

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

### Filer's Information

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**Kearns, Jason**

Commissioner, U.S. International Trade Commission

Report Year: 2019

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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/ Kearns, Jason [electronically signed on 05/16/2019 by Kearns, Jason in Integrity.gov]**

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

**/s/ Bianchi, Dominic, Certifying Official [electronically signed on 12/14/2019 by Bianchi, Dominic in Integrity.gov]**

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Other review conducted by

**/s/ Enge, Todd, Ethics Official [electronically signed on 12/13/2019 by Enge, Todd in Integrity.gov]**

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U.S. Office of Government Ethics Certification

Data Revised 12/13/2019

Data Revised 07/17/2019

Data Revised 06/25/2019

Data Revised 06/24/2019

Data Revised 06/14/2019

Data Revised 06/12/2019

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

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	WilmerHale defined contribution plan:	No			
1.1	American Cent Mid Cap Value	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.2	Parnassus Core Equity	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.3	BlackRock Equ Idx	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4	Loomis Sayles Growth Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.5	Vanguard Tax-Managed Small Cap Adm Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
1.6	Oakmark International Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2	Mayer, Brown defined contribution plan:	No			
2.1	Vanguard Target Retirement 2035	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Dodge and Cox Stock Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.3	PGIM Jennison Small Company	Yes	\$15,001 - \$50,000		None (or less than \$201)

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	WilmerHale	Washington, District of Columbia	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	9/2000
2	Mayer, Brown	Chicago, Illinois	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	9/1996

### 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	American University	N/A		salary	
2	Villere Balanced Fund IRA	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
3	Villere Balanced Fund TMS IRA	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

