

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

Filer's Information

Teplitz, Alaina B

Ambassador - to Sri Lanka and to Maldives, Department of State

Report Year: 2019

Other Federal Government Positions Held During the Preceding 12 Months:

Chief of Mission - Nepal (10/2015 - 8/2018)

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/ Teplitz, Alaina B [electronically signed on 06/14/2019 by Teplitz, Alaina B in Integrity.gov] - Filer received a 30 day filing extension.

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

/s/ Frasure, Virginia, Certifying Official [electronically signed on 07/29/2019 by Frasure, Virginia in Integrity.gov]

Other review conducted by

/s/ Frasure, Virginia, Ethics Official [electronically signed on 07/29/2019 by Frasure, Virginia in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 09/13/2019 by Granahan, Megan in Integrity.gov]

Data Revised 08/05/2019

Data Revised 07/29/2019

Data Revised 07/23/2019

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Family Trust #1	Washington, District of Columbia	Trust	Trustee	4/2015	Present
2	B&WD Holdings	Staunton, Virginia	LLC	Partner	12/2018	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Roth IRA	No			
1.1	Columbia Global Strategic Equity Fund Class A (NLGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	IRA	No			
2.1	Vanguard Life Strategy Growth Fund (VASGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Davidson Custom Engineering, LLC - salary	N/A		Salary	
2	401k Retirement Account	No			
2.1	Vanguard Target Retirement 2030 Fund - Investor Class	Yes	None (or less than \$1,001)		\$50,001 - \$100,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Residential real estate, Washington, DC	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
2	U.S. bank accounts #1 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	U.S. Investment Account - U - A	No			
3.1	Artisan International Fund Class Advisor (APDIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	Brandes Emerging Markets Value Fund Class I (BEMIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	Columbia Global Equity Value Fund Class Institutional (CEVZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	Columbia Large Cap Growth Fund III Class Institutional (NFEPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5	Eaton Vance Large Cap Value Fund Class I (EILVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	Goldman Sachs Mid Cap Value Fund (GSMCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.7	Wells Fargo Intrinsic Small Cap Value Fund Class Inst (WFSSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.8	Boston Trust Small Cap Fund (BOSOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Family Trust #1 - U - M1	No			
4.1	Columbia Global Strategic Equity Fund Class A (NLGIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.2	Columbia Large Cap Growth Fund III Class A (NFEAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.3	Alger Dynamic Opportunities Fund Class A	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5	Family Trust #2 - MS	No			
5.1	U.S. investment account (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.2	3M Company (MMM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.3	Abbott Laboratories (ABT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.4	Abbvie Inc Com (ABBV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.5	AFLAC Incorporated (AFL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.6	Allstate Corp (ALL)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.7	Altria Group Inc (MO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.8	Ameren Corp (HLDG CO) (AEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.9	American Express Co (AXP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.10	Ameriprise Fincl Inc (AMP)	N/A	None (or less than \$1,001)		None (or less than \$201)
5.11	Applied Materials Inc (AMAT)	N/A	None (or less than \$1,001)		None (or less than \$201)
5.12	AT&T Inc (T)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.13	Bank of America Corp (BAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.14	Boeing Co (BA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.15	BP PLC ADS (BP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.16	Bristol Myers Squibb Co (BMV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.17	Caterpillar Inc (CAT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.18	Coca Cola Co (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.19	Conagra Brands Inc (CAG)	N/A	None (or less than \$1,001)		None (or less than \$201)
5.20	Cummins Inc (CMI)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.21	CVS Health Corp Com (CVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.22	Deere & Co (DE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.23	DowDupont Inc (DWDP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.24	Eli Lilly & Co (LLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.25	Emerson Electric Co (EMR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.26	Exxon Mobil Corp (XOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.27	General Electric Co (GE)	N/A	None (or less than \$1,001)		None (or less than \$201)
5.28	General Mills Inc (GIS)	N/A	None (or less than \$1,001)		None (or less than \$201)
5.29	Halliburton Co (HAL)	N/A	None (or less than \$1,001)		None (or less than \$201)
5.30	Home Depot Inc (HD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.31	Honeywell International Inc (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.32	Ingredion Inc Com (INGR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.33	Intel Corp (INTC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.34	Int'l Paper Co (IP)	N/A	None (or less than \$1,001)		None (or less than \$201)
