

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Tillerson, Rex W

Secretary of State, Department of State

Date of Termination: 03/31/2018

Other Federal Government Positions Held During the Preceding 12 Months:

None

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/ Tillerson, Rex [electronically signed on 04/25/2018 by Tillerson, Rex 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/ McManus, Katherine D, Certifying Official [electronically signed on 06/29/2018 by McManus, Katherine D in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Skalla, Daniel L, Certifying Official [electronically signed on 08/08/2018 by Skalla, Daniel L in Integrity.gov]

Data Revised 05/29/2018

Data Revised 05/14/2018

1. Filer's Positions Held Outside United States Government

| # | ORGANIZATION NAME | | CITY, STATE | ORGANIZATION TYPE | POSITION HELD | FROM | TO |
|---|--|-------------|----------------------------------|-------------------|-----------------------|--------|--------|
| 1 | The Tillerson Foundation | | Fort Worth, Texas | Non-Profit | President & Treasurer | 8/2016 | 2/2017 |
| 2 | Bar RR Ranches, LLC | | Bartonville, Texas | Corporation | Managing Member | 7/2007 | 2/2017 |
| 3 | R2 Real Estate, LLC | | Bartonville, Texas | Corporation | Managing Member | 3/2016 | 2/2017 |
| 4 | Ford's Theatre Society | See Endnote | Washington, District of Columbia | Non-Profit | Vice-Chairman | 6/2007 | 2/2017 |
| 5 | Center for Strategic and International Studies | See Endnote | Washington, District of Columbia | Non-Profit | Trustee | 6/2005 | 2/2017 |
| 6 | Boy Scouts of America | See Endnote | New York, New York | Non-Profit | Director | 6/2005 | 2/2017 |

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

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|---|-----|-----------------------------|-------------|---------------|
| 1 | ExxonMobil Cash Payment in Lieu of Vacation | N/A | None (or less than \$1,001) | Lump Sum | \$389,770 |
| 2 | ExxonMobil Nonqualified Defined Benefit | N/A | None (or less than \$1,001) | Lump Sum | \$67,875,985 |
| 3 | ExxonMobil Supplemental Savings Plan | N/A | None (or less than \$1,001) | Lump Sum | \$2,288,332 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---|-------------|-----|-----------------------------|-----------------------|-------------------------|
| 4 | ExxonMobil Imputed Employee Benefits | See Endnote | N/A | None (or less than \$1,001) | Imputed income | \$2,690,805 |
| 5 | IRA #1 | | No | | | |
| 5.1 | U.S. bank account #1 (cash) | | N/A | \$100,001 - \$250,000 | Interest | \$5,001 - \$15,000 |
| 5.2 | GS Core Fixed Income Fund Institutional Shares (GSFIX) | | Yes | \$500,001 - \$1,000,000 | | \$15,001 - \$50,000 |
| 5.3 | GS High Yield Floating Rate Fund Institutional Shares (GSFRX) | | Yes | \$100,001 - \$250,000 | | \$5,001 - \$15,000 |
| 5.4 | GS High Yield Fund Institutional Shares (GSHIX) | | Yes | \$100,001 - \$250,000 | | \$5,001 - \$15,000 |
| 5.5 | GS Short Duration Income Institutional Fund (GDFIX) | | Yes | \$500,001 - \$1,000,000 | | \$15,001 - \$50,000 |
| 5.6 | iShares MSCI EAFE ETF (EFA) | | Yes | \$250,001 - \$500,000 | | \$5,001 - \$15,000 |
| 5.7 | iShares Russell 2000 ETF (IWM) | | Yes | \$500,001 - \$1,000,000 | | \$5,001 - \$15,000 |
| 5.8 | iShares Trust Currency Hedged MSCI EAFE (HEFA) | | Yes | \$250,001 - \$500,000 | | \$5,001 - \$15,000 |
| 5.9 | SPDR S&P 500 ETF Trust (SPY) | | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 6 | IRA #2 | | No | | | |
| 6.1 | Fidelity Value Fund (FDVLX) | | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 7 | Ethics Compliance Trusts | | No | | Lump Sum Distribution | \$10,210,001 |
| 7.1 | MFB DFA Emerging Markets Value (DFEVX) | | Yes | \$5,000,001 - \$25,000,000 | | \$100,001 - \$1,000,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|-----------------------------|-------------|---------------------------|
| 7.2 | United States Treasury Notes Tips .375 07-15-2023 | N/A | \$100,001 - \$250,000 | Interest | None (or less than \$201) |
| 7.3 | MFB Northern Equity Index Funds International Equity (NOINX) | Yes | \$25,000,001 - \$50,000,000 | | \$1,000,001 - \$5,000,000 |
| 7.4 | Northern Mid Cap Index Fund (NOMIX) | Yes | \$5,000,001 - \$25,000,000 | | \$100,001 - \$1,000,000 |
| 7.5 | Northern Stock Index Fund (NOSIX) | Yes | \$25,000,001 - \$50,000,000 | | \$1,000,001 - \$5,000,000 |
| 7.6 | MFB Northern Funds U S Govt Money Mkt Fdus (NOGXX) | Yes | \$1,000,001 - \$5,000,000 | | \$50,001 - \$100,000 |
| 7.7 | MFB DFA US Small Cap Portfolio (DFSTX) | Yes | \$1,000,001 - \$5,000,000 | | \$100,001 - \$1,000,000 |
| 7.8 | MFB Northern High Yield Fixed Income Fund (NHFIX) | Yes | \$5,000,001 - \$25,000,000 | | \$100,001 - \$1,000,000 |
| 7.9 | 2018 United States of America Treasury Inflation Indexed 0.125% 04-15-2018 | N/A | \$500,001 - \$1,000,000 | Interest | \$201 - \$1,000 |
| 7.10 | United States of America Treasury Bills 05-18-2017 Dtd 00240 | N/A | None (or less than \$1,001) | Interest | \$5,001 - \$15,000 |
| 7.11 | United States of America Treasury Notes 0.125% Inflation Indexed 04-15-2020 | N/A | \$100,001 - \$250,000 | Interest | None (or less than \$201) |
| 7.12 | United States of America Treasury Notes 1.0% Notes 12-15-2017 Usd1000' Au-2017' | N/A | None (or less than \$1,001) | Interest | \$50,001 - \$100,000 |
| 7.13 | United States of America Treasury Notes Notes 0.125% Inflation Indexed 07-15-2026 | N/A | \$100,001 - \$250,000 | Interest | None (or less than \$201) |
| 7.14 | 2022 United States Treasury 1.625% Due 11-15-2022 | N/A | \$1,000,001 - \$5,000,000 | Interest | \$5,001 - \$15,000 |
| 7.15 | United States Treasury Bills 08-17-2017 Dtd 08/18/2016 | N/A | None (or less than \$1,001) | Interest | \$15,001 - \$50,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|-----------------------------|-------------|---------------------------|
| 7.16 | United States Treasury Bills Due 10-26-2017Reg | N/A | None (or less than \$1,001) | Interest | \$5,001 - \$15,000 |
| 7.17 | United States Treasury Infl Indexed Notes .125% 01-15-2023 | N/A | \$100,001 - \$250,000 | Interest | None (or less than \$201) |
| 7.18 | 2022 United States Treasury Infl Indexed Notes .125% 07-15-2022 | N/A | \$100,001 - \$250,000 | Interest | None (or less than \$201) |
| 7.19 | 2019 United States Treasury Infl Indexed Notes 0.125C 04-15-2019 | N/A | \$100,001 - \$250,000 | Interest | None (or less than \$201) |
| 7.20 | United States Treasury Infl Notes 0.375% Dtd 07/15/2015 07-15-2025 | N/A | \$100,001 - \$250,000 | Interest | \$201 - \$1,000 |
| 7.21 | United States Treasury Notes .875% Due 11-15-2017 | N/A | None (or less than \$1,001) | Interest | \$5,001 - \$15,000 |
| 7.22 | United States Treasury Notes 0.125% Index Linked 01-15-2022 | N/A | \$100,001 - \$250,000 | Interest | None (or less than \$201) |
| 7.23 | 2021 United States Treasury Notes 2% Due 11-15-2021 | N/A | \$1,000,001 - \$5,000,000 | Interest | \$15,001 - \$50,000 |
| 7.24 | 2020 United States Treasury Notes 2.625 Due 11-15-2020 Reg | N/A | \$1,000,001 - \$5,000,000 | Interest | \$15,001 - \$50,000 |
| 7.25 | 2023 United States Treasury Notes 2.75% Due 11-15-2023 Reg | N/A | \$1,000,001 - \$5,000,000 | Interest | \$15,001 - \$50,000 |
| 7.26 | United States Treasury Notes Dtd 00354 2.375%Due 06-30-2018 Reg | N/A | \$1,000,001 - \$5,000,000 | Interest | \$15,001 - \$50,000 |
| 7.27 | United States Treasury Notes Dtd 00410 .75% Due 06-30-2017 Reg | N/A | None (or less than \$1,001) | Interest | \$2,501 - \$5,000 |
| 7.28 | United States Treasury Notes Dtd 08/31/2012 .625% Due 08-31-2017 Reg | N/A | None (or less than \$1,001) | Interest | \$5,001 - \$15,000 |
| 7.29 | 2018 United States Treasury Notes Dtd 11/15/2015 1.25% Due 11-15-2018 Reg | N/A | \$1,000,001 - \$5,000,000 | Interest | \$15,001 - \$50,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|-----------------------------|-------------|---------------------------|
| 7.30 | United States Treasury Notes Dtd 11/15/2015 2.25% Due 11-15-2025 Reg | N/A | \$250,001 - \$500,000 | Interest | \$5,001 - \$15,000 |
| 7.31 | 2019 United States Treasury Notes Dtd 11/15/2016 1% Due 11-15-2019 Reg | N/A | \$1,000,001 - \$5,000,000 | Interest | \$15,001 - \$50,000 |
| 7.32 | United States Treasury Notes Dtd 11/30/2012 .625% Due 11-30-2017 Reg | N/A | None (or less than \$1,001) | Interest | \$15,001 - \$50,000 |
| 7.33 | 2026 United States Treasury Notes Wi Treasury Note 2% Due 11-15-2026 Reg | N/A | \$100,001 - \$250,000 | Interest | \$2,501 - \$5,000 |
| 7.34 | 2020 United States of America Treasury Notes Idx Lkd Nt 1.375 Notes Tips 1/15/2020 | N/A | \$100,001 - \$250,000 | Interest | \$2,501 - \$5,000 |
| 7.35 | United States Treasury Bds Index Linked 2.00 Due 01-15-2026 Reg | N/A | \$100,001 - \$250,000 | Interest | \$1,001 - \$2,500 |
| 7.36 | 2025 United States Treasury Infl Indexed Bonds 2.375 Due 01-15-2025 BEO | N/A | \$100,001 - \$250,000 | Interest | \$2,501 - \$5,000 |
| 7.37 | 2021 United States Treasury Notes Tips Dtd 07-15-2011 07-15-2021 | N/A | \$100,001 - \$250,000 | Interest | \$1,001 - \$2,500 |
| 7.38 | 2024 United States Tsy Infl Ix Treasury Bd 0.625% 01-15-2024 | N/A | \$100,001 - \$250,000 | Interest | \$201 - \$1,000 |
| 7.39 | United States Treasury Notes 1.125% Tips 15/1/21 United Statesd1000 01-15-2021 | N/A | \$100,001 - \$250,000 | Interest | \$1,001 - \$2,500 |
| 7.40 | United States Treasury 1.25% Due 06-30-2019 | N/A | \$1,000,001 - \$5,000,000 | Interest | \$15,001 - \$50,000 |
| 8 | Lincoln Financial Group, variable universal life | No | | | |
| 8.1 | LVIP SSGA S&P 500 Index SC | Yes | \$1,000,001 - \$5,000,000 | | None (or less than \$201) |
| 8.2 | LVIP SSGA Small Cap Index SC | Yes | \$500,001 - \$1,000,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--------------------------|-----|-------------------------|-------------|---------------------------|
| 8.3 | LVIP Vanguard Int Equity | Yes | \$500,001 - \$1,000,000 | | None (or less than \$201) |