### 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Washington Mutual Investors Fund FWMIX Capital Group	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
2	New Economy Fund FNEFX Capital Group	Yes	Over \$1,000,000		\$5,001 - \$15,000
3	Europacific Growth Fund FEUPX Capital Group	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
4	Vanguard Total Stock Market (VII)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
5	Vanguard Total International Stock ETF (VII)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
6	Vanguard Total World Stock Index (VII)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
7	Vanguard Municipal Bond Fund (VII)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
8	U.S. Bank #1 (Cash)(VII)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	Vanguard Total Stock Market (VI)	Yes	Over \$1,000,000		\$5,001 - \$15,000
10	Progressive Corp (VI)	N/A	\$100,001 - \$250,000		None (or less than \$201)
11	Vanguard Growth ETF (VI)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
12	VISA (VI)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
13	Vanguard Value ETF (VI)	Yes	\$500,001 - \$1,000,000		\$201 - \$1,000
14	Leggett and Platt (VI)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
15	Western Digital Corp (VI)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16	Cypress Semiconductor (VI)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
17	LKQ Corp LKQ (VI)	N/A	\$50,001 - \$100,000		None (or less than \$201)
18	Roper Industries (VI)	N/A	\$100,001 - \$250,000		None (or less than \$201)
19	Weight Watchers Intl (VI)	N/A	\$50,001 - \$100,000		None (or less than \$201)
20	Telefax Inc (VI)	N/A	\$100,001 - \$250,000		None (or less than \$201)
21	Howard Hughes Corp (VI)	N/A	\$100,001 - \$250,000		None (or less than \$201)
22	Pool Corp (VI)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
23	3D Systems Corp (VI)	N/A	\$50,001 - \$100,000		None (or less than \$201)
24	AXON Enterprise (VI)	N/A	\$50,001 - \$100,000		None (or less than \$201)
25	EBIX Inc (VI)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
26	Euronet Worldwide (VI)	N/A	\$100,001 - \$250,000		None (or less than \$201)
27	Genese and Wyoming (VI)	N/A	\$100,001 - \$250,000		None (or less than \$201)
28	Kearney Finl Corp (VI)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
29	Steris Corp (VI)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
30	2U Inc (VI)	N/A	\$50,001 - \$100,000		None (or less than \$201)
31	Vanguard Total International Stock ETF (VI)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
32	U.S. Bank #1 (Cash)(VI)	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
33	Progressive Corp (VJ)	N/A	\$100,001 - \$250,000		None (or less than \$201)
34	VISA (VJ)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
35	Leggett and Platt (VJ)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
36	Western Digital Corp (VJ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
37	Cypress Semiconductor Corp (VJ)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
38	LKQ Corp (VJ)	N/A	\$50,001 - \$100,000		None (or less than \$201)
39	Roper Industries (VJ)	N/A	\$50,001 - \$100,000		None (or less than \$201)
40	Weight Watchers Intl (VJ)	N/A	\$50,001 - \$100,000		None (or less than \$201)
41	Telefax Inc (VJ)	N/A	\$50,001 - \$100,000		None (or less than \$201)
42	Howard Hughes Corp (VJ)	N/A	\$50,001 - \$100,000		None (or less than \$201)
43	Pool Corp (VJ)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
44	3D Systems Corp (VJ)	N/A	\$50,001 - \$100,000		None (or less than \$201)
45	AXON Enterprise (VJ)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
46	EBIX Inc (VJ)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
47	Euronet Worldwide (VJ)	N/A	\$100,001 - \$250,000		None (or less than \$201)
48	Genesee and Wyoming Inc (VJ)	N/A	\$50,001 - \$100,000		None (or less than \$201)
49	Kearnsy Finl Corp (VJ)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
50	Steris Corp (VJ)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
51	2U Inc (VJ)	N/A	\$50,001 - \$100,000		None (or less than \$201)
52	First Hawaiian Inc (VJ)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
53	U.S. Bank #1 (Cash)(VJ)	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
54	U.S. Bank #2(Cash) (JT)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
55	U.S. Bank #2 (Cash)(E)	N/A	\$1,001 - \$15,000		None (or less than \$201)
56	U.S. Bank #2 (Cash)(K)	N/A	\$1,001 - \$15,000		None (or less than \$201)
