

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

Filer's Information

Shanahan, Patrick Michael

Deputy Secretary of Defense, Department of Defense

Report Year: 2018

Other Federal Government Positions Held During the Preceding 12 Months:

None

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

/s/ Shanahan, Patrick Michael [electronically signed on 06/26/2018 by Shanahan, Patrick Michael in Integrity.gov] - Filer received a 47 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 06/26/2018 by Vetter, Ruth in Integrity.gov]

Other review conducted by

/s/ Vetter, Ruth, Ethics Official [electronically signed on 06/26/2018 by Vetter, Ruth in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Skalla, Daniel L, Certifying Official [electronically signed on 07/10/2018 by Skalla, Daniel L in Integrity.gov]

1. Filer's Positions Held Outside United States Government

| # | ORGANIZATION NAME | CITY, STATE | ORGANIZATION TYPE | POSITION HELD | FROM | TO |
|---|------------------------------|---------------------|--------------------|---------------------------|--------|--------|
| 1 | The Boeing Company | Chicago, Illinois | Corporation | Senior Vice President | 3/1986 | 7/2017 |
| 2 | The University of Washington | Seattle, Washington | University/College | Officer, Board of Regents | 1/2012 | 7/2017 |

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

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--|-----|-----------------------------|----------------------------------|---------------|
| 1 | The Boeing Company See Endnote | N/A | | Salary & benefits | \$295,852 |
| 2 | The Boeing Company - Awards | | | | |
| 2.1 | Annual Incentive Award for 2016 and 2017 | N/A | | Cash Award | \$557,380 |
| 2.2 | Performance Award | N/A | | Cash Performance Award | \$1,615,733 |
| 3 | The Boeing Company - Restricted Stock Units | | | | |
| 3.1 | Career Shares - Deferred Restricted Stock Units (vested on separation) | N/A | None (or less than \$1,001) | Shares settled - Ordinary Income | \$1,623,231 |
| 3.2 | Restricted Stock Unit Awards (vested on separation) | N/A | None (or less than \$1,001) | Shares settled - Ordinary Income | \$918,354 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-------------|-----------------------------|-------------------------------------|--------------------|
| 3.3 | Supplemental Restricted Stock Units Grant (vested on separation) | N/A | None (or less than \$1,001) | Shares settled - Ordinary Income | \$2,872,104 |
| 3.4 | Performance Based Restricted Stock Units (vested on separation) | N/A | None (or less than \$1,001) | Shares settled - Ordinary Income | \$958,596 |
| 4 | The Boeing Company - Vested Stock Options | N/A | None (or less than \$1,001) | Options Exercised - Ordinary Income | \$7,542,211 |
| 5 | The Boeing Company - Defined Benefit Pension Value Plan | N/A | None (or less than \$1,001) | Lump-sum payout | \$609,620 |
| 6 | The Boeing Company - Defined Benefit Supplemental Executive Retirement Plan (SERP) | N/A | \$5,000,001 - \$25,000,000 | Retirement Payments (annual) | \$218,363 |
| 7 | The Boeing Company Voluntary Investment Plan 401(K) | See Endnote | No | Lump-sum payout. | \$1,028,265 |
| 8 | The Boeing Company Deferred Compensation Plan | N/A | | | |
| 8.1 | The Boeing Stock Fund | No | None (or less than \$1,001) | Shares settled + cash payout | \$297,636 |
| 9 | The Boeing Company Supplemental Benefit Plan | See Endnote | No | Lump sum payment | \$792,190 |
| 10 | The Boeing Company - payout of accrued vacation | No | None (or less than \$1,001) | Cash payment | \$105,769 |
| 11 | IRA #1 | No | | | |
| 11.1 | Delaware Small Cap Core (DCCIX) | Yes | \$50,001 - \$100,000 | | \$5,001 - \$15,000 |
| 11.2 | Eaton Vance Atlanta Capital SMID-Cap Fd (EISMX) | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|--|-------------|-----|-----------------------------|---------------|---------------------|
| 11.3 | American Funds Europacific Growth Fd (AEPFX) | | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 11.4 | Federated Strategic Value Dividend Fund (SVAIX) | | Yes | \$250,001 - \$500,000 | | \$15,001 - \$50,000 |
| 11.5 | Oakmark International Fund (OANIX) | | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 11.6 | Loomis Sayles Growth Fund (LSGRX) | | Yes | \$250,001 - \$500,000 | | \$5,001 - \$15,000 |
| 11.7 | Principal MidCap Fund (PCBIX) | | Yes | \$100,001 - \$250,000 | | \$2,501 - \$5,000 |
| 11.8 | Vanguard Total International Stock Index Fund (VXUS) | | Yes | \$100,001 - \$250,000 | | \$1,001 - \$2,500 |
| 11.9 | Vanguard Total Stock Market ETF (VTI) | | Yes | \$100,001 - \$250,000 | | \$1,001 - \$2,500 |
| 11.10 | Vanguard FTSE Emerging Marets (VWO) | See Endnote | Yes | None (or less than \$1,001) | | \$5,001 - \$15,000 |
| 11.11 | Dell Tech Inc (DVMT) | See Endnote | No | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000 |
| 12 | IRA #2 | | No | | | |
| 12.1 | Delaware Small Cap Core (DCCIX) | | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 12.2 | Eaton Vance Atlanta Capital SMID-Cap Fd (EISMX) | | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 12.3 | American Funds Europacific Growth Fd (AEPFX) | | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 12.4 | Federated Strategic Value Dividend Fund (SVAIX) | | Yes | \$15,001 - \$50,000 | | \$2,501 - \$5,000 |
| 12.5 | Oakmark International Fund (OANIX) | | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|---------------------|-------------|---------------------------|
| 12.6 | Loomis Sayles Growth Fund (LSGRX) | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 12.7 | Principal MidCap Fund (PCBIX) | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 12.8 | Vanguard Total International Stock Index Fund (VXUS) | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 12.9 | Vanguard Total Stock Market ETF (VTI) | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |

3. Filer's Employment Agreements and Arrangements

| # | EMPLOYER OR PARTY | CITY, STATE | STATUS AND TERMS | DATE |
|---|--|-------------------|---|--------|
| 1 | The Boeing Company (Pension) | Chicago, Illinois | I will continue to participate in the Defined Benefit Supplemental Executive Retirement Plan. | 3/1986 |
| 2 | The Boeing Company (health insurance, life insurance, charitable matching contributions, tax preparation services) | Chicago, Illinois | Pursuant to company policy, I will retain health insurance coverage, charitable matching contributions for life, term life insurance coverage for life, and tax preparation services for the 2017 tax year. | 3/1986 |

