

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Rosen, Jeffrey Adam

Deputy Secretary, Department of Transportation

Other Federal Government Positions Held During the Preceding 12 Months:

Public Member, Administrative Conference of the United States (8/2013 - Present)

Names of Congressional Committees Considering Nomination:

- **Committee on Commerce, Science, and Transportation**
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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/ Rosen, Jeffrey Adam [electronically signed on 02/16/2017 by Rosen, Jeffrey Adam 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 03/21/2017 by Kaleta, Judith in Integrity.gov]

Other review conducted by

/s/ Carlson, Terence W, Ethics Official [electronically signed on 03/21/2017 by Carlson, Terence W in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 03/22/2017 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	Kirkland & Ellis LLP and Kirkland & Ellis International	See Endnote	Washington, District of Columbia	Law Firm	Partner	5/2009	Present
2	American Bar Association Section of Administrative Law & Regulatory Practice	See Endnote	Washington, District of Columbia	Non-Profit	Last Retiring Chair	8/2016	Present
3	Northwestern University College of Arts & Sciences Board of Visitors		Evanston, Illinois	University/College	Board member	4/2009	Present
4	Free State Foundation		Rockville, Maryland	Non-Profit	Board member	9/2011	12/2016
5	U.S. Chamber of Commerce, Committee on Government Operations, Oversight, and Consumer Affairs		Washington, District of Columbia	Trade Association	Committee Member	9/2012	2/2017
6	Advisory Board of the National Federation of Independent Business Small Business Legal Center		Washington, District of Columbia	Trade Association	Board Member	2/2011	2/2017
7	Jeffrey Adam Rosen Revocable Living Trust (no reportable assets)		McLean, Virginia	Trust	Trustee	12/1996	Present

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Kirkland & Ellis LLP and Kirkland & Ellis International (law firm)	See Endnote	N/A		Partnership Share	\$1,567,335
2	Kirkland & Ellis LLP, defined benefit plan (value not readily ascertainable)		N/A		Retirement Payments (annual)	\$189,505