57	U.S. Bank #2 (Cash)(S)	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
58	Sarofim Equity Fund (E)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
59	Sarofim Equity Fund (K)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
60	Sarofim Equity Fund (S)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
61	Villere Balanced Fund (E)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
62	Villere Balanced Fund (K)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
63	Villere Balanced Fund (S)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
64	Villere Balanced Fund (JT1)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
65	Villere Balanced Fund (JEF)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
66	Family Trust #1				
66.1	U.S. Bank #1 (Cash)	N/A	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
66.2	Schwab Treasury Obligations Money Fund	Yes	Over \$1,000,000		\$15,001 - \$50,000
67	Family Trust #2				
67.1	Vanguard Total Stock Market Index Admiral Shares (VTSAX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
67.2	Frost Total Return Bond Fund	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
67.3	U.S. Bank #1 (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
67.4	Schwab Treasury Obligations Money Fund		Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
67.5	Vanguard Municipal Bond Fund		Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
67.6	Federated Treasury Money Market		N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
67.7	Fiduciary Master Deposit Account		N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
67.8	Vanguard Total Stock Market		Yes	None (or less than \$1,001)		\$1,001 - \$2,500
68	Family Trust #3					
68.1	Vanguard Total Stock Market		Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
68.2	Visa Inc		N/A	\$15,001 - \$50,000		None (or less than \$201)
68.3	AXON Enterprise		N/A	\$15,001 - \$50,000		None (or less than \$201)
68.4	Kearny Financial Corp		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
68.5	Vanguard Municipal Bond Fund		Yes	\$1,001 - \$15,000		None (or less than \$201)
68.6	U.S. Bank #3 (Cash)		N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
68.7	Schwab Treasury Obligations Money Fund		Yes	Over \$1,000,000		\$5,001 - \$15,000
68.8	Vanguard Total International Stock	See Endnote	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
68.9	Financial Technology Ventures II	See Endnote	No	\$100,001 - \$250,000		None (or less than \$201)
68.9.1	Cloudify		N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
68.9.2	ETFS Capital	N/A			
68.9.3	GigaSpaces Technologies	N/A			
68.9.4	Intrepid Learning	See Endnote			
68.9.5	SourceCode Technologies Holdings	N/A			
68.10	Financial Technology Ventures III	See Endnote	No	\$250,001 - \$500,000	None (or less than \$201)
68.10.1	Cedar Capital	N/A			
68.10.2	Credorax	N/A			
68.10.3	Edgewater Markets	N/A			
68.10.4	Empyrean Benefit Solutions	N/A			
68.10.5	Enfusion	N/A			
68.10.6	ID.me	N/A			
68.10.7	InvestCloud	N/A			
68.10.8	LiveIntent	N/A			
68.10.9	NewsCred	N/A			
68.10.10	Perforce	N/A			
68.10.11	ReliaQuest	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
68.10. 12	Riskalyze	N/A			
68.10. 13	Sitehands	N/A			
68.10. 14	Swan Global Investments	N/A			
68.10. 15	True Potential	N/A			
68.10. 16	Vpay	N/A			
68.10. 17	WorldFirst	N/A			
68.11	Financial Technology Ventures IV	See Endnote	No	\$50,001 - \$100,000	None (or less than \$201)
68.11. 1	Aspire Financial Services	N/A			
68.11. 2	BF RIO	N/A			
68.11. 3	Catalyst Repository Systems	N/A			
68.11. 4	Centro Company.com	N/A			
68.11. 5	eBao Tech	N/A			
68.11. 6	Edience	N/A			
68.11. 7	Spredfast	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
68.11.8	Utopia	N/A			
68.12	Fiduciary Trust Company	N/A	None (or less than \$1,001)	Dividends	\$15,001 - \$50,000
68.13	Vanguard Total Stock Market	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
68.14	Federated Treasury Money Market	N/A	None (or less than \$1,001)	Dividends	\$5,001 - \$15,000
68.15	Fiduciary Trust Company	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
68.16	Apple	See Endnote	N/A	Dividends	\$201 - \$1,000
69	Family Trust #4 (LKGSTNE)				
69.1	Schwab Treasury Obligations Money Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
70	Family Trust #5 (Mell 78)				
70.1	Eaton Floating Rate Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
70.2	U.S. Bank #3 (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
70.3	Schwab Treasury Obligations Market Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
