

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

### Filer's Information

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**Price, Thomas**

HHS Secretary, Department of Health & Human Services

Date of Termination: 09/29/2017

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Other Federal Government Positions Held During the Preceding 12 Months:

Member of Congress - GA06 (1/2005 - 2/2017)

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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/ Price, Thomas [electronically signed on 01/25/2018 by Price, Thomas in Integrity.gov] - Filer received a 90 day filing extension.**

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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/ Hall, Randall, Certifying Official [electronically signed on 02/07/2018 by Hall, Randall in Integrity.gov]**

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Other review conducted by

**/s/ Hall, Randall, Ethics Official [electronically signed on 02/07/2018 by Hall, Randall in Integrity.gov]**

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U.S. Office of Government Ethics Certification

Data Revised 02/12/2018

Data Revised 02/07/2018

Data Revised 01/30/2018

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	American Medical Association	Chicago, Illinois	Non-Profit	Delegate	1/2005	2/2017
2	Chattahoochee Associates LP	Atlanta, Georgia	Limited Partnership	Managing and Limited Partner	11/1993	2/2017

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Chattahoochee Associates LP	No			
1.1	Medical Office Building - Roswell, GA	N/A	\$100,001 - \$250,000		None (or less than \$201)
2	Thomas Price Fidelity IRA	No			
2.1	BlackRock Strategic Income Opportunities Institutional Shares (BSIIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.2	Brandes Intl Small Cap Equity I (BISMX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.3	Calamos Convertible I (CICVX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.4	Cohen & Steers Realty Instl (CSRIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.5	Credit Suisse Commodity Return Strategy I (CRSOX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.6	Fidelity Government Cash Reserves (FDRXX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.7	Fidelity Advisor Diversified Intl Instl (FDVIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.8	First Eagle Overseas I (SGOIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.9	iShares Russell 2000 Growth (IWO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	iShares Russell 2000 Value Index (IWN)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.11	Merger Fund Instl (MERIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.12	MFS Value I (MEIIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.13	Miller Convertible Bond Fund Class I (MCIFX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2.14	Oppenheimer Developing Markets I (ODVIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.15	PIMCO Low Duration Instl (PTLDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.16	RiverPark Wedgewood Instl (RWGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.17	Vanguard REIT Index ETF (VNQ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.18	Vanguard Global ex-US Real Estate Index (VNQI)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.19	Vanguard Growth ETF (VUG)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.20	Vanguard Value (VTV)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.21	Victory Global Natural Resources Y (RSNYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.22	Victory RS Select Growth Y (RSSYX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.23	Westcore Plus Bond Instl (WIIBX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.24	Westcore SmallCap Value Instl (WISVX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.25	Wells Fargo Absolute Return Instl (WABIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.26	WisdomTree Emerging Mkts Small Cap Div (DGS)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.27	AQR EquityMkt Neutral I (QMNIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3	Emory University Cash Balance Pension Plan	N/A	\$1,001 - \$15,000		None (or less than \$201)

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Emory University	Atlanta, Georgia	Continued participation in cash balance pension plan. No further contributions by employer or filer.	8/2002

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	State of Georgia	N/A		Salary	
2	City of Roswell	N/A		Salary	
3	Fidelity IRA	No			
3.1	Fidelity Total Bond (FTBFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	Cohen & Steers Realty Instl (CSRIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	Credit Suisse Commodity Return Strategy I (CRSOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	Fidelity Advisor Diversified Intl Instl (FDVIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	First Eagle Overseas I (SGOIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	Merger Fund Instl (MERIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.8	MFS Value I (MEIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	Oppenheimer Developing Markets I (ODVIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.10	Victory Global Natural Resources Y (RSNYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.11	Victory RS Select Growth Y (RSSYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.12	Westcore SmallCap Value Instl (WISVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.13	Wells Fargo Absolute Return Instl (WABIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Fidelity IRA Rollover	No			
4.1	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	Credit Suisse Commodity Return Strategy I (CRSOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.3	Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.4	Fidelity Advisor Diversified Intl Instl (FDVIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.5	Fidelity Total Bond (FTBFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.6	First Eagle Overseas I (SGOIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	Merger Fund Instl (MERIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	MFS Value I (MEIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.9	Oppenheimer Developing Markets I (ODVIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.10	Victory RS Select Growth Y (RSSYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.11	Vanguard Global ex-US Real Estate Index (VNQI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.12	Westcore SmallCap Value Instl (WISVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.13	Westcore Plus Bond Instl (WIIBX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.14	Victory Global Natural Resources Y (RSNYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Fidelity IRA SEP	No			
5.1	BlackRock Strategic Income Instl (BSIIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5.2	Brandes Intl Small Cap Equity I (BISMX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.3	Cohen & Steers Realty Instl (CSRIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.4	Credit Suisse Commodity Return Strategy I (CRSOX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.5	Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	Fidelity Advisor Diversified Intl Instl (FDVIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.7	First Eagle Overseas I (SGOIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.8	iShares Russell 2000 Value Index (IWN)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
5.9	Merger Fund Instl (MERIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.10	MFS Value I (MEIIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.11	Oppenheimer Developing Markets I (ODVIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.12	PIMCO Low Duration Instl (PTLDX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.13	Vanguard Global ex-US Real Estate Index (VNQI)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.14	Vanguard Growth (VUG)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
5.15	Vanguard REIT Index ETF (VNQ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.16	Vanguard Value (VTV)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
5.17	Victory Global Natural Resources Y (RSNYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.18	Victory RS Select Growth Y (RSSYX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.19	Wells Fargo Adv Short Duration Govt Bond I (WSGIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.20	Westcore Plus Bond Fund Instl (WIIBX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.21	Westcore SmallCap Value Dividend Fund Instl (WISVX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.22	WisdomTree Emerging Mkts Small Cap Divs (DGS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.23	AQR Equity Market Neutral I (QMNIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.24	Riverpark Wedgewood Instl I (RWGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.25	Wells Fargo Absolute Return Instl (WABIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.26	Fidelity Advisor Total Bond (FBKWX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
6	Chattahoochee Associates LP	N/A		Management Fees	