3. Filer's Employment Agreements and Arrangements

| # | EMPLOYER OR PARTY | CITY, STATE | STATUS AND TERMS | DATE |
|---|-------------------|---------------|--|---------|
| 1 | ExxonMobil | Irving, Texas | I participated in ExxonMobil benefit programs until my separation from the company at the end of 2016. These benefits were terminated, forfeited, or divested according to the terms detailed in the endnote to Part 3, #1 of my Nominee Report. | 12/2016 |

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

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

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

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|--|-----|------------------|-------------|---------------------------|
| 1 | Bar RR Ranches, LLC (Bartonville, TX horse and cattle ranch) | N/A | Over \$1,000,000 | | None (or less than \$201) |

6. Other Assets and Income

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|---|-----|-----------------------------|----------------------------|---------------------------|
| 1 | US Brokerage Money Market #1 | N/A | \$1,000,001 - \$5,000,000 | Interest | \$1,001 - \$2,500 |
| 2 | Abbvie Inc Com (ABBV) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 3 | Accenture PLC (Ireland Class A) (ACN) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 4 | Airbus Group (AIR) | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000 |
| 5 | Alaska Air Group Inc. (ALK) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$15,001 - \$50,000 |
| 6 | ALLEN TEX INDPT SCH DIST REF PSF-GTD OY 3.34 ID 07-15-12Coupon .00% Mature 02/15/2026 (C8LE6) | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 7 | American Express Company (AXP) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 8 | Amgen Inc (AMGN) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$15,001 - \$50,000 |
| 9 | Anhui Conch Cement Adr (AHCHY) | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000 |
| 10 | Apple Inc (AAPL) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$15,001 - \$50,000 |
| 11 | AT&T Inc (T) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 12 | AUBREY TX INDPT SCH DIST GEN OBLIG UNLTD TAX PSF GTD OY 5.90Coupon .00% Mature 02/15/2022 (JB362) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 13 | Axa Ads (CS) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 14 | Baidu Inc Ads (BIDU) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|--|-----|-----------------------------|----------------------------|---------------------------|
| 15 | Blackrock Inc (BLK) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 16 | Blackrock National Muni A (MDNLX) | Yes | \$1,000,001 - \$5,000,000 | | \$50,001 - \$100,000 |
| 17 | BNP Paribas ADR (BNP) | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000 |
| 18 | Boeing Company (BA) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 19 | Brandes International Small Cap Equity (BISAX) | Yes | \$1,000,001 - \$5,000,000 | | \$100,001 - \$1,000,000 |
| 20 | Bristol Myers Squibb Co (BMY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 21 | Carnival CP (CCL) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 22 | Caterpillar Inc (CAT) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 23 | CEDAR HILL TEX INDPT SCH DIST-A PSF-GTD OY 3.03 ID 04-15-12Coupon .00% Mature 02/15/2023 (C814B) | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 24 | Celgene Corp (CELG) | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000 |
| 25 | Chevron Corp. (CVX) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 26 | China Mobile Ltd. (CHL) | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000 |
| 27 | China Petroleum & Chemical Cp (SNP) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 28 | Chubb LTD (CB) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|---|-----|-----------------------------|----------------------------|---------------------------|
| 29 | Cisco Systems Inc. (CSCO) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 30 | Citigroup Inc. (C) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$15,001 - \$50,000 |
| 31 | CLINT TEX INDPT SCH DIST REF PSF-GTD OY 5.76 ID 12-15-01Coupon .00% Mature 02/15/2018 (B1F55) | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 32 | Coca Cola Co. (KO) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 33 | Colgate Palmolive Co. (CL) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 34 | Columbia Contrarian Core A (LCCAX) | Yes | \$1,000,001 - \$5,000,000 | | \$100,001 - \$1,000,000 |
| 35 | Columbia High Yield Muni A (LHIAX) | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 36 | Compagnie De St. Gobain (SGO) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 37 | Compagnie Fin Richemont AG ADR (CFRUY) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 38 | COPPELL TX INDPT SCH DIST RFDGUNLTD TAX PSF GTD OY 6.85Coupon .00% Mature 08/15/2024 (BX127) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 39 | Ctrip.Com International Ltd. (CTRP) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 40 | Cummins Inc. (CMI) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$15,001 - \$50,000 |
| 41 | CVS Health Corp. (CVS) | N/A | None (or less than \$1,001) | Dividends | \$201 - \$1,000 |
| 42 | DR Horton Inc (DHI) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|---|-----|-----------------------------|----------------------------|---------------------------|
| 43 | Daimler Ag- Un-sponsored ADR (DMLRY) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 44 | Deere & Co. (DE) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$15,001 - \$50,000 |
| 45 | Delta Air Lines Inc. (DAL) | N/A | None (or less than \$1,001) | Capital Gains Dividends | \$5,001 - \$15,000 |
| 46 | Deutsche Telekom Ag 1 Ord Ads (DTEGY) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 47 | Discover Financial Services (DFS) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 48 | DUNCANVILLE TEX INDPT SCH DISTREF PSF GTDCoupon .00% Mature 02/15/2022 (A70MZ) | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 49 | Eaton Corp PLC (ETN) | N/A | None (or less than \$1,001) | Capital Gains | \$15,001 - \$50,000 |
| 50 | ENNIS TEX INDPT SCH DIST REF PSF-GTD OY 3.870 ID 05-01-15Coupon .00% Mature 08/15/2030 (B1CH7) | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 51 | Exxon Mobil Corp. (XOM) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,000,001 - \$5,000,000 |
| 52 | FedEx Corp. (FDX) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 53 | Fidelity National Information Se (FIS) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 54 | Ford Motor Company (F) | N/A | None (or less than \$1,001) | Dividends | \$201 - \$1,000 |
| 55 | FORNEY TEX INDPT SCH DIST BLDGREF PSF- GTD OY 3.13D 02-15-11Coupon .00% Mature 08/15/2018 (CN01Z) | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|---|-----|-----------------------------|----------------------------|---------------------------|
| 56 | FORNEY TEX INDPT SCH DIST BLDGREF PSF-GTD OY 3.13D 02-15-11Coupon .00% Mature 08/15/2018 (CN03L) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 57 | Fresenius Se & Co Sponsored Adr (FSNUY) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 58 | FRISCO TEX INDPT SCH DIST REF PSF-GTD OY 2.91 ID 05-15-11Coupon .00% Mature 08/15/2019 (BX9T9) | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 59 | FRISCO TX INDPT SCH DIST REF-BLDG PSF GTD OY 5.64Coupon .00% Mature 08/15/2024 (AS113) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 60 | General Electric Co. (GE) | N/A | None (or less than \$1,001) | Dividends | \$1,001 - \$2,500 |
| 61 | General Mills Inc.(GIS) | N/A | None (or less than \$1,001) | Dividends | \$201 - \$1,000 |
| 62 | General Motors Inc. (GM) | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000 |
| 63 | GlaxoSmithKline Plc (GSK) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 64 | Goldman Sachs Inc. (GM) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$15,001 - \$50,000 |
