

Executive Branch Personnel

Public Financial Disclosure Report:

Periodic Transaction Report (OGE Form 278-T)

Filer's Information

Shanahan, Patrick Michael

Deputy Secretary of Defense, Department of Defense -- DAEO Agency

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/ Shanahan, Patrick Michael [electronically signed on 10/16/2017 by Shanahan, Patrick Michael in Integrity.gov] - Filer received a 45 day filing extension.

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/ Vetter, Ruth, Certifying Official [electronically signed on 10/17/2017 by Vetter, Ruth in Integrity.gov]

Other review conducted by

/s/ Thompson, Scott F, Ethics Official [electronically signed on 10/16/2017 by Thompson, Scott F in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Skalla, Daniel L, Certifying Official [electronically signed on 12/05/2017 by Skalla, Daniel L in Integrity.gov]

Transactions

| # | DESCRIPTION | TYPE | DATE | NOTIFICATION OVER 30 DAYS AGO | AMOUNT |
|---|--------------------------------------|------|---------|-------------------------------------|--------------------|
| 1 | ACADIA HEALTHCARE COMPANY INC (ACHC) | Sale | 9/25/17 | No | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | NOTIFICATION OVER 30 DAYS AGO | AMOUNT |
|----|--|----------|----------|-------------------------------------|---------------------|
| 2 | AEGON N V NY REGISTRY SHS (AEG) | Purchase | 8/29/17 | Yes | \$1,001 - \$15,000 |
| 3 | AEGON N V NY REGISTRY SHS (AEG) | Sale | 9/25/17 | No | \$1,001 - \$15,000 |
| 4 | AIA GROUP LTD SPON A(AAGIY) | Sale | 9/25/17 | No | \$1,001 - \$15,000 |
| 5 | ABBVIE INC(ABBV). | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 6 | ACCENTURE PLC IRELAN CLASS A NEW(ACN) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 7 | AIR LIQUIDE ADR(AIQUY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 8 | AKTIEBOLAGET ELECTROLUX SPONSORED ADR (ELUXY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 9 | ALFA LAVAL AB SWEDEN ADR(ALFVY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 10 | ALIGN TECHNOLOGY INC(ALGN) | Sale | 08/21/17 | Yes | \$1,001 - \$15,000 |
| 11 | ALIGN TECHNOLOGY INC(ALGN) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 12 | ALLETE INC NEW(ALE) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 13 | ALLIANZ SE SPONSORED ADR REPSTG 1/10 SH (AZSEY) | Sale | 09/25/17 | No | \$15,001 - \$50,000 |
| 14 | ALPHABET INC CL A(GOOG) | Sale | 09/25/17 | No | \$15,001 - \$50,000 |
| 15 | ALPHABET INC CL C(GOOG) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 16 | AMERICAN EQUITY INVT LIFE HLDG COMPANY (AEL) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 17 | AMERIPRISE FINANCIAL(AMP) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 18 | AMERN AXLE & MFG HLD INC(AXL) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 19 | AMGEN INC(AMGN) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 20 | AMN HEALTHCARE SERVI INC(AMN) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 21 | ANDEAVOR(ANDV) | Purchase | 08/21/17 | Yes | \$1,001 - \$15,000 |
| 22 | ANDEAVOR(ANDV) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 23 | ANHEUSER BUSCH INBEV SA/NV(BUD) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | NOTIFICATION OVER 30 DAYS AGO | AMOUNT |
|----|---|----------|----------|-------------------------------------|--------------------------|
| 24 | AON PLC CL A(AON) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 25 | APOGEE ENTERPRISES I(APOG) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 26 | APPLE INC(AAPL) | Sale | 09/25/17 | No | \$15,001 - \$50,000 |
| 27 | APPLIED MATERIALS IN(AMAT) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 28 | APPLIED OPTOELECTRON INC(AAOI) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 29 | ARCHER DANIELS MIDLA COMPANY(ADM) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 30 | ARIZONA ST COP RFDG REV B/E CPN 5.000% DUE 09/01/22 DTD 07/29/15 FC 09/01/15 | Sale | 09/05/17 | No | \$15,001 - \$50,000 |
| 31 | ARIZONA ST TRANSN BRD GRANT ANTIC NT SER A REV B/E CPN 5.000% DUE 07/01/27 DTD 09/20/17 FC 01/01/18 | Purchase | 09/01/17 | No | \$100,001 - \$250,000 |
| 32 | ARRIS INTL PLC(ARRS) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 33 | ASHTREAD GROUP PLC AD(ASHTY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 34 | ASPEN PHARMACARE HOLDINGS LIMITED ADR (APNHY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 35 | ASSA ABLOY AB ADR(ASAZY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 36 | ASSOC BRIT FOODS ADR NEW(ASBFY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 37 | ASTRAZENECA PLC SPONSORED ADR(AZN) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 38 | ATLAS COPCO AB SPON REPSTG COM SER A (ATLKY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 39 | AUSTIN TX WTR & WSTW SYS REV RFDG B/E CPN 5.000% DUE 11/15/25 DTD 08/22/17 FC 11/15/17 | Purchase | 08/03/17 | Yes | \$50,001 - \$100,000 |
| 40 | AUSTRALIA & NEW ZEAL BANKING GROUP LIMITED SPONSORED ADR(ANZBY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 41 | AVERY DENNISON CORP(AVY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 42 | AXA SA SPONSORED ADR(AXAHY) | Purchase | 07/28/17 | Yes | \$1,001 - \$15,000 |
| 43 | AXA SA SPONSORED ADR(AXAHY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | NOTIFICATION OVER 30 DAYS AGO | AMOUNT |
|----|--|----------|----------|-------------------------------------|-------------------------------|
| 44 | AXA SA SPONSORED ADR(AXAHY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 45 | BAE SYSTEMS PLC SPONSORED ADRBAESY | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 46 | BAIDU INC SPONSORED ADR REPSTG ORD SHARES CLASS A(BIDU) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 47 | BANCA MEDIOLANUM S P ADR(BNCDY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 48 | BANCO BILBAO VIZCAYA ARGENTARIA S A SPONSORED ADR(BBVA) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 49 | BASF SE (BASFY) | Sale | 07/27/17 | Yes | \$1,001 - \$15,000 |
| 50 | BASF SE (BASFY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 51 | BAXTER INTL INC(BAX) | Sale | 10/03/17 | No | \$15,001 - \$50,000 |
| 52 | BAYER A G SPONSORED ADR(BAYRY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 53 | BAYERISCHE MOTOREN WERKI A G SPONSORED ADR(BMWYY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 54 | BERKSHIRE HATHAWAY I DE CL B NEW(BRK'B) | Sale | 10/03/17 | No | \$15,001 - \$50,000 |
| 55 | BEST BUY COMPANY INC(BBY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 56 | BHP BILLITON LIMITED SPONSORED ADR(BHP) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 57 | BIOTELEMETRY INC(BEAT) | Purchase | 07/21/17 | Yes | \$1,001 - \$15,000 |
| 58 | BIOTELEMETRY INC(BEAT) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 59 | BLOOMIN BRANDS INC(BLMN) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 60 | BNP PARIBAS SPONS AD REPGSTG 1/2 SH (BNPQY) | Purchase | 08/30/17 | Yes | \$1,001 - \$15,000 |
| 61 | BNP PARIBAS SPONS AD REPGSTG 1/2 SH (BNPQY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 62 | BOEING COMPANY(BA) | Sale | 10/04/17 | No | \$5,000,001 - \$25,000,000 |
| 63 | BOISE CASCADE COMPAN(BCC) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 64 | BOYD GAMING CORP(BYD) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |

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|----|---|----------|----------|-------------------------------------|--------------------------|
| 65 | BP PLC SPONSORED ADR(BP) | Sale | 08/29/17 | Yes | \$1,001 - \$15,000 |
| 66 | BP PLC SPONSORED ADR(BP) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 67 | BRITISH AMERN TOBACC PLC SPONS ADR 25P (BTI) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 68 | BROADCOM LTD (AVGO) | Sale | 08/21/17 | Yes | \$1,001 - \$15,000 |
| 69 | BROADCOM LTD (AVGO) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 70 | BT GROUP PLC ADR(BT) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 71 | BUILDERS FIRTSOURCE(BLDR) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 72 | CA INC(CA) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 73 | CACI INTERNATIONAL I CLASS A(CACI) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 74 | CALATLANTIC GROUP IN (CAA) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 75 | CALLAWAY GOLF COMPAN(ELY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 76 | CALLON PETROLEUM COMPANY(CPE) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 77 | CANADIAN NATIONAL RAILWAY COMPANYCNI | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 78 | CAPE FEAR PUB UTIL A NC WTR & SWR SYS REV RFDG SER A B/E PTC CPN 5.000% DUE 06/01/26 DTD 12/03/14 FC 06/01/15 CALL1 06/01/24 @ 100.000 | Purchase | 08/23/17 | Yes | \$100,001 - \$250,000 |
| 79 | CARLSBERG AS SPONSOR ADR(CABGY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 80 | CARNIVAL PLC ADR(CUK) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 81 | CARRIZO OIL & GAS IN(CRZO) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 82 | CELGENE CORP(CELG) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 83 | CENTURYLINK INC(CTL) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 84 | CHECK POINT SOFTWARE TECHNOLOGIES LT (CHKP) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 85 | CHEMICAL FINANCIAL C(CHFC) | Purchase | 07/26/17 | Yes | \$1,001 - \$15,000 |

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|-----|--|----------|----------|-------------------------------------|--------------------------|
| 86 | CHEMICAL FINANCIAL C(CHFC) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 87 | CHESAPEAKE UTILITY C(CPK) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 88 | CHICAGO IL OHARE ARP REV RFDG GENL SR LIEN SER B B/E PTC SBJ ST TAX CPN 5.000% DUE 01/01/34 DTD 06/28/17 FC 01/01/18 CALL1 01/01/27 @ 100.000 | Purchase | 08/24/17 | Yes | \$100,001 - \$250,000 |
| 89 | CHINA PETROLEUM & CH CORP SPONSORED ADR REPRESENTING H SHARES(SNP) | Purchase | 08/29/17 | Yes | \$1,001 - \$15,000 |
| 90 | CHINA PETROLEUM & CH CORP SPONSORED ADR REPRESENTING H SHARES(SNP) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 91 | CIRRUS LOGIC INC(CRUS) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 92 | CISCO SYSTEMS INC(CSCO) | Purchase | 08/29/17 | Yes | \$1,001 - \$15,000 |
| 93 | CISCO SYSTEMS INC(CSCO) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 94 | CNOOC LTD SPONS ADR(CEO) | Sale | 08/29/17 | Yes | \$1,001 - \$15,000 |
| 95 | CNOOC LTD SPONS ADR(CEO) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 96 | COCA-COLA EUROPEAN PARTNERS PLC(CCE) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 97 | COGNIZANT TECHNOLOGY SOLUTIONS CORP CL A (CTSH) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 98 | COHERENT INC(COHR) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 99 | COLUMBIA PROPERTY TR INC NEW(CXP) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 100 | COMERICA INC(CMA) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 101 | COMPAGNIE FINANCIERE RICHEMONT AG SWITZERLAND ADR(CFRUY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 102 | COMPASS GROUP PLC SPONS ADR NEW JUNE 2017(CMPGY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 103 | CONCHO RESOURCES INC(CXO) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 104 | CONTINENTAL AG SPONSORED ADR(CTTAY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 105 | CONVATEC GROUP PLC ADR(CNVVY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |

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|-----|--|----------|----------|-------------------------------------|-------------------------|
| 106 | CORE LABORATORIES NV(CLB) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 107 | CREDIT SUISSE GROUP SPONSORED ADR(CS) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 108 | CSL LTD SPONSORED ADR(CSLLY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 109 | CSX CORP(CSX) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 110 | CUMMINS INC(CMI) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 111 | DAIWA HOUSE IND LIMI ADR(DWAHY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 112 | DARDEN RESTAURANTS I(DRI) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 113 | DASSAULT SYSTEMES S SPONSORED ADR(DASTY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 114 | DBS GROUP HLDGS LTD SPONS ADR(DBSDY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 115 | DELAWARE SMALL CAP CORE CL I(DCCIX) | Purchase | 09/20/17 | No | \$1,001 - \$15,000 |
| 116 | DELAWARE SMALL CAP CORE CL I(DCCIX) | Purchase | 09/20/17 | No | \$50,001 - \$100,000 |
| 117 | DELAWARE SMALL CAP CORE CL I(DCCIX) | Purchase | 09/25/17 | No | \$50,001 - \$100,000 |
| 118 | DELEK US HOLDINGS IN NEW (DK) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 119 | DELL TECHNOLOGIES IN CL V(DVMT) | Sale | 09/20/17 | No | \$1,001 - \$15,000 |
| 120 | DEUTSCHE POST AG SPONSORED ADR(DPSGY) | Purchase | 08/11/17 | Yes | \$1,001 - \$15,000 |
| 121 | DEUTSCHE POST AG SPONSORED ADR(DPSGY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 122 | DIAMONDBACK ENERGY I(FANG) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 123 | DOWDUPONT INC(DWDP) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 124 | DYCOM INDUSTRIES INC(DY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 125 | EAGLE BANCORP INC MD(EGBN) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 126 | EASTMAN CHEMICAL COM(EMN) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 127 | EATON VANCE ATLANTA CAP SMID CAP CL I (EISMX) | Purchase | 09/20/17 | No | \$15,001 - \$50,000 |

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|-----|---|----------|----------|-------------------------------------|-----------------------|
| 128 | EATON VANCE ATLANTA CAP SMID CAP CL I (EISMX) | Purchase | 09/20/17 | No | \$100,001 - \$250,000 |
| 129 | EATON VANCE ATLANTA CAP SMID CAP CL I (EISMX) | Purchase | 09/25/17 | No | \$100,001 - \$250,000 |
| 130 | EDISON INTL(EIX) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 131 | EDWARDS LIFESCIENCES CORP(EW) | Purchase | 08/28/17 | Yes | \$1,001 - \$15,000 |
| 132 | EDWARDS LIFESCIENCES CORP(EW) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 133 | EDWARDS LIFESCIENCES CORP(EW) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 134 | ELECTRONICS FOR IMAG INC(EFII) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 135 | EMCOR GROUP INC(EME) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 136 | EMERGENT BIOSOLUTION INC(EBS) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 137 | EMERSON ELECTRIC COM(EMR) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 138 | ENERSYS(ENS) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 139 | ENTEGRIS INC(ENTG) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 140 | EPR PROPERTIES BEN INT(EPR) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 141 | ESTEE LAUDER COMPANY(EL) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 142 | EURONET WORLDWIDE IN(EEFT) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 143 | EUROPACIFIC GROWTH CL F2(AEPFX) | Purchase | 09/20/17 | No | \$15,001 - \$50,000 |
| 144 | EUROPACIFIC GROWTH CL F2(AEPFX) | Purchase | 09/20/17 | No | \$100,001 - \$250,000 |
| 145 | EUROPACIFIC GROWTH CL F2(AEPFX) | Purchase | 09/25/17 | No | \$100,001 - \$250,000 |
| 146 | EVERCORE INC CL A(EVR) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 147 | EVERCORE PARTNERS IN CLASS A(EVR) | Purchase | 08/02/17 | Yes | \$1,001 - \$15,000 |
| 148 | F N B CORP(FNB) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 149 | FACEBOOK INC CL A (FB) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |

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|-----|--|----------|----------|-------------------------------------|--------------------------|
| 150 | FAIRFAX CNTY VA SWR REV RFDG SER A B/E CPN 5.000% DUE 07/15/26 DTD 05/12/16 FC 01/15/17 | Purchase | 08/08/17 | Yes | \$50,001 - \$100,000 |
| 151 | FANUC CORP ADR(FANUY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 152 | FASTENAL COMPANY(FAST) | Purchase | 07/24/17 | Yes | \$1,001 - \$15,000 |
| 153 | FASTENAL COMPANY(FAST) | Sale | 10/03/17 | No | \$15,001 - \$50,000 |
| 154 | FCB FINANCIAL HOLDIN INC CL A(FCB) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 155 | FEDERATED STRATEGIC VALUE DIVIDEND INSTL CL(SVAIX) | Purchase | 09/20/17 | No | \$15,001 - \$50,000 |
| 156 | FEDERATED STRATEGIC VALUE DIVIDEND INSTL CL(SVAIX) | Purchase | 09/20/17 | No | \$250,001 - \$500,000 |
| 157 | FEDERATED STRATEGIC VALUE DIVIDEND INSTL CL(SVAIX) | Purchase | 09/25/17 | No | \$250,001 - \$500,000 |
| 158 | FERGUSON PLC SPONSORED ADR(FERGY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 159 | FIRST INTERSTATE BANCYSYSTEM INC CL A(FIBK) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 160 | FIRSTENERGY CORP(FE) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 161 | FIVE BELOW INC (FIVE) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 162 | FRESENIUS MEDICAL CA AG & CO KGAA SPONSORED ADR REPSTG SHS(FMS) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 163 | FRESENIUS SE & COMPA KGAA SPONS ADR (FSNUY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 164 | FUCHS PETROLUB SE ADR(FUPBY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 165 | GAZPROM PJSC SPONSORED ADR(OGZPY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 166 | GAZPROM PJSC SPONSORED ADR(OGZPY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 167 | GENERAL MOTORS COMPA(GM) | Sale | 10/03/17 | No | \$15,001 - \$50,000 |
| 168 | GEORGIA ST RFDG SER C B/E CPN 5.000% DUE 07/01/24 DTD 07/18/17 FC 01/01/18 | Purchase | 10/06/17 | No | \$250,001 - \$500,000 |
| 169 | GIGAMON INC(GIMO) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |

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|-----|---|------|----------|-------------------------------------|--------------------|
| 170 | GILEAD SCIENCES INC(GILD) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 171 | GLOBUS MEDICAL INC CL A NEW(GMED) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 172 | GRAND CANYON EDUCATI INC(LOPE) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 173 | GRANITE CONSTR INC(GVA) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 174 | GRAPHIC PACKAGING HOLDING COMPANY(GPK) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 175 | GREAT WESTERN BANCOR INC(GWB) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 176 | GRIFOLS S A SPON ADR REPSTG 1/2 CL B NON VTG NEW(GRFS) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 177 | GRUPO FINANCIERO BAN SAB DE C V(GBOOY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 178 | GRUPO TELEVISA SA DE GDR REPTSG ORDINARY PART CTF(TV) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 179 | GULFPORT ENERGY CORP(GPOR) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 180 | HASBRO INC(HAS) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 181 | HDFC BANK LTD ADR REPSTG 3 SHS(HDB) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 182 | HELEN OF TROY LTD BERMUDA(HELE) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 183 | HERSHEY COMPANY(HSY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 184 | HILLTOP HOLDINGS INC(HTH) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 185 | HOME BANCSHARES INC(HOMB) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 186 | HOME DEPOT INC(HD) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 187 | HOPE BANCORP INC(HOPE) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 188 | HORIZON PHARMA PLC(HZNP) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 189 | HSBC HOLDINGS PLC SPONSORED ADR NEW (HSBC) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 190 | HUDSON PACIFIC PROPERTIES INC(HPP) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 191 | HUNTSMAN CORP(HUN) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | NOTIFICATION OVER 30 DAYS AGO | AMOUNT |
|-----|---|----------|----------|-------------------------------------|--------------------------|
| 192 | ICICI BANK LIMITED SPONSORED ADR(IBN) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 193 | ICU MEDICAL INC(ICUI) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 194 | IDACORP INC(IDA) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 195 | ILLINOIS FIN AUTH RE ST CLEAN WTR INITIATIVE REVLVG B/E PTC CPN 5.000% DUE 07/01/33 DTD 09/12/17 FC 01/01/18 CALL1 01/01/27 @ 100.000 | Purchase | 08/31/17 | Yes | \$100,001 - \$250,000 |
| 196 | ILLINOIS FIN AUTH REV UNIV CHICAGO SER A B/E CPN 5.000% DUE 10/01/22 DTD 08/12/14 FC 04/01/15 | Sale | 09/18/17 | No | \$15,001 - \$50,000 |
| 197 | ILLINOIS ST TOLL HWY AUTH REV SR SER B B/E SBJ ST TAX CPN 5.000% DUE 01/01/28 DTD 06/16/16 FC 01/01/17 CALL1 07/01/26 @ 100.000 | Purchase | 09/12/17 | No | \$100,001 - \$250,000 |
| 198 | INDIANA FIN AUTH HOSP RFDG PARKVIEW HLTH SER A REV B/E CPN 5.000% DUE 11/01/27 DTD 08/10/17 FC 11/01/17 | Purchase | 07/20/17 | Yes | \$50,001 - \$100,000 |
| 199 | INDIANA FIN AUTH HWY REV RFDG SER A B/E CPN 5.000% DUE 06/01/24 DTD 09/15/17 FC 06/01/18 | Purchase | 08/25/17 | Yes | \$100,001 - \$250,000 |
| 200 | INFINEON TECHNOLOGIE AG SPONSORED ADR (IFNNY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 201 | INFORMA PLC SPONSORED ADR NEW(IFJPY) | Sale | 10/04/17 | No | \$1,001 - \$15,000 |
| 202 | ING GROEP N V SPONSORED ADR(ING) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 203 | INTEGRA LIFESCIENCES HLDGS CORP(IART) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 204 | INTEGRATED DEVICE TE(IDTI) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 205 | INTEL CORP(INTC) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 206 | INTERNATIONAL PAPER COMPANY(IP) | Sale | 08/29/17 | Yes | \$1,001 - \$15,000 |
| 207 | INTERNATIONAL PAPER COMPANY(IP) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 208 | INTL BUSINESS MACHIN CORP(IBM) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 209 | IRIDIUM COMMUNICATIO INC(IRDM) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | NOTIFICATION OVER 30 DAYS AGO | AMOUNT |
|-----|---|----------|----------|-------------------------------------|---------------------|
| 210 | ITAU UNIBANCO HOLDIN SA SPONSORED ADR REPRESENTING 500 PFD(ITUB) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 211 | J2 GLOBAL INC(JCOM) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 212 | JGC CORP ADR(JGCCY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 213 | JPMORGAN CHASE & COMPANY(JPM) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 214 | KAO CORP SPONSORED ADR REPSTG 10 SHS COM(KCRPY) | Purchase | 07/20/17 | Yes | \$1,001 - \$15,000 |
| 215 | KAO CORP SPONSORED ADR REPSTG 10 SHS COM(KCRPY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 216 | KBC GROUP NV ADR(KBCSY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 217 | KDDI CORP ADR(KDDIY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 218 | KIMBERLY CLARK CORP(KMB) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 219 | KNIGHT SWIFT TRANSPORTATION HOLDINGS INC (KNX) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 220 | KOHL'S CORP(KSS) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 221 | KOMATSU LTD SPONS AD NEW(KMTUY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 222 | KORN/FERRY INTL NEW(KFY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 223 | KRAFT HEINZ CO(KHC) | Sale | 08/01/17 | Yes | \$1,001 - \$15,000 |
| 224 | KRAFT HEINZ CO(KHC) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 225 | KUBOTA CORP ADR(KUBTY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 226 | L OREAL COMPANY ADR(LRLCY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 227 | L3 TECHNOLOGIES INC(LLL) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 228 | LCI INDS(LCII) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 229 | LEGACY TEXAS FINL GR INC(LTXB) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 230 | LINDE AG SPONSORED A LEVEL 1(LNEGY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 231 | LOOMIS SAYLES GROWTH CL Y(LSGRX) | Purchase | 09/20/17 | No | \$15,001 - \$50,000 |