70.4	iShare MSCI Emerging Markets ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
70.5	FlexShares Morningstar Global Upstream	Yes	None (or less than \$1,001)		\$201 - \$1,000
70.6	Intel Corp	See Endnote	N/A	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
70.7	Vanguard International Equity	Yes	None (or less than \$1,001)		\$201 - \$1,000
70.8	iShares Global Infrastructure	Yes	None (or less than \$1,001)		\$201 - \$1,000
70.9	iShares MSCI EAFE ETF	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
71	Family Trust #6 (Mell 84)				
71.1	Aberdeen Emerging Markets Institutional Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
71.2	iShares Core MSCI Emerging Markets ETF	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
71.3	iShares MSCI EAFE Growth Index ETF	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
71.4	U.S. Bank #3 (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
71.5	Schwab Treasury Obligations Money Fund	Yes	\$50,001 - \$100,000		\$201 - \$1,000
71.6	iShares MSCI Emerging Markets ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
71.7	iShares MSCI EAFE ETF	Yes	None (or less than \$1,001)		\$201 - \$1,000
71.8	Vanguard International Equity Emerging Markets	Yes	None (or less than \$1,001)		\$201 - \$1,000
71.9	JP Morgan	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
71.10	Vanguard International Equity	Yes	None (or less than \$1,001)		\$201 - \$1,000
71.11	Apple	See Endnote	N/A	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
71.12	Exxon Mobil	See Endnote	N/A	Dividends	\$201 - \$1,000
71.13	FlexShares Morningstar Developed Markets	Yes	None (or less than \$1,001)		\$201 - \$1,000
72	Family Trust #7 (Mell 86 (8692 & 8653))				
72.1	Aberdeen Emerging Markets Institutional Fund (8692)	Yes	\$1,001 - \$15,000		None (or less than \$201)
72.2	iShares Core MSCI Emerging Markets ETF (8692)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
72.3	iShares MSCI EAFE Value Index ETF (8692)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
72.4	U.S. Bank #3 (Cash)(8692)	N/A	\$15,001 - \$50,000		None (or less than \$201)
72.5	Schwab Treasury Obligations Money Fund (8692)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
72.6	Vanguard Municipal Bonds Fund (8692)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
72.7	MFC Vanguard International Equity Index (8692)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
72.8	MFC Vanguard International Equity Index (8692)	Yes	None (or less than \$1,001)		\$201 - \$1,000
72.9	JP Morgan (8692)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
72.10	Kohls Corp (8692)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
72.11	Apple	See Endnote	N/A	Dividends	\$201 - \$1,000
72.12	Exxon Mobil (8692)	See Endnote	N/A	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
72.13	iShares Trust Intermediate Term Corp Bonds (8653)	Yes	None (or less than \$1,001)		\$201 - \$1,000
72.14	iShares TR Iboxx (8653)	Yes	None (or less than \$1,001)		\$201 - \$1,000
72.15	iShares TR Global Infrastructure (8653)	Yes	None (or less than \$1,001)		\$201 - \$1,000
72.16	iShares TR MSCI EAFE ETF (8653)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
72.17	Flexshares Morningstar Global Upstream (8653)	Yes	None (or less than \$1,001)		\$201 - \$1,000
73	Family Trust #8 (Mell 87)				
73.1	iShares MSCI EAFE Growth Index ETF	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
73.2	Eaton Vance Floating Rate Fund	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
73.3	U.S. Bank #3 (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
73.4	Schwab Treasury Obligations Money Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
73.5	iShares MSCI EAFE Value Index ETF	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
73.6	FlexShares Currency Hedged Morningstar	Yes	None (or less than \$1,001)		\$201 - \$1,000
73.7	iShares Trust Intermediate Term Corporate Bonds	Yes	None (or less than \$1,001)		\$201 - \$1,000
73.8	iShares Iboxx	Yes	None (or less than \$1,001)		\$201 - \$1,000
73.9	iShares Global Infrastructure	Yes	None (or less than \$1,001)		\$201 - \$1,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
73.10	iShares MSCI EAFE ETF	Yes	None (or less than \$1,001)		\$201 - \$1,000
73.11	Vanguard International Equity Emerging Markets	Yes	None (or less than \$1,001)		\$201 - \$1,000
73.12	JP Morgan	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
73.13	Vanguard International Equity	Yes	None (or less than \$1,001)		\$201 - \$1,000