| 65 | GRAPEVINE-COLLEYVILLE INDPT SCH DIST TX RFDG PSF GTD OY 5.15Coupon .00% Mature 08/15/2023 (NG274) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 66 | GRAPEVINE-COLLEYVILLE INDPT SCH DST TX REF UT PSF GTD OY5.15Coupon .00% Mature 08/15/2025 (A4979) | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 67 | Hartford Dividends & Growth Fund A (IHGIX) | Yes | \$1,000,001 - \$5,000,000 | | \$100,001 - \$1,000,000 |
| 68 | Hartford Midcap A. (HFMCX) | Yes | \$1,000,001 - \$5,000,000 | | \$50,001 - \$100,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|---|-----|-----------------------------|----------------------------|-------------------------|
| 69 | Heineken Nv Spn Adr (HEINY) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 70 | Honda Motor Company (HMC) | N/A | None (or less than \$1,001) | Capital Gains Dividends | \$2,501 - \$5,000 |
| 71 | Honeywell International Inc. (HON) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 72 | Iberdrola SA Sponsored Adr (IBDRY) | N/A | None (or less than \$1,001) | Dividends | \$201 - \$1,000 |
| 73 | Infineon Technologies Ag (IFX) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 74 | Ing Groep Nv Adr (ING) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 75 | Ingersoll-Rand Plc (IR) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 76 | Intel Corp. (INTC) | N/A | None (or less than \$1,001) | Dividends | \$201 - \$1,000 |
| 77 | Intesa Sanpaolo S.P.A Adr (ISP) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 78 | International Business Machines Corp. (IBM) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 79 | Invesco Diversified Dividends A (LCEAX) | Yes | \$1,000,001 - \$5,000,000 | | \$50,001 - \$100,000 |
| 80 | Invesco Intermediate Term Muni A (VKLMX) | Yes | \$1,000,001 - \$5,000,000 | | \$50,001 - \$100,000 |
| 81 | JD Com Inc. Sponsored ADR (JD) | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000 |
| 82 | John Hancock Fundamental Large Cap Credit A (TAGRX) | Yes | \$1,000,001 - \$5,000,000 | | \$100,001 - \$1,000,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|---|-----|-----------------------------|----------------------------|---------------------------|
| 83 | Johnson & Johnson (JNJ) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 84 | JP Morgan Chase & Co. (JPM) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$15,001 - \$50,000 |
| 85 | JUDSON TEX INDPT SCH DISTCoupon .00% Mature 02/01/2027 (FJ80G) | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 86 | Komatus Limited Sponsored ADR (KMTUY) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 87 | Koninklijke Phil El Sponsored ADR (PHG) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 88 | Lafargeholcim ADR (LHN) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 89 | LAKE DALLAS TEX INDPT SCH DISTREF PSF- GTD OY 3.67D 02-15-15Coupon .00% Mature 08/15/2030 (D5L4R) | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 90 | LAKE WORTH TX INDPT SCH DIST-REF BK QUAL UT PSF GTD OY 6.65Coupon .00% Mature 02/15/2022 (AR705) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 91 | LEANDER TEX INDPT SCH DIST PSF-GTD OY 3.35Coupon .00% Mature 08/15/2018 (AQ6Y8) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 92 | LEANDER TEX INDPT SCH DIST REFPSF-GTD OY 2.54Coupon .00% Mature 08/16/2026 (D2YP7) | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 93 | Lennar Corporation (LEN) | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000 |
| 94 | LIBERTY HILL TEX INDPT SCH DIST SCH BLDG REF PSF-GTD OY 3.86Coupon .00% Mature 08/01/2019 (B406X) | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 95 | Lockheed Martin Corp. (LMT) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---|-----|------------------------------|----------------------------|---------------------------|
| 96 | Lowes Companies Inc. (LOW) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 97 | MABANK TEX INDPT SCH DIST SCH BLDG REF PSF-GTD OY 4.44Coupon .00% Mature 08/15/2021 (QL665) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 98 | Magna International Inc. (MGA) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 99 | Marsh & McLennan Cos. Inc (MMC) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 100 | Masco Corp. (MAS) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 101 | Medtronic Plc (MDT) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 102 | Metlife Inc. (MET) | N/A | None (or less than \$1,001) | Dividends | \$201 - \$1,000 |
| 103 | Microsoft Corp. (MSFT) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 104 | Mitsubishi Ufj Financial Group (MTU) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 105 | Mondelez International Inc. (MDLZ) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 106 | Monsanto Co. (MON) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 107 | Morgan Stanley Institutional Liquidity Government Securities Fund (MGAXX) | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 108 | Nestle Sponsored ADR (NSRGY) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 109 | Nextera Energy Inc. (NEE) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---|-----|-----------------------------|----------------------------|-------------------------|
| 110 | Nike Inc. (NKE) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 111 | Nippon Shinyaku Co. ADR (NPPNY) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 112 | Nippon Telegraph & Telephone Ads (NTTY) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 113 | Novartis AG ADR (NVS) | N/A | None (or less than \$1,001) | Dividends | \$1,001 - \$2,500 |
| 114 | Nuveen Santa Barbara Dividends Growth (NSBAX) | Yes | \$1,000,001 - \$5,000,000 | | \$100,001 - \$1,000,000 |
| 115 | NXP Semiconductors NV (NXPI) | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000 |
| 116 | Packaging Corp (PKG) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 117 | Pepsico Inc. (PEP) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 118 | Pfizer Inc. (PFE) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 119 | Phillips 66 (PSX) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 120 | Pioneer Fundamental Growth A (PIGFX) | Yes | \$1,000,001 - \$5,000,000 | | \$100,001 - \$1,000,000 |
| 121 | Praxair Inc. (PX) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 122 | Procter & Gamble (PG) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$15,001 - \$50,000 |
| 123 | Prudential Financial Inc. (PRU) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$15,001 - \$50,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---|-----|-----------------------------|----------------------------|---------------------------|
| 124 | Qualcomm Inc. (QCOM) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 125 | Reckitt Benckiser Plc (RB) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 126 | ROCKWALL TEX INDPT SCH DIST REF PSF-GTD OY 3.680 ID 03-15-15Coupon .00% Mature 02/15/2028 (D8K18) | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 127 | Royal Dutch Shell Plc (RDS.A) | N/A | None (or less than \$1,001) | Capital Gains Dividends | \$1,001 - \$2,500 |
| 128 | Sanofi ADR (SNY) | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000 |
| 129 | SCHERTZ-CIBOLO-UNVL CITY TEX INDPT SCH DCoupon .00% Mature 02/01/2030 (C7C9F) | N/A | \$250,001 - \$500,000 | | None (or less than \$201) |
| 130 | Schlumberger Limited (SLB) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 131 | SHERMAN TX ISD SCH BLDG & REF SER A PSF GTD OY 6.30Coupon .00% Mature 02/15/2021 (NF813) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 132 | Shin Etsu Chemical Co. (TYO) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 133 | SOCORRO TEX INDPT SCH DIST REFPSF GTD OY 4.63Coupon .00% Mature 08/15/2018 (F0100) | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 134 | SOCORRO TEX INDPT SCH DIST REFPSF GTD UNLTD TAX OY 5.50Coupon .00% Mature 08/15/2018 (NWH90) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 135 | Sony Corp. ADR (SNE) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--|-----|-----------------------------|----------------------------|---------------------------|
| 136 | SOUTH SAN ANTONIO TEX ISD PSF GTD OY 3.72 ID 07-15-10Coupon .00% Mature 08/15/2021 (A1LK0) | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 137 | Southwest Airlines (LUV) | N/A | None (or less than \$1,001) | Capital Gains | \$15,001 - \$50,000 |