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

None

6. Other Assets and Income

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|--|-----|-----------------------------|----------------------------|---------------------------|
| 1 | US Credit Union Checking Account | N/A | \$100,001 - \$250,000 | Interest | \$201 - \$1,000 |
| 2 | Accenture (ACN) | N/A | None (or less than \$1,001) | Capital Gains Dividends | \$201 - \$1,000 |
| 3 | DBS Group (DBSDY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 4 | Aon (AON) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 5 | Ashtead Group ADR (ASHTY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 6 | Assocd Brit Foods ADR (ASBFY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 7 | Banca Mediolanum ADR (BNCDY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 8 | BHP Billiton (BHP) | N/A | None (or less than \$1,001) | Dividends | \$1,001 - \$2,500 |
| 9 | British American Tobacco ADR (BTI) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 10 | Canadian National Railway (CNI) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 11 | Oklahoma State, Bond | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 12 | Carlsberg ADR (CABGY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 13 | US Brokerage Money Market Account (cash) #1 | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|---------------------------------|-----|-----------------------------|----------------------------|-------------------|
| 14 | Compass Group ADR (CMPGY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 15 | Continental AG ADR (CTTAY) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 16 | Daiwa House ADR (DWAHY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 17 | Fanuc Corporation ADR (FANUY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 18 | KBC Group ADR (KBCSY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 19 | Komatsu ADR (KMTUY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 20 | Makita Corp (MKTAY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 21 | Novartis AG (NVS) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 22 | Prudential Public Limited (PUK) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 23 | Relx PLC ADR (RELX) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 24 | Richemont ADR (CFRUY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 25 | Royal Dutch Shell (RDS/B) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 26 | Ryanair Holdings ADR (RYAAY) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 27 | Ryohin Keikaku ADR (RYKKY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|--|-------------|-----------------------------|----------------------------|-------------------|
| 28 | Sampo ADR (SAXPY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 29 | SAP SE (SAP) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 30 | Entergy Corp (ETR) | See Endnote | N/A | Dividends Capital Gains | \$201 - \$1,000 |
| 31 | Softbank Group ADR (SFTBY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 32 | Sony Corporation (SNE) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 33 | Statoil ASA (STO) | N/A | None (or less than \$1,001) | Capital Gains Dividends | \$201 - \$1,000 |
| 34 | Sumitomo Mitsui Financial Group ADR (SMFG) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 35 | Suncor Energy (SU) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 36 | Swedbank ADR (SWDBY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 37 | Telenor ASA ADR (TELNY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 38 | Unilever PLC (UL) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 39 | Valeo ADR (VLEEY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 40 | Vinci ADR (VCISY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 41 | Wolters Kluwer ADR (WTKWY) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|---|-------------|-----------------------------|----------------------------|---------------------------|
| 42 | Worldpay GRP ADR (WPYGY) | N/A | None (or less than \$1,001) | Capital Gains Dividends | \$1,001 - \$2,500 |
| 43 | AbbVie (ABBV) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 44 | Allianz ADR (AZSEY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 45 | Ameriprise Financial (AMP) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 46 | Archer-Daniels-Midland Company (ADM) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 47 | Astrazeneca PLC (AZN) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 48 | BAE Systems ADR (BAESY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 49 | Bank of Montreal (BMO) | See Endnote | N/A | Dividends Capital Gains | \$1,001 - \$2,500 |
| 50 | BASF ADR (BASFY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 51 | Best Buy Co (BBY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 52 | BP PLC (BP) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 53 | CA Inc. (CA) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 54 | Moody's Corp (MCO) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 55 | U.S. Brokerage Money Market Account (cash) #2 | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT | |
|----|---------------------------------------|-------------|-----------------------------|-----------------------------|----------------------------|--------------------|
| 56 | Caterpillar, Inc (CAT) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 | |
| 57 | Century Link Inc (CTL) | N/A | None (or less than \$1,001) | Dividends | \$201 - \$1,000 | |
| 58 | Chevron Corporation (CVX) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 | |
| 59 | Cisco Systems (CSCO) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 | |
| 60 | Coca-Cola European Partners (CCE) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 | |
| 61 | Cummins Inc (CMI) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 | |
| 62 | Darden Restaurants, Inc. (DRI) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 | |
| 63 | DOWDUPONT INC(DWDP) | See Endnote | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 64 | Emerson Electric (EMR) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 | |
| 65 | Gazprom PJSC ADR (OGZPY) | N/A | None (or less than \$1,001) | Dividends | \$201 - \$1,000 | |
| 66 | GlaxoSmithKline (GSK) | See Endnote | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 67 | HSBC Holdings (HSBC) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 | |
| 68 | Intel Corp (INTC) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 | |
| 69 | International Business Machines (IBM) | N/A | None (or less than \$1,001) | Dividends | \$201 - \$1,000 | |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|--|-------------|-----------------------------|----------------------------|-------------------|
| 70 | International Paper Company (IP) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 71 | Kohl's (KSS) | N/A | None (or less than \$1,001) | Dividends | \$201 - \$1,000 |
| 72 | LyondellBassell Industries (LYB) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 73 | Macy's (M) | N/A | None (or less than \$1,001) | Dividends | \$201 - \$1,000 |
| 74 | Marathon Petroleum (MPC) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 75 | Merck & Company (MRK) | See Endnote | N/A | Dividends Capital Gains | \$201 - \$1,000 |
| 76 | MetLife (MET) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 77 | Mitsui & Co ADR (MITSY) | See Endnote | N/A | Dividends Capital Gains | \$201 - \$1,000 |
| 78 | Mobile TeleSystems PJSC (MBT) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 79 | Nucor Corporation (NUE) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 80 | Oil Co Lukoil PJSC ADR (LUKOY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 81 | Packaging Corporation of America (PKG) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 82 | Pfizer (PFE) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 83 | POSCO (PKX) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|----|-----------------------------------|-------------|-----------------------------|----------------------------|-------------------|
| 84 | Principal Financial Group (PFG) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 85 | Procter & Gamble (PG) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 86 | Prudential Financial (PRU) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 87 | Royal Bank of Canada (RY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 88 | Societe Generale (SCGLY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 89 | Edison International (EIX) | N/A | None (or less than \$1,001) | Dividends | \$201 - \$1,000 |
| 90 | SK Telecom LTD (SKM) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 91 | Swiss RE AG ADR (SSREY) | See Endnote | N/A | Dividends Capital Gains | \$201 - \$1,000 |
| 92 | Total SA (TOT) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 93 | UPM-KYMMENE Corp ADR (UPMKY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 94 | Valero Energy (VLO) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 95 | Wal-Mart Stores (WMT) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 96 | Western Digital Corporation (WDC) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 97 | Westrock Company (WRK) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|--|-------------|-----------------------------|-------------|---------------------------|
| 98 | Vanguard FTSE Emerging Markets ETF (VWO) | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 99 | Arizona State, Bonds | | | | |
| 99.1 | ARIZONA ST COP RFDG | N/A | None (or less than \$1,001) | Interest | \$1,001 - \$2,500 |
| 99.2 | AZ TRANSN BRD SER A | N/A | \$100,001 - \$250,000 | Interest | \$1,001 - \$2,500 |
| 99.3 | AZ AUTH REV RFDG WTR QUAL | See Endnote | N/A | Interest | \$201 - \$1,000 |
| 99.4 | AZ BRD REGTS ST UNIV | N/A | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 |
| 100 | California State Bonds | | | | |
| 100.1 | CA RFDG VARIOUS PURP 2029 | N/A | \$50,001 - \$100,000 | Interest | \$201 - \$1,000 |
| 100.2 | CA VARIOUS PURP DUE 2027 | N/A | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 |
| 101 | US Brokerage Money Market Account #3 | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 102 | Chicago, Ill, Bonds | | | | |
| 102.1 | CHICAGO IL O HARE ARPT 2025 | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 102.2 | CHICAGO IL OHARE ARPT 2034 | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 103 | Colorado State, Bond | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 104 | Denver, CO, Bond | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|--|-----|-----------------------------|---------------------------|---------------------------|
| 105 | District of Columbia, Bond | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 106 | Fairfax County, VA, Bond | | | | |
| 106.1 | FAIRFAX CNTY VA SWR 2026 | N/A | \$50,001 - \$100,000 | | None (or less than \$201) |
| 106.2 | FAIRFAX CNTY VA SWR 2029 | N/A | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 |
| 107 | Florida State, Bond | N/A | \$15,001 - \$50,000 | Interest Capital Gains | \$1,001 - \$2,500 |
| 108 | Illinois State, Bonds | | | | |
| 108.1 | ILLINOIS FIN REV UNIV CHICAGO 2022 | N/A | None (or less than \$1,001) | Interest | \$201 - \$1,000 |
| 108.2 | ILLINOIS FIN AUTH CLEAN WTR | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 108.3 | ILLINOIS FIN AUTH UNIV CHICAGO 2026 | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 108.4 | ILLINOIS ST TOLL HWY | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 109 | Indiana State, Bonds | | | | |
| 109.1 | INDIANA FIN AUTH HOSP RFDG PARKVIEW HLTH | N/A | \$50,001 - \$100,000 | Interest | \$201 - \$1,000 |
| 109.2 | INDIANA FIN AUTH HWY REV RFDG 2024 | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 109.3 | INDIANA GREEN BDS | N/A | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 |
| 110 | Massachusetts State, Bonds | | | | |
| 110.1 | MASS CLEAN WTR 5% DUE 02/01/34 | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|-------------------------------------|-------------|-----|-----------------------------|---------------------------|--------------------|
| 110.2 | MASS FEDL HWY REV GRANT | | N/A | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 |
| 111 | New York MTA, Bonds | | | | | |
| 111.1 | METROPOLITAN TRAN TAX | | N/A | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 |
| 111.2 | METROPOLITAN TRANSN AUTH | | N/A | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 |
| 112 | Miami-Dade County, FL, Bond | | N/A | None (or less than \$1,001) | Interest | \$1,001 - \$2,500 |
| 113 | Michigan State, Bond | | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 114 | Nebraska State, Bond | | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 115 | New York City, New York, Bond | | N/A | None (or less than \$1,001) | Interest Capital Gains | \$201 - \$1,000 |
| 116 | NEW YORK STATE, BONDS | | N/A | \$50,001 - \$100,000 | Interest Capital Gains | \$5,001 - \$15,000 |
| 116.1 | NEW YORK ST TWY AUTH | See Endnote | N/A | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 |
| 116.2 | NEW YORK ST DORM SALES TAX REV 2024 | See Endnote | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 116.3 | NEW YORK DORM SALES TAX REV 2026 | | N/A | \$100,001 - \$250,000 | Interest | \$2,501 - \$5,000 |
| 117 | NORFOLK, VA, BONDS | | N/A | \$15,001 - \$50,000 | Interest Capital Gains | \$1,001 - \$2,500 |
| 117.1 | NORFOLK VA WTR REV | | N/A | None (or less than \$1,001) | Interest | \$1,001 - \$2,500 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|--|-------------|-----|-----------------------|----------------------------------|---------------------------|
| 117.2 | NORFOLK VA ECON DEV HLTH CARE | | N/A | \$15,001 - \$50,000 | Interest Rent or Royalties | \$201 - \$1,000 |
| 118 | OREGON STATE, BONDS | | | | | |
| 118.1 | OREGON ST RFDG ARTICLE XI | | N/A | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 |
| 118.2 | OREGON DPT ADMIN SVCS LOTTERY | | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 119 | Virginia State, Bonds | | N/A | \$100,001 - \$250,000 | Interest Capital Gains | \$5,001 - \$15,000 |
| 119.1 | VIRGINIA CLLG BLDG V EDL FACS REV 21ST CENTY CLLG & EQUIP 2028 | See Endnote | N/A | \$250,001 - \$500,000 | | None (or less than \$201) |
| 119.2 | VIRGINIA RES AUTH INFRA REV 2022 | See Endnote | N/A | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 |
| 119.3 | VIRGINIA RES AUTH CLEAN WTR 2023 | See Endnote | N/A | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 |
| 119.4 | VIRGINIA RES AUTH INFRA 2024 | See Endnote | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 119.5 | VIRGINIA ST PUB BLDG AUTH 2024 #1 | See Endnote | N/A | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 |
| 119.6 | VIRGINIA ST PUB BLDG AUTH 2024 #2 | See Endnote | N/A | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 |
| 119.7 | VIRGINIA ST PUB BLDG AUTH 2026 | See Endnote | N/A | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 |
| 119.8 | VIRGINIA ST RES AUTH 2024 | See Endnote | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 119.9 | VIRGINIA ST RES AUTH CLEAN WTR REV RFDG REVLVG 2024 | See Endnote | N/A | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|--------|--------------------------------------|-------------|-----|-----------------------------|----------------------------|---------------------------|
| 119.10 | VIRGINIA ST RES AUTH INFRA REV 2026 | See Endnote | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 119.11 | VA ST TRANSN 5% DUE 09/15/22 | See Endnote | N/A | None (or less than \$1,001) | Interest | \$201 - \$1,000 |
| 120 | Wisconsin State, Bond | | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 121 | American Express Company (AXP) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 122 | Amgen (AMGN) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 123 | Applied Materials (AMAT) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 124 | Avery Dennison (AVY) | | N/A | None (or less than \$1,001) | Dividends | \$5,001 - \$15,000 |
| 125 | Baxter International (BAX) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 126 | Broadcom Limited (AVGO) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 127 | US Brokerage Money Market Account #5 | | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 128 | CBS Corporation (CBS) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 129 | Citrix Systems (CTXS) | | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 130 | Comerica (CMA) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 131 | CSX Corporations (CSX) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--------------------------------|-------------|-----------------------------|----------------------------|--------------------|
| 132 | Dr. Pepper Snapple Group (DPS) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 133 | Eastman Chemical (EMN) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 134 | Edwards Lifesciences (EW) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 135 | Facebook (FB) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 136 | General Dynamic (GD) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 137 | General Motors (GM) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 138 | Haliburton (HAL) | See Endnote | N/A | Dividends Capital Gains | \$201 - \$1,000 |
| 139 | Home Depot (HD) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 140 | McDonald's (MCD) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 141 | Mohawk Industries (MHK) | See Endnote | N/A | Capital Gains | \$2,501 - \$5,000 |
| 142 | Morgan Stanley (MS) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 143 | Motorola Solutions (MSI) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 144 | NextEra Energy (NEE) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 145 | State Street (STT) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--|-----|-----------------------------|----------------------------|---------------------------|
| 146 | Sysco (SYY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 147 | The Kraft Heinz Company (KHC) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 148 | United Rentals (URI) | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000 |
| 149 | Alphabet Inc (GOOGL) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 150 | Apple (AAPL) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 151 | Bershire Hathaway Class B (BRKB) | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000 |