5.35	Int'l Business Machines Corp (IBM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.36	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.37	JPMorgan Chase & Co (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.38	Kraft Heinz Co (KHC)	N/A	None (or less than \$1,001)		None (or less than \$201)
5.39	McDonald's Corp (MCD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.40	Merck & Co Inc New Com (MRK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.41	Microsoft Corp (MFST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.42	Mondelez Int'l Inc Com (MDLZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.43	Morgan Stanley (MS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.44	Olin Corporation (OLN)	N/A	None (or less than \$1,001)		None (or less than \$201)
5.45	Philip Morris Int'l Inc (PM)	N/A	None (or less than \$1,001)		None (or less than \$201)
5.46	Pepsico Inc NC (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.47	Procter & Gamble (PG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.48	Raytheon Co (New) (RTN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.49	Sysco Corp (SYY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.50	Texas Instruments (TXN)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.51	TJX COS Inc NEW (TJX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.52	Travelers Companies Inc COM (TRV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.53	United Technologies Corp (UTX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.54	Verizon Communications (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.55	WalMart Stores Inc (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.56	Walgreens Boots Alliance Inc (WBA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.57	Walt Disney Co HLDG Co (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.58	Waste Mgmt Inc (DELA) (WM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.59	Wells Fargo & Co New (WFC)	N/A	None (or less than \$1,001)		None (or less than \$201)
5.60	Whirlpool Corp (WHR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.61	DWS MUN Income Trust (KSM)	See Endnote	Yes	\$1,001 - \$15,000	\$201 - \$1,000
5.62	Dreyfus Municipal Income (DMF)		Yes	None (or less than \$1,001)	None (or less than \$201)
5.63	Nuveen AMT-Free Alty MUN INC (NEA)		Yes	\$1,001 - \$15,000	None (or less than \$201)
5.64	Nuveen EHCD AMT Free MUN CRED (NVG)		Yes	\$1,001 - \$15,000	None (or less than \$201)
5.65	Nuveen Municipal Value FD INC (NUV)		Yes	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.66	Nuveen Quality Muni Inc Fund (NAD)		Yes	\$1,001 - \$15,000		None (or less than \$201)
5.67	Western Asset MNGD Municipals (MMU)	See Endnote	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
5.68	Tennessee Energy Acquisition Corp Gas REV-C bond	See Endnote	N/A	None (or less than \$1,001)		\$5,001 - \$15,000
5.69	Chicago ILL BRD ED Dedicated Genl Obligation REV REF-F bond	See Endnote	N/A	None (or less than \$1,001)		\$5,001 - \$15,000
5.70	New Jersey ST CTFS Partn REV SER-A bond		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.71	Cenovus Energy Inc note		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.72	Williams Partners LP/William S Partners Finance Corporation note		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.73	Franklin Federal TX FR Inc A (FKTIX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
5.74	Invesco Muni Income Y (VMIIIX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
5.75	Western Asset Managed Muni A (SHMMX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Family Trust #3 - MS - M1		No			
6.1	U.S. investment account (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2	Powershares Senior Loan Port (BKLN)	See Endnote	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
6.3	SPDR S&P Dividend (SDY)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.4	North Wildwood NJ Genl IMPT-B bond	See Endnote	N/A	None (or less than \$1,001)		\$5,001 - \$15,000
7	U.S. Investment Account - U - M2		No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.1	Clearbridge Aggressive Growth Fund Class A (SHRAX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
7.2	Transamerica Asset Allocation Growth Portfolio CL A (IAAAX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
8	Family Trust #4 - MS - M2	No			
8.1	U.S. investment account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.2	Ishares Int'l Select DIV ETF (IDV)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.3	SPDR S&P Dividend (SDY)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9	Family Trust #5 - MS - M1	No			
9.1	U.S investment account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.2	3M Company (MMM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.3	Abbott Laboratories (ABT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.4	Abbvie Inc COM (ABBV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.5	AFLAC Incorporated (AFL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.6	Allstate Corp (ALL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.7	Ameren Corp (HLDG CO) (AEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.8	American Express Co (AXP)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.9	Ameriprise Fincl Inc (AMP)	N/A	None (or less than \$1,001)		None (or less than \$201)
9.10	Applied Materials Inc (AMAT)	N/A	None (or less than \$1,001)		None (or less than \$201)
9.11	AT&T Inc (T)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.12	Bank of America Corp (BAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.13	Boeing Co (BA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.14	BP PLC ADS (BP)	No	\$1,001 - \$15,000		None (or less than \$201)
9.15	Bristol Myers Squibb Co (BMY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.16	Caterpillar Inc (CAT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.17	Coca Cola (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.18	Conagra Brands Inc (CAG)	N/A	None (or less than \$1,001)		None (or less than \$201)