| 138 | SPDR Nuveen Bloomberg Barclays S/T Muni Bond Fund (SHM) | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 139 | State Street Corp. (STT) | N/A | None (or less than \$1,001) | Dividends | \$15,001 - \$50,000 |
| 140 | Target Corp. (TGT) | N/A | None (or less than \$1,001) | Dividends | \$201 - \$1,000 |
| 141 | TE Connectivity Limited (TEL) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 142 | Thornburg Global Opportunity A (THOAX) | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 143 | Time Warner Inc. (TWX) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 144 | Total SA Sponsored ADR (TOT) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 145 | Toyota Motor Company ADR (TM) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 146 | Travelers Companies Inc. (TRV) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 147 | TROY TEX INDPT SCH DIST SCH BLDG PSF-GTD 4.70 ID 08-01-08Coupon .00% Mature 08/01/2020 (A1HK2) | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 148 | Union Pacific Corp. (UNP) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--|-----|--------------------------------|----------------------------|------------------------|
| 149 | UNITED STATES TREASURY NOTE RATE:AAA/N/A 0.750% DUE:2018-04-30 Ref: 11844210 SEC ID: FJK10 | N/A | \$1,000,001 - \$5,000,000 | Interest | \$5,001 - \$15,000 |
| 150 | UNITED STATES TREASURY NOTE RATE:AAA/N/A 1.250% DUE:2019-04-30 Ref: 11809631 SEC ID: B25B5 | N/A | \$1,000,001 - \$5,000,000 | Interest | \$15,001 - \$50,000 |
| 151 | UNITED STATES TREASURY NOTE RATE:AAA/N/A 1.375% DUE:2020-04-30 Ref: 11838834 SEC ID: E502N | N/A | \$1,000,001 - \$5,000,000 | Interest | \$15,001 - \$50,000 |
| 152 | UNITED STATES TREASURY NOTE RATE:AAA/N/A 1.375% DUE:2021-04-30 Ref: 11844379 SEC ID: FJK17 | N/A | \$1,000,001 - \$5,000,000 | Interest | \$15,001 - \$50,000 |
| 153 | United Technologies Corp. (UTX) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 154 | Unitedhealth Group Inc. (UNH) | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000 |
| 155 | Vanguard Growth ETF (VUG) | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 156 | Vanguard Large Cap ETF (VV) | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 157 | Vanguard MidCap ETF (VOE) | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 158 | Vanguard Small Cap Growth ETF (VBK) | Yes | \$1,000,001 - \$5,000,000 | | \$5,001 - \$15,000 |
| 159 | Vanguard Small Cap Value ETF (VBR) | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 160 | Vanguard Value ETF (VTV) | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 161 | Verizon Communications (VZ) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---|-----|-----------------------------|----------------------------|---------------------------|
| 162 | Vinci Sa ADR (VCISY) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 163 | Walt Disney Co. (DIS) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 164 | Wal Mart Stores Inc. (WMT) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 165 | WEATHERFORD TEX INDPT SCH DISTSCH BLDG REF PSF-GTD OY 5.70Coupon .00% Mature 02/15/2026 (A1HL2) | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 166 | Wec Energy Group Inc. (WEC) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 167 | Wells Fargo & Company (WFC) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$15,001 - \$50,000 |
| 168 | Whirlpool Corp. (WHR) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 169 | WHITE SETTLEMENT TEX ISD REF PSF-GTD OY 2.58 ID 12-15-11Coupon .00% Mature 08/15/2020 (A5LM4) | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 170 | WHITE SETTLEMENT TEX ISD SCH BLDG REF PSF-GTD OY 5.63Coupon .00% Mature 08/15/2025 (A1D0J) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 171 | WYLIE INDPNDNT SCH DIST SCH BLDG SER- B ID 02-15-15Coupon .00% Mature 08/15/2032 (CX4K0) | N/A | \$250,001 - \$500,000 | | None (or less than \$201) |
| 172 | WYLIE TX INDPT SCH DIST SCH BLDG REF CAP APP PSF-GTD OY 2.60Coupon .00% Mature 08/15/2022 (B6Y92) | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 173 | WYLIE TX INDPT SCH DIST SCH BLDG REF CAP APP PSF-GTD OY 3.00Coupon .00% Mature 08/15/2024 (B6ZA6) | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---|-----|--------------------------------|---------------|------------------------------|
| 174 | WYLIE TX INDPT SCH DIST SCH BLDG REF CAP APP PSF-GTD OY 3.75Coupon .00% Mature 08/15/2030 (B6ZB5) | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 175 | Yandex N.V.A | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 176 | Yum China Holdings (YUMC) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 177 | US Brokerage Money Market #2 | N/A | \$250,001 - \$500,000 | Interest | \$50,001 - \$100,000 |
| 178 | DFA US Small Cap Portfolio Institutional (DFSTX) | Yes | \$1,000,001 - \$5,000,000 | | \$50,001 - \$100,000 |
| 179 | First Eagle Global Fund I (SGLIX) | Yes | \$5,000,001 - \$25,000,000 | | \$100,001 - \$1,000,000 |
| 180 | GS High Yield Floating Rate Fund Institutional Shares (GSFRX) | Yes | \$250,001 - \$500,000 | | \$5,001 - \$15,000 |
| 181 | GS High Yield Fund Institutional Shares (GSHIX) | Yes | \$250,001 - \$500,000 | | \$5,001 - \$15,000 |
| 182 | GS High Yield Municipal Fund Institutional Shares (GHYIX) | Yes | \$1,000,001 - \$5,000,000 | | \$50,001 - \$100,000 |
| 183 | GS Short Duration Tax-Free Fund Institutional Shares (GSDUX) | Yes | \$5,000,001 - \$25,000,000 | | \$100,001 - \$1,000,000 |
| 184 | Polaris Global Value Fund Investor (PGVFX) | Yes | \$5,000,001 - \$25,000,000 | | \$50,001 - \$100,000 |
| 185 | SPDR S&P 500 ETF Trust (SPY) | Yes | \$5,000,001 - \$25,000,000 | | \$50,001 - \$100,000 |
| 186 | State Street Hedged International Developed Equity Index Fund K Class (SSHQX) | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 187 | U.S. bank account #2 (cash) | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-----|----------------------------|-------------------|---------------------------|
| 188 | US Brokerage Money Market #3 | N/A | \$1,000,001 - \$5,000,000 | Interest | \$2,501 - \$5,000 |
| 189 | Northern Stock Index Fund (NOSIX) | Yes | \$5,000,001 - \$25,000,000 | | \$50,001 - \$100,000 |
| 190 | Northern Mid Cap Index Fund (NOMIX) | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 191 | MFO DFA US Small Cap Portfolio (DFSTX) | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 192 | MFB Northern Equity Index Funds International Equity Index (NOINX) | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 193 | MFO DFA Emerging Markets Value (DFEVX) | Yes | \$5,000,001 - \$25,000,000 | | \$5,001 - \$15,000 |
| 194 | MFB Northern High Yield Fixed Income Fund (NHFIX) | Yes | \$1,000,001 - \$5,000,000 | | \$15,001 - \$50,000 |
| 195 | US Bank Account #1 | N/A | \$250,001 - \$500,000 | Interest | None (or less than \$201) |
| 196 | US Bank Account #2 | N/A | \$1,001 - \$15,000 | Interest | None (or less than \$201) |
| 197 | US Bank Account #3 | N/A | \$1,001 - \$15,000 | Interest | None (or less than \$201) |
| 198 | Augustus Investments, LP | No | | | |
| 198.1 | Office Building and Land, Dallas, TX | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 199 | PB&J Land Partners, LP | No | | | |
| 199.1 | Building on 1 Acre Lot, Dallas, TX | N/A | \$15,001 - \$50,000 | Rent or Royalties | \$201 - \$1,000 |
| 200 | Sylvan Avenue Development | No | | | |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-----|-----------------------|-------------------|---------------------------|
| 200.1 | Mixed Use Retail Development, Dallas TX | N/A | \$250,001 - \$500,000 | | None (or less than \$201) |
| 201 | Sylvan Avenue Re-Fi Fund | No | | | |
| 201.1 | Mixed Use Retail Development, Dallas, TX | N/A | \$250,001 - \$500,000 | Capital Gains | \$50,001 - \$100,000 |
| 202 | Residential Real Estate, Denton County, TX | N/A | \$250,001 - \$500,000 | Rent or Royalties | \$5,001 - \$15,000 |
| 203 | R2 Real Estate, LLC (loan to family member) | N/A | \$250,001 - \$500,000 | Interest | \$5,001 - \$15,000 |