| 152 | US Brokerage Money Market Account (cash)#5 | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 153 | Charles Schwab Corporation (SCHW) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 154 | Cognizant Technology Solutions (CTSH) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 155 | Core Laboratories (CLB) | N/A | None (or less than \$1,001) | Dividends | \$201 - \$1,000 |
| 156 | Express Scripts (ESRX) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 157 | Fastenal (FAST) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 158 | LKQ Corporation (LKQ) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 159 | PayPal Holdings (PYPL) | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--------------------------------------|-------------|-----------------------------|----------------------------|---------------------------|
| 160 | Ross Stores (ROST) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 161 | Schlumberger (SLB) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 162 | The Priceline Group (PCLN) | N/A | None (or less than \$1,001) | Capital Gains | \$5,001 - \$15,000 |
| 163 | Verisk Analytics (VRSK) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 164 | Visa (V) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 165 | Roche Holdings (RHHVF) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$15,001 - \$50,000 |
| 166 | Boeing Company (BA) | See Endnote | N/A | Dividends Capital Gains | \$1,000,001 - \$5,000,000 |
| 167 | US Brokerage Money Market Account #6 | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 168 | US Brokerage Money Market Account #7 | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 169 | US Brokerage Money Market Account #8 | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 170 | US Brokerage Money Market Account #9 | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 171 | EMC Corp (EMC) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$15,001 - \$50,000 |
| 172 | Harris, TX, Bond | N/A | None (or less than \$1,001) | Interest Capital Gains | \$201 - \$1,000 |
| 173 | Houston, TX, Bond | N/A | None (or less than \$1,001) | Interest Capital Gains | \$1,001 - \$2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|-----------------------------------|-----|-----------------------------|----------------------------|-------------------|
| 174 | Hampton, VA, Bond | N/A | None (or less than \$1,001) | Interest Capital Gains | \$201 - \$1,000 |
| 175 | Ally Financial (ALLY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 176 | American Electric Power (AEP) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 177 | Chubb (CB) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 178 | Diamond Offshore Drilling (DO) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 179 | FedEx (FDX) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 180 | Kroger (KR) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 181 | Bank of Nova Scotia Halifax (BNS) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 182 | Coach Inc (COH) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 183 | Johnson & Johnson (JNJ) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 184 | Microsoft (MSFT) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 185 | Orange ADR (ORAN) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 186 | Republic Services (RSG) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 187 | Seagate Technology (STX) | N/A | None (or less than \$1,001) | Dividends | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|-----------------------------|-----|-----------------------------|----------------------------|--------------------|
| 188 | Waste Management (WM) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 189 | Aegon (AEG) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 190 | Carnival ADR (CUK) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 191 | BNP Paribas (BNPQY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 192 | L3 Technologies (LLL) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 193 | NETAPP (NTAP) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 194 | Progressive Corp (PGR) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 195 | Nike (NKE) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 196 | NiSource (NI) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 197 | Prologis (PLD) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 198 | Reynolds American (RAI) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$5,001 - \$15,000 |
| 199 | Salesforce.com | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 200 | Southwest Airlines (LUV) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 201 | Total System Services (TSS) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|-------------------------------|-------------|-----------------------------|----------------------------|-------------------|
| 202 | Vulcan Materials (VMC) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 203 | American Equity Inv (AEL) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 204 | AMN Healthcare Services (AMN) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 205 | Apogee Enterprises (APOG) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 206 | Bloomin Brands (BLMN) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 207 | Boise Cascade (BCC) | N/A | None (or less than \$1,001) | Dividends | \$201 - \$1,000 |
| 208 | Boyd Gaming (BYD) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 209 | Builders Firstsource (BLDR) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 210 | CACI International (CACI) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 211 | CalAtlantic (CAA) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 212 | Chemical Financial (CHFC) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 213 | Chesapeake Utility (CPK) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 214 | Cinemark (CNK) | See Endnote | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 215 | Cirrus Logic (CRUS) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--------------------------------|-------------|-----------------------------|----------------------------|-------------------|
| 216 | Coherent (COHR) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 217 | Columbia Property Trust (CXP) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 218 | Delek US Holdings (DK) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 219 | Dupont Fabros Technology (DFT) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 220 | Dycom Industries (DY) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 221 | EPR Properties (EPR) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 222 | Eagle Bancorp (EGBN) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 223 | Emcor (EME) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 224 | Emergent Biosolutions (EBS) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 225 | Entegris (ENTG) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 226 | FCB Financial (FCB) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 227 | Fabrinet (FN) | See Endnote | N/A | Capital Gains | \$201 - \$1,000 |
| 228 | Globus Medical (GMED) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 229 | Grand Canyon Education (LOPE) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|-------------------------------|-------------|-----------------------------|----------------------------|-------------------|
| 230 | Granite Construction (GVA) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 231 | Great Western Bancorp (GWB) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 232 | Hilltop Holdings (HTH) | N/A | None (or less than \$1,001) | Capital Gains Dividends | \$201 - \$1,000 |
| 233 | Hope Bancorp (HOPE) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 234 | Horace Mann Educators (HMN) | See Endnote | N/A | Dividends Capital Gains | \$201 - \$1,000 |
| 235 | Home Bancshares (HOMB) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 236 | Huntsman (HUN) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 237 | ICU Medical (ICUI) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 238 | IDACorp (IDA) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 239 | Integra Lifesciences (IART) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 240 | Integrated Device Tech (IDTI) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 241 | J2 Global (JCOM) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 242 | Korn/Ferry Intl (KFY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 243 | LCI Inds (LCII) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---------------------------------------|-----|-----------------------------|----------------------------|-------------------|
| 244 | Mastec (MTZ) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 245 | Maximus (MMS) See Endnote | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 246 | Merit Medical (MMSI) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 247 | Methode Electronics (MEI) See Endnote | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 248 | Microsemi (MSCC) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 249 | Omniceil (OMCL) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 250 | Orbital ATK (OA) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$2,501 - \$5,000 |
| 251 | Pebblebrook Hotel Trust (PEB) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 252 | Radian Group (RDN) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 253 | Ryman Hospitality (RHP) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 254 | Sinclair Broadcast (SBGI) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 255 | Skywest (SKYW) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 256 | Stamps.com (STMP) | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 257 | Supernus Pharmaceuticals (SUPN) | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---|-------------|-----|-----------------------------|----------------------------|-------------------|
| 258 | Knight Swift Transportation Holding (KNX) | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 259 | Thor Industries (THO) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 260 | Trinseo (TSE) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 261 | Umpqua Holdings (UMPQ) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 262 | US Concrete (USCR) | | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 263 | Wesbanco (WSBC) | See Endnote | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 264 | Western Alliance Bancorporation (WAL) | | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 265 | Wintrust Financial (WTFC) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 266 | Wolverine Worldwide (WWW) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 267 | Xperi Corp (XPER) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 268 | AIA Group LTD ADR (AAGIY) | | N/A | None (or less than \$1,001) | Capital Gains Dividends | \$201 - \$1,000 |
| 269 | AIR Liquide ADR (AIQUY) | | N/A | None (or less than \$1,001) | Capital Gains Dividends | \$201 - \$1,000 |
| 270 | Alfa Laval ADR (ALFVY) | | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 271 | Atlas Copco ADR (ATLKY) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--|-------------|-----|-----------------------------|----------------------------|-------------------|
| 272 | BBA Aviation ADR (BBAVY) | See Endnote | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 273 | Baidu ADR (BIDU) | | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |
| 274 | Banco Bilbao Vizcaya (BBVA) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 275 | Bayerische Motoren Werki ADR (BMWYY) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 276 | Bunge Limited (BG) | See Endnote | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 277 | CSL LTD ADR (CSLLY) | | N/A | None (or less than \$1,001) | Capital Gains Dividends | \$201 - \$1,000 |
| 278 | Check Point Software Technologies (CHKP) | | N/A | None (or less than \$1,001) | Capital Gains Interest | \$1,001 - \$2,500 |
| 279 | Dassault Systems ADR (DASTY) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 280 | Fresenius Medical Care ADR (FMS) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 281 | Fuchs Petrolub SE ADR (FUPBY) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 282 | Grifols SA ADR (GRFS) | | N/A | None (or less than \$1,001) | Dividends | \$201 - \$1,000 |
| 283 | Grupo Financiero Banorte (GBOOY) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 284 | Tutor Perini Corp (TPC) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 285 | ICIC Bank Limited ADR (IBN) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---|-------------|-----------------------------|----------------------------|-------------------|
| 286 | Itau Unibanco Holdings ADR (ITUB) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 287 | Kubota Corp ADR (KUBTY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 288 | L'OREAL Company ADR (LRLCY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 289 | LVMH Moet Hennessy Luis Vuitton ADR (LVMUY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 290 | Linde AG ADR (LNEGY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 291 | Naspers LTD ADR (NPSNY) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 292 | Nestle SA ADR (NSRGY) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 293 | Roche Holdings Limited ADR (RHHBY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 294 | Sonova Holdings ADR (SONVY) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 295 | Taiwan Semiconductor ADR (TSM) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 296 | Tenaris ADR (TS) | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 297 | Cynosure Class A (CYNO) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 298 | Kate Spade & Company (KATE) | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 299 | VCA Inc (WOOF) | See Endnote | N/A | Capital Gains | \$1,001 - \$2,500 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---------------------------------------|-------------|-----|-----------------------------|----------------------------|----------------------|
| 300 | Headwaters Inc (HW) | | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 301 | Euronet Worldwide (EFTT) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 302 | Thor Industries (THO) | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 303 | Drew Industries | | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$201 - \$1,000 |
| 304 | I Shares Core Aggressive Alloc (AOA) | | Yes | \$5,000,001 - \$25,000,000 | | \$50,001 - \$100,000 |
| 305 | I Shares Core Aggressive Alloc (AOA) | | Yes | \$100,001 - \$250,000 | | \$5,001 - \$15,000 |
| 306 | Andeavor (ANDV) | | No | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 307 | Applied Optoelectron Inc (AAOI) | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 308 | Align Technology Inc (ALGN) | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000 |
| 309 | ABB LTD Spons ADR (ABB) | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 310 | Actelion ITD (ALIOY) | See Endnote | N/A | None (or less than \$1,001) | Capital Gains Dividends | \$201 - \$1,000 |
| 311 | AUSTIN TX WTR & WSTW SYS BOND | | N/A | \$50,001 - \$100,000 | Interest | \$201 - \$1,000 |
| 312 | CAPE FEAR PUB UTIL A NC WTR & SWR SYS | | N/A | \$100,001 - \$250,000 | Interest | \$2,501 - \$5,000 |
| 313 | CELGENE CORP(CELG) | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--|-------------|-----|-----------------------------|----------------------------|---------------------------|
| 314 | Central Pudget Sound WA Bond | See Endnote | N/A | \$50,001 - \$100,000 | Interest | \$1,001 - \$2,500 |
| 315 | COMAL TX SCH DIST BOND | See Endnote | N/A | \$50,001 - \$100,000 | Interest | \$201 - \$1,000 |
| 316 | DELAWARE SMALL CAP CORE (DCCIX) | | Yes | \$50,001 - \$100,000 | | \$50,001 - \$100,000 |
| 317 | EATON VANCE ATLANTA CAP SMID CAP (EISMX) | | Yes | \$50,001 - \$100,000 | | \$2,501 - \$5,000 |
| 318 | WASHINGTON STATE BOND (ENERGY NW) | | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 319 | EUROPACIFIC GROWTH CL F2(AEPFX) | | Yes | \$50,001 - \$100,000 | | \$2,501 - \$5,000 |
| 320 | FEDERATED STRATEGIC VALUE DIVIDEND INSTL CL(SVAIX) | | Yes | \$100,001 - \$250,000 | | \$15,001 - \$50,000 |
| 321 | FERGUSON PLC SPONSORED ADR(FERGY) | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 322 | FIRSTENERGY CORP(FE) | See Endnote | N/A | None (or less than \$1,001) | Capital Gains Dividends | \$1,001 - \$2,500 |
| 323 | Five Below, Inc (FIVE) | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 324 | GEORGIA ST RFDG BOND 2024 | | N/A | \$250,001 - \$500,000 | | None (or less than \$201) |
| 325 | HENRICO COUNTY, VA BOND | | N/A | \$100,001 - \$250,000 | Interest | \$2,501 - \$5,000 |
| 326 | LOGMEIN (LOGM) | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 327 | LOOMIS SAYLES GROWTH CL Y(LSGRX) | | Yes | \$100,001 - \$250,000 | | \$5,001 - \$15,000 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-------------|-----|-----------------------------|-------------------------|---------------------------|
| 328 | MANULIFE FINANCIAL C (MFC) | See Endnote | N/A | None (or less than \$1,001) | Capital Gains Dividends | \$201 - \$1,000 |
| 329 | MARYLAND ST ST & LOC FACS BOND | | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 330 | MICHELIN COMPAGNIE GENERALE DES ETABLISSEMENTS ADR(MGDDY) | See Endnote | N/A | None (or less than \$1,001) | Capital Gains Dividends | \$201 - \$1,000 |
| 331 | MINNESOTA STATE BOND | | N/A | \$250,001 - \$500,000 | | None (or less than \$201) |
| 332 | NEW JERSEY ST TPK AUTH BOND | | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 333 | NORTH TX TWY AUTH 2030 | | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 334 | OAKMARK INTL INSTL CL(OANIX) | | Yes | \$50,001 - \$100,000 | | \$2,501 - \$5,000 |
| 335 | OHIO STATE, BONDS | | | | | |
| 335.1 | OHIO ST HOSP BOND | | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 335.2 | OHIO ST CAP FAC LSE APPROP ADMIN BLDG BOND | | N/A | \$100,001 - \$250,000 | Interest | \$2,501 - \$5,000 |
| 335.3 | OHIO ST COMM SCHS SER A | See Endnote | N/A | \$50,001 - \$100,000 | Interest | \$2,501 - \$5,000 |
| 336 | PRINCIPAL MID CAP INSTL CL(PCBIX) | | Yes | \$50,001 - \$100,000 | | \$2,501 - \$5,000 |
| 337 | SAN ANTONIO TX ELEC GAS BOND | | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 338 | STARWOOD WAYPOINT HO(SFR) | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 339 | STORA ENSO CORP ADR (SEOAY) | See Endnote | N/A | None (or less than \$1,001) | Capital Gains Dividends | \$201 - \$1,000 |