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	St. Paul Business Trust, defined benefit plan (value not readily ascertainable) Trust will assume majority of Kirkland pension obligation at age 61	N/A			None (or less than \$201)
4	Kirkland & Ellis LLP, cash balance pension plan	N/A	\$250,001 - \$500,000		None (or less than \$201)
5	Vanguard Emerging Markets Stock Index Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
6	Vanguard Inflation Protected Securities Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7	Vanguard REIT Index Fund	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
8	Vanguard Total Bond Market Index Fund	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
9	Vanguard Total International Stock Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
10	Vanguard Total Stock Market Fund	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
11	VTSAX Vanguard Total Stock Market Index Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
12	SWSXX Schwab Cash Reserves	Yes	\$250,001 - \$500,000		None (or less than \$201)
13	US Trust: CSRIX Cohen and Steers REIT	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
14	AMT American Tower Corp REIT	Yes	\$1,001 - \$15,000		None (or less than \$201)
15	ABBOTT LABS COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
16	ACTIVISION BLIZZARD INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
17	ANTHEM INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18	AON PLC COM ISIN	N/A	\$1,001 - \$15,000		None (or less than \$201)
19	APPLE INC COM (filer divested this asset after the report was initially submitted)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
20	AT&T INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
21	BANK NEW YORK MELLON CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
22	BLACKROCK INC CL A	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
23	BROADCOM LTD COM SINGAPORE	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
24	CAMBIAR INTL EQUITY FUND INV CL	Yes	\$15,001 - \$50,000		\$201 - \$1,000
25	CANADIAN NAT RES LTD COM CANADA	N/A	\$1,001 - \$15,000		None (or less than \$201)
26	CARDINAL HEALTH INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
27	CHEVRON CORP COM	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
28	CIGNA CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
29	CITIGROUP INC NEW COM	N/A	\$15,001 - \$50,000		None (or less than \$201)
30	COACH INC COM	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
31	COCA COLA CO COM (filer divested this asset after the report was initially submitted)	N/A	\$1,001 - \$15,000		None (or less than \$201)
32	COLUMBIA EMERGING MKTS CONSUMER ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
33	COLUMBIA SMALL CAP INDEX FUND CLASS Z SHARES	Yes	\$15,001 - \$50,000		\$201 - \$1,000
34	COMCAST CORP NEW CL A COM	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
35	CONOCOPHILLIPS COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
36	COOPER COS INC COM NEW	N/A	\$1,001 - \$15,000		None (or less than \$201)
37	CVS HEALTH CORP COM	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
38	DELAWARE EMERGING MKTS FUND CL INSTL CL	Yes	\$50,001 - \$100,000		\$201 - \$1,000
39	DISNEY WALT CO COM DISNEY	N/A	\$1,001 - \$15,000		None (or less than \$201)
40	DUN & BRADSTREET CORP DEL NEW COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
41	EATON CORP PLC COM IRELAND	N/A	\$1,001 - \$15,000		None (or less than \$201)
42	EDISON INTL COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
43	EQT CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
44	EXPEDIA INC DEL NEW COM	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
45	EXXON MOBIL CORP COM (filer divested this asset after the report was initially submitted)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
46	FIDELITY NATL INFORMATION SVCS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
47	GENERAL ELEC CO COM (filer divested this asset after the report was initially submitted)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
48	GLENMEDE SMALL CAPITALIZATION EQUITY PORTFOLIO INSTL CL	Yes	\$15,001 - \$50,000		None (or less than \$201)
49	HONEYWELL INTL INC COM (filer divested this asset after the report was initially submitted)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
50	INVESCO LTD COM BERMUDA	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
51	ISHARES EDGE MSCI MIN VOL EAFE ETF	Yes	None (or less than \$1,001)		\$201 - \$1,000
52	ISHARES EDGE MSCI USA QUALITY FACTOR ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
53	ISHARES MSCI EAFE SMALL-CAP ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
54	ISHARES MSCI JAPAN ETF NEW	Yes	\$15,001 - \$50,000		\$201 - \$1,000
55	J P MORGAN CHASE & CO COM	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
56	JOHN HANCOCK FDS III DISCIPLINED VALUE MID CAP FUND	Yes	\$15,001 - \$50,000		\$201 - \$1,000
57	JOHNSON & JOHNSON COM	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