74	Family Trust #9 (AWAT)				
74.1	Private Wealth Management Fiduciary Master Deposit Account	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
74.2	Private Wealth Management Fiduciary Master Deposit Account	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
74.3	Atlanta and Fulton County Georgia Facilities Revenue	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
74.4	Minnesota State General Obligation	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
74.5	New York State Dorm Authority Pers Revenue Bonds	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
74.6	Norfolk Virginia General Obligation	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
74.7	Orlando Florida Utilities Commission	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
74.8	Phoenix Arizona Civic Improvement	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
74.9	Salt River Arizon Project Agricultural Improvement	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
74.10	Triborough New York Bridge and Tunnel Transportation	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
74.11	Wisconsin State General Obligation		N/A		Interest	\$201 - \$1,000
74.12	Vanguard Short Term Tax-Exempt Fund		Yes	\$50,001 - \$100,000		None (or less than \$201)
74.13	Visa Inc		N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
74.14	Edgewood Growth Fund		Yes	\$50,001 - \$100,000		None (or less than \$201)
74.15	Federated Strategic Value Dividend Institutional Fund		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
74.16	iShares MSCI ACWI ETF		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
74.17	Blackstone Alternative Multi-Strategy Fund		Yes	\$50,001 - \$100,000		\$201 - \$1,000
74.18	Bernalillo County New Mexico Bonds		N/A	\$50,001 - \$100,000		None (or less than \$201)
74.19	Dublin Ohio General Obligation		N/A	\$50,001 - \$100,000		None (or less than \$201)
74.20	King County Washington General Obligation		N/A	\$50,001 - \$100,000		None (or less than \$201)
74.21	Kingsport Tennessee General Obligation		N/A	\$50,001 - \$100,000		None (or less than \$201)
74.22	Knoxville Tennessee Gas Revenue		N/A	\$50,001 - \$100,000		None (or less than \$201)
74.23	Minneapolis Minnesota General Obligation		N/A	\$50,001 - \$100,000		None (or less than \$201)
75	Family Trust #10 (Arnof Brothers Trust)					
75.1	Woodruff County Arkansas Farmland	See Endnote	N/A	Over \$1,000,000	Rent or Royalties	\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
75.2	Federated Money Market	N/A	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Home Depot Inc 86t	Sale	7/26/18	\$15,001 - \$50,000
2	Alphabet Inc 86t	Sale	7/26/18	\$15,001 - \$50,000
3	Apple Inc. 86t	Sale	7/26/18	\$15,001 - \$50,000
4	Exxon Mobil Corp 86t	Sale	7/26/18	\$15,001 - \$50,000
5	Baxter Intl Inc 86t	Sale	7/26/18	\$1,001 - \$15,000
6	Google Inc. - Class A Common Stock 86t	Sale	7/26/18	\$15,001 - \$50,000
7	Intel Corporation - Common Stock 86t	Sale	7/26/18	\$15,001 - \$50,000
8	NIKE Inc B 86t	Sale	7/26/18	\$15,001 - \$50,000
9	Nucor Corp 86t	Sale	7/26/18	\$1,001 - \$15,000
10	Oracle Corp 86t	Sale	7/26/18	\$15,001 - \$50,000
11	Cisco Systems Inc 86t	Sale	7/26/18	\$1,001 - \$15,000
12	Alphabet Inc 84t	Sale	7/26/18	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
13	Google Inc. - Class A Common Stock 84t	Sale	7/26/18	\$15,001 - \$50,000
14	Apple Inc. 84t	Sale	7/26/18	\$15,001 - \$50,000
15	Baxter Intl Inc 84t	Sale	7/26/18	\$1,001 - \$15,000
16	Exxon Mobil Corp 84t	Sale	7/26/18	\$15,001 - \$50,000
17	Home Depot Inc 84t	Sale	7/26/18	\$15,001 - \$50,000
18	Intel Corporation - Common Stock 84t	Sale	7/26/18	\$15,001 - \$50,000
19	NIKE Inc B 84t	Sale	7/26/18	\$15,001 - \$50,000
20	Nucor Corp 84t	Sale	7/26/18	\$1,001 - \$15,000
21	Oracle Corp 84t	Sale	7/26/18	\$15,001 - \$50,000
22	Berkshire Hathaway B IAT	Sale	7/26/18	\$250,001 - \$500,000
23	Apple Inc. 78t	Sale	7/26/18	\$1,001 - \$15,000
24	Exxon Mobil Corp 78t	Sale	7/26/18	\$1,001 - \$15,000
25	Home Depot Inc 78t	Sale	7/26/18	\$1,001 - \$15,000
26	Intel Corp 78t	Sale	7/26/18	\$15,001 - \$50,000
27	Apple Inc. lkgstes	Sale	7/26/18	\$50,001 - \$100,000
28	Berkshire Hathaway B lkgstes	Sale	7/26/18	\$50,001 - \$100,000
29	Google Inc. - Class A Common Stock 87t	Sale	7/26/18	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
30	Alphabet Inc 87t	Sale	7/26/18	\$1,001 - \$15,000
31	Alphabet Inc 87t	Sale	7/26/18	\$15,001 - \$50,000
32	Apple Inc. 87t	Sale	7/26/18	\$15,001 - \$50,000
33	Baxter Intl Inc 87t	Sale	7/26/18	\$1,001 - \$15,000
34	Exxon Mobil Corp	Sale	7/26/18	\$1,001 - \$15,000