| # | DESCRIPTION | | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|---|-------------|-----|-----------------------------|----------------------------|---------------------------|
| 340 | TOKYO ELECTRON LTD ADR (TOELY) | See Endnote | N/A | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000 |
| 341 | UNILEVER N V NEW YORK SHARES NEW(UN) | | N/A | None (or less than \$1,001) | Capital Gains Dividends | \$201 - \$1,000 |
| 342 | UNIVERSITY TX BOND | | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 343 | VANGUARD TOTAL INTL STOCK INDEX FUND (VXUS) | | Yes | \$50,001 - \$100,000 | | \$1,001 - \$2,500 |
| 344 | VANGUARD TOTAL STOCK MARKET (VTI) | | Yes | \$100,001 - \$250,000 | | \$201 - \$1,000 |
| 345 | WYNN RESORTS LIMITED(WYNN) | See Endnote | N/A | None (or less than \$1,001) | Dividends Capital Gains | \$1,001 - \$2,500 |
| 346 | NORTH TX TWY AUTH 5% DUE 01/01/24 | | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |

7. Transactions

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|---|---|-------------|------|----------|--------------------|
| 1 | ACADIA HEALTHCARE COMPANY INC (ACHC) | See Endnote | Sale | 9/25/17 | \$1,001 - \$15,000 |
| 2 | AIA GROUP LTD SPON A(AAGIY) | | Sale | 9/25/17 | \$1,001 - \$15,000 |
| 3 | ALFA LAVAL AB SWEDEN ADR(ALFVY) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 4 | AKTIEBOLAGET ELECTROLUX SPONSORED ADR (ELUXY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 5 | ALLETE INC NEW(ALE) | See Endnote | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 6 | ABBVIE INC(ABBV). | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 7 | AEGON N V NY REGISTRY SHS (AEG) | | Sale | 9/25/17 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|----|---|-------------|----------|----------|---------------------|
| 8 | ALIGN TECHNOLOGY INC(ALGN) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 9 | AEGON N V NY REGISTRY SHS (AEG) | | Purchase | 8/29/17 | \$1,001 - \$15,000 |
| 10 | ALIGN TECHNOLOGY INC(ALGN) | See Endnote | Sale | 08/21/17 | \$1,001 - \$15,000 |
| 11 | AIR LIQUIDE ADR(AIQUY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 12 | ACCENTURE PLC IRELAN CLASS A NEW(ACN) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 13 | ALPHABET INC CL A(GOogl) | | Sale | 09/25/17 | \$15,001 - \$50,000 |
| 14 | ALPHABET INC CL C(GOOG) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 15 | AMERIPRISE FINANCIAL(AMP) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 16 | AMERICAN EQUITY INVT LIFE HLDG COMPANY(AEL) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 17 | AMERN AXLE & MFG HLD INC(AXL) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 18 | AMN HEALTHCARE SERVI INC(AMN) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 19 | AMGEN INC(AMGN) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 20 | ANDEAVOR(ANDV) | | Purchase | 08/21/17 | \$1,001 - \$15,000 |
| 21 | ANDEAVOR(ANDV) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 22 | ANHEUSER BUSCH INBEV SA/NV(BUD) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 23 | APOGEE ENTERPRISES I(APOG) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 24 | APPLE INC(AAPL) | | Sale | 09/25/17 | \$15,001 - \$50,000 |
| 25 | AON PLC CL A(AON) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 26 | APPLIED MATERIALS IN(AMAT) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 27 | APPLIED OPTOELECTRON INC(AAOI) | | Sale | 09/25/17 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|----|---|-------------|----------|----------|--------------------------|
| 28 | 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 | \$15,001 - \$50,000 |
| 29 | ARCHER DANIELS MIDLA COMPANY(ADM) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 30 | 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 | \$100,001 - \$250,000 |
| 31 | ASHTREAD GROUP PLC AD(ASHTY) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 32 | ARRIS INTL PLC(ARRS) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 33 | ASPEN PHARMACARE HOLDINGS LIMITED ADR(APNHY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 34 | ASSOC BRIT FOODS ADR NEW(ASBFY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 35 | ASTRAZENECA PLC SPONSORED ADR(AZN) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 36 | ASSA ABLOY AB ADR(ASAZY) | See Endnote | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 37 | ATLAS COPCO AB SPON REPSTG COM SER A (ATLKY) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 38 | AUSTIN TX WTR & WSTW SYS BOND | | Purchase | 08/03/17 | \$50,001 - \$100,000 |
| 39 | AUSTRALIA & NEW ZEAL BANKING GROUP LIMITED SPONSORED ADR(ANZBY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 40 | AXA SA SPONSORED ADR(AXAHY) | | Purchase | 07/28/17 | \$1,001 - \$15,000 |
| 41 | AVERY DENNISON CORP(AVY) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 42 | AXA SA SPONSORED ADR(AXAHY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 43 | BAE SYSTEMS PLC SPONSORED ADRBAESY | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 44 | AXA SA SPONSORED ADR(AXAHY) | See Endnote | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 45 | BAIDU INC SPONSORED ADR REPSTG ORD SHARES CLASS A(BIDU) | | Sale | 09/25/17 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|----|---|-------------|----------|----------|----------------------------|
| 46 | BANCA MEDIOLANUM S P ADR(BNCDY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 47 | BANCO BILBAO VIZCAYA ARGENTARIA S A SPONSORED ADR(BBVA) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 48 | BASF SE (BASFY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 49 | BASF SE (BASFY) | | Sale | 07/27/17 | \$1,001 - \$15,000 |
| 50 | BAXTER INTL INC(BAX) | | Sale | 10/03/17 | \$15,001 - \$50,000 |
| 51 | BAYER A G SPONSORED ADR(BAYRY) | See Endnote | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 52 | BERKSHIRE HATHAWAY I DE CL B NEW (BRK'B) | | Sale | 10/03/17 | \$15,001 - \$50,000 |
| 53 | BAYERISCHE MOTOREN WERKI A G SPONSORED ADR(BMWYY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 54 | BEST BUY COMPANY INC(BBY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 55 | BHP BILLITON LIMITED SPONSORED ADR (BHP) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 56 | BIOTELEMETRY INC(BEAT) | | Purchase | 07/21/17 | \$1,001 - \$15,000 |
| 57 | BIOTELEMETRY INC(BEAT) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 58 | BLOOMIN BRANDS INC(BLMN) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 59 | BNP PARIBAS SPONS AD REPGSTG 1/2 SH (BNPQY) | | Purchase | 08/30/17 | \$1,001 - \$15,000 |
| 60 | BNP PARIBAS SPONS AD REPGSTG 1/2 SH (BNPQY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 61 | BOEING COMPANY(BA) | | Sale | 10/04/17 | \$5,000,001 - \$25,000,000 |
| 62 | BOYD GAMING CORP(BYD) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 63 | BP PLC SPONSORED ADR(BP) | | Sale | 08/29/17 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|----|--|-------------|----------|----------|--------------------------|
| 64 | BROADCOM LTD (AVGO) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 65 | BOISE CASCADE COMPAN(BCC) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 66 | BP PLC SPONSORED ADR(BP) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 67 | BROADCOM LTD (AVGO) | | Sale | 08/21/17 | \$1,001 - \$15,000 |
| 68 | BRITISH AMERN TOBACC PLC SPONS ADR 25P(BTI) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 69 | BT GROUP PLC ADR(BT) | See Endnote | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 70 | CA INC(CA) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 71 | BUILDERS FIRTSOURCE(BLDR) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 72 | CACI INTERNATIONAL I CLASS A(CACI) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 73 | CALLAWAY GOLF COMPAN(ELY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 74 | CALATLANTIC GROUP IN (CAA) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 75 | CALLON PETROLEUM COMPANY(CPE) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 76 | CANADIAN NATIONAL RAILWAY COMPANY CNI | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 77 | CAPE FEAR PUB UTIL A NC WTR & SWR SYS | | Purchase | 08/23/17 | \$100,001 - \$250,000 |
| 78 | CARLSBERG AS SPONSOR ADR(CABGY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 79 | CARRIZO OIL & GAS IN(CRZO) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 80 | CARNIVAL PLC ADR(CUK) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 81 | CELGENE CORP(CELG) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 82 | CENTURYLINK INC(CTL) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 83 | CHEMICAL FINANCIAL C(CHFC) | | Purchase | 07/26/17 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|-----|--|-------------|----------|----------|--------------------------|
| 84 | CHECK POINT SOFTWARE TECHNOLOGIES LT (CHKP) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 85 | CHEMICAL FINANCIAL C(CHFC) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 86 | CHESAPEAKE UTILITY C(CPK) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 87 | 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 | \$100,001 - \$250,000 |
| 88 | CHINA PETROLEUM & CH CORP SPONSORED ADR REPRESENTING H SHARES (SNP) | | Purchase | 08/29/17 | \$1,001 - \$15,000 |
| 89 | CHINA PETROLEUM & CH CORP SPONSORED ADR REPRESENTING H SHARES (SNP) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 90 | CIRRUS LOGIC INC(CRUS) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 91 | CISCO SYSTEMS INC(CSCO) | | Purchase | 08/29/17 | \$1,001 - \$15,000 |
| 92 | CISCO SYSTEMS INC(CSCO) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 93 | CNOOC LTD SPONS ADR(CEO) | See Endnote | Sale | 08/29/17 | \$1,001 - \$15,000 |
| 94 | CNOOC LTD SPONS ADR(CEO) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 95 | COCA-COLA EUROPEAN PARTNERS PLC(CCE) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 96 | COGNIZANT TECHNOLOGY SOLUTIONS CORP CL A (CTSH) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 97 | COHERENT INC(COHR) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 98 | COLUMBIA PROPERTY TR INC NEW(CXP) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 99 | COMPAGNIE FINANCIERE RICHEMONT AG SWITZERLAND ADR(CFRUY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 100 | COMERICA INC(CMA) | | Sale | 09/25/17 | \$1,001 - \$15,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|---|----------|----------|-------------------------|
| 101 | COMPASS GROUP PLC SPONS ADR NEW JUNE 2017(CMPGY) | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 102 | CONTINENTAL AG SPONSORED ADR(CTTAY) | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 103 | CONCHO RESOURCES INC(CXO) See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 104 | CONVATEC GROUP PLC ADR(CNVVY) | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 105 | CREDIT SUISSE GROUP SPONSORED ADR(CS) | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 106 | CORE LABORATORIES NV(CLB) | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 107 | DAIWA HOUSE IND LIMI ADR(DWAHY) | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 108 | CUMMINS INC(CMI) | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 109 | CSL LTD SPONSORED ADR(CSLLY) | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 110 | DARDEN RESTAURANTS I(DRI) | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 111 | DASSAULT SYSTEMES S SPONSORED ADR (DASTY) | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 112 | DBS GROUP HLDGS LTD SPONS ADR (DBSDY) | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 113 | CSX CORP(CSX) | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 114 | DELAWARE SMALL CAP CORE CL I(DCCIX) | Purchase | 09/25/17 | \$50,001 - \$100,000 |
| 115 | DELAWARE SMALL CAP CORE CL I(DCCIX) | Purchase | 09/20/17 | \$50,001 - \$100,000 |
| 116 | DELAWARE SMALL CAP CORE CL I(DCCIX) | Purchase | 09/20/17 | \$1,001 - \$15,000 |
| 117 | DELL TECHNOLOGIES IN CL V(DVMT) | Sale | 09/20/17 | \$1,001 - \$15,000 |
| 118 | DELEK US HOLDINGS IN NEW (DK) | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 119 | DEUTSCHE POST AG SPONSORED ADR (DPSGY) | Purchase | 08/11/17 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|-----|---|-------------|----------|----------|-----------------------|
| 120 | DEUTSCHE POST AG SPONSORED ADR (DPSGY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 121 | DIAMONDBACK ENERGY I(FANG) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 122 | DOWDUPONT INC(DWDP) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 123 | EAGLE BANCORP INC MD(EGBN) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 124 | DYCOM INDUSTRIES INC(DY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 125 | EATON VANCE ATLANTA CAP SMID CAP CL I (EISMX) | | Purchase | 09/20/17 | \$15,001 - \$50,000 |
| 126 | EASTMAN CHEMICAL COM(EMN) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 127 | EATON VANCE ATLANTA CAP SMID CAP CL I (EISMX) | | Purchase | 09/20/17 | \$100,001 - \$250,000 |
| 128 | EDISON INTL(EIX) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 129 | EATON VANCE ATLANTA CAP SMID CAP CL I (EISMX) | | Purchase | 09/25/17 | \$100,001 - \$250,000 |
| 130 | EDWARDS LIFESCIENCES CORP(EW) | | Purchase | 08/28/17 | \$1,001 - \$15,000 |
