

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

## Filer's Information

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**Shine, William**

Assistant to the President and Deputy COS for Communication, White House

Date of Appointment: 07/05/2018

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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

**/s/ Shine, William [electronically signed on 10/09/2018 by Shine, William in Integrity.gov] - Filer received a 68 day filing extension.**

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Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

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Other review conducted by

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U.S. Office of Government Ethics Certification

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

| # | ORGANIZATION NAME | CITY, STATE  | ORGANIZATION TYPE | POSITION HELD | FROM   | TO     |
|---|-------------------|--------------|-------------------|---------------|--------|--------|
| 1 | 21st Century Fox  | NY, New York | Cable News        | Co-President  | 9/1996 | 5/2017 |

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

| #   | DESCRIPTION                                      | EIF | VALUE                | INCOME TYPE | INCOME AMOUNT             |
|-----|--|-----|----------------------|-------------|---------------------------|
| 1   | Fidelity IRA                                     | No  |                      |             |                           |
| 1.1 | AQR Managed Futures Strategy (AQMNX)             | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 1.2 | Eaton Vance Gbl Macro Abs Ret Advtg I (EGRIX)    | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 1.3 | Strategic Advisers Short Duration (FAUDX)        | Yes | \$1,001 - \$15,000   |             | \$201 - \$1,000           |
| 1.4 | Strategic Advisers Core (FCSAX)                  | Yes | \$50,001 - \$100,000 |             | \$2,501 - \$5,000         |
| 1.5 | Fidelity SAI Emerging Markets Index Fund (FERGX) | Yes | \$1,001 - \$15,000   |             | \$201 - \$1,000           |
| 1.6 | Strategic Advisers International Fund (FILFX)    | Yes | \$15,001 - \$50,000  |             | \$1,001 - \$2,500         |
| 1.7 | Fidelity SAI International Index (FIONX)         | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 1.8 | Fidelity SAI US Large Cap Index Fund (FLCPX)     | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 1.9 | Strategic Advisers Core Income Fund (FPCIX)      | Yes | \$50,001 - \$100,000 |             | \$201 - \$1,000           |

| #    | DESCRIPTION  | EIF | VALUE               | INCOME TYPE          | INCOME AMOUNT             |
|------|--|-----|---------------------|----------------------|---------------------------|
| 1.10 | Strategic Advisers Income Opportunities (FPIOX)                        | Yes | \$1,001 - \$15,000  |                      | \$201 - \$1,000           |
| 1.11 | Fidelity Investments Money Market Funds - Government Portfolio (FRGXX) | Yes | \$1,001 - \$15,000  |                      | None (or less than \$201) |
| 1.12 | Strategic Advisers® Emerging Markets (FSAMX)                           | Yes | \$1,001 - \$15,000  |                      | None (or less than \$201) |
| 1.13 | Strategic Advisers Small-Mid Cap (FSCFX)                               | Yes | \$15,001 - \$50,000 |                      | \$1,001 - \$2,500         |
| 1.14 | Strategic Advisers Growth (FSGFX)                                      | Yes | \$15,001 - \$50,000 |                      | \$1,001 - \$2,500         |
| 1.15 | Strategic Advisers Value (FVSAX)                                       | Yes | \$15,001 - \$50,000 |                      | \$201 - \$1,000           |
| 1.16 | PIMCO Commodity Real Ret Strat Instl (PCRIX)                           | Yes | \$1,001 - \$15,000  |                      | None (or less than \$201) |
| 2    | TIAA (traditional)   | N/A | \$1,001 - \$15,000  |                      | \$201 - \$1,000           |
| 3    | 21st Century Fox   | N/A |                     | Salary               | \$1,460,000               |
| 4    | 21st Century Fox   | N/A |                     | Severance            | \$8,400,000               |
| 5    | 21st Century Fox   | N/A |                     | Future Bonus/Options | \$7,000,000               |

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

| # | EMPLOYER OR PARTY | CITY, STATE        | STATUS AND TERMS  | DATE   |
|---|-------------------|--------------------|---|--------|
| 1 | 21st Century Fox  | New York, New York | Entered into Severance Agreement. Will receive a bonus and options for 2018 & 2019, each of which are approx \$3.5MM. Agreement will expire on May 1, 2019. | 5/2017 |

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

| # | SOURCE NAME      | CITY, STATE  | BRIEF DESCRIPTION OF DUTIES       |
|---|------------------|--------------|-----------------------------------|
| 1 | 21st Century Fox | NY, New York | Left in May, 2017 as Co-President |

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

None

#### 6. Other Assets and Income

| #   | DESCRIPTION                            | EIF | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|-----|--|-----|---------------------|-------------|---------------------------|
| 1   | St. Advisor                            | No  |                     |             |                           |
| 1.1 | Cash                                   | N/A | \$1,001 - \$15,000  | Interest    | None (or less than \$201) |
| 1.2 | ALIBABA Group HLDG LTD SPON ADR (BABA) | N/A | \$15,001 - \$50,000 | Dividends   | \$1,001 - \$2,500         |
| 1.3 | Alibaba Group Holding (BABA)           | N/A | \$15,001 - \$50,000 | Dividends   | \$201 - \$1,000           |
| 1.4 | Energy Select Sector SPDR ETF (XLE)    | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.5 | Financial Select Sector SPDR ETF (XLF) | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.6 | iShares Core S&P Small-Cap ETF (IJR)   | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |

| #    | DESCRIPTION                                      | EIF | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|------|--|-----|---------------------|-------------|---------------------------|
| 1.7  | Ur-Energy Inc (UR)                               | N/A | \$1,001 - \$15,000  | Dividends   | None (or less than \$201) |
| 1.8  | iShares US Aerospace & Defense ETF (ITA)         | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.9  | Vanguard Health Care ETF (VHT)                   | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.10 | Vanguard Information Technology ETF (VGT)        | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.11 | Vanguard Small-Cap Growth ETF (VBK)              | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |
| 1.12 | Oppenheimer Global FD Class Y (OGLYX)            | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.13 | Oppenheimer International Growth Y (OIGYX)       | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.14 | T. Rowe Price Diversified Mid Cap Growth (PRFRX) | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.15 | T. Rowe Price New America Growth (PRWAX)         | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.16 | T. Rowe Price Divers. Sm Cap Growth (PRDSX)      | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.17 | Google Inc. - Class A Common Stock (GOOG)        | N/A | \$15,001 - \$50,000 | Dividends   | \$201 - \$1,000           |
| 1.18 | Amazon.com Inc (AMZN)                            | N/A | \$15,001 - \$50,000 | Dividends   | \$1,001 - \$2,500         |
| 1.19 | Bank of America Corp (BAC)                       | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |
| 1.20 | Berkshire Hathaway Class B (BRKB)                | N/A | \$15,001 - \$50,000 | Dividends   | \$201 - \$1,000           |
| 1.21 | Delta Air Lines (DAL)                            | N/A | \$1,001 - \$15,000  | Dividends   | None (or less than \$201) |