58	KROGER CO COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
59	LOWES COS INC COM (filer divested this asset after the report was initially submitted)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
60	MARRIOTT INTL INC NEW CL A	N/A	\$1,001 - \$15,000		None (or less than \$201)
61	MASTERCARD INC CL A COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
62	MCDONALDS CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
63	MEDTRONIC PLC COM IRELAND	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
64	MICROSOFT CORP COM	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
65	MONSANTO CO NEW COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
66	MORGAN STANLEY COM	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
67	NATIXIS LOOMIS SAYLES GROWTH FUND CL Y	Yes	\$15,001 - \$50,000		None (or less than \$201)
68	NEWELL RUBBERMAID INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
69	NIELSEN HLDGS PLC COM UNITED KINGDOM	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
70	NIELSEN N V COM NETHERLANDS	N/A	\$1,001 - \$15,000		None (or less than \$201)
71	NOBLE ENERGY INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
72	OPPENHEIMER INTL GROWTH FUND CL Y SHS	Yes	\$1,001 - \$15,000		None (or less than \$201)
73	PEPSICO INC COM	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
74	PFIZER INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
75	PHILIP MORRIS INTL INC COM	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
76	PIMCO COMMODITIESPLUS STRATEGY FUND INSTL CL	Yes	None (or less than \$1,001)		\$201 - \$1,000
77	PVH CORP COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
78	ROYAL CARIBBEAN CRUISES LTD COM LIBERIA	N/A	\$1,001 - \$15,000		None (or less than \$201)
79	SCHLUMBERGER LTD COM CURACAO	N/A	\$1,001 - \$15,000		None (or less than \$201)
80	VANGUARD FTSE DEVELOPED MARKETS ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
81	VANGUARD REIT ETF	Yes	None (or less than \$1,001)		\$201 - \$1,000
82	VERIZON COMMUNICATIONS INC COM	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
83	WALGREENS BOOTS ALLIANCE INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
84	WELLS FARGO & CO NEW COM	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
85	WELLS FARGO SPECIAL SMALL CAP VALUE FUND INSTL CL	Yes	\$15,001 - \$50,000		\$201 - \$1,000
86	ZIMMER BIOMET HLDGS INC COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
87	US brokerage money market account (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
88	Credit Suisse Commodity Return Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
89	Berkshire Hathaway Inc. Del New CL B (filer divested this asset after the report was initially submitted)	N/A	\$15,001 - \$50,000		None (or less than \$201)
90	Biogen Idec Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
91	Celgene Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
92	Akamai Technologies Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
93	Alexion Pharmaceuticals Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
94	Alphabet Inc. CL A (filer divested this asset after the report was initially submitted)	N/A	\$15,001 - \$50,000		None (or less than \$201)
95	Alphabet Inc. CL A (filer divested this asset after the report was initially submitted)	N/A	\$1,001 - \$15,000		None (or less than \$201)
96	Electronic Arts Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
97	Facebook Inc. CL A	N/A	\$15,001 - \$50,000		None (or less than \$201)
98	Liberty Interactive Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
99	Michael's COS Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
100	Palo Alto Networks Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
101	Sherwin Williams Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
102	Stericycle Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
103	Vertex Pharmaceuticals	N/A	\$1,001 - \$15,000		None (or less than \$201)
104	National Affairs Journal article - Spring 2016 Issue	N/A		Honorarium	\$1,500
105	Kirkland & Ellis LLP and Kirkland & Ellis International, interest in contingency fee cases (value not readily ascertainable) (filer waived and forfeited this interest after the report was initially submitted)	N/A			None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Kirkland & Ellis LLP	Chicago, Illinois	I will continue to participate in this defined benefit plan. St. Paul Business Trust will assume majority of Kirkland pension obligation at age 61.	6/1982
2	Kirkland & Ellis LLP	Chicago, Illinois	Following my withdrawal from the firm, I will receive a lump pay out of my cash balance pension plan.	5/2009
3	Kirkland & Ellis LLP	Chicago, Illinois	I will participate in this defined contribution plan, but the firm will not make contributions after my separation.	5/2009
4	Kirkland & Ellis LLP	Chicago, Illinois	I have an interest in contingency fee cases. I will forfeit any interest in these contingency fee cases that has not been paid as of 3/15/2017.	5/2009