9.19	Cummins Inc (CMI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.20	CVS Health Corp COM (CVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.21	Deere & Co (DE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.22	DowDupont Inc (DWDP)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.23	Eli Lilly & Co (LLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.24	Emerson Electric Co (EMR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.25	Exxon Mobil Corp (XOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.26	Home Depot Inc (HD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.27	Honeywell International Inc (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.28	Intel Corp (INTC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.29	International Paper Co (IP)	N/A	None (or less than \$1,001)		None (or less than \$201)
9.30	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.31	JPMorgan Chase & Co (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.32	McDonalds Corp (MCD)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
9.33	Merck & Co New COM (MRK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.34	Microsoft Corp (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.35	Mondelez Int'l Inc COM (MDLZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.36	Pepsico Inc NC (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.37	Philip Morris Int'l Inc (PM)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.38	Procter & Gamble (PG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.39	Raytheon Co (NEW) (RTN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.40	Sysco Corp (SYY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.41	Texas Instruments (TXN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.42	TJX COS Inc New (TJX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.43	Travelers Companies Inc COM (TRV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.44	United Technologies Corp (UTX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.45	Verizon Communications (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.46	Walmart Stores Inc (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.47	Walgreens Boots Alliance Inc (WBA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.48	Walt Disney Co HLDG CO (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.49	Waste Mgmt Inc (DELA) (WM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.50	Wells Fargo & Co New (WFC)	N/A	None (or less than \$1,001)		None (or less than \$201)
9.51	Pimco 1-5 Yar U.S. TIPX IDX FD (STPZ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.52	Vanguard Short Term BND (BSV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.53	New Jersey ST Higher Ed Assistance Auth Stud LN REV-1 bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.54	Pitney Bowes Inc note	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.55	Bank of America note	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
9.56	Invesco QQQ Trust, Series 1	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.57	SPDR S&P 500 ETF Trust (SPY)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.58	Cisco SYS INC (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	Family Trust #6 - MS - M2	No			
10.1	U.S. investment account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.2	3M Company (MMM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.3	Abbott Laboratories (ABT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.4	Abbvie Inc COM (ABBV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.5	AFLAC Incorporated (AFL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.6	Allstate Corp (ALL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.7	Ameren Corp (HLDG CO) (AEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.8	American Express Co (AXP)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.9	Ameriprise Fincl Inc (AMP)	N/A	None (or less than \$1,001)		None (or less than \$201)
10.10	Applied Materials Inc (AMAT)	N/A	None (or less than \$1,001)		None (or less than \$201)
10.11	Bank of America Corp (BAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.12	Boeing Co (BA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.13	BP PLC ADS (BP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.14	Bristol Myers Squibb Co (BMV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.15	Caterpillar Inc (CAT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.16	Coca Cola Co (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.17	Conagra Brands Inc (CAG)	N/A	None (or less than \$1,001)		None (or less than \$201)
10.18	Cummins Inc (CMI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.19	CVS Health Corp COM (CVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.20	Deere & Co (DE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.21	DowDupont Inc (DWDP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.22	Eli Lilly & Co (LLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.23	Emerson Electric Co (EMR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.24	Exxon Mobil Corp (XOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.25	Home Depot Inc (HD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.26	Honeywell International Inc (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.27	Intel Corp (INTC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.28	International Paper Co (IP)	N/A	None (or less than \$1,001)	Rent or Royalties	
10.29	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.30	JPMorgan Chase & Co (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.31	McDonalds Corp (MCD)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