| #    | DESCRIPTION                                | EIF | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|------|--|-----|---------------------|-------------|---------------------------|
| 1.22 | DowDuPont (DWDP)                           | N/A | \$1,001 - \$15,000  | Dividends   | None (or less than \$201) |
| 1.23 | Facebook, Inc. - Class A Common Stock (FB) | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |
| 1.24 | General Motors Company (GM)                | N/A | \$1,001 - \$15,000  | Dividends   | None (or less than \$201) |
| 1.25 | Johnson & Johnson (JNJ)                    | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |
| 1.26 | JP Morgan Chase & Co (JPM)                 | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |
| 1.27 | Lowe's (LOW)                               | N/A | \$1,001 - \$15,000  | Dividends   | None (or less than \$201) |
| 1.28 | Merck & Co Inc (MRK)                       | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |
| 1.29 | Microsoft Corp (MSFT)                      | N/A | \$15,001 - \$50,000 | Dividends   | \$1,001 - \$2,500         |
| 1.30 | NetFlix Inc (NFLX)                         | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |
| 1.31 | Norfolk Southern Corp (NSC)                | N/A | \$15,001 - \$50,000 | Dividends   | \$201 - \$1,000           |
| 1.32 | PepsiCo Inc (PEP)                          | N/A | \$15,001 - \$50,000 | Dividends   | \$201 - \$1,000           |
| 1.33 | Procter & Gamble (PG)                      | N/A | \$1,001 - \$15,000  | Dividends   | None (or less than \$201) |
| 1.34 | Starbucks Corp (BUX)                       | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |
| 1.35 | Thermo Fisher Scientific (TMO)             | N/A | \$1,001 - \$15,000  | Dividends   | None (or less than \$201) |
| 1.36 | United Technologies Corp (UTX)             | N/A | \$1,001 - \$15,000  | Dividends   | None (or less than \$201) |
| 1.37 | Visa Inc (V)                               | N/A | \$1,001 - \$15,000  | Dividends   | None (or less than \$201) |
| 1.38 | Walt Disney Co (DIS)                       | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |

| #    | DESCRIPTION                                   | EIF | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|------|---|-----|---------------------|-------------|---------------------------|
| 2    | MPF Core                                      | No  |                     |             |                           |
| 2.1  | Cash  | N/A | \$1,001 - \$15,000  | Interest    | None (or less than \$201) |
| 2.2  | iShares Core MSCI EAFE ETF (IEFA)             | Yes | \$1,001 - \$15,000  |             | \$201 - \$1,000           |
| 2.3  | iShares Core MSCI Emerging Markets (IEMG)     | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |
| 2.4  | iShares Core S&P US Growth ETF (IUSG)         | Yes | \$1,001 - \$15,000  |             | \$201 - \$1,000           |
| 2.5  | iShares Russell Mid-Cap ETF (IWR)             | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.6  | SPDR S&P 500 ETF (SPY)                        | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |
| 2.7  | Vanguard Total World Stock ETF (VT)           | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.8  | Baird MidCap Inst (BMDIX)                     | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.9  | Chartwell Small Cap Value (CWSIX)             | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.10 | FMI Large Cap Institutional (FMIQX)           | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |
| 2.11 | Gabelli Small Cap Growth I (GACIX)            | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.12 | JHancock Disciplined Value Mid Cap I (JVMIX)  | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.13 | Oppenheimer International Growth Y (OIGYX)    | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |
| 2.14 | Pear Tree Polaris Foreign Value Instl (QFVIX) | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |

| #    | DESCRIPTION                                      | EIF | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|------|--|-----|---------------------|-------------|---------------------------|
| 2.15 | iShares 7-10 Year Treasury Bond ETF (IEF)        | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.16 | iShares iBoxx \$ Invst Grade Crp Bond (LQD)      | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.17 | iShares JP Morgan USD Em Mkts Bd ETF (EMB)       | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.18 | iShares Core US Treasury Bond (GOVT)             | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.19 | SPDR Blmbg Barclays High Yield Bd ETF (JNK)      | Yes | \$1,001 - \$15,000  |             | \$201 - \$1,000           |
| 2.20 | Abbey Capital Futures Strategy I (ABYIX)         | Yes | \$1,001 - \$15,000  |             | \$201 - \$1,000           |
| 2.21 | BlackRock Global Long/Short Credit Instl (BGCIX) | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.22 | Blackstone Alternative Multi-Strategy I (BXMIX)  | Yes | \$1,001 - \$15,000  |             | \$201 - \$1,000           |
| 2.23 | Boston Partners Global Long/Short Instl (BGLSX)  | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.24 | JHancock Global Absolute Ret Strats I (JHAIX)    | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 2.25 | RiverPark Long/Short Opportunity Instl (RLSIX)   | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3    | PACE Select                                      | No  |                     |             |                           |
| 3.1  | Cash   | N/A | \$1,001 - \$15,000  | Interest    | None (or less than \$201) |
| 3.2  | PACE Global Real Estate Securities P (PREQX)     | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.3  | PACE International Em Mkts Eq P (PCEMX)          | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |



| #    | DESCRIPTION                                     | EIF | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|------|---|-----|---------------------|-------------|---------------------------|
| 3.4  | PACE International Equity P (PCIEX)             | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |
| 3.5  | PACE Large Co Growth Equity P (PCLCX)           | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |
| 3.6  | PACE Large Co Value Equity P (PCLVX)            | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |
| 3.7  | PACE Small/Medium Co Growth Equity P (PCSGX)    | Yes | \$1,001 - \$15,000  |             | \$201 - \$1,000           |
| 3.8  | PACE Small/Medium Co Value Equity P (PCSVX)     | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.9  | PACE Global Fixed Income Investments P (PCGLX)  | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.10 | PACE High Yield P (PHYPX)                       | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.11 | PACE Intermediate Fixed Income P (PCIFX)        | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.12 | PACE Mort-Backed Secs Fxd Inc Invests P (PCGTX) | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 3.13 | PACE Strategic Fixed Income P (PCSIX)           | Yes | \$1,001 - \$15,000  |             | \$201 - \$1,000           |
| 3.14 | PACE Alternative Strategies P (PASPX)           | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |
| 4    | Lord Abbet                                      | No  |                     |             |                           |
| 4.1  | Cash  | N/A | \$1,001 - \$15,000  | Interest    | None (or less than \$201) |
| 4.2  | Metropolitan TRANSN AUTH C-1 RV BE/R            | N/A | \$15,001 - \$50,000 | Interest    | \$201 - \$1,000           |
| 4.3  | Monroe CNTY NY INDL DEV RV BE/R                 | N/A | \$15,001 - \$50,000 | Interest    | \$201 - \$1,000           |