35	Home Depot Inc 87t	Sale	7/26/18	\$1,001 - \$15,000
36	Intel Corp 87t	Sale	7/26/18	\$1,001 - \$15,000
37	Intel Corp 87t	Sale	7/26/18	\$1,001 - \$15,000
38	Nucor Corp 87t	Sale	7/26/18	\$1,001 - \$15,000
39	NIKE Inc B	Sale	7/26/18	\$1,001 - \$15,000
40	Oracle Corp 87t	Sale	7/26/18	\$1,001 - \$15,000
41	Berkshire Hathaway A lki	Sale	7/26/18	Over \$1,000,000
42	Costco Wholesale Corp 84t	Sale	7/26/18	\$1,001 - \$15,000
43	Costco Wholesale Corp 87t	Sale	7/26/18	\$1,001 - \$15,000
44	Grainger W.W. Inc 87t	Sale	7/26/18	\$1,001 - \$15,000
45	Grainger W.W. Inc 86t	Sale	7/30/18	\$1,001 - \$15,000
46	Costco Wholesale Corp 86t	Sale	7/26/18	\$1,001 - \$15,000
47	SNOXX 84t	Purchase	8/9/18	\$15,001 - \$50,000
48	SNOXX lkgstes	Purchase	8/9/18	Over \$1,000,000
49	SNOXX IAFT FBOLK	Purchase	8/9/18	Over \$1,000,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
50	SNOXX IAT FBOLK	Purchase	8/9/18	\$500,001 - \$1,000,000
51	SNOXX 87t	Purchase	8/9/18	\$15,001 - \$50,000
52	SNOXX 86t	Purchase	8/9/18	\$15,001 - \$50,000
53	CVS Health Corp 86t	Sale	8/9/18	\$1,001 - \$15,000
54	Kohl's Corp 86t	Sale	8/9/18	\$15,001 - \$50,000
55	CVS Health Corp 78t	Sale	8/9/18	\$1,001 - \$15,000
56	Weight Wathcers Intl Vill jt	Purchase	8/10/18	\$100,001 - \$250,000
57	Weight Watchers Vill Ind	Purchase	8/10/18	\$100,001 - \$250,000
58	SCHWABMM viljt	Sale	8/14/18	\$15,001 - \$50,000
59	SCHWABMM vilin	Sale	8/14/18	\$50,001 - \$100,000
60	iShares S&P MidCap 400 Index 84t	Sale	8/29/2018	\$1,001 - \$15,000
61	Abbott Laboratories 84t	Sale	8/29/18	\$15,001 - \$50,000
62	American Towers Corp 84t	Sale	8/29/18	\$15,001 - \$50,000
63	Allstate Corp 84t	Sale	8/29/18	\$15,001 - \$50,000
64	Alexion Pharmaceuticals Inc 84t	Sale	8/29/18	\$1,001 - \$15,000
65	Bristol-Myers Squibb 84t	Sale	8/29/18	\$1,001 - \$15,000
66	Becton Dickinson & Co	Sale	8/29/18	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
67	Citigroup 84t	Sale	8/29/18	\$15,001 - \$50,000
68	Salesforce.com 84t	Sale	8/29/18	\$15,001 - \$50,000
69	Walt Disney Co 84t	Sale	8/29/18	\$15,001 - \$50,000
70	Estee Lauder Cos. 84t	Sale	8/29/18	\$15,001 - \$50,000
71	iShares MSCI EAFE Index 84t	Sale	8/29/18	\$15,001 - \$50,000
72	EOG Resources 84t	Sale	8/29/18	\$1,001 - \$15,000
73	Express Scripts Holding Co. 84t	Sale	8/29/18	\$1,001 - \$15,000
74	Express Scripts Holding Co. 84t	Sale	8/29/18	\$1,001 - \$15,000
75	E*TRADE Financial Corp 84t	Sale	8/29/18	\$1,001 - \$15,000
76	Flexshares TR Mornstar (GUNR) 84t	Sale	8/29/18	\$1,001 - \$15,000
77	Ishares Intermediate Credit Bond IGIB 84t	Sale	8/29/18	\$1,001 - \$15,000
78	IntercontinentalExchange 84t	Sale	8/29/18	\$15,001 - \$50,000
79	I shares 1-3 yr credit IGSB 84t	Sale	8/29/18	\$15,001 - \$50,000
80	Alliance Data Systems ADS 84t	Sale	8/29/18	\$15,001 - \$50,000
81	iShares Russell 2000 Index 84t	Sale	8/29/18	\$1,001 - \$15,000
82	McDonald's Corp 84t	Sale	8/29/18	\$1,001 - \$15,000
83	JP Morgan Chase & Co 84t	Sale	8/29/18	\$15,001 - \$50,000
84	Masco Corp 84t	Sale	8/29/18	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
85	Masco Corp 84t	Sale	8/29/18	\$1,001 - \$15,000
86	Masco Corp 84t	Sale	8/29/18	\$1,001 - \$15,000
87	Masco Corp 84t	Sale	8/29/18	\$1,001 - \$15,000
88	Flexshares Stoxx Global NFRA 84t	Sale	8/29/18	\$15,001 - \$50,000
89	Mondelez International Inc 84t	Sale	8/29/18	\$1,001 - \$15,000
90	Norfolk Southern Corp 84t	Sale	8/29/18	\$1,001 - \$15,000
91	Flexshares Ready Access RAVI 84t	Sale	8/29/18	\$1,001 - \$15,000
92	Palo Alto Networks PANW 84t	Sale	8/29/18	\$1,001 - \$15,000
93	Red Hat Inc 84t	Sale	8/29/18	\$15,001 - \$50,000
94	SPDR Dow Jones REIT 84t	Sale	8/29/18	\$1,001 - \$15,000
95	Flexshares Morningstar developed markets TLTD 84t	Sale	8/29/18	\$50,001 - \$100,000
96	Schwab Charles Corp 84t	Sale	8/29/18	\$1,001 - \$15,000
97	Flexshares TR Iboxx TLTE 84t	Sale	8/29/18	\$1,001 - \$15,000
98	Twitter TWTR 84t	Sale	8/29/18	\$15,001 - \$50,000
99	Flexshares Morningstar Emerging Markets TLTE 84t	Sale	8/29/18	\$15,001 - \$50,000
100	Vanguard FTSE VEU 84t	Sale	8/29/18	\$50,001 - \$100,000
101	Vanguard FTSE Emerging Markets VWO 84t	Sale	8/29/18	\$50,001 - \$100,000
102	SNOXX iatfbolk	Sale	8/29/18	\$100,001 - \$250,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
103	BlackRock High Yield Bond Instl 87t	Sale	8/29/18	\$1,001 - \$15,000
104	Ishares Intermediate Credit IGIB 87t	Sale	8/29/18	\$15,001 - \$50,000
105	Abbott Laboratories 87t	Sale	8/29/18	\$1,001 - \$15,000
106	Allstate Corp ALL 87t	Sale	8/29/18	\$1,001 - \$15,000