| # | DESCRIPTION | TYPE | DATE | NOTIFICATION OVER 30 DAYS AGO | AMOUNT |
|-----|--|----------|----------|-------------------------------------|-----------------------|
| 232 | LOOMIS SAYLES GROWTH CL Y(LSGRX) | Purchase | 09/20/17 | No | \$250,001 - \$500,000 |
| 233 | LOOMIS SAYLES GROWTH CL Y(LSGRX) | Purchase | 09/25/17 | No | \$250,001 - \$500,000 |
| 234 | LVMH MOET HENNESSY L VUITTON ADR(LVMUY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 235 | LYONDELLBASELL INDUSTRIES N V ORD SHS CL A (LYB) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 236 | MACYS INC(M) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 237 | MAKITA CORP ADR NEW(MKTAY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 238 | MANULIFE FINANCIAL C(MFC) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 239 | MARATHON PETROLEUM C(MPC) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 240 | MARYLAND ST ST & LOC FACS LN 2ND SER A B/E PTC CPN 5.000% DUE 08/01/29 DTD 08/30/17 FC 02/01/18 CALL1 08/01/27 @ 100.000 | Purchase | 09/06/17 | No | \$100,001 - \$250,000 |
| 241 | MASONITE INTERNATION CORP NEW(DOOR) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 242 | MASTEC INC(MTZ) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 243 | MATSON INC(MATX) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 244 | MAXLINEAR INC (MXL) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 245 | MCDONALDS CORP(MCD) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 246 | MEDTRONIC PLC(MDT) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 247 | MERCURY SYSTEM INC(MRCY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 248 | MERIT MEDICAL SYSTEMS INC(MMSI) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 249 | METLIFE INC(MET) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 250 | METROPOLITAN TRANSN NY REV RFDG SER F B/E CPN 5.000% DUE 11/15/27 DTD 09/28/12 FC 11/15/12 CALL1 11/15/22 @ 100.000 | Purchase | 07/21/17 | Yes | \$50,001 - \$100,000 |
| 251 | MICHELIN COMPAGNIE GENERALE DES ETABLISSEMENTS ADR(MGDDY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | NOTIFICATION OVER 30 DAYS AGO | AMOUNT |
|-----|---|----------|----------|-------------------------------------|--------------------------|
| 252 | MICROSEMI CORP(MSCC) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 253 | MINNESOTA ST RFDG VARIOUS PURP SER D B/E CPN 5.000% DUE 10/01/27 DTD 10/11/17 FC 04/01/18 | Purchase | 09/29/17 | No | \$250,001 - \$500,000 |
| 254 | MINNESOTA ST RFDG VARIOUS PURP SER D B/E CPN 5.000% DUE 10/01/27 DTD 10/11/17 FC 04/01/18 | Purchase | 09/29/17 | No | \$250,001 - \$500,000 |
| 254 | MITSUBISHI ESTATE LT ADR(MITEY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 255 | MOBILE TELESYSTEM PJ SPONS ADR(MBT) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 256 | MONOTARO CO LTD OSAK ADR(MONROY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 257 | MOODYS CORP(MCO) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 258 | MORGAN STANLEY(MS) | Sale | 10/03/17 | No | \$15,001 - \$50,000 |
| 259 | MOSAIC COMPANY NEW(MOS) | Sale | 08/29/17 | Yes | \$1,001 - \$15,000 |
| 260 | MOTOROLA SOLUTIONS I NEW(MSI) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 261 | NASPERS LTD SPONSORED ADR REPSTG CL N SHARES NEW(NPSNY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 262 | NESTLE S A SPNSD ADR REPSTING REG SHS (NSRGY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 263 | NETAPP INC(NTAP) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 264 | NEW YORK ST DORM AUTH SALES TAX REV ST SUPPORT SER A GRP A B/E CPN 5.000% DUE 03/15/26 DTD 09/29/16 FC 03/15/17 | Purchase | 08/24/17 | Yes | \$100,001 - \$250,000 |
| 265 | NEWFIELD EXPLORATION COMPANY(NFX) | Sale | 08/21/17 | Yes | \$1,001 - \$15,000 |
| 266 | NEXSTAR MEDIA GROUP CL A(NXST) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 267 | NISSAN MTR LTD SPONSORED ADR(NSANY) | Purchase | 08/29/17 | Yes | \$1,001 - \$15,000 |
| 268 | NISSAN MTR LTD SPONSORED ADR(NSANY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 269 | NISSAN MTR LTD SPONSORED ADR(NSANY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 270 | NORDEA BANK AB SWEDE SPONSORED ADR (NRBAY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | NOTIFICATION OVER 30 DAYS AGO | AMOUNT |
|-----|---|----------|----------|-------------------------------------|--------------------------|
| 271 | NORFOLK VA WTR REV R PTC B/E CPN 5.000% DUE 11/01/22 DTD 04/04/12 FC 11/01/12 CALL1 05/01/22 @ 100.000 | Sale | 09/06/17 | No | \$15,001 - \$50,000 |
| 272 | NORTH TX TWY AUTH REV RFDG SYS 1ST TIER SER A B/E PTC CPN 5.000% DUE 01/01/30 DTD 06/01/16 FC 01/01/17 CALL1 01/01/26 @ 100.000 | Purchase | 09/07/17 | No | \$100,001 - \$250,000 |
| 273 | NOVARTIS AG SPONSORED ADR(NVS) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 274 | NUCOR CORP(NUE) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 275 | OAKMARK INTL INSTL CL(OANIX) | Purchase | 09/20/17 | No | \$15,001 - \$50,000 |
| 276 | OAKMARK INTL INSTL CL(OANIX) | Purchase | 09/20/17 | No | \$100,001 - \$250,000 |
| 277 | OAKMARK INTL INSTL CL(OANIX) | Purchase | 09/25/17 | No | \$100,001 - \$250,000 |
| 278 | OHIO ST HOSP REV ACT BY &THRU THE OH DEV FING COMMN RFDG SER A B/E PTC CPN 5.000% DUE 01/01/33 DTD 08/29/17 FC 01/01/18 CALL1 01/01/28 @ 100.000 | Purchase | 09/29/17 | No | \$100,001 - \$250,000 |
| 279 | OHIO ST RFDG CAP FAC LSE APPROP ADMIN BLDG REV FD SER B B/E PTC CPN 5.000% DUE 04/01/24 DTD 03/08/12 FC 04/01/12 CALL1 04/01/22 @ 100.000 | Purchase | 08/31/17 | Yes | \$100,001 - \$250,000 |
| 280 | OMNICELL INC(OMCL) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 281 | ON ASSIGNMENT INC(ASGN) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 282 | ORBITAL ATK INC(OA) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 283 | OREGON ST RFDG ARTICLE XI Q ST PJS SER F B/E PTC CPN 5.000% DUE 05/01/27 DTD 05/25/16 FC 11/01/16 CALL1 05/01/26 @ 100.000 | Purchase | 09/12/17 | No | \$50,001 - \$100,000 |
| 284 | OXFORD INDUSTRIES IN(OXM) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 285 | PACKAGING CORP OF AMERICA(PKG) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 286 | PARK24 COMPANY LTD SPONS ADR(PKCOY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 287 | PAYPAL HOLDINGS INC(PYPL) | Sale | 09/25/17 | No | \$15,001 - \$50,000 |