| #    | DESCRIPTION                                   | EIF | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|------|---|-----|---------------------|-------------|---------------------------|
| 4.4  | New York Convention CTR RV BE/R               | N/A | \$15,001 - \$50,000 | Interest    | \$201 - \$1,000           |
| 4.5  | New York Municipal Water FIN AU SR HH BE/R    | N/A | \$15,001 - \$50,000 | Interest    | \$201 - \$1,000           |
| 4.6  | NY State Bridge Authority RV BE/R             | N/A | \$1,001 - \$15,000  | Interest    | None (or less than \$201) |
| 4.7  | New York St Dorm Auth ST RE RV BE/R           | N/A | \$15,001 - \$50,000 | Interest    | \$201 - \$1,000           |
| 4.8  | New York ST Dorm Auth ST SR D RV BE/R         | N/A | \$15,001 - \$50,000 | Interest    | \$201 - \$1,000           |
| 4.9  | New York ST TWY AUTH GEN SR J BE/R            | N/A | \$15,001 - \$50,000 | Interest    | \$201 - \$1,000           |
| 4.10 | ST Dorm Authority Sales Tax R SR A BE/R       | N/A | \$15,001 - \$50,000 | Interest    | \$201 - \$1,000           |
| 4.11 | City of New York SR C BE/R                    | N/A | \$15,001 - \$50,000 | Interest    | \$201 - \$1,000           |
| 5    | MP House View                                 | No  |                     |             |                           |
| 5.1  | Cash  | N/A | \$1,001 - \$15,000  | Interest    | None (or less than \$201) |
| 5.2  | iShares Core MSCI EAFE ETF (IEFA)             | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |
| 5.3  | iShares Core MSCI Emerging Markets ETF (IEMG) | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |
| 5.4  | iShares Core S&P Small-Cap ETF (IJR)          | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 5.5  | iShares MSCI EAFE (EFA)                       | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |
| 5.6  | Vanguard Growth ETF (VUG)                     | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |

| #    | DESCRIPTION                                  | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|--|-----|-----------------------------|-------------|---------------------------|
| 5.7  | Vanguard Total World STK ETF                 | Yes | \$15,001 - \$50,000         |             | \$201 - \$1,000           |
| 5.8  | Vanguard Total World Stock ETF (VT)          | Yes | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 5.9  | Vanguard Value ETF                           | Yes | \$15,001 - \$50,000         |             | \$201 - \$1,000           |
| 5.10 | iShares 7-10 Year Treasury Bond ETF (IEF)    | Yes | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 5.11 | Lyxor USD Liq Inv GrdCorpBdsETF D USD (USIG) | Yes | \$15,001 - \$50,000         |             | \$201 - \$1,000           |
| 5.12 | iShares iBoxx \$ Invst Grade Crp Bond (LQD)  | Yes | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 5.13 | iShares Core US Treasury Bond (GOVT)         | Yes | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 5.14 | SPDR Blmbg Barclays High Yield Bd ETF (JNK)  | Yes | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 5.15 | VanEck Vectors JP Morgan EM LC Bd ETF (EMLC) | Yes | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 6    | iShares JP Morgan USD Em Mkts Bd ETF (EMB)   | Yes | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 7    | Blackrock EQ D                               | No  |                             |             |                           |
| 7.1  | Cash   | N/A | \$1,001 - \$15,000          | Interest    | None (or less than \$201) |
| 7.2  | AstraZeneca PLC (AZN)                        | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.3  | BP PLC (BP)                                  | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.4  | CRH PLC (CRH)                                | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |

| #    | DESCRIPTION                              | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|--|-----|-----------------------------|-------------|---------------------------|
| 7.5  | Diageo PLC (DEO)                         | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.6  | Royal Philips NV (PHG)                   | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.7  | Novo Nordisk A/S (NVO)                   | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.8  | Taiwan Semiconductor Manufacturing (TSM) | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.9  | Total SA (TOT)                           | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.10 | Unilever NV (UN)                         | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.11 | Johnson Controls (JCI)                   | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.12 | Suncor (SU)                              | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.13 | 3M (MMM)                                 | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.14 | Altria (MO)                              | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.15 | AIG (AIG)                                | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.16 | Anadarko (APC)                           | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.17 | Altria (MO)                              | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.18 | AIG (AIG)                                | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |

| #    | DESCRIPTION                                | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|--|-----|-----------------------------|-------------|---------------------------|
| 7.19 | Anadarko (APC)                             | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.20 | Anthem (ANTM)                              | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.21 | Cardinal Health (CAH)                      | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.22 | CDW (CDW)                                  | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.23 | Cisco (CSCO)                               | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.24 | Citigroup (C)                              | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.25 | Cognizant Technology Solutions Corp (CTSH) | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.26 | Comcast (CMCSA)                            | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.27 | FirstEnergy (FE)                           | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.28 | General Electric (GE)                      | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.29 | Goldman Sachs (GS)                         | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.30 | Hess (HES)                                 | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.31 | Honeywell (HON)                            | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.32 | Humana (HUM)                               | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |

| #    | DESCRIPTION                   | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|-------------------------------|-----|-----------------------------|-------------|---------------------------|
| 7.33 | Interpublic (IPG)             | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.34 | International Paper (IP)      | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.35 | Kellogg (K)                   | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.36 | KeyCorp (KEY)                 | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.37 | Lockheed Martin (LMT)         | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.38 | Lowe's (LOW)                  | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.39 | Marathon (MRO)                | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.40 | Marathon Petroleum Corp (MPC) | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.41 | Marsh & McLennan (MMC)        | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.42 | Mattel (MAT)                  | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.43 | McKesson (MCK)                | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.44 | Merck (MRK)                   | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.45 | Microsoft (MSFT)              | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.46 | Mondelez (MDLZ)               | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |

| #    | DESCRIPTION                           | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|---------------------------------------|-----|-----------------------------|-------------|---------------------------|
| 7.47 | Morgan Stanley (MS)                   | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.48 | Motorola Solutions (MSI)              | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.49 | NextEra (NEE)                         | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.50 | Northrop Grumman (NOC)                | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.51 | ONEOK (OKE)                           | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.52 | Oracle (ORCL)                         | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.53 | PepsiCo (PEP)                         | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.54 | Pfizer (PFE)                          | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 7.55 | PG&E (PCG)                            | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.56 | Procter & Gamble (PG)                 | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.57 | Public Service Enterprise Group (PEG) | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.58 | Qualcomm (QCOM)                       | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.59 | Quest Diagnostics (DGX)               | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.60 | Charles Schwab (SCHW)                 | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.61 | SunTrust Banks (STI)                  | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |

| #    | DESCRIPTION                   | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|-------------------------------|-----|-----------------------------|-------------|---------------------------|
| 7.62 | Travelers (TRV)               | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.63 | Union Pacific (UNP)           | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 7.64 | UnitedHealth (UNH)            | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.65 | US Bancorp (USB)              | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 7.66 | Verizon (VZ)                  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 7.67 | Wells Fargo & Co (WFC)        | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 7.68 | Williams Companies Inc (WMB)  | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8    | CapGroup                      | No  |                             |             |                           |
| 8.1  | Cash                          | N/A | \$1,001 - \$15,000          | Interest    | None (or less than \$201) |
| 8.2  | AIA Group (AAGIY)             | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 8.3  | Air Liquide SA (AIQUY)        | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.4  | Airbus SE (EADSY)             | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 8.5  | Amcor (AMCRY)                 | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.6  | America Movil SAB de CV (AMX) | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.7  | Asahi Kasei (AHKSY)           | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.8  | ASML Holding NV (ASML)        | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |



| #    | DESCRIPTION                          | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|--------------------------------------|-----|-----------------------------|-------------|---------------------------|
| 8.9  | Assa Abloy AB (ASAZY)                | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.10 | Associated British Foods PLC (ASBFY) | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.11 | AstraZeneca (AZN)                    | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 8.12 | BNP Paribas (BNPQY)                  | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.13 | Brenntag AG (BNTGY)                  | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.14 | British American Tobacco PLC (BTI)   | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.15 | Carlsberg A/S (CABGY)                | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.16 | Cie Financiere Richemont SA (CFRUY)  | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.17 | Danone SA (DANOY)                    | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.18 | DBS Group Holdings (DBSDY)           | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.19 | Denso Corp (DNZOY)                   | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.20 | Deutsche Boerse AG (DBOXY)           | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.21 | Diageo PLC (DEO)                     | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.22 | DNB ASA (DNHBY)                      | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.23 | DSV A/S (DSDVY)                      | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |

| #    | DESCRIPTION                             | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|---|-----|-----------------------------|-------------|---------------------------|
| 8.24 | Enel SpA (ENLAY)                        | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.25 | Essilor International SA (ESLOY)        | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.26 | Fanuc Corp (FANUY)                      | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.27 | Genmab A/S (GMXAY)                      | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.28 | Givaudan SA (GVDNY)                     | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.29 | Grifols SA (GRFS)                       | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.30 | HDFC Bank Ltd (HDB)                     | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.31 | Hoya Corp (HOCPY)                       | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.32 | Iberdrola SA (IBDRY)                    | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.33 | Imperial Brands PLC (IMBBY)             | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.34 | InterContinental Hotels Group PLC (IHG) | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.35 | Jardine Matheson (JMHLY)                | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.36 | KBC Group SA/NV (KBCSY)                 | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.37 | Kering SA (PPRUY)                       | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |

| #    | DESCRIPTION                                 | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|---|-----|-----------------------------|-------------|---------------------------|
| 8.38 | Kubota (KUBTY)                              | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.39 | Lloyds Banking Group PLC (LYG)              | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.40 | London Stock Exchange Group PLC (LNSTY)     | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.41 | L'Oreal SA (LRLCY)                          | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.42 | LVMH Moet Hennessy Louis Vuitton SE (LVMUY) | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.43 | Murata Manufacturing (MRAAY)                | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.44 | Naspers (NPSNY)                             | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.45 | Nestle SA (NSRGY)                           | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.46 | Nidec (NJDCY)                               | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.47 | Novartis AG (NVS)                           | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.48 | Novo-Nordisk A/S (NVO)                      | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 8.49 | NTT DOCOMO Inc (DCMY)                       | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.50 | Pernod Ricard SA (PDRDY)                    | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.51 | Prudential PLC (PUK)                        | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.52 | Reckitt Benckiser Group PLC (RBGLY)         | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |

| #    | DESCRIPTION                        | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|------------------------------------|-----|-----------------------------|-------------|---------------------------|
| 8.53 | RELX PLC (RELX)                    | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.54 | Rio Tinto PLC (RIO)                | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.55 | Royal Dutch Shell PLC (RDSB)       | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.56 | Koninklijke KPN NV (KKPNY)         | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.57 | Ryanair Holdings PLC (RYAAY)       | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.58 | Ryohin Keikaku Co Ltd (RYKKY)      | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.59 | Safran SA (SAFRY)                  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 8.60 | Sampo Oyj (SAXPY)                  | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.61 | Samsonite International SA (SMSEY) | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.62 | SAP (SAP)                          | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.63 | Shin-Etsu Chemical (SHECY)         | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.64 | Siemens AG (SIEGY)                 | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.65 | SoftBank Group Corp (SFTBY)        | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.66 | Sonova Holding AG (SONVY)          | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.67 | SSE PLC (SSEZY)                    | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |

| #    | DESCRIPTION                              | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|--|-----|-----------------------------|-------------|---------------------------|
| 8.68 | Svenska Handelsbanken AB (SVNLY)         | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.69 | Taiwan Semiconductor Manufacturing (TSM) | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.70 | Total SA (TOT)                           | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.71 | Vodafone Group PLC (VOD)                 | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.72 | Wynn Macau (WYNMY)                       | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.73 | Canadian National Railway (CNI)          | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.74 | Enbridge (ENB)                           | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.75 | Ensco PLC (ESV)                          | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.76 | Keyence (KYCCF)                          | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.77 | SMC Corp (SMECF)                         | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 8.78 | UBS Group AG (UBS)                       | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 8.79 | MercadoLibre Inc (MELI)                  | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 9    | APEX SM-Mid Cap                          | No  |                             |             |                           |
| 9.1  | Cash                                     | N/A | \$1,001 - \$15,000          | Interest    | None (or less than \$201) |
| 9.2  | Huazhu Group Ltd (HTHT)                  | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |

| #    | DESCRIPTION                           | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|---------------------------------------|-----|-----------------------------|-------------|---------------------------|
| 9.3  | Axalta Coating Systems Ltd (AXTA)     | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 9.4  | Icon PLC (ICLR)                       | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 9.5  | Jazz Pharmaceuticals PLC (JAZZ)       | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 9.6  | Lions Gate Entmt Cl A (LGFA)          | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 9.7  | STERIS PLC (STE)                      | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 9.8  | ACI Worldwide Inc (ACIW)              | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 9.9  | Advanced Energy Industries Inc (AEIS) | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 9.10 | Apergy Corporation (APY)              | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 9.11 | Arista Networks (ANET)                | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 9.12 | Autoliv Inc (ALV)                     | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 9.13 | Berry Plastics Group Inc (BERY)       | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 9.14 | Broadridge Financial Solutions (BR)   | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 9.15 | Cable One (CABO)                      | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 9.16 | Cambrex (CBM)                         | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |

| #    | DESCRIPTION                    | EIF | VALUE              | INCOME TYPE | INCOME AMOUNT             |
|------|--------------------------------|-----|--------------------|-------------|---------------------------|
| 9.17 | CBRE Group (CBRE)              | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 9.18 | Copart (CPRT)                  | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 9.19 | Crane (CR)                     | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 9.20 | Diamondback Energy Inc (FANG)  | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 9.21 | Dolby Laboratories (DLB)       | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 9.22 | Domino's Pizza Inc (DPZ)       | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 9.23 | Dunkin' Brands Group (DNKN)    | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 9.24 | Eagle Materials (EXP)          | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 9.25 | EMCOR Group Inc (EME)          | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 9.26 | ENTEGRIS Inc (ENTG)            | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 9.27 | INVESTNET, Inc (ENV)           | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 9.28 | ETSY, INC (ETSY)               | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 9.29 | EVERCORE, INC (EVR)            | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 9.30 | FORTINET, Inc (FTNT)           | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 9.31 | GRACO, Inc (GGG)               | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 9.32 | GRUBHUB, Inc (GRUB)            | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 9.33 | Guidewire software, Inc (GWRE) | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |
| 9.34 | Henry Jack & Assoc, Inc (JKHY) | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000           |

