real estate, New Haven, CT	N/A			
17.5	384 Peachtree LLC	No			
17.5.1	Commercial real estate, Atlanta, GA	N/A			
17.6	Midtown Associates LLC	No			
17.6.1	Commercial real estate, Asheville, NC	N/A			
18	HP15 Opportunity Fund LLC	No	\$100,001 - \$250,000	Rent or Royalties	\$1,001 - \$2,500
18.1	Downunder Columbia LLC	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.1.1	Commercial real estate, Columbia, SC	N/A			
18.2	Municipal Light Plant LLC	No			
18.2.1	Commercial real estate, Columbus, OH	N/A			
18.3	Asheville Foundry Inn LLC	No			
18.3.1	Commercial real estate, Asheville, NC	N/A			
18.4	Blue Venterra LP	No			
18.4.1	Commercial real estate, Louisville, KY	N/A			
18.5	Mast Asheville RE LLC	No			
18.5.1	Commercial real estate, Asheville, NC	N/A			
18.6	Sumter LLC	No			
18.6.1	Commercial real estate, Columbia, SC	N/A			
18.7	CLM Properties LLC	No			
18.7.1	Commercial real estate, Columbia, SC	N/A			
18.8	2101 Superior Avenue LLC	No			
18.8.1	Commercial real estate, Cleveland, OH	N/A			
18.9	2125 Superior Holding LLC	No			
18.9.1	Commercial real estate, Cleveland, OH	N/A			
18.10	2130 Superior Avenue LLC	No			
18.10.1	Commercial real estate, Cleveland, OH	N/A			
18.11	40 N French Broad LLC	No			
18.11.1	Commercial real estate, Asheville, NC	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	15th Street Partners LLC	No			
19.1	Undeveloped land, Liberty County, GA	N/A	\$100,001 - \$250,000		None (or less than \$201)
20	Lookout Creek Mining Company LLC	No			
20.1	Undeveloped land, Dekalb County, AL	N/A	\$50,001 - \$100,000		None (or less than \$201)

7. Transactions

(N/A) - Not required for this type of report

8. Liabilities

None

9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

Endnotes

PART	#	ENDNOTE
1.	1	Retired from Delta Air Lines effective October 1, 2018
1.	2	I began serving as vice chair of the board in 2018.

PART	#	ENDNOTE
2.	3	I received this payment in 2/2019.
2.	13	I received this payment in 2/2019.
2.	14	Pursuant to an agreement with Delta Air Lines, in lieu of this cash award that would have been payable in 2/2020, I will receive a lump sum cash payment before entering government service.
2.	15	Pursuant to an agreement with Delta Air Lines, in lieu of this cash award that would have been payable in 2/2021, I will receive a lump sum cash payment before entering government service.
3.	1	I received this payment in 2/2019.
3.	4	I received the 2/2019 payment as scheduled . Pursuant to an agreement with Delta Air Lines, in lieu of cash awards and stock options that I would have received in 2020 and 2021, I will receive a lump sum cash payment before entering government service.

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of three hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

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