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. bank account #1 (Cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
2	BB&T Stock	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$1,001 - \$2,500
3	U.S. bank account #2 (Cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
4	Public Storage Stock	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
5	U.S. bank account #3 (Cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
6	Residential real estate, Washington, DC	N/A	\$250,001 - \$500,000	Rent or Royalties Dividends	\$5,001 - \$15,000
7	Undeveloped land, St. Simons, GA	N/A	Over \$1,000,000		None (or less than \$201)
8	Residential real estate, Nashville, TN	N/A	\$100,001 - \$250,000	Rent or Royalties	\$2,501 - \$5,000
9	U.S. bank account #4 (Cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
10	Wells Fargo Joint Brokerage Account #1	No			
10.1	Wells Fargo Ultra Short-Term Income Fund - Class A (SADAX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
10.2	Wells Fargo Bank Deposit Account	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.3	Campbell Fund Trust Unit Series A	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.4	SPDR S&P Midcap 400 Trust Series N ETF	Yes	None (or less than \$1,001)		None (or less than \$201)
10.5	Angel Oaks FDS TR Multi-Strategy Income Fund	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
10.6	iShares S&P 500 Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
10.7	iShares Core S&P Tot US Stock Market ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.8	Powershares QQQ TR Series	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	Wells Fargo Joint Brokerage Account #2	No			
11.1	Wells Fargo Bank Deposit Account	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.2	First Trust Large Cap Core AlphaDEX Fund (FEX)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
11.3	Guggenheim S&P 500 Equal Weight ETF (RSP)	Yes	None (or less than \$1,001)		None (or less than \$201)
11.4	Guggenheim Enhanced Short Duration ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.5	iShares US Real Estate ETF	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
11.6	iShares Core S&P Total US Stock Market ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.7	iShares Core S&P 500 ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
11.8	iShares Core US Aggregate Bond ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.9	iShares MSCI EAFE Index	Yes	None (or less than \$1,001)		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.10	iShares MSCI Minimum Volatility USA ETF	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
11.11	iShares Short Maturity Bond ETF	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
11.12	Powershares QQQ Trust Series 1 ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.13	SPDR Bloomberg Barclays Short Term High Yield Bond ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11.14	SPDR Blackstone/GSO Senior Loan ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.15	Guggenheim CurrencyShares Euro Trust Fund (FXE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.16	iShares iBoxx High Yield Corporate Bond ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.17	iShares MSCI Emerging Markets ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11.18	JPMorgan Diversified Return Intl Eq ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11.19	PowerShares DB Agriculture Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
11.20	PowerShares DB Base Metals Funds (DBB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11.21	WisdomTree Bloomberg USD Bullish Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.22	FQF TR OShares FTSE US Quality Dividend ETF	Yes	None (or less than \$1,001)		\$201 - \$1,000
11.23	iShares Core S&P SmallCap	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.24	SPDR S&P MidCap 400 Trust Series N ETF	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	U.S. Bank Account #5 (Cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
13	Fidelity Individual Brokerage Account	No			
13.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.2	iShares Russell 1000 Growth (IWF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13.3	iShares Russell 1000 Value (IWD)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
13.4	Merger Fund Inst (MERIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.5	Vanguard REIT Index ETF (VNQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.6	Victory Global Natural Resources Y (RSNYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.7	Cohen & Steers Realty Inst (CSRIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13.8	MFS Value I (MEI)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