| 131 | EDWARDS LIFESCIENCES CORP(EW) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 132 | ELECTRONICS FOR IMAG INC(EFII) | See Endnote | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 133 | EMCOR GROUP INC(EME) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 134 | EDWARDS LIFESCIENCES CORP(EW) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 135 | EMERGENT BIOSOLUTION INC(EBS) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 136 | EMERSON ELECTRIC COM(EMR) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 137 | ENERSYS(ENS) | See Endnote | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 138 | ENTEGRIS INC(ENTG) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 139 | ESTEE LAUDER COMPANY(EL) | | Sale | 09/25/17 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|-----|--|-------------|----------|----------|-----------------------|
| 140 | EPR PROPERTIES BEN INT(EPR) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 141 | EURONET WORLDWIDE IN(EEFT) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 142 | EUROPACIFIC GROWTH CL F2(AEPFX) | | Purchase | 09/20/17 | \$15,001 - \$50,000 |
| 143 | EUROPACIFIC GROWTH CL F2(AEPFX) | | Purchase | 09/20/17 | \$100,001 - \$250,000 |
| 144 | EUROPACIFIC GROWTH CL F2(AEPFX) | | Purchase | 09/25/17 | \$100,001 - \$250,000 |
| 145 | EVERCORE PARTNERS IN CLASS A(EVR) | | Purchase | 08/02/17 | \$1,001 - \$15,000 |
| 146 | EVERCORE INC CL A(EVR) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 147 | F N B CORP(FNB) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 148 | FACEBOOK INC CL A (FB) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 149 | FAIRFAX CNTY VA SWR 2026 | | Purchase | 08/08/17 | \$50,001 - \$100,000 |
| 150 | FANUC CORP ADR(FANUY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 151 | FASTENAL COMPANY(FAST) | | Purchase | 07/24/17 | \$1,001 - \$15,000 |
| 152 | FCB FINANCIAL HOLDIN INC CL A(FCB) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 153 | FASTENAL COMPANY(FAST) | | Sale | 10/03/17 | \$15,001 - \$50,000 |
| 154 | FEDERATED STRATEGIC VALUE DIVIDEND INSTL CL(SVAIX) | | Purchase | 09/20/17 | \$15,001 - \$50,000 |
| 155 | FEDERATED STRATEGIC VALUE DIVIDEND INSTL CL(SVAIX) | | Purchase | 09/20/17 | \$250,001 - \$500,000 |
| 156 | FEDERATED STRATEGIC VALUE DIVIDEND INSTL CL(SVAIX) | | Purchase | 09/25/17 | \$250,001 - \$500,000 |
| 157 | FERGUSON PLC SPONSORED ADR(FERGY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|-----|--|-------------|----------|----------|-----------------------|
| 158 | FIRSTENERGY CORP(FE) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 159 | FRESENIUS SE & COMPA KGAA SPONS ADR (FSNUY) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 160 | FRESENIUS MEDICAL CA AG & CO KGAA SPONSORED ADR REPSTG SHS(FMS) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 161 | FIVE BELOW INC (FIVE) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 162 | FIRST INTERSTATE BANCSYSTEM INC CL A (FIBK) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 163 | GAZPROM PJSC SPONSORED ADR(OGZPY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 164 | FUCHS PETROLUB SE ADR(FUPBY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 165 | GAZPROM PJSC SPONSORED ADR(OGZPY) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 166 | GENERAL MOTORS COMPA(GM) | | Sale | 10/03/17 | \$15,001 - \$50,000 |
| 167 | GILEAD SCIENCES INC(GILD) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 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 | \$250,001 - \$500,000 |
| 169 | GIGAMON INC(GIMO) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 170 | GLOBUS MEDICAL INC CL A NEW(GMED) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 171 | GRAND CANYON EDUCATI INC(LOPE) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 172 | GRANITE CONSTR INC(GVA) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 173 | GRIFOLS S A SPON ADR REPSTG 1/2 CL B NON VTG NEW(GRFS) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 174 | GREAT WESTERN BANCOR INC(GWB) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 175 | GRAPHIC PACKAGING HOLDING COMPANY (GPK) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|-----|---|-------------|------|----------|------------------------|
| 176 | GRUPO FINANCIERO BAN SAB DE C V (GBOOY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 177 | GULFPORT ENERGY CORP(GPOR) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 178 | GRUPO TELEVISA SA DE GDR REPTSG ORDINARY PART CTF(TV) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 179 | HASBRO INC(HAS) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 180 | HDFC BANK LTD ADR REPSTG 3 SHS(HDB) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 181 | HERSHEY COMPANY(HSY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 182 | HELEN OF TROY LTD BERMUDA(HELE) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 183 | HILLTOP HOLDINGS INC(HTH) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 184 | HOME BANCSHARES INC(HOMB) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 185 | HORIZON PHARMA PLC(HZNP) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 186 | HSBC HOLDINGS PLC SPONSORED ADR NEW(HSBC) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 187 | HUDSON PACIFIC PROPERTIES INC(HPP) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 188 | HOME DEPOT INC(HD) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 189 | HOPE BANCORP INC(HOPE) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 190 | HUNTSMAN CORP(HUN) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 191 | ICU MEDICAL INC(ICUI) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 192 | ICICI BANK LIMITED SPONSORED ADR(IBN) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 193 | IDACORP INC(IDA) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 194 | 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 | \$15,001 - \$50,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|-----|--|-------------|----------|----------|--------------------------|
| 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 | \$100,001 - \$250,000 |
| 196 | INDIANA FIN AUTH HOSP RFDG PARKVIEW HLTH | | Purchase | 07/20/17 | \$50,001 - \$100,000 |
| 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 | \$100,001 - \$250,000 |
| 198 | INDIANA FIN AUTH HWY REV RFDG 2024 | | Purchase | 08/25/17 | \$100,001 - \$250,000 |
| 199 | INTEGRA LIFESCIENCES HLDGS CORP(IART) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 200 | INFORMA PLC SPONSORED ADR NEW(IFJPY) | See Endnote | Sale | 10/04/17 | \$1,001 - \$15,000 |
| 201 | ING GROEP N V SPONSORED ADR(ING) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 202 | INFINEON TECHNOLOGIE AG SPONSORED ADR(IFNNY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 203 | INTEL CORP(INTC) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 204 | INTEGRATED DEVICE TE(IDTI) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 205 | INTERNATIONAL PAPER COMPANY(IP) | | Sale | 08/29/17 | \$1,001 - \$15,000 |
| 206 | INTERNATIONAL PAPER COMPANY(IP) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 207 | INTL BUSINESS MACHIN CORP(IBM) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 208 | ITAU UNIBANCO HOLDIN SA SPONSORED ADR REPRESENTING 500 PFD(ITUB) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 209 | JGC CORP ADR(JGCCY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 210 | J2 GLOBAL INC(JCOM) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 211 | IRIDIUM COMMUNICATIO INC(IRDM) | See Endnote | Sale | 10/03/17 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|-----|--|-------------|----------|----------|--------------------------|
| 212 | JPMORGAN CHASE & COMPANY(JPM) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 213 | KAO CORP SPONSORED ADR REPSTG 10 SHS COM(KCRPY) | | Purchase | 07/20/17 | \$1,001 - \$15,000 |
| 214 | KBC GROUP NV ADR(KBCSY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 215 | KDDI CORP ADR(KDDIY) | See Endnote | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 216 | KNIGHT SWIFT TRANSPORTATION HOLDINGS INC(KNX) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 217 | KAO CORP SPONSORED ADR REPSTG 10 SHS COM(KCRPY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 218 | KIMBERLY CLARK CORP(KMB) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 219 | KOHL'S CORP(KSS) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 220 | KOMATSU LTD SPONS AD NEW(KMTUY) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 221 | KORN/FERRY INTL NEW(KFY) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 222 | KRAFT HEINZ CO(KHC) | | Sale | 08/01/17 | \$1,001 - \$15,000 |
| 223 | KRAFT HEINZ CO(KHC) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 224 | KUBOTA CORP ADR(KUBTY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 225 | L OREAL COMPANY ADR(LRLCY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 226 | LEGACY TEXAS FINL GR INC(LTXB) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 227 | LINDE AG SPONSORED A LEVEL 1(LNEGY) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 228 | L3 TECHNOLOGIES INC(LLI) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 229 | LCI INDS(LCII) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 230 | LOOMIS SAYLES GROWTH CL Y(LSGRX) | | Purchase | 09/20/17 | \$15,001 - \$50,000 |
| 231 | LOOMIS SAYLES GROWTH CL Y(LSGRX) | | Purchase | 09/20/17 | \$250,001 - \$500,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|-----|--|-------------|----------|----------|-----------------------|
| 232 | LOOMIS SAYLES GROWTH CL Y(LSGRX) | | Purchase | 09/25/17 | \$250,001 - \$500,000 |
| 233 | LVMH MOET HENNESSY L VUITTON ADR (LVMUY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 234 | MACYS INC(M) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 235 | MAKITA CORP ADR NEW(MKTAY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 236 | LYONDELLBASELL INDUSTRIES N V ORD SHS CL A(LYB) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 237 | MANULIFE FINANCIAL C(MFC) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 238 | MASONITE INTERNATION CORP NEW(DOOR) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 239 | MATSON INC(MATX) | See Endnote | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 240 | MARATHON PETROLEUM C(MPC) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 241 | MASTEC INC(MTZ) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 242 | 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 | \$100,001 - \$250,000 |
| 243 | MEDTRONIC PLC(MDT) | See Endnote | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 244 | MAXLINEAR INC (MXL) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 245 | MCDONALDS CORP(MCD) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 246 | MERCURY SYSTEM INC(MRCY) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 247 | 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 | \$50,001 - \$100,000 |
| 248 | MERIT MEDICAL SYSTEMS INC(MMSI) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 249 | METLIFE INC(MET) | | Sale | 09/25/17 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|-----|--|-------------|----------|----------|--------------------------|
| 250 | MICROSEMI CORP(MSCC) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 251 | MITSUBISHI ESTATE LT ADR(MITEY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 252 | MICHELIN COMPAGNIE GENERALE DES ETABLISSEMENTS ADR(MGDDY) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 253 | MOBILE TELESYSTEM PJ SPONS ADR(MBT) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 254 | MINNESOTA STATE BOND | | Purchase | 09/29/17 | \$250,001 - \$500,000 |
| 255 | MONOTARO CO LTD OSAK ADR(MONOU) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 256 | MORGAN STANLEY(MS) | | Sale | 10/03/17 | \$15,001 - \$50,000 |
| 257 | MOODYS CORP(MCO) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 258 | MOSAIC COMPANY NEW(MOS) | See Endnote | Sale | 08/29/17 | \$1,001 - \$15,000 |
| 259 | MOTOROLA SOLUTIONS I NEW(MSI) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 260 | NASPERS LTD SPONSORED ADR REPSTG CL N SHARES NEW(NPSNY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 261 | NESTLE S A SPNSD ADR REPSTING REG SHS (NSRGY) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 262 | NETAPP INC(NTAP) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 263 | NEWFIELD EXPLORATION COMPANY(NFX) | See Endnote | Sale | 08/21/17 | \$1,001 - \$15,000 |
| 264 | NISSAN MTR LTD SPONSORED ADR(NSANY) | | Purchase | 08/29/17 | \$1,001 - \$15,000 |
| 265 | NEW YORK DORM SALES TAX REV 2026 | | Purchase | 08/24/17 | \$100,001 - \$250,000 |
| 266 | NISSAN MTR LTD SPONSORED ADR(NSANY) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 267 | NISSAN MTR LTD SPONSORED ADR(NSANY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 268 | NEXSTAR MEDIA GROUP CL A(NXST) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|-----|--|-------------|----------|----------|-----------------------|
| 269 | NORDEA BANK AB SWEDE SPONSORED ADR (NRBAY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 270 | NORFOLK VA WTR REV | | Sale | 09/06/17 | \$15,001 - \$50,000 |
| 271 | NORTH TX TWY AUTH 2030 | | Purchase | 09/07/17 | \$100,001 - \$250,000 |