| # | DESCRIPTION | TYPE | DATE | NOTIFICATION OVER 30 DAYS AGO | AMOUNT |
|-----|--|----------|----------|-------------------------------------|-------------------------|
| 288 | PEBBLEBROOK HOTEL TR(PEB) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 289 | PFIZER INC(PFE) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 290 | PJSC LUKOIL SPONSORED ADR(LUKOY) | Sale | 09/25/17 | No | \$15,001 - \$50,000 |
| 291 | POSCO SPONSORED ADR(PKX) | Sale | 08/29/17 | Yes | \$1,001 - \$15,000 |
| 292 | PRICELINE GROUP INC(PCLN) | Sale | 08/07/17 | Yes | \$1,001 - \$15,000 |
| 293 | PRICELINE GROUP INC(PCLN) | Sale | 09/25/17 | No | \$15,001 - \$50,000 |
| 294 | PRINCIPAL FINANCIAL GROUP INC(PFG) | Sale | 07/27/17 | Yes | \$1,001 - \$15,000 |
| 295 | PRINCIPAL FINANCIAL GROUP INC(PFG) | Sale | 08/29/17 | Yes | \$1,001 - \$15,000 |
| 296 | PRINCIPAL FINANCIAL GROUP INC(PFG) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 297 | PRINCIPAL MID CAP INSTL CL(PCBIX) | Purchase | 09/20/17 | No | \$1,001 - \$15,000 |
| 298 | PRINCIPAL MID CAP INSTL CL(PCBIX) | Purchase | 09/20/17 | No | \$50,001 - \$100,000 |
| 299 | PRINCIPAL MID CAP INSTL CL(PCBIX) | Purchase | 09/25/17 | No | \$50,001 - \$100,000 |
| 300 | PROCTER & GAMBLE COM(PG) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 301 | PROGRESSIVE CORP OH(PGR) | Sale | 09/25/17 | No | \$15,001 - \$50,000 |
| 302 | PRUDENTIAL FINANCIAL(PRU) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 303 | PRUDENTIAL PLC ADR(PUK) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 304 | QUALCOMM INC (QCOM) | Sale | 07/27/17 | Yes | \$1,001 - \$15,000 |
| 305 | QUALCOMM INC (QCOM) | Sale | 10/03/17 | No | \$15,001 - \$50,000 |
| 306 | RADIAN GROUP INC(RDN) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 307 | RED ELECTRICA CORP SA UNSPONSORED ADR (RDEIY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 308 | RELX PLC SPON ADR (RELX) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 309 | ROCHE HOLDING AG BAS GENUSSSCH(RHHVF) | Sale | 10/04/17 | No | \$50,001 - \$100,000 |