13.9	Brandes Intl Small Cap Equity S	Yes	None (or less than \$1,001)		None (or less than \$201)
13.10	RiverPark Wedgewood Fund Class Retail	Yes	None (or less than \$1,001)		None (or less than \$201)
14	Morgan Stanley Brokerage Account	No			
14.1	Apple Inc (AAPL)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
14.2	CBRE Group Inc. (CBG)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.3	ARRIS International, plc (ARRS)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.4	Honeywell International (HON)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
14.5	Jazz Pharmaceuticals PLC (JAZZ)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
14.6	JPMorgan Chase & Co (JPM)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
14.7	Starbucks Corp Washington (SBUX)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.8	AETNA INC (AET)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.9	ALPHABET INC CLASS A (GOOGL)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.10	AMGEN INC (AMGN)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.11	BANK OF AMERICA CORP (BAC)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.12	BIOGEN INC (BIIB)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.13	BLACKROCK INC (BLK)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.14	BOEING CO (BA)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.15	AMERICAN TOWER REIT (AMT)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
14.16	CBS CORP CLASS B SHARES (CBS)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.17	CAPITAL ONE FINANCIAL CORP (COF)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.18	DISCOVER FINANCIAL SERVICES (DFS)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.19	FIFTH THIRD BANCORP (FITB)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
14.20	GOLDMAN SACHS GROUP INC (GS)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.21	HP INC (HPQ)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.22	LEARCORP (LEA)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.23	ELI LILLY & CO (LLY)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
14.24	LOWES COMPANIES INC (LOW)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.25	MASTERCARD INC CLASS A (MA)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.26	NEXTERA ENERGY INC (NEE)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.27	NORTHROP GRUMAN (NOC)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.28	PFIZER INC (PFE)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
14.29	ROSS STORES INC (ROST)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.30	SYNCHRONY FINANCIAL (SYF)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.31	UNITED TECHNOLOGIES CORP (UTX)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
14.32	VANTIV INC CLASS A (VNTV)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.33	WHITEWAVE FOODS CORP CLASS A (WWAV)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.34	ZIMMER BIOMET HOLDINGS INC (ZBH)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
14.35	LYONDELL BASELL INDUSTRIES CLASS A (LYB)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.36	POWERSHARES S&P 500 HIGH QUALITY (SPHQ)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.37	Morgan Stanley Bank Deposit Account	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.38	AMAZON COM INC	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
14.39	DANAHER CORPORATION	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
14.40	ENERSYS	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
14.41	FACEBOOK INC CLASS A	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
14.42	FOOT LOCKER INC	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
14.43	Guggenheim S&P 500 Equal Weight ETF	Yes	None (or less than \$1,001)		\$201 - \$1,000
14.44	iShares S&P 500 Growth ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.45	Qihoo 360 Tech Ltd Ads	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
14.46	UNION PACIFIC CORP	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
14.47	THERMO FISHER SCIENTIFIC	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
14.48	UNITED RENTALS INC	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
14.49	VISA INC CLASS A	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
14.50	XL GROUP PLC	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
14.51	Visteon Corp (VC)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