| #    | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT   |
|------|---|-----|-----------------------------|-------------|-----------------|
| 9.35 | Hilton Grand Vacations, Inc (HGV)                         | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |
| 9.36 | IAC Interactive Corp (IAC)                                | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |
| 9.37 | ICU Medical Inc (ICUI)                                    | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |
| 9.38 | IONIS Pharmaceuticals Inc (IONS)                          | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |
| 9.39 | Kar Ausction Services Inc (KAR)                           | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |
| 9.40 | Legg Mason Inc (LM)                                       | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |
| 9.41 | Liberty Media Corp - Liberty Formula One<br>SER C (FWONK) | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |
| 9.42 | Lithia Motors Inc Class A (LAD)                           | N/A | None (or less than \$1,001) | Dividends   | \$201 - \$1,000 |
| 9.43 | Live Nation Entertainment Inc (LYV)                       | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |
| 9.44 | MERCADOLibre Inc (MELI)                                   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |
| 9.45 | Middleby Corp Dela (MIDD)                                 | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |
| 9.46 | Momenta Pharmaceuticals Inc (MNTA)                        | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |
| 9.47 | Navient Corp com (NAVI)                                   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |
| 9.48 | Nordson Corp (NDSN)                                       | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |
| 9.49 | Nutanix Inc Class A (NTNX)                                | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |
| 9.50 | Old Dominion Freight Lines Inc (ODFL)                     | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |
| 9.51 | Power Integrations Inc (POWI)                             | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |
| 9.52 | Prestige Consumer Healthcare Inc (PBH)                    | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |
| 9.53 | Pulte Group Inc (PHM)                                     | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |
| 9.54 | Qualys Inc (QLYS)   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |
| 9.55 | Reinsurance Group Amer Inc New (RGA)                      | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000 |



| #    | DESCRIPTION  | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|--|-----|-----------------------------|-------------|---------------------------|
| 9.56 | Sage Therapeutics Inc (SAGE)                       | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 9.57 | Spelunk Inc (SPLK)                                 | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 9.58 | Supernus Pharmaceuticals Inc (SUPN)                | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 9.59 | Teradata Corp New Dela (TDC)                       | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 9.60 | Total System Services Inc (TSS)                    | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 9.61 | Tractor Supply Company (TSCO)                      | N/A | \$1,001 - \$15,000          |             | \$201 - \$1,000           |
| 9.62 | TripAdvisor Inc. (Trip)                            | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 9.63 | The Ultimate Software Group, Inc. (ULTI)           | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 9.64 | Untd Rentals Inc (URI)                             | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 9.65 | Vail Resorts Inc (MTN)                             | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 9.66 | Veeva Systems Class A (VEEV)                       | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 9.67 | VEONEER Inc (VNE)                                  |     | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 9.68 | Western Alliance Bancorp (WAL)                     | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 9.69 | Wyndham Destinations Inc (WYND)                    | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 9.70 | Wyndham Hotels and Resorts Inc (WH)                | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10   | T.White Em Mkts                                    |     |                             |             |                           |
| 10.1 | Cash   | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 10.2 | Ali baba Group HLDG ltd Spon ADR (Baba)            | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.3 | Anui Conh Cem Co Ltd Adr (AHCHY)                   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.4 | Baidu Inc Ads Reprsntg Cl A ordshs spon adr (BIDU) | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |

| #     | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|-------|---|-----|-----------------------------|-------------|---------------------------|
| 10.5  | BB Seguridade Pariti Crpa Cres spon adr (BBSEY)                           | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 10.6  | China Constr Bk Corp Adr (CICHY)  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.7  | China Mobile ltd spon adr (CHL)   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.8  | China Patroleum & Chemical Corp Spon Adr (SNP)                            | N/A | \$1,001 - \$15,000          |             | \$201 - \$1,000           |
| 10.9  | COMP An Hia Brasileira De Distribuicao Grupo pao de acucar spon adr (CBD) | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 10.10 | Companhia de Saneamento esicodo estado de sao paulo ads spon adr (SBS)    | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 10.11 | Ctrip.com into ltd ads (CTRP)   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.12 | Fibria CELulose S A spon adr (FBR)  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.13 | Geely Automobile Holdings Ltd adr (GELYY)                                 | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 10.14 | Grupo Financreio Banorte Spon adr (GBOY)                                  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.15 | Icici Bank Ltd Spon Adr (IBN)   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.16 | Info Sys Ltd Spon Adr (INDY)  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.17 | Itau Corp Banca Spon Adr (ITCB)   | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 10.18 | Itau Unibanco Hldg sa adr (ITUB)  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.19 | Jd Com Inc Cl a Spon Adr (JD)   | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 10.20 | Kasikorn bank PC Unsponsored Adr (KPCPY)                                  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.21 | Kb Finl Group Inc Spon Adr (KB)   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.22 | Koc Holdings Adr (KHOLY)  | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |

| #     | DESCRIPTION  | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|-------|--|-----|-----------------------------|-------------|---------------------------|
| 10.23 | Kroten Educacional spon adr (KHOLY)  | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 10.24 | Lukoil PJSC Spon ADR (LUKOY)   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.25 | Mobile TELE Systems Pjsp Spon ADR (MBT)                                      | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.26 | Momo Inc Unsponsored ADR (Momo)  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.27 | Naspers Ltd Spon ADR (NPSNY)   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.28 | Nedbank Group Ltd Spon ADR (NDBKY)   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.29 | Petroleo Brasileiro Sa Spon ADR (PBR)  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.30 | Ping An Insurance Group Co of China Ltd Repstg twenty h shs spon adr (PNGAY) | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.31 | Posco Spon ADR (PKX)   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.32 | Pt Bk Rakyat ADR (BKRKY)   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.33 | Sberbank Spon ADR (SBOYRCY)  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.34 | Shinhan Financial Holding Co Spon ADR (SHG)                                  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.35 | Taiyan Semiconductor mfg Co Ltd ADR (TSM)                                    | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.36 | Tatamotors ltd spon adr (TTM)  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.37 | Techtronic Inds Spon ADR Hong Kong (TTNDY)                                   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.38 | Telefonica Brasil sa Spon ADR (VIV)  | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 10.39 | Tencent holdings ltd adr (TCEHY)   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.40 | Turkcell Iletisim Hizmetleri a.s new adr (TKC)                               | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 10.41 | Vale Sa-sp Spon ADR (VALE)   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |

| #     | DESCRIPTION                                 | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|-------|---|-----|-----------------------------|-------------|---------------------------|
| 10.42 | WNS Holdings Ltd Spon Adr                   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.43 | YY Inc Unsponsored Cl a Adr (YY)            | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.44 | ZTO Express Cayman Inc Spon Adr (ZTO)       | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.45 | Credicorp Ltd (BAP)                         | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.46 | Sina Corp (SINA)                            | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 10.47 | Cognizant Tech Solutions Corp (CTSH)        | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 10.48 | Gran Tierra Energy Inc (GTE)                | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11    | ClearBridge                                 |     |                             |             |                           |
| 11.1  | Cash  | N/A | \$1,001 - \$15,000          |             | \$201 - \$1,000           |
| 11.2  | Alibaba Group Holdings Ltd Spon Adr (Baba)  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.3  | Anheuser Busch Inbev Spon Adr (Bud)         | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.4  | Allergan Elc (AGM)                          | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.5  | Johnson Ctls Intl Plc (JCI)                 | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.6  | Lionsgate Entertainment Corp Cl b (LGFB)    | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 11.7  | Pentair Plc (PNR)                           | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 11.8  | Medtronic Plc (Mdt)                         | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.9  | Nenvent elec plc (NVT)                      | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 11.10 | Schlumberger Ltd Netherlands Antilles (SLB) | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.11 | Seagate technology Plc Shs (STX)            | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.12 | Te Connectivity Ltd Chf (TEL)               | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |

| #     | DESCRIPTION                        | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|-------|------------------------------------|-----|-----------------------------|-------------|---------------------------|
| 11.13 | Weatherford Intl Plc (WFT)         | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.14 | Adobe Systems Inc Delaware (ADBE)  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.15 | Akamai Technologies Inc (AKAM)     | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.16 | Alexion Pharmaceuticals Inc (ALXN) | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.17 | Alphabet Inc Cl A (GOOGL)          | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.18 | Alphabet Inc Cl C (GOOG)           | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.19 | Amazon.com Inc (AMZN)              | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.20 | AMC Networks Inc Cl A (AMCX)       | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 11.21 | AMER Express Co (AXP)              | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.22 | Anadarko Petroleum Corp (APC)      | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.23 | Apple Inc (AAPL)                   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.24 | Autodesk Inc (ADSK)                | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.25 | Biogen Inc (BIIB)                  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.26 | Biomarin Pharmaceutical Inc (BMRN) | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 11.27 | Blackrock Inc (BLK)                | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.28 | Broadcom Inc (AVGO)                | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.29 | Catapillar Inc (CAT)               | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.30 | Celgene Corp (CELG)                | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.31 | Chipotle Mexican Grille Cl A (CMG) | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 11.32 | Citrix Systems Inc (CTXS)          | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |

| #     | DESCRIPTION                      | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|-------|----------------------------------|-----|-----------------------------|-------------|---------------------------|
| 11.33 | Coca Cola Co Com (KO)            | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 11.34 | Comcast Corp New Cl A (CMCSA)    | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.35 | Costco Wholesale Corp (COST)     | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.36 | CREE Inc (CREE)                  | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 11.37 | Discovery Inc Cl A (DISCA)       | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.38 | Dolby Lavarities Cl A (DLB)      | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.39 | Echolab Inc (ECL)                | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.40 | Equinix Inc Reit (EQIX)          | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.41 | Facebook Inc Cl a (FB)           | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.42 | Fluor corp New (FLR)             | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.43 | Freeport - Mcmoran Inc (FCX)     | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.44 | Garrett Motion Inc (GTX)         | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 11.45 | Gci Liberty Inc Cl a (GLIBA)     | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 11.46 | Grainger W W Inc (GWW)           | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.47 | Home Depot Inc (HD)              | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.48 | Honeywell Intl Inc (HON)         | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.49 | Inmunogen Inc (Imgn)             | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 11.50 | Ionis Pharmaceuticals Inc (IONS) | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.51 | Johnson & Johnson Com (J&J)      | N/A | \$1,001 - \$15,000          |             | \$201 - \$1,000           |

| #     | DESCRIPTION  | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|-------|--|-----|-----------------------------|-------------|---------------------------|
| 11.52 | L3 Technologies Inc (LLL)                            | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.53 | Liberty Broadband Corp Ser a (LBRDA)                 | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 11.54 | Liberty Broadband Corp Ser C (LBRDK)                 | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 11.55 | Liberty Media Corp Liberty formula One ser a (FWONA) | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 11.56 | Liberty Media Corp Liberty formula One Ser c (FWONK) | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 11.57 | Liberty Serious Group Ser c (LSXMK)                  | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 11.58 | Liberty Serious x m group ser a (LSXMA)              | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 11.59 | Logmein Inc (LOGM)                                   | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 11.60 | McCormick & co nv (MKC)                              | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.61 | Microsoft Corp (MSFT)                                | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.62 | Natl - oilwellvarco Inc (NOV)                        | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.63 | Now Inc Com (DNOW)                                   | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 11.64 | Nuance Communications Inc (NUAN)                     | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 11.65 | Nucor Corp (NUE)                                     | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.66 | Oracle Corp (ORCL)                                   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.67 | Palo Alto Networks Inc (PANW)                        | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 11.68 | Paypal Holdings Inc PYPL                             | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |

| #     | DESCRIPTION                          | EIF | VALUE              | INCOME TYPE | INCOME AMOUNT   |
|-------|--------------------------------------|-----|--------------------|-------------|-----------------|
| 11.69 | Pioneer Nat Res Co (PXD)             | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 11.70 | Praxair Inc (PX)                     | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 11.71 | Qualcomm Inc (QCOM)                  | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 11.72 | Qurate Retail Inc Ser A (QRTEA)      | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 11.73 | Red hat Inc (RHT)                    | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 11.74 | Regeneron Pharmaceuticals Inc (REGN) | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 11.75 | Schwab Charles Corp New (SCHW)       | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 11.76 | Splunk Inc (SPLK)                    | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 11.77 | Texas Instruments (TXM)              | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 11.78 | Thermo Fisher Scientific Inc (TMO)   | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 11.79 | Twitter Inc (TWTR)                   | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 11.80 | United Parsel Service Inc Cl b (UPS) | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 11.81 | Unitedhealth Group Inc (UNH)         | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 11.82 | Vertex Pharmaceutical Inc (VRTX)     | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 11.83 | Visa Inc Cl a (V)                    | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 11.84 | Vmware Inc Cl a (VMW)                | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 11.85 | Walt Disney Com (DIS)                | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 11.86 | Wstn Digital Corp (WDC)              | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 11.87 | Yum China Holdings Inc (YUMC)        | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 11.88 | Zoetis Inc (ZTS)                     | N/A | \$1,001 - \$15,000 | Dividends   | \$201 - \$1,000 |
| 12    | Chase                                |     |                    |             |                 |