107	Alexion Pharmaceuticals Inc 87t	Sale	8/29/18	\$1,001 - \$15,000
108	American Tower Corp AMT 87t	Sale	8/29/18	\$1,001 - \$15,000
109	Becton Dickinson & Co 87t	Sale	8/29/18	\$1,001 - \$15,000
110	Vanguard FTSE VEU 87t	Sale	8/29/18	\$50,001 - \$100,000
111	Bristol-Myers Squibb 87t	Sale	8/29/18	\$1,001 - \$15,000
112	Citigroup C 87t	Sale	8/29/18	\$1,001 - \$15,000
113	Salesforce.com 87t	Sale	8/29/18	\$1,001 - \$15,000
114	Walt Disney Co 87t	Sale	8/29/18	\$1,001 - \$15,000
115	iShares MSCI EAFE Index 87t	Sale	8/29/18	\$1,001 - \$15,000
116	iShares MSCI EAFE Index 87t	Sale	8/29/18	\$15,001 - \$50,000
117	Estee Lauder Cos. 87t	Sale	8/29/18	\$1,001 - \$15,000
118	EOG Resources 87t	Sale	8/29/18	\$1,001 - \$15,000
119	Express Scripts Holding Co. 87t	Sale	8/29/18	\$1,001 - \$15,000
120	Express Scripts Holding Co. 87t	Sale	8/29/18	\$1,001 - \$15,000
121	Flexshares TR Morningstar GUNR 87t	Sale	8/29/18	\$15,001 - \$50,000
122	IntercontinentalExchange 87t	Sale	8/29/18	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
123	Alliance Data Systems ADS 87t	Sale	8/29/18	\$1,001 - \$15,000
124	E*TRADE Financial Corp ETFC 87t	Sale	8/29/18	\$1,001 - \$15,000
125	iShares S&P Global Infrastructure Index IGF	Sale	8/29/18	\$15,001 - \$50,000
126	Ishares 1-3 yr credit bond ETF IGSE 87t	Sale	8/29/18	\$15,001 - \$50,000
127	JP Morgan Chase & Co JPM 87t	Sale	8/29/18	\$15,001 - \$50,000
128	iShares Russell 2000 Value Index IWN 87t	Sale	8/29/18	\$15,001 - \$50,000
129	iShares Russell Midcap Index	Sale	8/29/18	\$15,001 - \$50,000
130	Flexshares Credit-scored US long corp (LKOR) 87t	Sale	8/29/18	\$1,001 - \$15,000
131	Flexshares Credit-scored US long corp (LKOR) 87t	Sale	8/29/18	\$1,001 - \$15,000
132	Flexshares Credit-scored US long corp (LKOR) 87t	Sale	8/29/18	\$1,001 - \$15,000
133	iShares iBoxx \$ Invest Grade Corp Bond (LQD) 87t	Sale	8/29/18	\$1,001 - \$15,000
134	iShares iBoxx \$ Invest Grade Corp Bond (LQD) 87t	Sale	8/29/18	\$1,001 - \$15,000
135	Masco Corp (MAS) 87t	Sale	8/29/18	\$1,001 - \$15,000
136	McDonald's Corp (MCD) 87t	Sale	8/29/18	\$1,001 - \$15,000
137	Mondelez International Inc (MDLZ) 87t	Sale	8/29/18	\$1,001 - \$15,000
138	Norfolk Southern Corp (NSC) 87t	Sale	8/29/18	\$1,001 - \$15,000
139	Red Hat Inc (RHT) 87t	Sale	8/29/18	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
140	Palo Alto Networks (PNW) 87t	Sale	8/29/18	\$1,001 - \$15,000
141	SPDR Dow Jones REIT (RWR) 87t	Sale	8/29/18	\$1,001 - \$15,000
142	Schwab Charles Corp (SCHW) 87t	Sale	8/29/18	\$1,001 - \$15,000
143	Twitter Inc (TWTR) 87t	Sale	8/29/18	\$1,001 - \$15,000
144	Flexshares Currency Hedged (TLEH) 87t	Sale	8/29/18	\$15,001 - \$50,000
145	Vanguard FTSE Emerging Markets (VWO) 87t	Sale	8/29/18	\$50,001 - \$100,000
146	Vanguard Mun Bd Fd (VWIUX) 87t	Purchase	8/29/18	\$100,001 - \$250,000
147	iShares MSCI Emerging Markets Index (EEM) 84t	Purchase	8/29/18	\$100,001 - \$250,000
148	Vanguard Mun Bd Fd (VWIUX) iat	Purchase	8/29/18	\$250,001 - \$500,000
149	iShares MSCI Emerging Markets Index (EEM) 78t	Purchase	8/29/18	\$15,001 - \$50,000
150	iShares MSCI Emerging Markets Index (EEM) 78t	Purchase	8/29/18	\$1,001 - \$15,000
151	Vanguard Total International Stock ETF (VXUS) lkgstes	Purchase	8/29/18	\$15,001 - \$50,000
152	Vanguard Total International Stock ETF (VXUS) lkgstes	Purchase	8/29/18	\$100,001 - \$250,000
153	iShares MSCI EAFE Value Index (EFV) 87t	Purchase	8/29/18	\$100,001 - \$250,000
154	Vanguard Mun Bd Fd (VWIUX) lkinditc	Purchase	8/29/18	\$250,001 - \$500,000
155	Vanguard Total World Stock Index (VT) lkinditc	Purchase	8/29/18	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
156	Vanguard Total Stk Mkt (VTI) lkinditc	Purchase	8/29/18	\$100,001 - \$250,000
157	Vanguard Total World Stock Index Fund (VT) lkinditc	Purchase	8/29/18	\$1,001 - \$15,000
158	Vanguard Total World Stock Index Fund (VT) lkinditc	Purchase	8/29/18	\$15,001 - \$50,000
159	Vanguard Total World Stock Index Fund (VT) lkinditc	Purchase	8/29/18	\$15,001 - \$50,000
160	Vanguard Total World Stock Index Fund (VT) lkinditc	Purchase	8/29/18	\$15,001 - \$50,000
161	Vanguard Total World Stock Index Fund (VT) lkinditc	Purchase	8/29/18	\$1,001 - \$15,000
162	Vanguard Total World Stock Index Fund (VT) lkinditc	Purchase	8/29/18	\$15,001 - \$50,000
163	Vanguard Total World Stock Index Fund (VT) lkinditc	Purchase	8/29/18	\$250,001 - \$500,000
164	Vanguard Total International Stock ETF (VXUS) lkinditc	Purchase	8/29/18	\$500,001 - \$1,000,000
165	Aberdeen Emerging Markets Instl (ABEMX) 84t	Purchase	8/31/18	\$250,001 - \$500,000