14.52	Bioverativ Inc	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
14.53	iShares S&P SmallCap 600 Index	Yes	None (or less than \$1,001)		\$201 - \$1,000
14.54	iShares s&p 500 Value	Yes	None (or less than \$1,001)		\$201 - \$1,000
14.55	S&P 500 Index Fund	Yes	None (or less than \$1,001)		\$201 - \$1,000
14.56	Nike Inc B	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.57	Conduent Inc Com	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
14.58	Signet Jewelers Limited	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.59	Affiliated Mgrs Group	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
14.60	L Brands Inc	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.61	Xerox Corp	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
14.62	Bristol-Meyers Squibb	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.63	AthenaHealth Inc	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.64	Kansas Cy Southern IND New	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
14.65	Sempra Energy	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.66	McKesson Corp	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.67	Cognizant Tech Solutions	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.68	CVS Health Corp Com	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
14.69	Verizon Communications Inc	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.70	Crown Castle Intl Corp	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
14.71	Calpine Corp New	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
14.72	PG&E Corporation	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.73	Delta Airlines Inc	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
14.74	iShares Russell 2000 Value	Yes	None (or less than \$1,001)		\$201 - \$1,000
15	Morgan Stanley Brokerage Account #2	No			
15.1	Innate Immunotherapeutics Ltd. (INNMF)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
16	Fidelity Joint Brokerage Account #1	No			
16.1	Brandes Intl Small Cap Equity I (BISMV)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
16.2	Fidelity Government Cash Reserves (FDRXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16.3	iShares Russell 1000 Growth (IWF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
16.4	iShares Russell 1000 Value (IWD)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
16.5	iShares Russell 2000 Growth (IWO)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
16.6	iShares Russell 2000 Value Index (IWN)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
16.7	Lord Abbett Intermediate Tax-Free I (LAIIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
16.8	Merger Fund Instl (MERIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16.9	Vanguard REIT Index ETF (VNQ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
16.10	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.11	Victory Global Natural Resources Y (RSNYX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
16.12	Victory RS Select Growth Y (RSSYX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
16.13	First Eagle Overseas I (SGOIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
16.14	Westcore SmallCap Value Inst. (WISVX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
16.15	RiverPark Wedgewood Inst (RWGIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
16.16	Cohen & Steers Realty Inst (CSRIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
16.17	MFS Value I (MEIIX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
16.18	Oppenheimer Developing Markets I (ODVIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
16.19	Credit Suisse Commodity Return Strategy I (CRSOX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
16.20	Fidelity Advisor Diversified Intl Instl (FDVIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
16.21	Wells Fargo Absolute Return Instl (WABIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16.22	iShares S&P 500 Value (IVE)	Yes	\$50,001 - \$100,000		None (or less than \$201)
17	Fidelity Joint Brokerage Account #2	No			
17.1	Fidelity Cash Fund	N/A	\$1,001 - \$15,000		None (or less than \$201)
18	Fidelity Annuity #1 (Variable)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.1	American Century VP Inflation Protection Fund (AIPTX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
18.2	Franklin Small Cap Value C2	Yes	\$15,001 - \$50,000		None (or less than \$201)
18.3	Invesco VI Small Cap Equity	Yes	\$15,001 - \$50,000		None (or less than \$201)
18.4	IVY VIP High Income Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