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Kirkland & Ellis LLP and Kirkland & Ellis International	Washington, D.C., District of Columbia	provision of legal services to clients
2	Cargo Airline Assn	Washington, District of Columbia	legal services to law firm client
3	BNSF Railway	Ft. Worth, Texas	legal services to law firm client
4	Kapsch Trafficom North America	McLean, Virginia	legal services to law firm client
5	U.S. Chamber Institute for Legal Reform	Washington, District of Columbia	legal services to law firm client

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Roth IRA: Vanguard Total Stock Mkt Index Fund	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #1 (cash)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
2	U.S. bank account #2 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3	U.S. bank account #3 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	U.S. bank account #4 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	VEMAX Vanguard Emerging Markets Stock Index Fund	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6	VENAX Vanguard Energy Index Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
7	VEUSX Vanguard European Stock Index Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8	VWEAX Vanguard High Yield Corporate Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9	VWIUX Vanguard Intermediate Term Tax Exempt Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
10	Vanguard Prime Money Market Fund	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
11	VBTLX Vanguard Total Bond Market Index Fund	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
12	VTIAX Vanguard Total International Stock Index Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
13	VTSAX Vanguard Total Stock Market Index Fund	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
14	FMOXX Fidelity Tax Exempt MMF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15	FEQTX Fidelity Equity Dividend Income Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
16	BSCH Guggenheim Bllshs 2017 Corp Bond ETF	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
17	BSJH Guggenheim Bulletshares 2017 ETF	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
18	BSCI Guggenheim Bultsh 2018 Corp Bond ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
19	Schwab U.S. Dividend Equity ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20	SWSXX Schwab Money Market	Yes	\$500,001 - \$1,000,000		\$201 - \$1,000
21	CSCO Cisco Systems stock	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
22	ETE Energy Transfar Equity LP units (filer divested this asset after the report was initially submitted)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
23	CA ST DEPT WTR RES 5%19 UTIL ELEC DUE 05/01/19	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
24	CA ST ECON RECOV 5%18 DB LTX DUE 07/01/18	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
25	CA ST ECON RECOV 5%18 DB LTX DUE 07/01/18	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
26	DALLAS TX WW/SWR SY 5%18 UTIL COMB DUE 10/01/18	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
27	DC INCOME TAX 5%23 TAX COMB DUE 12/01/23	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
28	DENTON TX 5%21 GO LTX DUE 02/15/21	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
29	FL ST B/E PUB ED 5%22 TAX EXIT DUE 06/01/22	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
30	KING CNTY WA SD #40 5%21 GO UTX DUE 12/01/21	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
31	MA BAY TRAN AUTH S/ 5%22 TAX EXIT DUE 07/01/22 (filer divested this asset after the report was initially submitted)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
32	MET TRAN AUTH NY 5%23 TRAN COMB DUE 11/15/23 AS (filer divested this asset after the report was initially submitted)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
33	MINNESOTA ST 5%19 GO UTX DUE 08/01/19	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
34	MN PFA REVOLVING 5%23 AUTH POOL DUE 03/01/23	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
35	NY ST PWR AUTH 5%22 UTIL PWR DUE 11/15/22	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
36	NY ST TWY AUTH SEC 5%23 TRAN HWY DUE 04/01/23 (filer divested this asset after the report was initially submitted)	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
37	NY ST URB DEV CORP 5%27 TAX SPL DUE 03/15/27	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
38	NYC NY TRAN AUTH 5.25%21 AUTH BLDG DUE 07/15/21 (filer divested this asset after the report was initially submitted)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
39	OR ST DEPT ADMN LTR 5%24 VP DUE 04/01/24	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
40	OR ST TRANS HWY TAX 5%25 TAX COMB DUE 11/15/25 (filer divested this asset after the report was initially submitted)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
41	PENNSYLVANIA ST 5.375%20 GO UTX DUE 07/01/20 AS	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
42	REGL TRAN DST CO CO 5%26 COPS TRAN DUE 06/01/26 (filer divested this asset after the report was initially submitted)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
43	SANTA CLARA CA FA 4%23 BLDG LEAS DUE 02/01/23 XT	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
44	UNIV CINCINNATI OH 5%25 EDUC PUB DUE 06/01/25	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
45	VA ST PUB SCH AUTH 5%24 SCH IMPT DUE 08/01/24	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
46	VA ST RES AUTH INFR 5%17 AUTH POOL DUE 11/01/17	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
47	WASHINGTON ST 5%17 DB UTX DUE 07/01/17	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
48	BERNSTEIN DIVERSIFIED MUNI PORTFOLIO (SNDPX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
49	TAX-AWARE OVERLAY A PORTFOLIO CLASS 1 (SATOX)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
50	TAX-AWARE OVERLAY B PORTFOLIO CLASS 1 (SBTOX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
51	AB DISCOVERY GRWTH FUND- ADV (CHCYX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
52	AB DISCOVERY VALUE FUND- ADV (ABYSX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
53	AB SMALL CAP CORE PORTFOLIO ADV CL (SCRYX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