| # | DESCRIPTION | TYPE | DATE | NOTIFICATION OVER 30 DAYS AGO | AMOUNT |
|-----|--|----------|----------|-------------------------------------|-----------------------|
| 310 | ROCHE HOLDING AG BAS GENUSSSCH(RHHVF) | Sale | 10/04/17 | No | \$50,001 - \$100,000 |
| 311 | ROCHE HOLDING AG BAS GENUSSSCH(RHHVF) | Sale | 10/04/17 | No | \$50,001 - \$100,000 |
| 312 | ROCHE HOLDING AG BAS GENUSSSCH(RHHVF) | Sale | 10/04/17 | No | \$50,001 - \$100,000 |
| 313 | ROCHE HOLDING LIMITE SPONSORED ADR (RHHBY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 314 | ROSS STORES INC(ROST) | Purchase | 08/28/17 | Yes | \$1,001 - \$15,000 |
| 315 | ROSS STORES INC(ROST) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 316 | ROYAL BANK CANADA MONTREAL(RY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 317 | ROYAL DUTCH SHELL PL SPONSORED ADR REPSTG A SHARES(RDS'A) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 318 | ROYAL DUTCH SHELL PL SPONSORED ADR REPSTG B SHARES(RDS'B) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 319 | ROYAL KPN N V SPONSORED ADR(KKPNY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 320 | RYANAIR HOLDINGS PLC SPON ADR NEW(RYAAY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 321 | RYMAN HOSPITALITY PP INC(RHP) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 322 | RYOHIN KEIKAKU CO LT ADR(RYKKY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 323 | SAMPO OYJ ADR(SAXPY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 324 | SAN ANTONIO TX ELEC GAS REV RFDG B/E CPN 5.000% DUE 02/01/25 DTD 06/01/12 FC 08/01/12 CALL1 08/01/22 @ 100.000 | Purchase | 08/23/17 | Yes | \$100,001 - \$250,000 |
| 325 | SAP SE SPONS ADR(SAP) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 326 | SASOL LIMITED SPONSORED ADR (SSL) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 327 | SCHLUMBERGER LTD(SLB) | Sale | 09/25/17 | No | \$15,001 - \$50,000 |
| 328 | SCHWAB CHARLES CORP (SCHW) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 329 | SEAGATE TECHNOLOGY P(STX) | Purchase | 07/27/17 | Yes | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | NOTIFICATION OVER 30 DAYS AGO | AMOUNT |
|-----|---|----------|----------|-------------------------------------|--------------------|
| 330 | SEAGATE TECHNOLOGY P(STX) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 331 | SEVEN & I HOLDINGS COMPANY LTD ADR(SVNDY) | Sale | 07/19/17 | Yes | \$1,001 - \$15,000 |
| 332 | SHIRE PLC SPON ADR(SHPG) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 333 | SINCLAIR BROADCAST GROUP INC(SBGI) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 334 | SK TELECOM LTD SPONS ADR(SKM) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 335 | SKYWEST INC(SKYW) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 336 | SOCIETE GENERALE FRA SPONSORED ADR (SCGLY) | Purchase | 07/28/17 | Yes | \$1,001 - \$15,000 |
| 337 | SOCIETE GENERALE FRA SPONSORED ADR (SCGLY) | Purchase | 08/30/17 | Yes | \$1,001 - \$15,000 |
| 338 | SOCIETE GENERALE FRA SPONSORED ADR (SCGLY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 339 | SOFTBANK GROUP ADR(SFTBY) | Sale | 08/02/17 | No | \$1,001 - \$15,000 |
| 340 | SONOVA HOLDINGS AG ADR(SONVY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 341 | SONY CORP ADR NEW 7/(SNE) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 342 | STAMPS.COM INC NEW(STMP) | Sale | 08/04/17 | Yes | \$1,001 - \$15,000 |
| 343 | STAMPS.COM INC NEW(STMP) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 344 | STARWOOD WAYPOINT HO(SFR) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 345 | STATE STREET CORP (STT) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 346 | STATOIL ASA SPONSORED ADR(STO) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 347 | STORA ENSO CORP SPONSORED ADR REPSTG SHARES R(SEOAY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 348 | SUBARU CORP ADR(FUJHY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 349 | SUMITOMO MITSUI FINL GRP INC(SMFG) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 350 | SUN LIFE FINANCIAL I(SLF) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 351 | SUNCOR ENERGY INC NE (SU) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | NOTIFICATION OVER 30 DAYS AGO | AMOUNT |
|-----|--|----------|----------|-------------------------------------|---------------------|
| 352 | SUPERMUS PHARMACEUTI INC(SUPN) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 353 | SWEDBANK AB SPONSORED ADR(SWDBY) | Sale | 07/18/17 | Yes | \$1,001 - \$15,000 |
| 354 | SYMRISE AG ADR(SYIEY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 355 | SYSCO CORP(SYY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 356 | SYSMEX CORP ADR(SSMXY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 357 | TAIWAN SEMICONDUCTOR MANUFACTURING COMPANY LTD SPONS ADR(TSM) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 358 | TARGET CORP(TGT) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 359 | TELENOR ASA SPONSORED ADR(TELNY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 360 | TELIA COMPANY AB ADR(TLSNY) | Purchase | 08/29/17 | Yes | \$1,001 - \$15,000 |
| 361 | TELIA COMPANY AB ADR(TLSNY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 362 | TENARIS S A SPONSORED ADR(TS) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 363 | THOR INDUSTRIES INC(THO) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 364 | TIVITY HEALTH INC(TVTY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 365 | TJX COMPANIES INC NE(TJX) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 366 | TOKYO ELECTRON LTD ADR(TOELY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 367 | TOTAL S A SPONSORED ADR(TOT) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 368 | TOTAL SYSTEMS SERVIC INC(TSS) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 369 | TRACTOR SUPPLY COMPA(TSCO) | Purchase | 08/07/17 | Yes | \$1,001 - \$15,000 |
| 370 | TRACTOR SUPPLY COMPA(TSCO) | Sale | 09/25/17 | No | \$15,001 - \$50,000 |