18.5	Ivy VIP International Core Equity	Yes	\$50,001 - \$100,000		None (or less than \$201)
18.6	Janus Aspen Perkins Mid Cap Value	Yes	\$15,001 - \$50,000		None (or less than \$201)
18.7	Janus Aspen Overseas	Yes	\$15,001 - \$50,000		None (or less than \$201)
18.8	Morgan Stanley UIF Emerging Markets Equity	Yes	\$15,001 - \$50,000		None (or less than \$201)
18.9	Securian Funds Trust - SFT Ivy Growth	Yes	\$100,001 - \$250,000		None (or less than \$201)
18.10	Securian Funds Trust - SFT T. Rowe Price Value	Yes	\$100,001 - \$250,000		None (or less than \$201)
18.11	Securian Funds Trust - SFT Advantus Bond C2	Yes	\$100,001 - \$250,000		None (or less than \$201)
18.12	Securian Funds Trust - SFT Advantus Index 400 Midcap	Yes	\$15,001 - \$50,000		None (or less than \$201)
18.13	Securian Funds Trust - SFT Advantus International Bond C2	Yes	\$15,001 - \$50,000		None (or less than \$201)
18.14	Securian Funds Trust - SFT Advantus Money Market	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.15	Securian Funds Trust - SFT Advantus Mortgage Securities C2	Yes	\$15,001 - \$50,000		None (or less than \$201)
18.16	Securian Funds Trust - SFT Advantus Real Estate Securities C2	Yes	\$15,001 - \$50,000		None (or less than \$201)
19	Fidelity Annuity #2 (Variable)	No			
19.1	American Century VP Inflation Protection Fund (AIPTX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
19.2	Franklin Small Cap Value C2	Yes	\$15,001 - \$50,000		None (or less than \$201)
19.3	Invesco VI Small Cap Equity	Yes	\$15,001 - \$50,000		None (or less than \$201)
19.4	IVY VIP High Income Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
19.5	Ivy VIP International Core Equity	Yes	\$50,001 - \$100,000		None (or less than \$201)
19.6	Janus Aspen Perkins Mid Cap Value	Yes	\$15,001 - \$50,000		None (or less than \$201)
19.7	Janus Aspen Overseas	Yes	\$15,001 - \$50,000		None (or less than \$201)
19.8	Morgan Stanley UIF Emerging Markets Equity	Yes	\$1,001 - \$15,000		None (or less than \$201)
19.9	Securian Funds Trust - SFT Ivy Growth	Yes	\$100,001 - \$250,000		None (or less than \$201)
19.10	Securian Funds Trust - SFT T. Rowe Price Value	Yes	\$100,001 - \$250,000		None (or less than \$201)
19.11	Securian Funds Trust - SFT Advantus Bond C2	Yes	\$100,001 - \$250,000		None (or less than \$201)
19.12	Securian Funds Trust - SFT Advantus International Bond C2	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19.13	Securian Funds Trust - SFT Advantus Money Market	Yes	\$1,001 - \$15,000		None (or less than \$201)
19.14	Securian Funds Trust - SFT Advantus Mortgage Securities C2	Yes	\$15,001 - \$50,000		None (or less than \$201)
19.15	Securian Funds Trust - SFT Advantus Real Estate Securities C2	Yes	\$15,001 - \$50,000		None (or less than \$201)
20	Minnesota Life Insurance Indexed Universal Life Insurance Policy #1	No			
20.1	Index A S&P 500 100% Participation	N/A	\$100,001 - \$250,000		None (or less than \$201)
21	Minnesota Life Insurance Policy Indexed Universal Life Insurance Policy #2	No			
21.1	Index B S&P 500 140% Participation	N/A	\$100,001 - \$250,000		None (or less than \$201)
21.2	IUL Cash Value Fixed Account A	N/A	\$1,001 - \$15,000		None (or less than \$201)
22	Nebraska Educational Savings Trust Advisor 529 Plan	No			
22.1	State Street S&P 500 Index	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
22.2	Vanguard Extended Market Index (VEMPX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
22.3	Vanguard REIT Index (VGSNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.4	State Street MSCI ACWI ex USA Index	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.5	DFA World Ex US Government Fixed Income (DWFIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.6	Vanguard Total Bond Market Index (VBMPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22.7	Vanguard Short Term Bond Index (VBIPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
22.8	Goldman Sachs Financial Square Government Money Market (FGTXX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
23	Nebraska Educational Savings Trust Advisor 529 Plan #2	No			
23.1	State Street S&P 500 Index	Yes	\$1,001 - \$15,000		\$201 - \$1,000
23.2	State Street MSCI ACWI ex USA Index	Yes	\$1,001 - \$15,000		None (or less than \$201)
23.3	Vanguard Total Bond Market Index (VBMPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
23.4	Vanguard Short Term Bond Index (VBIPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
24	Minnesota Life Insurance Variable Life Insurance Policy	No			
24.1	Ivy VIP Global Growth	Yes	\$1,001 - \$15,000		\$201 - \$1,000