| #     | DESCRIPTION                                | EIF | VALUE                   | INCOME TYPE | INCOME AMOUNT             |
|-------|--|-----|-------------------------|-------------|---------------------------|
| 12.1  | US Large Cap Equity (Chase)                | N/A | \$15,001 - \$50,000     | Dividends   | \$1,001 - \$2,500         |
| 13    | Fidelity                                   |     |                         |             |                           |
| 13.1  | Cash                                       | N/A | \$100,001 - \$250,000   |             | None (or less than \$201) |
| 13.2  | FMPCC                                      | N/A | \$500,001 - \$1,000,000 |             | \$2,501 - \$5,000         |
| 13.3  | Blackrock Global Allocation (FPNEC)        | N/A | \$100,001 - \$250,000   | Dividends   | \$201 - \$1,000           |
| 13.4  | Fidelity VIP Funds Manager Seventy (FMPCC) | N/A | \$50,001 - \$100,000    | Dividends   | \$201 - \$1,000           |
| 13.5  | Van Guard Target 2055                      |     | \$50,001 - \$100,000    | Dividends   | \$201 - \$1,000           |
| 13.6  | Van Guard Target 2030                      | N/A | \$15,001 - \$50,000     | Dividends   | None (or less than \$201) |
| 13.7  | Dodge & Cox Stock (DODGX)                  | N/A | \$50,001 - \$100,000    | Dividends   | \$201 - \$1,000           |
| 13.8  | First Eagle Oversee R6 (FEORX)             | N/A | \$1,001 - \$15,000      | Dividends   | \$201 - \$1,000           |
| 13.9  | Fidelity 500 Index IPR (FXAIX)             | N/A | \$500,001 - \$1,000,000 | Dividends   | \$2,501 - \$5,000         |
| 13.10 | Standish Income Fund (GCXF)                | N/A | \$1,001 - \$15,000      | Dividends   | \$201 - \$1,000           |
| 13.11 | Metwest tot rtn bd p (MWTXX)               | N/A | \$100,001 - \$250,000   | Dividends   | None (or less than \$201) |
| 13.12 | Af amcap r6 (RAFGX)                        | N/A | \$100,001 - \$250,000   | Dividends   | \$201 - \$1,000           |
| 13.13 | Fidelity Freedom 2030 (FFEX)               | N/A | \$250,001 - \$500,000   | Dividends   | \$1,001 - \$2,500         |

| #     | DESCRIPTION                                     | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|-------|---|-----|-----------------------------|-------------|---------------------------|
| 13.14 | Fidelity Tx Except Money Market (FMOXX)         | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 13.15 | Fidelity Freedom 2030 (FFFEX)                   | N/A | \$100,001 - \$250,000       | Dividends   | \$1,001 - \$2,500         |
| 13.16 | Fidelity Tax Except Money Market (FMOXX)        | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 13.17 | Aqr Managed futures fund CI M (AQMNX)           | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.18 | Eaton Vance Gl Marco Absolute Rtrn Adv (EGRIX)  | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.19 | Strategic Advisor Short Duration Fund (FAUDX)   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.20 | Strategic Advsiors Core Fund (FCSAX)            | N/A | \$50,001 - \$100,000        | Dividends   | \$201 - \$1,000           |
| 13.21 | Fidelity Sai Emerging Markets Index (FERGX)     | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.22 | Strategic Advisors International Funds (FILFX)  | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000           |
| 13.23 | Fidelity Sai Interbational Index (FIONX)        | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.24 | Fidelity Sai US Large Cap Index (FLCPX)         | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.25 | Strategic Advsiors Core Income Fund (FPCIX)     | N/A | \$50,001 - \$100,000        | Dividends   | \$1,001 - \$2,500         |
| 13.26 | Strategic Advsiors Income Oppertunities (FPIOX) | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.27 | FIMM Government Portfolio (FRGXX)               | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.28 | Strategic Advisors Emerging Markets (FSAMX)     | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.29 | Strategic Advsiors Small Mid Cap Fund (FSCFX)   | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000           |

| #     | DESCRIPTION   | EIF | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|-------|---|-----|---------------------|-------------|---------------------------|
| 13.30 | Strategic Advsiors Growth Fund (FSGFX)              | N/A | \$15,001 - \$50,000 | Dividends   | \$201 - \$1,000           |
| 13.31 | Strategic Advisors Value Fund (FVSAX)               | N/A | \$15,001 - \$50,000 | Dividends   | \$201 - \$1,000           |
| 13.32 | Pimco Comodity Real Return INST (PCRIX)             | N/A | \$1,001 - \$15,000  | Dividends   | None (or less than \$201) |
| 13.33 | Fidelity Government Cash Reserves (FDRXX)           | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 13.34 | American Eiropacific Growth Fund (ABPFX)            | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |
| 13.35 | Columbia Contrarian Core Fund (COFRX)               | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |
| 13.36 | ishares Msci Eafe Etf (EFA)                         | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |
| 13.37 | Strategic Adv tax sensitive short dura (FGNSX)      | N/A | \$15,001 - \$50,000 | Dividends   | \$1,001 - \$2,500         |
| 13.38 | Fidelity Intl Cap Appreciation Fund (FIVFX)         | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 13.39 | Franklin Federal Tax Free Class A1 (FKTIX)          | N/A | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 13.40 | 21st Century Fox A (FOXA)                           | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |
| 13.41 | Fidelity Intl Small Cap OPP Fund FSCOX)             | N/A | \$1,001 - \$15,000  | Dividends   | None (or less than \$201) |
| 13.42 | Fidelity New York Muni Income (FTFMX)               | N/A | \$15,001 - \$50,000 | Dividends   | \$201 - \$1,000           |
| 13.43 | Flexshares Trust Morningstar Global Upstream (GUNR) | N/A | \$1,001 - \$15,000  | Dividends   | None (or less than \$201) |
| 13.44 | Ishares Inc Core MSCI Emerging Markets Etf (IEMG)   | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |
| 13.45 | Ishares snp Small Cap 600 Value Etf (IJS)           | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |

| #     | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|-------|---|-----|-----------------------------|-------------|---------------------------|
| 13.46 | IShares Snp 500 Value Etf (IVE)                     | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.47 | IShares Russel 1000 Value Etf (IWD)                 | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.48 | Ishares Ruseel 1000 Growth ETf lwf                  | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000           |
| 13.49 | IShares Russel 2000 Growth Etf (IWO)                | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.50 | IShares Russel Mid cap Value etf (IWS)              | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 13.51 | Janus Henderson Enterprise T (Jaenx)                | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.52 | Lezard Emerging Markets Equity Open Cl (LZEOX)      | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.53 | Blackrock National Muni Fund Class A (MDNLX)        | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000           |
| 13.54 | MFS International Value Fund Class A (MGIAX)        | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.55 | Mainstay Mckay Tax Free Bond Class A (MTBAX)        | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 13.56 | Ulkmark Intl Investor Cl (Oakix)                    | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 13.57 | Ulkmark Fund Investor Class (Oakmx)                 | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 13.58 | Oppenheimer International Bond Fund Class I (OIBIX) | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 13.59 | Oppenheimer International Growth Class I (OIGIX)    | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 13.60 | T Rowe Price Tax Free High Yield (PRHX)             | N/A | \$15,001 - \$50,000         |             | None (or less than \$201) |
| 13.61 | T Rowe Price International STKI (PRIUX)             | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |

| #     | DESCRIPTION  | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|-------|--|-----|-----------------------------|-------------|---------------------------|
| 13.62 | T Rowe Price Emerging Markets Stock Fund I (PRZIX) | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.63 | IShares Tr Eafe Sml Cp Etf (SCZ)                   | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 13.64 | Dws New York Tax Free Inc fd s (SNWYX)             | N/A | \$15,001 - \$50,000         |             | None (or less than \$201) |
| 13.65 | Spdr S&P 500 Etf Trust Unit Ser 1 S&P (SPY)        | N/A | \$15,001 - \$50,000         |             | \$201 - \$1,000           |
| 13.66 | Templeton Global Bond Class A (TPINX)              | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.67 | T Rowe Price Overseas Stock I Cl (Troix)           | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 13.68 | Van Guard Index Fds Small cap Vipers (VB)          | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 13.69 | Van Guard Sector Index Fds (FVH)                   | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.70 | Van Guard Index FDS Growth Etf (VUG)               | N/A | \$50,001 - \$100,000        |             | \$201 - \$1,000           |
| 13.71 | Wells Fargo Special Mid Cap Adm (WFMDX)            | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.72 | Sector spdr tr shs ben int financial (XLF)         | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 13.73 | Fidelity Government Cash Reserves (FDRXX)          | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 13.74 | Aqr Managed Futures Fund Cl n (AQMNX)              | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 13.75 | Eaton Vance Gl Macro Absolute Rtrm Adv i (EGRIX)   | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 13.76 | Strategic Advsiors Short Duration Fund (FAUDX)     | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 13.77 | Strategic Advsiors Core Fund (FCSAX)               | N/A | \$15,001 - \$50,000         | Dividends   | \$2,501 - \$5,000         |

| #     | DESCRIPTION                                     | EIF | VALUE                 | INCOME TYPE | INCOME AMOUNT             |
|-------|---|-----|-----------------------|-------------|---------------------------|
| 13.78 | Fidelity Sai Emerging Markets Index (FERGX)     | N/A | \$1,001 - \$15,000    | Dividends   | None (or less than \$201) |
| 13.79 | Strategic Advisors International Fund (FILFX)   | N/A | \$15,001 - \$50,000   | Dividends   | \$201 - \$1,000           |
| 13.80 | Fidelity Sai International Index (FIONX)        | N/A | \$1,001 - \$15,000    | Dividends   | None (or less than \$201) |
| 13.81 | Fidelity Sai Us Large Cap Index (FLCPX)         | N/A | \$1,001 - \$15,000    | Dividends   | None (or less than \$201) |
| 13.82 | Strategic Advsiors Core Income Fund (FPCIX)     | N/A | \$15,001 - \$50,000   | Dividends   | \$201 - \$1,000           |
| 13.83 | Strategic Advsiors Income Oppertunities (FPIOX) | N/A | \$1,001 - \$15,000    | Dividends   | None (or less than \$201) |
| 13.84 | Fimm Government Portfolio INstl cl (FRGXX)      | N/A | \$1,001 - \$15,000    |             | None (or less than \$201) |
| 13.85 | Strategic Advsiors Emerging Markets (FSAMX)     | N/A | \$1,001 - \$15,000    | Dividends   | None (or less than \$201) |
| 13.86 | Strategic Advsiors Small Mid Cap fd fscfx       | N/A | \$1,001 - \$15,000    | Dividends   | None (or less than \$201) |
| 13.87 | Strategic Advsiors Growth Fund (FSGFX)          | N/A | \$15,001 - \$50,000   | Dividends   | \$1,001 - \$2,500         |
| 13.88 | Strategic Advsiors Value Fund (FVSAX)           | N/A | \$15,001 - \$50,000   | Dividends   | \$1,001 - \$2,500         |
| 13.89 | Pimco Commodity Real return inst (PCRIX)        | N/A | \$1,001 - \$15,000    | Dividends   | None (or less than \$201) |
| 14    | Londondary Entertainment                        |     |                       |             |                           |
| 14.1  | 6 Shares of Londondary Entertainment            | N/A | \$100,001 - \$250,000 |             | None (or less than \$201) |
| 15    | Schwabb   |     |                       |             |                           |

| #    | DESCRIPTION                       | EIF | VALUE                 | INCOME TYPE | INCOME AMOUNT             |
|------|-----------------------------------|-----|-----------------------|-------------|---------------------------|
| 16   | NY 529 College Savings Plan       |     |                       |             |                           |
| 16.1 | Mid Cap Stock Index Portfolio     | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 16.2 | Value Stock Index Portfolio       | N/A | \$250,001 - \$500,000 | Dividends   | \$2,501 - \$5,000         |
| 16.3 | Mid Cap Stock Index Portfolio     | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 16.4 | Value Stock Index Potfolio        | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 16.5 | Conservative Growth Portfolio     | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 16.6 | Developed Markets Index Portfolio | N/A | \$1,001 - \$15,000    | Dividends   | \$201 - \$1,000           |
| 16.7 | Value Stock Index Portfolio       | N/A | \$15,001 - \$50,000   | Dividends   | \$201 - \$1,000           |
| 16.8 | Small Cap Stock Index Portfolio   | N/A | \$15,001 - \$50,000   | Dividends   | \$201 - \$1,000           |
| 16.9 | Conservative Growth Portfolio     | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 17   | Tiaa                              |     |                       |             |                           |
| 17.1 | Tiaa Traditional                  | N/A | \$1,001 - \$15,000    |             | None (or less than \$201) |
| 18   | William Penn Life Insurance       |     |                       |             |                           |
| 18.1 | Personal Life Insurance           | N/A | \$100,001 - \$250,000 | Dividends   | \$2,501 - \$5,000         |
| 19   | Prinipal Insurance                |     |                       |             |                           |
| 19.1 | Personal Life Insurance           | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |

| #    | DESCRIPTION                                     | EIF | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|------|---|-----|---------------------|-------------|---------------------------|
| 20   | Schwab  |     |                     |             |                           |
| 20.1 | Amazon.com (AMZN)                               | N/A | \$15,001 - \$50,000 | Dividends   | \$1,001 - \$2,500         |
| 20.2 | Facebook Inc Class A (FB)                       | N/A | \$15,001 - \$50,000 | Dividends   | \$201 - \$1,000           |
| 20.3 | Netflix Inc (NFLX)                              | N/A | \$15,001 - \$50,000 | Dividends   | \$201 - \$1,000           |
| 20.4 | Apple Inc (AAPL)                                | N/A | \$15,001 - \$50,000 | Dividends   | \$201 - \$1,000           |
| 20.5 | Berkshire Hathway Class B (BRKB)                | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |
| 20.6 | Airboss America Co F (ABSSF)                    | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |
| 20.7 | Spdr S7P 500 Etf (SPY)                          | N/A | \$15,001 - \$50,000 | Dividends   | \$1,001 - \$2,500         |
| 20.8 | Fidelity Select Defnse & Aerospace Fund (SFDAX) | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |
| 20.9 | Cash  |     | \$1,001 - \$15,000  |             | None (or less than \$201) |

## 7. Transactions

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

## 8. Liabilities

None



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## 9. Gifts and Travel Reimbursements

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

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Endnotes

Deadline

# Summary of Contents

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

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

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

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

Part 2 discloses the following:

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

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

## 3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

#### 6. Other Assets and Income

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

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

#### 7. Transactions

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

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

## **8. Liabilities**

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

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

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

This section discloses:

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

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

## Privacy Act Statement

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

## Public Burden Information

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

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

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