7. Transactions

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|------------------------------------|----------|------------|---------------------------|
| 1 | COLUMBIA HIGH YIELD MUNI A (LHIAX) | Purchase | 06/30/2017 | \$1,001 - \$15,000 |
| 2 | COLUMBIA HIGH YIELD MUNI A (LHIAX) | Purchase | 07/31/2017 | \$1,001 - \$15,000 |
| 3 | COLUMBIA HIGH YIELD MUNI A (LHIAX) | Purchase | 08/31/2017 | \$1,001 - \$15,000 |
| 4 | COLUMBIA HIGH YIELD MUNI A (LHIAX) | Purchase | 09/29/2017 | \$1,001 - \$15,000 |
| 5 | COLUMBIA HIGH YIELD MUNI A (LHIAX) | Purchase | 10/31/2017 | \$1,001 - \$15,000 |
| 6 | COLUMBIA HIGH YIELD MUNI A (LHIAX) | Purchase | 11/30/2017 | \$1,001 - \$15,000 |
| 7 | HARTFORD DIV & GROWTH A (IHGIX) | Purchase | 04/26/2017 | \$1,000,001 - \$5,000,000 |
| 8 | HARTFORD DIV & GROWTH A (IHGIX) | Purchase | 06/29/2017 | \$1,001 - \$15,000 |
| 9 | HARTFORD DIV & GROWTH A (IHGIX) | Purchase | 09/28/2017 | \$1,001 - \$15,000 |
| 10 | HARTFORD DIV & GROWTH A (IHGIX) | Purchase | 12/15/2017 | \$100,001 - \$250,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|--|----------|------------|---------------------------|
| 11 | HARTFORD DIV & GROWTH A (IHGIX) | Purchase | 12/15/2017 | \$1,001 - \$15,000 |
| 12 | HARTFORD DIV & GROWTH A (IHGIX) | Purchase | 12/27/2017 | \$1,001 - \$15,000 |
| 13 | HARTFORD MIDCAP A (HFMCX) | Purchase | 04/26/2017 | \$1,000,001 - \$5,000,000 |
| 14 | HARTFORD MIDCAP A (HFMCX) | Purchase | 12/15/2017 | \$50,001 - \$100,000 |
| 15 | HARTFORD MIDCAP A (HFMCX) | Purchase | 12/15/2017 | \$1,001 - \$15,000 |
| 16 | INVESCO DIVERSIFIED DIVIDEND A (LCEAX) | Purchase | 04/26/2017 | \$1,000,001 - \$5,000,000 |
| 17 | INVESCO DIVERSIFIED DIVIDEND A (LCEAX) | Purchase | 06/15/2017 | \$1,001 - \$15,000 |
| 18 | INVESCO DIVERSIFIED DIVIDEND A (LCEAX) | Purchase | 09/14/2017 | \$1,001 - \$15,000 |
| 19 | INVESCO DIVERSIFIED DIVIDEND A (LCEAX) | Purchase | 12/13/2017 | \$15,001 - \$50,000 |
| 20 | INVESCO DIVERSIFIED DIVIDEND A (LCEAX) | Purchase | 12/13/2017 | \$1,001 - \$15,000 |
| 21 | INVESCO DIVERSIFIED DIVIDEND A (LCEAX) | Purchase | 12/13/2017 | \$15,001 - \$50,000 |
| 22 | INVESCO INTERM TERM MUNI A (VKLMX) | Purchase | 04/26/2017 | \$1,000,001 - \$5,000,000 |
| 23 | INVESCO INTERM TERM MUNI A (VKLMX) | Purchase | 04/28/2017 | \$1,001 - \$15,000 |
| 24 | INVESCO INTERM TERM MUNI A (VKLMX) | Purchase | 05/31/2017 | \$1,001 - \$15,000 |
| 25 | INVESCO INTERM TERM MUNI A (VKLMX) | Purchase | 06/30/2017 | \$1,001 - \$15,000 |
| 26 | INVESCO INTERM TERM MUNI A (VKLMX) | Purchase | 07/31/2017 | \$1,001 - \$15,000 |
| 27 | INVESCO INTERM TERM MUNI A (VKLMX) | Purchase | 08/31/2017 | \$1,001 - \$15,000 |
| 28 | INVESCO INTERM TERM MUNI A (VKLMX) | Purchase | 09/29/2017 | \$1,001 - \$15,000 |
| 29 | INVESCO INTERM TERM MUNI A (VKLMX) | Purchase | 10/31/2017 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|--|----------|------------|---------------------------|
| 30 | INVESCO INTERM TERM MUNI A (VKLMX) | Purchase | 11/30/2017 | \$1,001 - \$15,000 |
| 31 | JOHN HANCOCK FNDMTL LG CP CR A (TAGRX) | Purchase | 04/26/2017 | \$1,000,001 - \$5,000,000 |
| 32 | JOHN HANCOCK FNDMTL LG CP CR A (TAGRX) | Purchase | 12/15/2017 | \$1,001 - \$15,000 |
| 33 | JOHN HANCOCK FNDMTL LG CP CR A (TAGRX) | Purchase | 12/15/2017 | \$100,001 - \$250,000 |
| 34 | JOHN HANCOCK FNDMTL LG CP CR A (TAGRX) | Purchase | 12/15/2017 | \$15,001 - \$50,000 |
| 35 | NUVEEN SANTA BARBARA DIV GR A (NSBAX) | Purchase | 04/26/2017 | \$1,000,001 - \$5,000,000 |
| 36 | NUVEEN SANTA BARBARA DIV GR A (NSBAX) | Purchase | 06/30/2017 | \$1,001 - \$15,000 |
| 37 | NUVEEN SANTA BARBARA DIV GR A (NSBAX) | Purchase | 09/29/2017 | \$1,001 - \$15,000 |
| 38 | NUVEEN SANTA BARBARA DIV GR A (NSBAX) | Purchase | 12/15/2017 | \$100,001 - \$250,000 |
| 39 | NUVEEN SANTA BARBARA DIV GR A (NSBAX) | Purchase | 12/15/2017 | \$1,001 - \$15,000 |
| 40 | NUVEEN SANTA BARBARA DIV GR A (NSBAX) | Purchase | 12/28/2017 | \$1,001 - \$15,000 |
| 41 | PIONEER FUNDAMENTAL GROWTH A (PIGFX) | Purchase | 04/26/2017 | \$1,000,001 - \$5,000,000 |
| 42 | PIONEER FUNDAMENTAL GROWTH A (PIGFX) | Purchase | 11/29/2017 | \$100,001 - \$250,000 |
| 43 | PIONEER FUNDAMENTAL GROWTH A (PIGFX) | Purchase | 11/29/2017 | \$1,001 - \$15,000 |
| 44 | PIONEER FUNDAMENTAL GROWTH A (PIGFX) | Purchase | 12/22/2017 | \$1,001 - \$15,000 |
| 45 | SPDR NUVEEN BBG BAR SHRT TERM (SHM) | Purchase | 05/09/2017 | \$1,001 - \$15,000 |
| 46 | SPDR NUVEEN BBG BAR SHRT TERM (SHM) | Purchase | 06/09/2017 | \$1,001 - \$15,000 |
| 47 | SPDR NUVEEN BBG BAR SHRT TERM (SHM) | Purchase | 07/12/2017 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|-------------------------------------|----------|------------|---------------------------|
| 48 | SPDR NUVEEN BBG BAR SHRT TERM (SHM) | Purchase | 08/09/2017 | \$1,001 - \$15,000 |
| 49 | SPDR NUVEEN BBG BAR SHRT TERM (SHM) | Purchase | 09/12/2017 | \$1,001 - \$15,000 |
| 50 | SPDR NUVEEN BBG BAR SHRT TERM (SHM) | Purchase | 10/10/2017 | \$1,001 - \$15,000 |
| 51 | SPDR NUVEEN BBG BAR SHRT TERM (SHM) | Purchase | 11/09/2017 | \$1,001 - \$15,000 |