54	ADOBE SYSTEMS INC (ADBE) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
55	AETNA INC (AET) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
56	ALEXION PHARMACEUTICALS INC (ALXN) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
57	ALLSTATE CORP (ALL) stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
58	ALPHABET INC-CL A (GOOGL) stock (filer divested this asset after the report was initially submitted)	N/A	\$1,001 - \$15,000		None (or less than \$201)
59	ALPHABET INC-CL C (GOOG) stock (filer divested this asset after the report was initially submitted)	N/A	\$15,001 - \$50,000		None (or less than \$201)
60	ALTRIA GROUP INC (MO) stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
61	AMERICAN ELECTRIC POWER (AEP) stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
62	AMERICAN INTERNATIONAL GROUP (AIG) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
63	APPLE INC (AAPL) stock (filer divested this asset after the report was initially submitted)	N/A	\$15,001 - \$50,000		None (or less than \$201)
64	BANK OF AMERICA CORP (BAC) stock	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
65	BERNSTEIN EMERGING MRKTS PORTFOLIO (SNEMX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
66	BERNSTEIN TAX-MANAGED INT'L PORTFOLIO (SNIVX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
67	BIOGEN INC (BIIB) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
68	CAPITAL ONE FINANCIAL CORP (COF) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
69	CBS CORP-CLASS B NON VOTING (CBS) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
70	CIGNA CORP (CI) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
71	CISCO SYSTEMS INC (CSCO) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
72	COMCAST CORP-CLASS A (CMCSA) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
73	CONAGRA BRANDS INC (CAG) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
74	COSTCO WHOLESALE CORP (COST) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
75	CVS HEALTH CORP (CVS) stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
76	DEVON ENERGY CORPORATION (DVN) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
77	DISCOVER FINANCIAL SERVICES (DFS) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
78	DOLLAR GENERAL CORP (DG) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
79	DOW CHEMICAL CO/THE (DOW) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
80	DR PEPPER SNAPPLE GROUP INC (DPS) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
81	EATON CORP PLC (ETN) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
82	EBAY INC (EBAY) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
83	EDISON INTERNATIONAL (EIX) stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
84	EDWARDS LIFESCIENCES (EW) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
85	EOG RESOURCES INC (EOG) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
86	EXXON MOBIL CORP (XOM) stock (filer divested this asset after the report was initially submitted)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
87	FACEBOOK INC-A (FB) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
88	FISERV INC (FISV) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
89	GENERAL ELECTRIC CO. (GE) stock (filer divested this asset after the report was initially submitted)	N/A	\$1,001 - \$15,000		None (or less than \$201)
90	GILEAD SCIENCES INC (GILD) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
91	HALLIBURTON CO (HAL) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
92	HESS CORP (HES) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
93	HEWLETT PACKARD ENTERPRIS (HPE) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
94	HOME DEPOT INC (HD) stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
95	HONEYWELL INTL INC (HON) stock (filer divested this asset after the report was initially submitted)	N/A	\$1,001 - \$15,000		None (or less than \$201)
96	HP INC (HPQ) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
97	INTEL CORP (INTC) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
98	INTL BUSINESS MACHINES CORP (IBM) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
99	INTUITIVE SURGICAL INC (ISRG) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
100	JOHNSON & JOHNSON (JNJ) stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
101	KROGER CO (KR) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
102	L3 TECHNOLOGIES INC (LLL) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
103	LEAR CORP (LEA) stock (filer divested this asset after the report was initially submitted)	N/A	\$1,001 - \$15,000		None (or less than \$201)
104	MAGNA INTERNATIONAL INC (MGA) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
105	MCKESSON CORP (MCK) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
106	MERCK & CO. INC. (MRK) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
107	MICROSOFT CORP (MSFT) stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
108	NIELSEN HOLDINGS PLC (NLSN) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
109	NIKE INC-CLASS B (NKE) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
110	NISOURCE INC (NI) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
111	NORTHROP GRUMMAN CORP (NOC) stock (filer divested this asset after the report was initially submitted)	N/A	\$1,001 - \$15,000		None (or less than \$201)
112	ONEMAIN HOLDINGS INC (OMF) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
113	ORACLE CORP (ORCL) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
114	OSHKOSH CORP (OSK) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
115	PALO ALTO NETWORKS INC (PANW) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
116	PEPSICO INC. (PEP) stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
117	PFIZER INC. (PEP) stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
118	PRICELINE GROUP INC (PCLN) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
119	PROGRESSIVE CORP (PGR) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
120	ROSS STORES INC (ROST) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
121	SCHLUMBERGER LTD (SLB) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
122	SEALED AIR CORP (SEE) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
123	STARBUCKS CORP (SBUX) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