| 371 | TREEHOUSE FOODS INC(THS) | Sale | 08/17/17 | Yes | \$1,001 - \$15,000 |
| 372 | TRI POINTE GROUP INC(TPH) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 373 | TRINSEO S A(TSE) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 374 | TURKIYE GARANTI BANK A S SPONSORED ADR REPRESENTING 2000 SHS(TKGBY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | NOTIFICATION OVER 30 DAYS AGO | AMOUNT |
|-----|---|----------|----------|-------------------------------------|--------------------------|
| 375 | U S CONCRETE INC(USCR) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 376 | UBS GROUP AG(UBS) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 377 | ULTA BEAUTY INC(ULTA) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 378 | UMPQUA HOLDINGS CORP(UMPQ) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 379 | UNILEVER N V NEW YORK SHARES NEW(UN) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 380 | UNILEVER PLC SPONSORED ADR NEW(UL) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 381 | UNITED COMMUNITY BAN BLAIRSVILLE GA(UCBI) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 382 | UNITED RENTALS INC(URI) | Sale | 10/03/17 | No | \$15,001 - \$50,000 |
| 383 | UNIVERSITY TX UNIV FING SYS SER J REV B/E CPN 5.000% DUE 08/15/25 DTD 12/15/16 FC 02/15/17 | Purchase | 08/21/17 | Yes | \$100,001 - \$250,000 |
| 384 | UPM KYMMENE CORP SPONSORED ADR(UPMKY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 385 | VALEO SPONSORED ADR(VLEEY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 386 | VALERO ENERGY CORP(VLO) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 387 | VANGUARD FTSE EMERGI MARKETS ETF(VWO) | Sale | 09/20/17 | No | \$15,001 - \$50,000 |
| 388 | VANGUARD TOTAL INTL STOCK INDEX FUND ETF (VXUS) | Purchase | 09/20/17 | No | \$1,001 - \$15,000 |
| 389 | VANGUARD TOTAL INTL STOCK INDEX FUND ETF (VXUS) | Purchase | 09/20/17 | No | \$100,001 - \$250,000 |
| 390 | VANGUARD TOTAL INTL STOCK INDEX FUND ETF (VXUS) | Purchase | 09/25/17 | No | \$100,001 - \$250,000 |
| 391 | VANGUARD TOTAL STOCK MARKET ETF(VTI) | Purchase | 09/20/17 | No | \$15,001 - \$50,000 |
| 392 | VANGUARD TOTAL STOCK MARKET ETF(VTI) | Purchase | 09/20/17 | No | \$100,001 - \$250,000 |
| 393 | VANGUARD TOTAL STOCK MARKET ETF(VTI) | Purchase | 09/25/17 | No | \$100,001 - \$250,000 |
| 394 | VERISK ANALYTICS INC(VRSK) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 395 | VIACOM INC CL B NEW(VIAB) | Sale | 08/29/17 | Yes | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | NOTIFICATION OVER 30 DAYS AGO | AMOUNT |
|-----|--|----------|----------|-------------------------------------|--------------------------|
| 396 | VINCI S A ADR(VCISY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 397 | VIRGINIA CLLG BLDG V EDL FACS REV 21ST CENTY CLLG & EQUIP C B/E PTC CPN 5.000% DUE 02/01/28 DTD 08/02/17 FC 02/01/18 CALL1 02/01/27 @ 100.000 | Purchase | 09/28/17 | No | \$250,001 - \$500,000 |
| 398 | VIRGINIA COMWLTH TRA BRD FEDL TRANSN GRANT ANTIC REV NT SER A B/E CPN 5.000% DUE 09/15/22 DTD 03/01/12 FC 09/15/12 CALL1 03/15/22 @ 100.000 | Sale | 09/05/17 | No | \$15,001 - \$50,000 |
| 399 | VIRGINIA ST PUB BLDG AUTH FACS REV RFDG SER B B/E CPN 5.000% DUE 08/01/22 DTD 02/21/13 FC 08/01/13 | Sale | 09/06/17 | No | \$15,001 - \$50,000 |
| 400 | VIRGINIA ST RES AUTH CLEAN WTR REV RFDG REVLVG SER B B/E CPN 5.000% DUE 10/01/24 DTD 09/30/14 FC 04/01/15 | Purchase | 07/25/17 | Yes | \$50,001 - \$100,000 |
| 401 | VIRGINIA ST RES AUTH CLEAN WTR REV RFDG ST REVLVG FD B/E CPN 5.000% DUE 10/01/22 DTD 04/14/15 FC 10/01/15 | Sale | 09/07/17 | No | \$15,001 - \$50,000 |
| 402 | VISA INC CLASS A(V) | Sale | 09/25/17 | No | \$15,001 - \$50,000 |
| 403 | WAL-MART STORES INC(WMT) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 404 | WEB COM GROUP INC(WEB) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 405 | WESTERN ALLIANCE BANCORPORATION(WAL) | Sale | 09/11/17 | No | \$1,001 - \$15,000 |
| 406 | WESTERN ALLIANCE BANCORPORATION(WAL) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 407 | WESTERN DIGITAL CORP(WDC) | Sale | 07/27/17 | Yes | \$1,001 - \$15,000 |
| 408 | WESTERN UNION COMPAN(WU) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 409 | WESTROCK COMPANY(WRK) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 410 | WINTRUST FINANCIAL C(WTFC) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 411 | WOLTERS KLUWER N V SPONSORED ADR (WTKWY) | Sale | 10/04/17 | No | \$1,001 - \$15,000 |
| 412 | WOLVERINE WORLD WIDE(WWW) | Sale | 08/02/17 | Yes | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | NOTIFICATION OVER 30 DAYS AGO | AMOUNT |
|-----|-------------------------------|----------|----------|-------------------------------------|--------------------|
| 413 | WOLVERINE WORLD WIDE(WWW) | Sale | 10/04/17 | No | \$1,001 - \$15,000 |
| 414 | WORLDPAY GROUP PLC ADR(WPYGY) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 415 | WPP PLC NEW ADR(WPPGY) | Sale | 10/03/17 | No | \$1,001 - \$15,000 |
| 416 | WYNN RESORTS LIMITED(WYNN) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |
| 417 | XPERI CORP(XPER) | Purchase | 09/01/17 | No | \$1,001 - \$15,000 |
| 418 | XPERI CORP(XPER) | Sale | 09/25/17 | No | \$1,001 - \$15,000 |

Endnotes

Summary of Contents

The 278-T discloses purchases, sales, or exchanges of securities in excess of \$1,000 made on behalf of the filer, the filer's spouse, or dependent child. Transactions are required to be disclosed within 30 days of receiving notification of a transaction but not later than 45 days after the transaction. Filers need not disclose (1) mutual funds and other excepted investment funds; (2) certificates of deposit, savings or checking accounts, and money market accounts; (3) U.S. Treasury bills, notes, and bonds; (4) Thrift Savings Plan accounts; (5) real property; and (6) transactions that are solely by and between the filer, the filer's spouse, and the filer's dependent children.

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.