| 52 | SPDR NUVEEN BBG BAR SHRT TERM (SHM) | Purchase | 12/11/2017 | \$1,001 - \$15,000 |
| 53 | SPDR NUVEEN BBG BAR SHRT TERM (SHM) | Purchase | 12/28/2017 | \$1,001 - \$15,000 |
| 54 | SPDR NUVEEN BBG BAR SHRT TERM (SHM) | Purchase | 04/26/2017 | \$1,000,001 - \$5,000,000 |
| 55 | THORNBURG GLOBAL OPPORT A (THOAX) | Purchase | 04/26/2017 | \$1,000,001 - \$5,000,000 |
| 56 | THORNBURG GLOBAL OPPORT A (THOAX) | Purchase | 05/30/2017 | \$500,001 - \$1,000,000 |
| 57 | THORNBURG GLOBAL OPPORT A (THOAX) | Purchase | 06/23/2017 | \$1,001 - \$15,000 |
| 58 | THORNBURG GLOBAL OPPORT A (THOAX) | Purchase | 12/22/2017 | \$1,001 - \$15,000 |
| 59 | VANGUARD GROWTH ETF (VUG) | Purchase | 04/24/2017 | \$1,001 - \$15,000 |
| 60 | VANGUARD GROWTH ETF (VUG) | Purchase | 04/24/2017 | \$1,001 - \$15,000 |
| 61 | VANGUARD GROWTH ETF (VUG) | Purchase | 12/27/2017 | \$1,001 - \$15,000 |
| 62 | VANGUARD GROWTH ETF (VUG) | Purchase | 04/26/2017 | \$1,000,001 - \$5,000,000 |
| 63 | VANGUARD LARGE CAP ETF (VV) | Purchase | 07/13/2017 | \$1,001 - \$15,000 |
| 64 | VANGUARD LARGE CAP ETF (VV) | Purchase | 09/25/2017 | \$1,001 - \$15,000 |
| 65 | VANGUARD LARGE CAP ETF (VV) | Purchase | 12/27/2017 | \$1,001 - \$15,000 |
| 66 | VANGUARD LARGE CAP ETF (VV) | Purchase | 04/26/2017 | \$1,000,001 - \$5,000,000 |
| 67 | VANGUARD MID CAP VALUE ETF (VOE) | Purchase | 06/30/2017 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|----|--|----------|------------|---------------------------|
| 68 | VANGUARD MID CAP VALUE ETF (VOE) | Purchase | 09/25/2017 | \$1,001 - \$15,000 |
| 69 | VANGUARD MID CAP VALUE ETF (VOE) | Purchase | 12/27/2017 | \$1,001 - \$15,000 |
| 70 | VANGUARD MID CAP VALUE ETF (VOE) | Purchase | 04/26/2017 | \$1,000,001 - \$5,000,000 |
| 71 | VANGUARD SM CAP GROWTH ETF (VBK) | Purchase | 07/13/2017 | \$1,001 - \$15,000 |
| 72 | VANGUARD SM CAP GROWTH ETF (VBK) | Purchase | 09/25/2017 | \$1,001 - \$15,000 |
| 73 | VANGUARD SM CAP GROWTH ETF (VBK) | Purchase | 12/27/2017 | \$1,001 - \$15,000 |
| 74 | VANGUARD SM CAP GROWTH ETF (VBK) | Purchase | 04/26/2017 | \$1,000,001 - \$5,000,000 |
| 75 | VANGUARD SM CAP VALUE ETF (VBR) | Purchase | 07/13/2017 | \$1,001 - \$15,000 |
| 76 | VANGUARD SM CAP VALUE ETF (VBR) | Purchase | 10/02/2017 | \$1,001 - \$15,000 |
| 77 | VANGUARD SM CAP VALUE ETF (VBR) | Purchase | 12/27/2017 | \$1,001 - \$15,000 |
| 78 | VANGUARD SM CAP VALUE ETF (VBR) | Purchase | 04/26/2017 | \$1,000,001 - \$5,000,000 |
| 79 | VANGUARD VALUE ETF INDEX (VTV) | Purchase | 07/13/2017 | \$1,001 - \$15,000 |
| 80 | VANGUARD VALUE ETF INDEX (VTV) | Purchase | 09/27/2017 | \$1,001 - \$15,000 |
| 81 | VANGUARD VALUE ETF INDEX (VTV) | Purchase | 12/27/2017 | \$1,001 - \$15,000 |
| 82 | VANGUARD VALUE ETF INDEX (VTV) | Purchase | 04/26/2017 | \$1,000,001 - \$5,000,000 |
| 83 | AB INTERNATIONAL GROWTH A (AWPAX) | Sale | 03/01/2017 | \$1,001 - \$15,000 |
| 84 | MFO DFA US Small Cap Portfolio (DFSTX) | Purchase | 12/19/2017 | \$1,001 - \$15,000 |
| 85 | MFB Northern Funds Stock Index (NOSIX) | Purchase | 12/22/2017 | \$1,001 - \$15,000 |
| 86 | MFB Northern Funds Stock Index (NOSIX) | Purchase | 12/22/2017 | \$15,001 - \$50,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|---|----------|------------|----------------------------|
| 87 | MFB Northern Equity Index Funds Mid Cap Index (NOMIX) | Purchase | 12/22/2017 | \$1,001 - \$15,000 |
| 88 | MFB Northern Equity Index Funds Mid Cap Index (NOMIX) | Purchase | 12/22/2017 | \$15,001 - \$50,000 |
| 89 | MFB NORTHERN FUNDS STK INDEX FD (NOSIX) | Purchase | 02/20/2017 | \$5,000,001 - \$25,000,000 |
| 90 | MFB NORTHERN HIGH YIELD FIXED INCOME FUND (NHFIX) | Purchase | 02/21/2017 | \$1,000,001 - \$5,000,000 |
| 91 | MFB NORTHERN INTI EQUITY INDEX FD (NOINX) | Purchase | 02/21/2017 | \$5,000,001 - \$25,000,000 |
| 92 | MFB NORTHERN MID CAP INDEX FD (NOMIX) | Purchase | 02/21/2017 | \$1,000,001 - \$5,000,000 |
| 93 | MFO DFA EMERGING MARKETS VALUE (DFEVX) | Purchase | 02/21/2017 | \$5,000,001 - \$25,000,000 |
| 94 | MFO DFA US SMALL CAP PORTFOLIO (DFSTX) | Purchase | 02/21/2017 | \$1,000,001 - \$5,000,000 |
| 95 | MFB NORTHERN FUNDS STK INDEX FD (NOSIX) | Purchase | 03/03/2017 | \$5,000,001 - \$25,000,000 |
| 96 | MFB NORTHERN HIGH YIELD FIXED INCOME FUND (NHFIX) | Purchase | 03/03/2017 | \$1,000,001 - \$5,000,000 |
| 97 | MFB NORTHERN INTI EQUITY INDEX FD (NOINX) | Purchase | 03/03/2017 | \$5,000,001 - \$25,000,000 |
| 98 | MFB NORTHERN MID CAP INDEX FD (NOMIX) | Purchase | 03/03/2017 | \$1,000,001 - \$5,000,000 |
| 99 | MFO DFA EMERGING MARKETS VALUE (DFEVX) | Purchase | 03/03/2017 | \$5,000,001 - \$25,000,000 |
| 100 | MFO DFA US SMALL CAP PORTFOLIO (DFSTX) | Purchase | 03/03/2017 | \$1,000,001 - \$5,000,000 |
| 101 | MFB NORTHERN FUNDS STK INDEX FD (NOSIX) | Purchase | 03/16/2017 | \$5,000,001 - \$25,000,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|---|----------|------------|----------------------------|
| 102 | MFB NORTHERN HIGH YIELD FIXED INCOME FUND (NHFIX) | Purchase | 03/16/2017 | \$1,000,001 - \$5,000,000 |
| 103 | MFB NORTHERN INTI EQUITY INDEX FD (NOINX) | Purchase | 03/16/2017 | \$5,000,001 - \$25,000,000 |