| 272 | NOVARTIS AG SPONSORED ADR(NVS) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 273 | NUCOR CORP(NUE) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 274 | OHIO ST HOSP BOND | | Purchase | 09/29/17 | \$100,001 - \$250,000 |
| 275 | OAKMARK INTL INSTL CL(OANIX) | | Purchase | 09/20/17 | \$100,001 - \$250,000 |
| 276 | OAKMARK INTL INSTL CL(OANIX) | | Purchase | 09/25/17 | \$100,001 - \$250,000 |
| 277 | OAKMARK INTL INSTL CL(OANIX) | | Purchase | 09/20/17 | \$15,001 - \$50,000 |
| 278 | OHIO ST CAP FAC LSE APPROP ADMIN BLDG BOND | | Purchase | 08/31/17 | \$100,001 - \$250,000 |
| 279 | ON ASSIGNMENT INC(ASGN) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 280 | OREGON ST RFDG ARTICLE XI | | Purchase | 09/12/17 | \$50,001 - \$100,000 |
| 281 | OMNICELL INC(OMCL) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 282 | ORBITAL ATK INC(OA) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 283 | OXFORD INDUSTRIES IN(OXM) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 284 | PARK24 COMPANY LTD SPONS ADR(PKCOY) | See Endnote | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 285 | PACKAGING CORP OF AMERICA(PKG) | | Sale | 09/25/17 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|-----|------------------------------------|-------------|----------|----------|----------------------|
| 286 | PAYPAL HOLDINGS INC(PYPL) | | Sale | 09/25/17 | \$15,001 - \$50,000 |
| 287 | PFIZER INC(PFE) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 288 | PEBBLEBROOK HOTEL TR(PEB) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 289 | PJSC LUKOIL SPONSORED ADR(LUKOY) | | Sale | 09/25/17 | \$15,001 - \$50,000 |
| 290 | POSCO SPONSORED ADR(PKX) | | Sale | 08/29/17 | \$1,001 - \$15,000 |
| 291 | PRICELINE GROUP INC(PCLN) | | Sale | 08/07/17 | \$1,001 - \$15,000 |
| 292 | PRICELINE GROUP INC(PCLN) | | Sale | 09/25/17 | \$15,001 - \$50,000 |
| 293 | PRINCIPAL FINANCIAL GROUP INC(PFG) | | Sale | 07/27/17 | \$1,001 - \$15,000 |
| 294 | PRINCIPAL FINANCIAL GROUP INC(PFG) | | Sale | 08/29/17 | \$1,001 - \$15,000 |
| 295 | PRINCIPAL FINANCIAL GROUP INC(PFG) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 296 | PRINCIPAL MID CAP INSTL CL(PCBIX) | | Purchase | 09/20/17 | \$1,001 - \$15,000 |
| 297 | PRINCIPAL MID CAP INSTL CL(PCBIX) | | Purchase | 09/25/17 | \$50,001 - \$100,000 |
| 298 | PRINCIPAL MID CAP INSTL CL(PCBIX) | | Purchase | 09/20/17 | \$50,001 - \$100,000 |
| 299 | PROCTER & GAMBLE COM(PG) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 300 | PROGRESSIVE CORP OH(PGR) | | Sale | 09/25/17 | \$15,001 - \$50,000 |
| 301 | PRUDENTIAL FINANCIAL(PRU) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 302 | QUALCOMM INC (QCOM) | See Endnote | Sale | 07/27/17 | \$1,001 - \$15,000 |
| 303 | QUALCOMM INC (QCOM) | See Endnote | Sale | 10/03/17 | \$15,001 - \$50,000 |
| 304 | RADIAN GROUP INC(RDN) | | Sale | 09/25/17 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|-----|---|-------------|----------|----------|----------------------|
| 305 | PRUDENTIAL PLC ADR(PUK) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 306 | RED ELECTRICA CORP SA UNSPONSORED ADR(RDEIY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 307 | ROCHE HOLDING AG BAS GENUSSSCH (RHHVF) | | Sale | 10/04/17 | \$50,001 - \$100,000 |
| 308 | ROCHE HOLDING AG BAS GENUSSSCH (RHHVF) | | Sale | 10/04/17 | \$50,001 - \$100,000 |
| 309 | RELX PLC SPON ADR (RELX) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 310 | ROCHE HOLDING AG BAS GENUSSSCH (RHHVF) | | Sale | 10/04/17 | \$50,001 - \$100,000 |
| 311 | ROCHE HOLDING AG BAS GENUSSSCH (RHHVF) | | Sale | 10/04/17 | \$50,001 - \$100,000 |
| 312 | ROCHE HOLDING LIMITE SPONSORED ADR (RHHBY) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 313 | ROSS STORES INC(ROST) | | Purchase | 08/28/17 | \$1,001 - \$15,000 |
| 314 | ROSS STORES INC(ROST) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 315 | ROYAL DUTCH SHELL PL SPONSORED ADR REPSTG A SHARES(RDS'A) | See Endnote | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 316 | ROYAL BANK CANADA MONTREAL(RY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 317 | ROYAL DUTCH SHELL PL SPONSORED ADR REPSTG B SHARES(RDS'B) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 318 | ROYAL KPN N V SPONSORED ADR(KKPNY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 319 | RYMAN HOSPITALITY PP INC(RHP) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 320 | RYANAIR HOLDINGS PLC SPON ADR NEW (RYAAY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 321 | SAMPO OYJ ADR(SAXPY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|-----|--|-------------|----------|----------|--------------------------|
| 322 | 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 | \$100,001 - \$250,000 |
| 323 | RYOHIN KEIKAKU CO LT ADR(RYKKY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 324 | SAP SE SPONS ADR(SAP) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 325 | SCHWAB CHARLES CORP (SCHW) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 326 | SEAGATE TECHNOLOGY P(STX) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 327 | SCHLUMBERGER LTD(SLB) | | Sale | 09/25/17 | \$15,001 - \$50,000 |
| 328 | SEVEN & I HOLDINGS COMPANY LTD ADR (SVNDY) | See Endnote | Sale | 07/19/17 | \$1,001 - \$15,000 |
| 329 | SASOL LIMITED SPONSORED ADR (SSL) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 330 | SEAGATE TECHNOLOGY P(STX) | | Purchase | 07/27/17 | \$1,001 - \$15,000 |
| 331 | SHIRE PLC SPON ADR(SHPG) | See Endnote | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 332 | SINCLAIR BROADCAST GROUP INC(SBGI) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 333 | SKYWEST INC(SKYW) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 334 | SOCIETE GENERALE FRA SPONSORED ADR (SCGLY) | | Purchase | 07/28/17 | \$1,001 - \$15,000 |
| 335 | SK TELECOM LTD SPONS ADR(SKM) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 336 | SOCIETE GENERALE FRA SPONSORED ADR (SCGLY) | | Purchase | 08/30/17 | \$1,001 - \$15,000 |
| 337 | SOCIETE GENERALE FRA SPONSORED ADR (SCGLY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 338 | SONY CORP ADR NEW 7/(SNE) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 339 | SONOVA HOLDINGS AG ADR(SONVY) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 340 | SOFTBANK GROUP ADR(SFTBY) | | Sale | 08/02/17 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|-----|---|-------------|----------|----------|--------------------|
| 341 | STAMPS.COM INC NEW(STMP) | | Sale | 08/04/17 | \$1,001 - \$15,000 |
| 342 | STAMPS.COM INC NEW(STMP) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 343 | COLONY STARWOOD HOMES(SFR) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 344 | STATE STREET CORP (STT) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 345 | STATOIL ASA SPONSORED ADR(STO) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 346 | STORA ENSO CORP SPONSORED ADR REPSTG SHARES R(SEOAY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 347 | SUBARU CORP ADR(FUJHY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 348 | SUN LIFE FINANCIAL I(SLF) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 349 | SUMITOMO MITSUI FINL GRP INC(SMFG) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 350 | SUNCOR ENERGY INC NE (SU) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 351 | SUPERNUS PHARMACEUTI INC(SUPN) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 352 | SWEDBANK AB SPONSORED ADR(SWDBY) | | Sale | 07/18/17 | \$1,001 - \$15,000 |
| 353 | SYMRISE AG ADR(SYIEY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 354 | SYSCO CORP(SYY) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 355 | TAIWAN SEMICONDUCTOR MANUFACTURING COMPANY LTD SPONS ADR(TSM) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 356 | TARGET CORP(TGT) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 357 | SYSMEX CORP ADR(SSMXY) | See Endnote | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 358 | TELIA COMPANY AB ADR(TLSNY) | | Purchase | 08/29/17 | \$1,001 - \$15,000 |
| 359 | TIVITY HEALTH INC(TVTY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 360 | TELIA COMPANY AB ADR(TLSNY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 361 | TENARIS S A SPONSORED ADR(TS) | | Sale | 09/25/17 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|-----|---|-------------|----------|----------|-----------------------|
| 362 | THOR INDUSTRIES INC(THO) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 363 | TELENOR ASA SPONSORED ADR(TELNY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 364 | TJX COMPANIES INC NE(TJX) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 365 | TOKYO ELECTRON LTD ADR(TOELY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 366 | TOTAL S A SPONSORED ADR(TOT) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 367 | TRACTOR SUPPLY COMPA(TSCO) | | Purchase | 08/07/17 | \$1,001 - \$15,000 |
| 368 | TOTAL SYSTEMS SERVIC INC(TSS) | | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 369 | TREEHOUSE FOODS INC(THS) | See Endnote | Sale | 08/17/17 | \$1,001 - \$15,000 |
| 370 | TRACTOR SUPPLY COMPA(TSCO) | See Endnote | Sale | 09/25/17 | \$15,001 - \$50,000 |
| 371 | TRI POINTE GROUP INC(TPH) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 372 | TRINSEO S A(TSE) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 373 | TURKIYE GARANTI BANK A S SPONSORED ADR REPRESENTING 2000 SHS(TKGBY) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 374 | U S CONCRETE INC(USCR) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 375 | UBS GROUP AG(UBS) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 376 | ULTA BEAUTY INC(ULTA) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 377 | UNITED COMMUNITY BAN BLAIRSVILLE GA (UCBI) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 378 | UNILEVER PLC SPONSORED ADR NEW(UL) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 379 | UMPQUA HOLDINGS CORP(UMPQ) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 380 | UNIVERSITY TX BOND | | Purchase | 08/21/17 | \$100,001 - \$250,000 |
| 381 | UNITED RENTALS INC(URI) | | Sale | 10/03/17 | \$15,001 - \$50,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|---|---------------------|----------|--------------------------|
| 382 | UNILEVER N V NEW YORK SHARES NEW(UN) | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 383 | VALEO SPONSORED ADR(VLEEY) | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 384 | UPM KYMMENE CORP SPONSORED ADR (UPMKY) | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 385 | VANGUARD FTSE EMERGI MARKETS ETF (VWO) | Sale | 09/20/17 | \$15,001 - \$50,000 |
| 386 | VALERO ENERGY CORP(VLO) | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 387 | VANGUARD TOTAL INTL STOCK INDEX FUND ETF(VXUS) | Purchase | 09/20/17 | \$1,001 - \$15,000 |
| 388 | VANGUARD TOTAL INTL STOCK INDEX FUND ETF(VXUS) | Purchase | 09/20/17 | \$100,001 - \$250,000 |
| 389 | VANGUARD TOTAL STOCK MARKET ETF(VTI) | Purchase | 09/20/17 | \$15,001 - \$50,000 |
| 390 | VANGUARD TOTAL INTL STOCK INDEX FUND ETF(VXUS) | Purchase | 09/25/17 | \$100,001 - \$250,000 |
| 391 | VINCI S A ADR(VCISY) | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 392 | VERISK ANALYTICS INC(VRSK) | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 393 | VANGUARD TOTAL STOCK MARKET ETF(VTI) | Purchase | 09/25/17 | \$100,001 - \$250,000 |
| 394 | VANGUARD TOTAL STOCK MARKET ETF(VTI) | Purchase | 09/20/17 | \$100,001 - \$250,000 |
| 395 | VIRGINIA CLLG BLDG V EDL FACS REV 21ST CENTY CLLG & EQUIP 2028 | Purchase | 09/28/17 | \$250,001 - \$500,000 |
| 396 | VIACOM INC CL B NEW(VIAB) | See Endnote Sale | 08/29/17 | \$1,001 - \$15,000 |
| 397 | VIRGINIA ST PUB BLDG AUTH 2022 | Sale | 09/06/17 | \$15,001 - \$50,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|-----|--|-------------|----------|----------|-------------------------|
| 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 | \$15,001 - \$50,000 |
| 399 | VIRGINIA ST RES AUTH CLEAN WTR REV RFDG REVLVG 2024 | | Purchase | 07/25/17 | \$50,001 - \$100,000 |
| 400 | VISA INC CLASS A(V) | | Sale | 09/25/17 | \$15,001 - \$50,000 |
| 401 | VIRGINIA ST RES AUTH CLEAN WTR REVLVG FD 2022 | | Sale | 09/07/17 | \$15,001 - \$50,000 |
| 402 | WAL-MART STORES INC(WMT) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 403 | WEB COM GROUP INC(WEB) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 404 | WESTERN ALLIANCE BANCORPORATION (WAL) | | Sale | 09/11/17 | \$1,001 - \$15,000 |
| 405 | WESTERN DIGITAL CORP(WDC) | | Sale | 07/27/17 | \$1,001 - \$15,000 |
| 406 | WESTERN ALLIANCE BANCORPORATION (WAL) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 407 | WESTROCK COMPANY(WRK) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 408 | WESTERN UNION COMPAN(WU) | See Endnote | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 409 | WINTRUST FINANCIAL C(WTFC) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 410 | WOLTERS KLUWER N V SPONSORED ADR (WTKWY) | | Sale | 10/04/17 | \$1,001 - \$15,000 |
| 411 | WOLVERINE WORLD WIDE(WWW) | | Sale | 08/02/17 | \$1,001 - \$15,000 |
| 412 | WORLDPAY GROUP PLC ADR(WPYGY) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 413 | WOLVERINE WORLD WIDE(WWW) | | Sale | 10/04/17 | \$1,001 - \$15,000 |
| 414 | WPP PLC NEW ADR(WPPGY) | See Endnote | Sale | 10/03/17 | \$1,001 - \$15,000 |
| 415 | WYNN RESORTS LIMITED(WYNN) | | Sale | 09/25/17 | \$1,001 - \$15,000 |