124	SYNCHRONY FINANCIAL (SYF) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
125	TEXAS INSTRUMENTS INC. (TXN) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
126	T-MOBILE US INC (TMUS) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
127	TYSON FOODS INC-CLASS A (TSN) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
128	UNITED TECHNOLOGIES CORP (UTX) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
129	UNITEDHEALTH GROUP INC (UNH) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
130	US BANCORP (USB) stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
131	VERIZON COMMUNICATIONS INC (VZ) stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
132	VISA INC - CLASS A SHARES (V) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
133	WALT DISNEY COMPANY (DIS) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
134	WELLS FARGO & CO. (WFC) stock	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
135	XEROX CORP (XRX) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
136	XILINX INC (XLNX) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
137	PPL Corp stock	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
138	JPMORGAN CHASE & CO (JPM) stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
139	AB MULTI-MANAGER ALTERNATIVE FUND	Yes	\$250,001 - \$500,000		None (or less than \$201)
140	WELLS FARGO ADVISORS MONEY MARKET	Yes	\$15,001 - \$50,000		None (or less than \$201)
141	AMER FDS INC FUND AMR A (AMECX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
142	CAPITAL INCOME BLDR CL A (CAIBX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
143	AMER FDS CAP WRLD G/I A (CWGIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
144	AMER FDS WASH MUTUAL A (AWSHX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
145	AMER FDS INVST CO AMR A (AIVSX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
146	AMERICAN FDS DEV WORLD A (DWGAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
147	CAPITAL ONE BK USA NA CD CPN 1.100% DUE 08/24/17	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
148	DISCOVER BANK CD CPN 0.950% DUE 07/13/18	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
149	CAPITAL ONE BK USA NA CD CPN 1.000% DUE 03/14/18	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
150	CAPITAL ONE BK USA NA CD CPN 1.550% DUE 01/11/19	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
151	ALLY BANK CD CPN 0.950% DUE 02/21/17	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
152	SALLIE MAE BANK CD CPN 1.100% DUE 02/20/18	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
153	WELLS FARGO BANK NA CD CPN 1.150% DUE 05/16/18	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
154	COMENITY CAPITAL BANK CD CPN 1.100% DUE 07/02/18	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
155	ALLY BANK CD CPN 1.000% DUE 05/07/18	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
156	CAPITAL ONE NA CD CPN 1.250% DUE 11/09/18	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
157	BMW BK NORTH AMERICA CD CPN 1.200% DUE 08/21/17	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
158	ALLY BANK CD CPN 0.900% DUE 05/01/17	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
159	CAPITAL ONE NA CD CPN 1.150% DUE 10/05/18	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
160	WELLS FARGO BANK NA CD CPN 1.000% DUE 11/24/17	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
161	AMERICAN EXP CENT BK CD CPN 1.000% DUE 05/22/17	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
162	BMW BANK NORTH AMER CD CPN 1.150% DUE 10/16/17	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
163	SALLIE MAE BK CD CPN 1.150% DUE 02/05/18	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
164	WELLS FARGO BANK NA CD CPN 1.000% DUE 10/12/17	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
165	AMERICAN EXP CENT BK CD CPN 0.850% DUE 04/17/17	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
166	ALLY BANK CD CPN 0.950% DUE 02/27/17	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
167	ALLY BANK CD CPN 1.250% DUE 08/28/17	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
168	DISCOVER BANK CD CPN 1.550% DUE 02/01/19	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
169	ALLY BANK CD CPN 1.500% DUE 02/04/19	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
170	VA ST HSG DEV AUTH CPN 3.050% DUE 10/01/22	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
171	FAIRFAX CNTY VA ECON DEV RESIDENTIAL Care 4.7%	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
172	SMYTH CNTY VA PUB IMPT SERA G/OCPN 4.0% 11/01/31	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
173	VA ST HSG DEV AUTH 2.850% DUE 10/01/21	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
174	VA SMALL BUSI FING AUTH REV RFDG HAMPTON U	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
175	FAIRFAX CNTY VA IDA REV HC INOVA HLTH 4.0%	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
176	UPPER OCCOQUAN SWR AUTH VA 3% 07/01/44	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
177	POQUOSON VA RFDG G/O 4% 02/15/25	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
178	NEW RIV VY REGL JAIL AUT VA 4.5% 10/01/32	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
179	METRO DC ARPTS AUTH 4.375% DUE 10/01/30 (filer divested this asset after the report was initially submitted)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
180	NEB ELEM & SECONDARY SCH BOYS TOWN 4.750%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
181	VA CLG BLDG AUTH VA EDL FACS REV HIGH ED 4%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
182	VA ST HSG DEV AUTH 2.400% DUE 10/01/20	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
183	VIRGINIA ST HSG DEV AUTH 4.000% DUE 10/01/30	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
184	VA SMALL BUSINESS FING AUTH 5.250% DUE 04/01/26	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
185	A SMALL BUSINESS FING 4.750% DUE 04/01/23	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
186	VA COMWLTH TRANSN BRD FEDL TRANSN GNT 4% (filer divested this asset after the report was initially submitted)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
187	FAIRFAX CNTY VA ECON DEV AUTH REV WIEHLE AVE	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