24.2	Ivy VIP Intl Core Equity	Yes	\$1,001 - \$15,000		\$201 - \$1,000
24.3	Ivy VIP Small Cap Value	Yes	\$1,001 - \$15,000		None (or less than \$201)
24.4	Janus Aspen Forty	Yes	\$1,001 - \$15,000		None (or less than \$201)
24.5	Securian Funds Trust - SFT Advantus Bond C2	Yes	\$1,001 - \$15,000		None (or less than \$201)
24.6	Securian Funds Trust - SFT Advantus Govt Money Market	Yes	\$15,001 - \$50,000		None (or less than \$201)
24.7	Securian Funds Trust - SFT Advantus Mortgage Sec C2	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24.8	Securian Funds Trust - SFT Ivy Small Cap Growth Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
24.9	Securian Funds Trust - SFT T. Rowe Price Value Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
24.10	Templeton Developing Markets VIP	Yes	\$1,001 - \$15,000		\$201 - \$1,000
25	Carolina Properties, Ltd.	No			
25.1	Apartment Buildings - Wytheville, VA, Oxford & Edenton, NC, and Hartsville & Newbury, SC	N/A	\$50,001 - \$100,000	Rent or Royalties	\$2,501 - \$5,000
26	Diagnostic Ventures of Roswell, LLC	No			
26.1	Medical Office Building - Roswell, GA	N/A	\$1,000,001 - \$5,000,000	LLC Member/Partner Income/Distribution	\$132,716
27	RMC3, LLC	No			
27.1	Diagnostic Ventures of Roswell, LLC	N/A	\$250,001 - \$500,000	LLC Member/Partner Income/Distribution	\$26,367
27.1.1	Medical Office Building - Roswell, GA	N/A			
28	AQR Equity Market Neutral FD CL I	Yes	\$100,001 - \$250,000		None (or less than \$201)
29	JP Morgan Research Mkt Neutral Class L	Yes	\$1,001 - \$15,000		None (or less than \$201)
30	iShares S&P Mid-Cap 400 V ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
31	iShares S&P Mid-Cap 400 G ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
32	iShares S&P Mid-Cap 400 Index	Yes	\$15,001 - \$50,000		None (or less than \$201)
33	BlackRock Strategic Income Opportunities	Yes	\$100,001 - \$250,000		None (or less than \$201)
34	Vanguard Index FDS Vanguard Value ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
35	Vanguard Index FDS Vanguard Growth ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
36	Vanguard Index FDS Vanguard Value ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
37	AQR Equity Mkt Neutral I (QMNIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
38	Fidelity Advisor Total Bond Z (FBKWX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
39	Fidelity Advisor Diversified Intl Z (FZABX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
40	Fidelity Advisor Total Bond Z (FBKWX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
41	Fidelity Advisor Diversified Intl Z (FZABX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
42	Fidelity Advisor Total Bond Z (FBKWX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
43	Fidelity Advisor Diversified Intl Z (FZABX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
44	Fidelity Advisor Diversified Intl Z (FZABX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
45	Fidelity Advisor Diversified Intl Z (FZABX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Xerox Corp	Sale	02/15/17	\$1,001 - \$15,000
2	L Brands Inc	Sale	02/15/17	\$1,001 - \$15,000
3	Bristol-Myers Squibb	Sale	02/15/17	\$1,001 - \$15,000
4	athenahealth, Inc. - Common Stock	Sale	02/15/17	\$1,001 - \$15,000
5	Sempra Energy	Sale	02/15/17	\$1,001 - \$15,000
6	Kansas City Southern Inc	Sale	02/15/17	\$1,001 - \$15,000
7	McKesson Corp	Sale	02/15/17	\$1,001 - \$15,000
8	CVS Health Corp	Sale	02/15/17	\$1,001 - \$15,000
9	Cognizant Technology Solutions Corporation - Class A Common Stock	Sale	02/15/17	\$1,001 - \$15,000
10	Verizon Communications Inc	Sale	02/15/17	\$1,001 - \$15,000
11	United Technologies Corp	Sale	02/10/17	\$1,001 - \$15,000
12	Pfizer Inc	Sale	02/10/17	\$1,001 - \$15,000
13	Northrop Grumman Corp	Sale	02/10/17	\$1,001 - \$15,000
14	Lilly Eli & Co	Sale	02/10/17	\$1,001 - \$15,000
15	Apple Inc.	Sale	02/10/17	\$15,001 - \$50,000
16	Amgen Inc	Sale	02/10/17	\$1,001 - \$15,000
17	HP Inc Com	Sale	02/10/17	\$1,001 - \$15,000
18	Whitewave foods corp cl A	Sale	02/10/17	\$1,001 - \$15,000
19	Crown Castle Intl Corp	Sale	02/10/17	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
20	Calpine Corp New	Sale	02/10/17	\$1,001 - \$15,000
21	Arris Intl Inc	Sale	02/10/17	\$1,001 - \$15,000
22	Alphabet Inc Cl A	Sale	02/10/17	\$1,001 - \$15,000
23	American Tower Reit Com	Sale	02/10/17	\$1,001 - \$15,000
24	LyondellBasell Industries N.V.	Sale	02/10/17	\$1,001 - \$15,000
25	CBS Corp B	Sale	02/10/17	\$1,001 - \$15,000
26	Zimmer Biomet Hldgs Inc Com	Sale	02/10/17	\$1,001 - \$15,000
27	Biogen Idec Inc. - Common Stock	Sale	02/10/17	\$1,001 - \$15,000