| 104 | MFB NORTHERN MID CAP INDEX FD (NOMIX) | Purchase | 03/16/2017 | \$1,000,001 - \$5,000,000 |
| 105 | MFO DFA EMERGING MARKETS VALUE (DFEVX) | Purchase | 03/16/2017 | \$5,000,001 - \$25,000,000 |
| 106 | MFO DFA US SMALL CAP PORTFOLIO (DFSTX) | Purchase | 03/16/2017 | \$1,000,001 - \$5,000,000 |
| 107 | MFB NORTHERN FUNDS STK INDEX FD (NOSIX) | Sale | 07/27/2017 | \$500,001 - \$1,000,000 |
| 108 | MFB NORTHERN INTI EQUITY INDEX FD (NOINX) | Sale | 07/27/2017 | \$500,001 - \$1,000,000 |
| 109 | MFB NORTHERN MID CAP INDEX FD (NOMIX) | Sale | 07/27/2017 | \$100,001 - \$250,000 |
| 110 | MFO DFA EMERGING MARKETS VALUE (DFEVX) | Sale | 07/27/2017 | \$250,001 - \$500,000 |
| 111 | MFO DFA US SMALL CAP PORTFOLIO (DFSTX) | Sale | 07/27/2017 | \$50,001 - \$100,000 |
| 112 | MFB NORTHERN INTI EQUITY INDEX FD (NOINX) | Sale | 12/05/2017 | \$1,000,001 - \$5,000,000 |
| 113 | MFB NORTHERN FUNDS STK INDEX FD (NOSIX) | Sale | 12/05/2017 | \$1,000,001 - \$5,000,000 |
| 114 | MFB NORTHERN HIGH YIELD FIXED INCOME FUND (NHFIX) | Sale | 12/05/2017 | \$500,001 - \$1,000,000 |
| 115 | MFO DFA EMERGING MARKETS VALUE (DFEVX) | Sale | 12/05/2017 | \$500,001 - \$1,000,000 |
| 116 | MFO DFA US SMALL CAP PORTFOLIO (DFSTX) | Purchase | 12/19/2017 | \$100,001 - \$250,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|---|----------|------------|---------------------------|
| 117 | MFB NORTHERN EQUITY INDEX FUNDS MID CAP INDEX (NOMIX) | Purchase | 12/22/2017 | \$250,001 - \$500,000 |
| 118 | MFB NORTHERN FUNDS STK INDEX FD (NOSIX) | Purchase | 12/22/2017 | \$500,001 - \$1,000,000 |
| 119 | GS CORE FIXED INCOME FUND INSTITUTIONAL SHARES (GSFIX) | Purchase | 03/27/2017 | \$500,001 - \$1,000,000 |
| 120 | GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (GSFRX) | Purchase | 03/27/2017 | \$100,001 - \$250,000 |
| 121 | GS HIGH YIELD FUND INSTITUTIONAL SHARES (GSHIX) | Purchase | 03/27/2018 | \$100,001 - \$250,000 |
| 122 | GS SHORT DURATION INCOME INSTITUTIONAL MUTUAL FUND (GDFIX) | Purchase | 03/27/2017 | \$500,001 - \$1,000,000 |
| 123 | ISHARES CURRENCY HEDGED MSCI EAFE ETF (HEFA) | Purchase | 03/27/2017 | \$250,001 - \$500,000 |
| 124 | ISHARES MSCI EAFE ETF (EFA) | Purchase | 03/27/2017 | \$250,001 - \$500,000 |
| 125 | ISHARES RUSSELL 2000 ETF (IWM) | Purchase | 03/27/2017 | \$250,001 - \$500,000 |
| 126 | SPDR S&P 500 ETF TRUST (SPY) | Purchase | 03/27/2017 | \$1,000,001 - \$5,000,000 |
| 127 | SPDR S&P 500 ETF TRUST (SPY) | Purchase | 07/28/2017 | \$500,001 - \$1,000,000 |
| 128 | ISHARES RUSSELL 2000 ETF (IWM) | Purchase | 08/30/2017 | \$50,001 - \$100,000 |
| 129 | TEMPELTON WORLD FUND CLASS A (TEMWX) | Sale | 08/25/017 | \$15,001 - \$50,000 |
| 130 | MFB NORTHERN HIGH YIELD FIXED INCOME FUND (NHFIX) | Sale | 01/03/2018 | \$15,001 - \$50,000 |
| 131 | COLUMBIA HIGH YIELD MUNI A (LHIAX) | Purchase | 01/02/2018 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|--|----------|------------|---------------------------|
| 132 | BLACKROCK NATIONAL MUNI A (MDNLX) | Purchase | 01/02/2018 | \$1,001 - \$15,000 |
| 133 | INVESCO INTERM TERM MUNI A (VKLMX) | Purchase | 01/02/2018 | \$1,001 - \$15,000 |
| 134 | BRANDES INTL SMALL CAP EQ A (BISAX) | Purchase | 01/02/2018 | \$50,001 - \$100,000 |
| 135 | COLUMBIA HIGH YIELD MUNI A (LHIAX) | Purchase | 02/01/2018 | \$1,001 - \$15,000 |
| 136 | BLACKROCK NATIONAL MUNI A (MDNLX) | Purchase | 02/01/2018 | \$1,001 - \$15,000 |
| 137 | INVESCO INTERM TERM MUNI A (VKLMX) | Purchase | 02/01/2018 | \$1,001 - \$15,000 |
| 138 | SPDR NUVEEN BBG BAR SHORT TERM (SHM) | Purchase | 02/07/2018 | \$1,001 - \$15,000 |
| 139 | CLINT TEX INDPT SCH DIST REF PSF-GTD OY 5.76 ID 12-15-01 CUSIP (187270PA5) | Exchange | 02/15/2018 | \$50,001 - \$100,000 |
| 140 | COLUMBIA HIGH YIELD MUNI A (LHIAX) | Purchase | 03/01/2018 | \$1,001 - \$15,000 |
| 141 | BLACKROCK NATIONAL MUNI A (MDNLX) | Purchase | 03/01/2018 | \$1,001 - \$15,000 |
| 142 | INVESCO INTERM TERM MUNI A (VKLMX) | Purchase | 03/01/2018 | \$1,001 - \$15,000 |
| 143 | SPDR NUVEEN BBG BAR SHORT TERM (SHM) | Purchase | 03/07/2018 | \$1,001 - \$15,000 |
| 144 | INVESCO DIVERSIFIED DIVIDEND A (LCEAX) | Purchase | 03/23/2018 | \$1,001 - \$15,000 |
| 145 | VANGUARD MID CAP VALUE ETF (VOE) | Purchase | 03/27/2018 | \$1,001 - \$15,000 |
| 146 | VANGUARD SM CAP GROWTH ETF (VBK) | Purchase | 03/27/2018 | \$1,001 - \$15,000 |
| 147 | VANGUARD GROWTH ETF (VUG) | Purchase | 03/27/2018 | \$1,001 - \$15,000 |
| 148 | VANGUARD VALUE ETF (VTV) | Purchase | 03/27/2018 | \$1,001 - \$15,000 |
| 149 | VANGUARD LARGE CAP ETF (VV) | Purchase | 03/27/2018 | \$1,001 - \$15,000 |
| 150 | VANGUARD SM CAP ETF (VBR) | Purchase | 03/27/2018 | \$1,001 - \$15,000 |
| 151 | HARTFORD DIV & GROWTH A (IHGIX) | Purchase | 03/29/2018 | \$1,001 - \$15,000 |
| 152 | SPDR S&P 500 ETF TRUST (SPY) | Purchase | 01/05/2018 | \$1,000,001 - \$5,000,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|--|----------|------------|-------------------------------|
| 153 | SPDR S&P 500 ETF TRUST (SPY) | Purchase | 01/16/2018 | \$1,000,001 - \$5,000,000 |