188	PRINCE WILLIAM CNTY VA IDA HC REV RFDG NOVANT	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
189	VA ST HSG DEV AUTH RNTL HSG SER F 3.375% 10/1/21	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
190	ARLINGTON CNTY VA IDA HSP FAC REV RFDG VA HOS	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
191	VA ST HSG DEV AUTH RNTL HSG 3.950% DUE 08/01/23	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
192	ROANOKE VA IDA HSP REV UNREFUND REF CARILLION	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
193	VA CLLG BLDG AUTH VA EDL FACS 4.000% DUE 09/01/30	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
194	VA ST HSG DEV AUTH RNTL HSG SER F 2.900% 10/1/20	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
195	METROPOLITAN DC ARPTS AUTH DULLES TOLL RD 5% (filer divested this asset after the report was initially submitted)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
196	VA ST PUB SCH AUTH RFDG 1997 RESOLUTION 3%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
197	LYNCHBURG VA ECON DEV AUTH EDL FACS REV LYNC	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
198	VA ST HSG DEV AUTH RNTL HSG SERE 4.4% 10/1/40	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
199	VA ST PUB BLDG AUTH PUB FACS REV RFDG SER C	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
200	VA ST HSG DEV AUTH RNTL HSG SER B 3% 8/1/27	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
201	VIRGINIA ST PUB BLDG AUTH PUB FACS REV SER A	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
202	FAIRFAX CNTY VA INDL DEV AUTH REV RFDG INOVA H	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
203	ROANOKE VA ECON DEV AUTH HSP REV RFDG CAROLI	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
204	METRO WASHINGTON DC ARPTS AUTH SYS 5% (filer divested this asset after the report was initially submitted)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
205	WASHINGTON D C MET AREA TRAN AUTH GROSS REV (filer divested this asset after the report was initially submitted)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
206	NORFOLK VA AIRPORT AUTHORITY REVENUE REFUNDING 4.500% 07/01/31	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
207	VA COMWLTH UNIV HLTH SYS AUTH REV GEN 4.25%	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
208	VA ST HSG DEV AUTH RNTL 4.375% DUE 12/01/31	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
209	FAIRFAX CNTY VA IDA REV HC INOVA HLTH SYS PROJ	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
210	VA ST PUB SCH AUTH SPL OBLIG SCH FING 4.25%	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
211	PRINCE WILLIAM CNTY VA IDA HC RFDG NOVANT HLTH	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
212	PRINCE WILLIAM CNTY VA IDA HC REV NOVANT OBLIG	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
213	SPOTSYLVANIA CNTY VA ECON DEV AUTH PUB FAC RE	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
214	DISTRICT COLUMBIA TAX INCREMENT REV CITY MKT	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
215	MAHOMET IL ALT REV SOURCE DB B/E 4.500% 01/01/34	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
216	ALBEMARLE VA 5% 1/1/2031	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
217	SUFFOLK VA 4.5% 2/1/2035	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
218	HARRISN VA 4.25% 8/15/2023	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
219	AUGUSTA 4.375% 9/1/2016	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
220	AMER FDS T/E BOND A	Yes	None (or less than \$1,001)		\$201 - \$1,000
221	DISCOVER BANK .5% 021916	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
222	DISCOVER BANK .55% 110716	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
223	GOLDMAN SACHS .6% 110716	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
224	GOLDMAN SACHS .65% 071416	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
225	GOLDMAN SACHS .65% 081816	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
226	HARRISONBURG 5%8/15/2031	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
227	ROANOKE VA 4% 2/1/2020	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
228	STAFFORD VA 4% 6/15/2016	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
229	STFFRD VA 5.25%6/15/2037	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
230	SALT RIVER PRJ AZ Bonds	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
231	OH ST WTR DEV AUTH Bonds	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
232	Guggenheim BulletShares 2016 High Yield Corporate Bond ETF (BSJG)	Yes	None (or less than \$1,001)		\$201 - \$1,000
233	Guggenheim BulletShares 2016 Corporate Bond ETF (BSCG)	Yes	None (or less than \$1,001)		\$201 - \$1,000
234	Pacific Life Flexible Premium Indexed Adjustable Variable Life Insurance: 1-Yr High Par Indexed Account (linked to S&P 500 index)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
235	John Hancock variable life insurance:Blue Chip Growth Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
236	John Hancock variable life insurance:Midcap Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
237	John Hancock variable life insurance:Utilities Trust	Yes	\$15,001 - \$50,000		None (or less than \$201)
238	U.S. bank account #5 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Citibank	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2013	3.375%	30 years
2	Citibank	Mortgage on Personal Residence	\$50,001 - \$100,000	2013	3.5% fixed	3/1 yr ARM

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	1	I will not receive any additional compensation, including partnership share, from Kirkland & Ellis. I have already received a return of capital.
1.	2	Filer's term ends 8/2017.
2.	1	This number represents the filer's entire cash compensation as a partner during the reporting period, consisting of partnership monthly draws, prior year profit distributions, receipts from contingent fees or other matters involving time worked in past years, and the return of filer's capital account.

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 \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 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 \$150 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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