28	NextEra Energy Inc	Sale	02/10/17	\$1,001 - \$15,000
29	Aetna Inc	Sale	02/10/17	\$1,001 - \$15,000
30	Jazz Pharmaceuticals plc - Ordinary Shares	Sale	02/10/17	\$1,001 - \$15,000
31	Honeywell Intl Inc	Sale	02/10/17	\$1,001 - \$15,000
32	Starbucks Corp	Sale	02/10/17	\$1,001 - \$15,000
33	Delta Air Lines	Sale	02/10/17	\$1,001 - \$15,000
34	PG&E Corporation	Sale	02/10/17	\$1,001 - \$15,000
35	Arch Capital Group Ltd. - Common Stock	Sale	02/15/17	\$1,001 - \$15,000
36	Innate Immunotherapeutics Ltd	Sale	02/10/17 and 2/13/17	\$250,001 - \$500,000
37	First Trust Large Cap Core Alphasdex Fund	Sale	3/15/2017	\$1,001 - \$15,000
38	iShares High Dividend Equity	Purchase	3/14/2017	\$1,001 - \$15,000
39	iShares Core S&P Total U.S. Stock Market ETF	Sale	3/15/2017	\$1,001 - \$15,000
40	Guggenheim S&P 500 Equal Weighted Index Fund	Purchase	3/15/2017	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
41	Powershares DB Agriculture Fund	Sale	3/14/2017	\$1,001 - \$15,000
42	Guggenheim S&P Equal Weighted Index Fund	Purchase	3/14/2017	\$1,001 - \$15,000
43	First Trust Large Cap Core Alphasdex Fund	Sale	4/18/2017	\$15,001 - \$50,000
44	iShares Edge MSCI Min Vol USA ETF	Sale	4/18/2017	\$15,001 - \$50,000
45	iShares High Dividend Equity	Sale	4/18/2017	\$1,001 - \$15,000
46	FQF TR OShares FTSE US Quality Divid ETF	Sale	4/18/2017	\$1,001 - \$15,000
47	iShares MSCI Emerging Markets Index	Sale	4/18/2017	\$1,001 - \$15,000
48	iShares Core S&P Smallcap	Sale	4/18/2017	\$1,001 - \$15,000
49	iShares Core US Aggregate Bond	Sale	4/18/2017	\$1,001 - \$15,000
50	JP Morgan ETF Diversified Intl Eq ETF	Sale	4/18/2017	\$1,001 - \$15,000
51	Powershares DB Energy Fund	Sale	4/18/2017	\$1,001 - \$15,000
52	Powershares DB Base Metals Funds	Sale	4/18/2017	\$1,001 - \$15,000
53	Guggenheim S&P Equal Weighted Index Fund	Sale	4/18/2017	\$1,001 - \$15,000
54	SPDR Blackstone/GSO Senior Loan	Sale	4/18/2017	\$1,001 - \$15,000
55	SPDR Bloomberg Barclays Short Term High Yield Bond ETF	Sale	4/18/2017	\$1,001 - \$15,000
56	iShares Core US Aggregate Bond	Sale	4/11/2017	\$1,001 - \$15,000
57	Powershares DB Enrgy Fund	Purchase	4/11/2017	\$1,001 - \$15,000
58	Wisdomtree TR Bloomberg US Dollar Bullish Fund	Sale	4/18/2017	\$1,001 - \$15,000
59	Angel Oak FDS TR Multi-Strategy Income Fund	Purchase	4/13/2017	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
60	JP Morgan Research Mkt Neutral Class L	Sale	4/6/2017	\$1,001 - \$15,000
61	The Merger Fund CL I	Purchase	4/6/2017	\$1,001 - \$15,000
62	JP Morgan Research Mkt Neutral Class L	Sale	4/6/2017	\$15,001 - \$50,000
63	Wells Fargo Absolute Return Inst	Sale	4/6/2017	\$50,001 - \$100,000
64	AQR Equity Market Neutral FD CL I	Purchase	4/6/2017	\$100,001 - \$250,000
65	iShares Russell 2000 Growth ETF	Sale	4/6/2017	\$1,001 - \$15,000
66	AQR Equity Market Neutral FD CL I	Purchase	4/6/2017	\$1,001 - \$15,000
67	JP Morgan Research Mkt Neutral Class L	Sale	4/6/2017	\$15,001 - \$50,000
68	The Merger Fund CL I	Purchase	4/6/2017	\$1,001 - \$15,000
69	JP Morgan Research Mkt Neutral Class L	Sale	4/6/2017	\$1,001 - \$15,000
70	The Merger Fund CL I	Purchase	4/6/2017	\$1,001 - \$15,000
71	JP Morgan Research Mkt Neutral Class L	Sale	4/6/2017	\$1,001 - \$15,000
72	The Merger Fund CL I	Purchase	4/6/2017	\$1,001 - \$15,000
73	Capital One Financial	Sale	4/24/2017	\$1,001 - \$15,000
74	Goldman Sachs Group Inc	Sale	4/24/2017	\$1,001 - \$15,000
75	Bank of America Corp	Sale	4/24/2017	\$1,001 - \$15,000
76	Affiliated Mgrs Group Inc	Sale	4/24/2017	\$1,001 - \$15,000
77	BlackRock Inc	Sale	4/24/2017	\$1,001 - \$15,000
78	Discover Financial Services	Sale	4/24/2017	\$1,001 - \$15,000
79	JP Morgan Chase & Co	Sale	4/24/2017	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
80	Signet Jewelers Lmtd	Sale	4/24/2017	\$1,001 - \$15,000
81	Powershares S&P 500 High Qlty	Sale	4/24/2017	\$1,001 - \$15,000
82	Conduent Inc. Com	Sale	4/24/2017	\$15,001 - \$50,000
83	Synchrony Financial	Sale	4/24/2017	\$1,001 - \$15,000
84	CBRE Group Inc.	Sale	4/24/2017	\$1,001 - \$15,000
85	Mastercard Inc A	Sale	4/24/2017	\$1,001 - \$15,000
86	Vantiv Inc CL A	Sale	4/24/2017	\$1,001 - \$15,000
87	Lear Corp	Sale	4/24/2017	\$1,001 - \$15,000
88	Bioverativ Inc	Sale	4/24/2017	\$1,001 - \$15,000
89	Boeing Co	Sale	4/24/2017	\$1,001 - \$15,000
90	Fifth Third Bancorp (OH)	Sale	4/24/2017	\$1,001 - \$15,000
91	NIKE Inc B	Sale	4/24/2017	\$1,001 - \$15,000
92	Ross Stores Inc	Sale	4/24/2017	\$1,001 - \$15,000
93	iShares S&P Mid-Cap 400 V ETF	Purchase	4/28/2017	\$15,001 - \$50,000
94	Lowes Companies Inc	Sale	4/24/2017	\$1,001 - \$15,000