| # | DESCRIPTION | | TYPE | DATE | AMOUNT |
|-----|--|-------------|----------|------------|----------------------------|
| 416 | XPERI CORP(XPER) | | Sale | 09/25/17 | \$1,001 - \$15,000 |
| 417 | XPERI CORP(XPER) | | Purchase | 09/01/17 | \$1,001 - \$15,000 |
| 418 | ALLIANZ SE SPONSORED ADR REPSTG 1/10 SH(AZSEY) | | Sale | 09/25/17 | \$15,001 - \$50,000 |
| 419 | FEDERATED STRATEGIC VALUE DIVIDEND INSTL CL(SVAIX) | | Purchase | 12/26/2017 | \$1,001 - \$15,000 |
| 420 | FEDERATED STRATEGIC VALUE DIVIDEND INSTL CL(SVAIX) | | Purchase | 11/30/2017 | \$1,001 - \$15,000 |
| 421 | EUROPACIFIC GROWTH CL F2(AEPFX) | | Purchase | 12/22/17 | \$1,001 - \$15,000 |
| 422 | LOOMIS SAYLES GROWTH CL Y(LSGRX) | | Purchase | 12/21/17 | \$1,001 - \$15,000 |
| 423 | OAKMARK INTL INSTL CL(OANIX) | | Purchase | 12/15/17 | \$1,001 - \$15,000 |
| 424 | WASHINGTON STATE BOND (ENERGY NW) | | Purchase | 10/30/2017 | \$100,001 - \$250,000 |
| 425 | HENRICO COUNTY, VA BOND | | Purchase | 10/16/2017 | \$100,001 - \$250,000 |
| 426 | NEW JERSEY TURNPIKE AUTH BOND | | Purchase | 10/20/2017 | \$100,001 - \$250,000 |
| 427 | I SHARES CORE AGGRESSIVE ALLOC (AOA) | | Purchase | 10/30/17 | \$5,000,001 - \$25,000,000 |
| 428 | I SHARES CORE AGGRESSIVE ALLOC (AOA) | | Purchase | 10/31/17 | \$100,001 - \$250,000 |
| 429 | METROPOLITAN TRANSN AUTH | | Purchase | 7/20/2017 | \$50,001 - \$100,000 |
| 430 | NORTH TX TWY AUTH 5% DUE 01/01/24 | | Purchase | 10/13/2017 | \$100,001 - \$250,000 |
| 431 | VA ST TRANSN 5% DUE 09/15/22 | See Endnote | Sale | 9/1/2017 | \$15,001 - \$50,000 |

| # | DESCRIPTION | TYPE | DATE | AMOUNT |
|-----|--|----------|----------|--------------------------|
| 432 | VIRGINIA COMMLTH TRANSN BRD 5% 03/15/25 | Purchase | 11/22/17 | \$100,001 - \$250,000 |