| 154 | iSHARES RUSSELL 2000 ETF (IWM) | Purchase | 01/05/2018 | \$100,001 - \$250,000 |
| 155 | DFA US SMALL CAP PORTFOLIO INSTITUTIONAL (DFSTX) | Purchase | 07/28/2017 | \$500,001 - \$1,000,000 |
| 156 | DFA US SMALL CAP PORTFOLIO INSTITUTIONAL (DFSTX) | Purchase | 08/30/2017 | \$250,001 - \$500,000 |
| 157 | DFA US SMALL CAP PORTFOLIO INSTITUTIONAL (DFSTX) | Purchase | 10/24/2017 | \$250,001 - \$500,000 |
| 158 | FIRST EAGLE GLOBAL FUND I (SGIIX) | Purchase | 07/28/2017 | \$1,000,001 - \$5,000,000 |
| 159 | FIRST EAGLE GLOBAL FUND I (SGIIX) | Purchase | 08/30/2017 | \$1,000,001 - \$5,000,000 |
| 160 | FIRST EAGLE GLOBAL FUND I (SGIIX) | Purchase | 10/24/2017 | \$1,000,001 - \$5,000,000 |
| 161 | GS HIGH YIELD FLOATING RATE FUND INSTITUTIONAL SHARES (GHYIX) | Purchase | 07/28/2017 | \$250,001 - \$500,000 |
| 162 | GS HIGH YIELD FUND INSTITUTIONAL SHARES (GSHIX) | Purchase | 07/28/2017 | \$250,001 - \$500,000 |
| 163 | GS HIGH YIELD MUNICIPAL FUND INSTITUTIONAL SHARES (GHYIX) | Purchase | 07/28/2017 | \$1,000,001 - \$5,000,000 |
| 164 | GS SHORT DURATION TAX-FREE FUND INSTITUTIONAL SHARES (GSDUX) | Purchase | 07/28/2017 | \$5,000,001 - \$25,000,000 |
| 165 | GS SHORT DURATION TAX-FREE FUND INSTITUTIONAL SHARES (GSDUX) | Purchase | 08/30/2017 | \$1,000,001 - \$5,000,000 |
| 166 | POLARIS GLOBAL VALUE FUND INVESTOR (PGVFX) | Purchase | 07/28/2017 | \$1,000,001 - \$5,000,000 |
| 167 | POLARIS GLOBAL VALUE FUND INVESTOR (PGVFX) | Purchase | 08/30/2017 | \$1,000,001 - \$5,000,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|---|----------|------------|---------------------------|
| 168 | POLARIS GLOBAL VALUE FUND INVESTOR (PGVFX) | Purchase | 10/24/2017 | \$1,000,001 - \$5,000,000 |
| 169 | SPDR S&P 500 ETF TRUST (SPY) | Purchase | 07/28/2017 | \$1,000,001 - \$5,000,000 |
| 170 | SPDR S&P 500 ETF TRUST (SPY) | Purchase | 08/30/2017 | \$1,000,001 - \$5,000,000 |
| 171 | STATE STREET HEDGED INTERNATIONAL DEVELOPED EQUITY INDEX FUND K CLASS (SSHQX) | Purchase | 07/28/2017 | \$500,001 - \$1,000,000 |
| 172 | STATE STREET HEDGED INTERNATIONAL DEVELOPED EQUITY INDEX FUND K CLASS (SSHQX) | Purchase | 08/30/2017 | \$250,001 - \$500,000 |
| 173 | STATE STREET HEDGED INTERNATIONAL DEVELOPED EQUITY INDEX FUND K CLASS (SSHQX) | Purchase | 10/24/2017 | \$250,001 - \$500,000 |
| 174 | BLACKROCK NATIONAL MUNI A (MDNLX) | Purchase | 04/21/2017 | \$1,000,001 - \$5,000,000 |
| 175 | BLACKROCK NATIONAL MUNI A (MDNLX) | Purchase | 05/01/2017 | \$1,001 - \$15,000 |
| 176 | BLACKROCK NATIONAL MUNI A (MDNLX) | Purchase | 06/01/2017 | \$1,001 - \$15,000 |
| 177 | BLACKROCK NATIONAL MUNI A (MDNLX) | Purchase | 07/03/2017 | \$1,001 - \$15,000 |
| 178 | BLACKROCK NATIONAL MUNI A (MDNLX) | Purchase | 08/01/2017 | \$1,001 - \$15,000 |
| 179 | BLACKROCK NATIONAL MUNI A (MDNLX) | Purchase | 09/01/2017 | \$1,001 - \$15,000 |
| 180 | BLACKROCK NATIONAL MUNI A (MDNLX) | Purchase | 10/02/2017 | \$1,001 - \$15,000 |
| 181 | BLACKROCK NATIONAL MUNI A (MDNLX) | Purchase | 11/01/2017 | \$1,001 - \$15,000 |
| 182 | BLACKROCK NATIONAL MUNI A (MDNLX) | Purchase | 12/01/2017 | \$1,001 - \$15,000 |
| 183 | BRANDES INTL SMALL CAP EQ A (BISAX) | Purchase | 04/21/2017 | \$1,000,001 - \$5,000,000 |
| 184 | BRANDES INTL SMALL CAP EQ A (BISAX) | Purchase | 07/03/2017 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|-------------------------------------|----------|------------|---------------------------|
| 185 | BRANDES INTL SMALL CAP EQ A (BISAX) | Purchase | 10/02/2017 | \$1,001 - \$15,000 |
| 186 | BRANDES INTL SMALL CAP EQ A (BISAX) | Purchase | 12/11/2017 | \$50,001 - \$100,000 |
| 187 | BRANDES INTL SMALL CAP EQ A (BISAX) | Purchase | 12/11/2017 | \$1,001 - \$15,000 |
| 188 | COLUMBIA CONTRARIAN CORE A (LCCAX) | Purchase | 04/26/2017 | \$1,000,001 - \$5,000,000 |
| 189 | COLUMBIA CONTRARIAN CORE A (LCCAX) | Purchase | 12/11/2017 | \$100,001 - \$250,000 |
| 190 | COLUMBIA CONTRARIAN CORE A (LCCAX) | Purchase | 12/11/2017 | \$1,001 - \$15,000 |
| 191 | COLUMBIA CONTRARIAN CORE A (LCCAX) | Purchase | 12/11/2017 | \$15,001 - \$50,000 |
| 192 | COLUMBIA HIGH YIELD MUNI A (LHIAX) | Purchase | 04/26/2017 | \$1,000,001 - \$5,000,000 |
| 193 | COLUMBIA HIGH YIELD MUNI A (LHIAX) | Purchase | 05/31/2017 | \$1,001 - \$15,000 |

8. Liabilities

9. Gifts and Travel Reimbursements

Endnotes

| PART | # | ENDNOTE |
|------|---|---|
| 1. | 4 | The listed start date is approximate and is based on a good-faith estimate. |
| 1. | 5 | The listed start date is approximate and is based on a good-faith estimate. |
| 1. | 6 | The listed start date is approximate and is based on a good-faith estimate. |

| PART | # | ENDNOTE |
|------|---|---|
| 2. | 4 | This entry reflects income imputed to the filer for (1) the purchase of a third-party life insurance policy to replace the executive life insurance policy previously provided by ExxonMobil, pursuant to an agreement with the company, and (2) the value of certain company benefits provided to the filer before his departure from the company. |

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.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