95	iShares S&P Mid-Cap 400 G ETF	Purchase	4/28/2017	\$15,001 - \$50,000
96	iShares Russell 2000 Value ETF	Purchase	4/28/2017	\$15,001 - \$50,000
97	iShares Russell 2000 Growth ETF	Purchase	4/28/2017	\$15,001 - \$50,000
98	iShares S&P 500 Growth ETF	Purchase	4/28/2017	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
99	S&P 500 Index Fund	Purchase	4/28/2017	\$50,001 - \$100,000
100	iShares S&P Mid-Cap 400 Index	Purchase	4/28/2017	\$15,001 - \$50,000
101	iShares S&P 500 Value ETF	Purchase	4/28/2017	\$50,001 - \$100,000
102	iShares S&P SmallCap 600 Index	Purchase	4/28/2017	\$15,001 - \$50,000
103	Goldman Sachs Strg Income Fund	Sale	5/26/2017	\$100,001 - \$250,000
104	Blackrock Strategic Income Opprtsi	Purchase	5/26/2017	\$100,001 - \$250,000
105	Riverpark/Wedgewood Fund Instl	Sale	6/15/2017	\$15,001 - \$50,000
106	Vanguard Index FDS Vanguard Value ETF	Purchase	6/19/2017	\$15,001 - \$50,000
107	Vanguard Index FDS Vanguard Growth ETF	Purchase	6/19/2017	\$15,001 - \$50,000
108	MFS Value Fund Class I	Sale	6/15/2017	\$50,001 - \$100,000
109	MFS Value Fund Class I	Sale	6/15/2017	\$50,001 - \$100,000
110	Riverpark/Wedgewood Fund Instl	Sale	6/15/2017	\$1,001 - \$15,000
111	Vanguard Index FDS Vanguard Value ETF	Purchase	6/19/2017	\$50,001 - \$100,000
112	Riverpark/Wedgewood Fund Instl	Sale	6/15/2017	\$1,001 - \$15,000
113	Lord Abbett Intermed Tax Free Class I	Purchase	6/15/2017	\$1,001 - \$15,000
114	Vanguard Value (VTV)	Purchase	09/27/17	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
115	Vanguard Growth (VUG)	Purchase	06/14/2017	\$15,001 - \$50,000
116	Vanguard Value (VTV)	Purchase	06/14/2017	\$15,001 - \$50,000
117	Vanguard Value (VTV)	Purchase	06/14/2017	\$50,001 - \$100,000
118	BlackRock Strategic Income Instl (BSIIX)	Purchase	05/25/2017	\$15,001 - \$50,000
119	BlackRock Strategic Income Instl (BSIIX)	Purchase	05/25/2017	\$1,001 - \$15,000
120	Merger Fund Instl (MERIX)	Purchase	04/05/2017	\$1,001 - \$15,000
121	AQR Equity Mkt Neutral I (QMNIX)	Purchase	04/05/2017	\$1,001 - \$15,000
122	Merger Fund Instl (MERIX)	Purchase	04/05/2017	\$1,001 - \$15,000
123	Merger Fund Instl (MERIX)	Purchase	04/05/2017	\$1,001 - \$15,000
124	Merger Fund Instl (MERIX)	Purchase	04/05/2017	\$1,001 - \$15,000
125	Fidelity Total Bond (FTBFX)	Sale	03/14/17	\$50,001 - \$100,000
126	Fidelity Advisor Diversified Intl Instl (FDVIX)	Sale	03/14/17	\$1,001 - \$15,000
127	Fidelity Total Bond (FTBFX)	Sale	03/14/17	\$50,001 - \$100,000
128	Fidelity Advisor Diversified Intl Instl (FDVIX)	Sale	03/14/17	\$15,001 - \$50,000
129	Fidelity Total Bond (FTBFX)	Sale	03/14/17	\$1,001 - \$15,000
130	Fidelity Advisor Diversified Intl Instl (FDVIX)	Sale	03/14/17	\$1,001 - \$15,000
131	Fidelity Advisor Diversified Intl Instl (FDVIX)	Sale	03/22/17	\$50,001 - \$100,000
132	Fidelity Advisor Diversified Intl Instl (FDVIX)	Sale	03/22/17	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
133	Fidelity Advisor Total Bond Z (FBKWX)	Purchase	03/14/17	\$50,001 - \$100,000
134	Fidelity Advisor Diversified Intl Z (FZABX)	Purchase	03/14/17	\$1,001 - \$15,000
135	Fidelity Advisor Total Bond Z (FBKWX)	Purchase	03/14/17	\$50,001 - \$100,000
136	Fidelity Advisor Diversified Intl Z (FZABX)	Purchase	03/14/17	\$15,001 - \$50,000
137	Fidelity Advisor Total Bond Z (FBKWX)	Purchase	03/14/17	\$1,001 - \$15,000
138	Fidelity Advisor Diversified Intl Z (FZABX)	Purchase	03/14/17	\$1,001 - \$15,000
139	Fidelity Advisor Diversified Intl Z (FZABX)	Purchase	03/22/17	\$50,001 - \$100,000
140	Fidelity Advisor Diversified Intl Z (FZABX)	Purchase	03/22/17	\$15,001 - \$50,000

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

None

## Endnotes

# Summary of Contents

## 1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

## 3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

#### **6. Other Assets and Income**

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

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

#### **7. Transactions**

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

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

## **8. Liabilities**

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

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

## **9. Gifts and Travel Reimbursements**

This section discloses:

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

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

## Privacy Act Statement

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

## Public Burden Information

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

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