10.32	Merck & Co Inc NE (MRK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.33	Microsoft Corp (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.34	Mondelez Int'l Inc COM (MDLZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.35	Pepsico Inc NC (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.36	Philip Morris Int'l Inc (PM)	N/A	None (or less than \$1,001)		None (or less than \$201)
10.37	Procter & Gamble (PG)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.38	Raytheon Co (NEW) (RTN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.39	Sysco Corp (SYY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.40	TJX COS Inc NEW (TJX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.41	Travelers Companies Inc COM (TRV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.42	United Technologies Corp (UTX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.43	Verizon Communications (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.44	Walmart Stores Inc (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.45	Walgreens Boots Alliance Inc (WBA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.46	Walt Disney Co HLDG CO (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.47	Waste Mgmt Inc (DELA) (WM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.48	Wells Fargo & Co New (WFC)	N/A	None (or less than \$1,001)		None (or less than \$201)
10.49	Pimco 1-5 Year U.S. TIPX IDX FD (STPZ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.50	Vanguard Short Term BND (BSV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.51	Clarksville Tenn Nat Gas Acquisition Corp Gas REV bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
10.52	Canadian Natural Resources Limited note	See Endnote	N/A		\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.53	Merrill Lynch & Co Inc note	See Endnote	N/A	None (or less than \$1,001)		\$5,001 - \$15,000
10.54	Anadarko Petroleum Corp note		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
10.55	Cenovus Energy Inc note	See Endnote	N/A	None (or less than \$1,001)		\$5,001 - \$15,000
10.56	Cisco SYS INC (CSCO)		N/A	\$1,001 - \$15,000		None (or less than \$201)
10.57	Texas Instruments (TXN)		N/A	\$1,001 - \$15,000		None (or less than \$201)
10.58	Invesco QQQ Trust, Series I (QQQ)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
10.59	SPDR S&P 500 ETF Trust (SPY)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
11	Residential real estate, Staunton, VA		N/A	\$250,001 - \$500,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	General Electric Co	Sale	10/22/2018	\$1,001 - \$15,000
2	General Mills	Sale	10/22/2018	\$1,001 - \$15,000
3	Kraft Heinz Co	Sale	10/22/2018	\$1,001 - \$15,000
4	Whirlpool Corp	Sale	10/22/2018	\$1,001 - \$15,000
5	Haliburton Co	Sale	10/22/2018	\$1,001 - \$15,000
6	Invesco QQQ Trust, Series I	Purchase	10/22/2018	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
7	Ingredion Inc Com	Sale	10/22/2018	\$1,001 - \$15,000
8	AT&T Inc	Sale	10/22/2018	\$1,001 - \$15,000
9	Enbridge Inc	Sale	10/22/2018	\$1,001 - \$15,000
10	SPDR S&P 500 ETF Trust	Purchase	10/22/2018	\$50,001 - \$100,000
11	Altria Group Inc	Sale	10/22/2018	\$1,001 - \$15,000
12	Intl Business Machines Corp	Sale	10/22/2018	\$1,001 - \$15,000
13	Ishares S TRM NAT MUN BD ETF	Sale	10/22/2018	\$1,001 - \$15,000
14	Cohen & Steers Real Estate Securities Fund Class I (CSDIX)	Sale	02222018	\$1,001 - \$15,000
15	Landus U.S. Large Cap Growth Fund Class NL (LGILX)	Sale	02222018	\$1,001 - \$15,000
16	Principal Global Diversified Income Fund Class I	Sale	02222018	\$1,001 - \$15,000
17	John Hancock Disciplined Value Mid Cap Fund Class I (JVMIX)	Sale	02222018	\$1,001 - \$15,000
18	Brandes Emerging Markets Value Fund Class I (BEMIX)	Sale	02222018	\$1,001 - \$15,000
19	Aberdeen Int'l Equity Fund Institutional Class (GIGIX)	Sale	02222018	\$1,001 - \$15,000
20	Alger Spectra Fund Class Z (ASPZX)	Sale	02222018	\$1,001 - \$15,000
21	AMG Yacktman Fund Class I (YACKX)	Sale	02222018	\$1,001 - \$15,000
22	Blackrock High Yield Bond I	Sale	02222018	\$1,001 - \$15,000
23	T Rowe Price New Horizons Fund (PRNHX)	Sale	02222018	\$1,001 - \$15,000
24	Vanguard Life Strategy Growth Fund (VASGX)	Purchase	03222018	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
25	Residential real estate, Staunton VA	Purchase	11/19/2018	\$100,001 - \$250,000
26	Residential real estate, Penrose CO	Sale	08/14/2018	\$500,001 - \$1,000,000
27	Vanguard Target Retirement Fund - Investor Class	Sale	11/01/2018	\$50,001 - \$100,000
28	Clearbridge Aggressive Growth Fund Class A (SHRAX)	Sale	08/15/2018	\$1,001 - \$15,000
29	TransAmerica Asset Allocation Growth Portfolio CL A (IAAAX)	Sale	08/15/2018	\$15,001 - \$50,000
30	Powershares Senior Loan Port (BKLN)	Sale	04/04/2018	\$15,001 - \$50,000

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	U.S. Bank		Mortgage (investment/rental property)	\$500,001 - \$1,000,000	2012	3.5%	30 Year
2	Credit Union of Colorado	See Endnote	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2017	3.9%	15 Year
3	Credit Union of Colorado	See Endnote	Home Equity Line of Credit	\$15,001 - \$50,000	2017	6.5%	Revolving
4	Pilot Bank		Loan for Personal Aircraft	\$15,001 - \$50,000	2013	6.9%	10 Year
5	SDFCU		Mortgage (investment/rental property)	\$100,001 - \$250,000	2018	4.125%	15

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	5.61	Asset changed name from Deutsche Strategic MUN INC TR (KSM) to DWS Strategic MUN Income Trust in 2018.
6.	5.67	Asset matured in 2018
6.	5.68	Asset matured in 2018
6.	5.69	Asset matured in 2018
6.	6.2	Asset sold in 2018
6.	6.4	Asset matured in 2018
6.	10.52	Asset matured 2/1/2018
6.	10.53	Asset matured 7/15/18
6.	10.55	Asset matured 10/29/18
8.	2	Mortgage paid off 8/14/2018 upon sale of house.
8.	3	HELOC paid off 8/14/2018 upon sale of house.

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.

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

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