8. Liabilities

| # | CREDITOR NAME | TYPE | AMOUNT | YEAR INCURRED | RATE | TERM |
|---|--------------------|--------------------------------------|------------------------------|---------------|-------|----------|
| 1 | Goldman Sachs Bank | Mortgage on Personal Residence | \$1,000,001 - \$5,000,000 | 2013 | 2.60% | 30 Years |

9. Gifts and Travel Reimbursements

None

Endnotes

| PART | # | ENDNOTE |
|------|-------|---|
| 2. | 1 | Includes salary as well as executive and retirement benefits, such as life insurance premiums and tax preparation services. |
| 2. | 7 | Pooled investment plan. Company does not provide breakdown for, and filer does not individually own, underlying assets. |
| 2. | 9 | Pooled investment plan. Company does not provide breakdown for, and filer does not individually own, underlying assets. |
| 2. | 11.10 | No loner held in IRA. |
| 2. | 11.11 | No longer held. |

| PART | # | ENDNOTE |
|------|--------|---|
| 6. | 30 | No longer held. Sold after nominee report filed but before appointment. |
| 6. | 49 | No longer held. Sold after nominee report filed and before appointment. |
| 6. | 63 | Formerly Dow Chemical (DOW) |
| 6. | 66 | No longer held. Sold after nominee report filed but before appointment. |
| 6. | 75 | No longer held. Sold after nominee report filed but before appointment. |
| 6. | 77 | No longer held. Sold after nominee report filed but before appointment. |
| 6. | 91 | No longer held. Sold after nominee report filed but before appointment. |
| 6. | 99.3 | No longer held. Sold prior to appointment. |
| 6. | 116.1 | Previously reported on nominee report as "New York State Bond." |
| 6. | 116.2 | Previously reported on nominee report as "New York State Bond." |
| 6. | 119.1 | New purchase. Reported on OGE 278-T. |
| 6. | 119.2 | Acquired after nominee report filed but before appointment. |
| 6. | 119.3 | Acquired after nominee report filed but before appointment. |
| 6. | 119.4 | Previously reported as "Virginia State Bonds" |
| 6. | 119.5 | Previously reported as "Virginia State Bonds." |
| 6. | 119.6 | Previously reported as "Virginia State Bonds." |
| 6. | 119.7 | Acquired after nominee report filed but before appointment. |
| 6. | 119.8 | Previously reported as "Virginia State Bonds." |
| 6. | 119.9 | New purchase. Reported on OGE 278-T. |
| 6. | 119.10 | Previously reported as "Virginia State Bonds." |
| 6. | 119.11 | Previously reported as "Virginia State Bonds." |
| 6. | 138 | No longer held. Sold after nominee report filed but before appointment. |

| PART | # | ENDNOTE |
|------|-----|--|
| 6. | 141 | No longer held. Sold after nominee report filed but before appointment. |
| 6. | 166 | Includes all Restricted Stock Units (RSUs), Performance Based RSUs, and options exercised. |
| 6. | 214 | No longer held. Sold after nominee report filed and before appointment. |
| 6. | 227 | No longer held. Not included in Part 7. Sale transaction less than \$1K. |
| 6. | 234 | No longer held. Sold after nominee report prepared and before appointment. |
| 6. | 245 | No longer held. Multiple sales after nominee report filed and prior to appointment. Two sales transactions after appointment of less than \$1K each. |
| 6. | 247 | No longer held. Multiple sales after nominee report filed and prior to appointment. Two sales transactions after appointment of less than \$1K each. |
| 6. | 258 | Ticker symbol change. Previously reported as Swift Transportation (SWFT). |
| 6. | 263 | No longer held. Sold after nominee report prepared and before appointment. |
| 6. | 272 | No longer held. Not included in Part 7. Sale transaction less than \$1K. |
| 6. | 276 | No longer held. Sold before appointment. |
| 6. | 299 | No longer held. Sold after nominee report prepared and before appointment. |
| 6. | 307 | Acquired after nominee report filed and prior to appointment. |
| 6. | 308 | Acquired after nominee report filed and before appointment. |
| 6. | 309 | Inadvertently omitted from nominee report. Sold 1/17, prior to appointment. |
| 6. | 310 | Inadvertently omitted from nominee report. Sold 2/1/17 prior to appointment. |
| 6. | 313 | Acquired after nominee report filed and before appointment. |
| 6. | 314 | Acquired after nominee report filed and before appointment. |
| 6. | 315 | Acquired after nominee report filed and prior to appointment. |
| 6. | 321 | Previously reported as Wolseley PLC Jersey ADR (WOSYY). Name changed 7/31/2017. |
| 6. | 322 | Acquired after nominee report filed and prior to appointment. |

| PART | # | ENDNOTE |
|------|-------|---|
| 6. | 323 | Acquired after nominee report filed and prior to appointment. |
| 6. | 326 | Income inadvertently omitted from nominee report. Sold 2/17 prior to appointment. |
| 6. | 328 | Acquired after nominee report and before appointment. |
| 6. | 330 | Acquired after nominee report filed and prior to appointment. |
| 6. | 335.3 | Acquired after nominee report filed and prior to appointment. |
| 6. | 338 | Previously reported as Colony Starwood Homes (SFR) |
| 6. | 339 | Below reporting threshold on nominee report. |
| 6. | 340 | Inadvertently omitted from nominee report. Acquired 3/29/17 prior to appointment. No longer held. |
| 6. | 345 | Acquired 5/2017, after nominee report filed and prior to appointment. No longer held. |
| 7. | 1 | No longer held. No reportable income. |
| 7. | 4 | Acquired after nominee report was filed but before appointment. Sale on 9/25/17 resulted in no reportable income. |
| 7. | 5 | No longer held. No reportable income. |
| 7. | 8 | Acquired after nominee report filed and before appointment. |
| 7. | 10 | Acquired after nominee report filed and before appointment. |
| 7. | 14 | No longer held. No reportable income. |
| 7. | 22 | No longer held. No reportable income. |
| 7. | 32 | No longer held. No reportable income. |
| 7. | 33 | No longer held. No reportable income. |
| 7. | 36 | No longer held. No reportable income. |
| 7. | 39 | Acquired after nominee report filed and before appointment. |
| 7. | 42 | No longer held. No reportable income. |
| 7. | 44 | No longer held. No reportable income. |

| PART | # | ENDNOTE |
|------|-----|---|
| 7. | 51 | No longer held. No reportable income. |
| 7. | 57 | No longer held. No reportable income. |
| 7. | 69 | No longer held. No reportable income. |
| 7. | 73 | No longer held. No reportable income. |
| 7. | 75 | No longer held. No reportable income. |
| 7. | 89 | No longer held. No reportable income. |
| 7. | 93 | No longer held. No reportable income. |
| 7. | 94 | No longer held. No reportable income. |
| 7. | 103 | Acquired after nominee report and before appointment. |
| 7. | 120 | No longer held. No reportable income. |
| 7. | 121 | Acquired after nominee report filed and before appointment. No longer held. No reportable income. |
| 7. | 122 | Formerly Dow Chemical (DOW). |
| 7. | 132 | No longer held. No reportable income. |
| 7. | 137 | No longer held. No reportable income. |
| 7. | 146 | No longer held. No reportable income. |
| 7. | 147 | No longer held. No reportable income. |
| 7. | 157 | Previously reported as Wolseley PLC Jersey ADR (WOSYY). Name changed 7/31/2017. |
| 7. | 158 | Acquired after nominee report filed and prior to appointment. |
| 7. | 162 | No longer held. No reportable income. |
| 7. | 167 | Acquired after nominee report filed and before appointment. |
| 7. | 169 | No longer held. No reportable income. |
| 7. | 175 | No longer held. No reportable income. |

| PART | # | ENDNOTE |
|------|-----|---|
| 7. | 177 | No longer held. No reportable income. |
| 7. | 178 | No longer held. No reportable income. |
| 7. | 179 | No longer held. No reportable income. |
| 7. | 181 | No longer held. No reportable income. |
| 7. | 182 | No longer held. No reportable income. |
| 7. | 185 | No longer held. No reportable income. |
| 7. | 187 | Acquired after nominee report filed and before appointment. No reportable income. |
| 7. | 200 | No longer held. No reportable income. |
| 7. | 201 | No longer held. Acquired after nominee report filed and before appointment. |
| 7. | 202 | No longer held. Acquired after nominee report filed and before appointment. |
| 7. | 209 | No longer held. No reportable income. |
| 7. | 211 | No longer held. No reportable income. |
| 7. | 212 | Acquired after nominee report filed and prior to appointment. No reportable income. |
| 7. | 215 | No longer held. No reportable income. |
| 7. | 216 | No longer held. Ticker symbol change. Previously reported as Swift Transportation (SWFT). |
| 7. | 217 | No longer held. No reportable income. |
| 7. | 218 | No longer held. No reportable income. |
| 7. | 238 | No longer held. No reportable income. |
| 7. | 239 | No longer held. No reportable income. |
| 7. | 243 | No longer held. No reportable income. |
| 7. | 244 | No longer held. No reportable income. |
| 7. | 251 | No longer held. No reportable income. |

| PART | # | ENDNOTE |
|------|-----|---|
| 7. | 255 | No longer held. No reportable income. |
| 7. | 258 | No longer held. No reportable income. |
| 7. | 263 | No longer held. No reportable income. |
| 7. | 268 | No longer held. No reportable income. |
| 7. | 269 | Acquired after nominee report filed and before appointment. |
| 7. | 279 | No longer held. Acquired after nominee report filed and before appointment. |
| 7. | 283 | No longer held. No reportable income. |
| 7. | 284 | No longer held. No reportable income. |
| 7. | 302 | No longer held. No reportable income. |
| 7. | 303 | No longer held. No reportable income. |
| 7. | 306 | No longer held. No reportable income. |
| 7. | 315 | No longer held. No reportable income. |
| 7. | 318 | No longer held. No reportable income. |
| 7. | 328 | No longer held. No reportable income. |
| 7. | 329 | No longer held. No reportable income. |
| 7. | 331 | No longer held. No reportable income. |
| 7. | 347 | No longer held. Acquired after nominee report filed and before appointment. |
| 7. | 348 | No longer held. Acquired after nominee report filed and before appointment. |
| 7. | 353 | No longer held. No reportable income. |
| 7. | 356 | No longer held. No reportable income. |
| 7. | 357 | No longer held. No reportable income. |
| 7. | 359 | No longer held. Acquired after nominee report filed and before appointment. |

| PART | # | ENDNOTE |
|------|-----|---|
| 7. | 360 | No longer held. No reportable income. |
| 7. | 364 | No longer held. No reportable income. |
| 7. | 369 | No longer held. No reportable income. |
| 7. | 370 | No longer held. No reportable income. |
| 7. | 371 | No longer held. No reportable income. |
| 7. | 373 | No longer held. No reportable income. |
| 7. | 375 | No longer held. No reportable income. |
| 7. | 377 | No longer held. Acquired after nominee report filed and before appointment. |
| 7. | 396 | No longer held. No reportable income. |
| 7. | 403 | No longer held. No reportable income. |
| 7. | 408 | No longer held. No reportable income. |
| 7. | 414 | No longer held. No reportable income. |
| 7. | 431 | Previously reported as "Virginia State Bonds." |

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.

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