166	Artisinal International Adv (APDIX) 84t	Purchase	8/31/18	\$250,001 - \$500,000
167	Schwab Charles Family Fd (SNOXX) iaftfbolk	Sale	8/31/18	\$100,001 - \$250,000
168	Artisinal International Adv (APDIX) 87t	Purchase	8/31/18	\$250,001 - \$500,000
169	Eaton Vance Floating Rate I (EIBLX) 87y	Purchase	8/31/18	\$100,001 - \$250,000
170	Northern Emrg Mkts (NOEMX) 86t	Sale	8/31/18	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
171	Northern High Yield Fixed Income (NHFIX) 86t	Sale	8/31/18	\$15,001 - \$50,000
172	American Tower Corp (AMT) 86t	Sale	8/31/18	\$1,001 - \$15,000
173	Becton Dickinson & Co (BDX) 86t	Sale	8/31/18	\$1,001 - \$15,000
174	Ishares intermediate credit bond (IGIB) 86t	Sale	8/31/18	\$15,001 - \$50,000
175	Abbott Laboratories (ABT) 86t	Sale	8/31/18	\$15,001 - \$50,000
176	Celgene Corp (CELG) 86t	Sale	8/31/18	\$1,001 - \$15,000
177	Citigroup (C) 86t	Sale	8/31/18	\$15,001 - \$50,000
178	Walt Disney Co (DIS) 86t	Sale	8/31/18	\$1,001 - \$15,000
179	iShares MSCI EAFE Index (EFA) 86t	Sale	8/31/18	\$50,001 - \$100,000
180	Bristol-Myers Squibb (BMY) 86t	Sale	8/31/18	\$1,001 - \$15,000
181	Bristol-Myers Squibb (BMY) 86t	Sale	8/31/18	\$1,001 - \$15,000
182	Alexion Pharmaceuticals Inc (ALXN) 86t	Sale	8/31/18	\$1,001 - \$15,000
183	Allstate Corp (ALL) 86t	Sale	8/31/18	\$15,001 - \$50,000
184	Salesforce.com (CRM) 86t	Sale	8/31/18	\$15,001 - \$50,000
185	EOG Resources (EOG) 86t	Sale	8/31/18	\$1,001 - \$15,000
186	Express Scripts Holding Co.(ESRX) 86t	Sale	8/31/18	\$15,001 - \$50,000
187	E*TRADE Financial Corp	Sale	8/31/18	\$1,001 - \$15,000
188	Estee Lauder Cos. (EL) 86t	Sale	8/31/18	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
189	IntercontinentalExchange (ICE) 86t	Sale	8/31/18	\$15,001 - \$50,000
190	Flexshares TR Mornstar (GUNR) 86t	Sale	8/31/18	\$15,001 - \$50,000
191	Alliance Data Systems (ADS) 86t	Sale	8/31/18	\$1,001 - \$15,000
192	JP Morgan Chase & Co (JPM) 86t	Sale	8/31/18	\$15,001 - \$50,000
193	iShares S&P Global Infrastructure Index (IGF) 86t	Sale	8/31/18	\$15,001 - \$50,000
194	iShares S&P MidCap 400 Index 86t	Sale	8/31/18	\$15,001 - \$50,000
195	iShares Russell 2000 Value Index (IWN) 86t	Sale	8/31/18	\$15,001 - \$50,000
196	Gilead Sciences Inc (GILD) 86t	Sale	8/31/18	\$15,001 - \$50,000
197	McDonald's Corp (MCD) 86t	Sale	8/31/18	\$1,001 - \$15,000
198	iShares iBoxx \$ Invest Grade Corp Bond (LQD) 86t	Sale	8/31/18	\$15,001 - \$50,000
199	Norfolk Southern Corp (NSC) 86t	Sale	8/31/18	\$1,001 - \$15,000
200	Red Hat Inc (RHT) 8/31/18	Sale	8/31/18	\$15,001 - \$50,000
201	Vanguard FTSE Emerging Markets ETF (VWO) 86t	Sale	8/31/18	\$15,001 - \$50,000
202	Vanguard FTSE All World (VEU) 86t	Sale	8/31/18	\$50,001 - \$100,000
203	Mondelez International Inc (MDLZ) 86t	Sale	8/31/18	\$1,001 - \$15,000
204	Mondelez International Inc (MDLZ) 86t	Sale	8/31/18	\$1,001 - \$15,000
205	Masco Corp (MAS) 86t	Sale	8/31/18	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
206	Schwab Charles Corp (SCHW) 86t	Sale	8/31/18	\$1,001 - \$15,000
207	Schwab Charles Corp (SCHW) 86t	Sale	8/31/18	\$1,001 - \$15,000
208	Flexshares Currency Hedged Morningstar (TLEH) 86t	Sale	8/31/18	\$1,001 - \$15,000
209	SPDR Dow Jones REIT (RWR) 86t	Sale	8/31/18	\$15,001 - \$50,000
210	Palo Alto Networks (PALW) 86t	Sale	8/31/18	\$1,001 - \$15,000
211	Twitter Inc (TWTR) 86t	Sale	8/31/18	\$15,001 - \$50,000
212	Verizon Communications Inc (VZ) 86t	Sale	8/31/18	\$15,001 - \$50,000
213	Flexshares Morningstar Emerging Markets (TLTE) 86t	Sale	8/31/18	\$15,001 - \$50,000
214	iShares iBoxx \$ Invest Grade Corp Bond (LQD) 78t	Sale	8/31/18	\$15,001 - \$50,000
215	Bank of America Corp (BAC) 78t	Sale	8/31/18	\$15,001 - \$50,000
216	Flexshares TR Mornstar UPSTR (GUNR) 78t	Sale	8/31/18	\$15,001 - \$50,000
217	iShares S&P Global Infrastructure Index (IGF) 78t	Sale	8/31/18	\$15,001 - \$50,000
218	Ishares 1-3 yr credit bond ETF (IGSB) 78t	Sale	8/31/18	\$15,001 - \$50,000
219	iShares Russell Midcap Index (IWR) 78t	Sale	8/31/18	\$15,001 - \$50,000
220	iShares Russell 2000 Index (IWM) 78t	Sale	8/31/18	\$15,001 - \$50,000
221	JP Morgan Chase & Co (JPM) 78t	Sale	8/31/18	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
222	Lockheed Martin (LMT) 78t	Sale	8/31/18	\$1,001 - \$15,000
223	iShares MSCI EAFE Index (EFA) 78t	Sale	8/31/18	\$50,001 - \$100,000
224	Flexshares Morningstar Emerging Markets (TLTE) 78t	Sale	8/31/18	\$15,001 - \$50,000
225	Starbucks Corp (SBUX) 78t	Sale	8/31/18	\$1,001 - \$15,000
226	Unitedhealth Group Inc (UNH) 78t	Sale	8/31/18	\$1,001 - \$15,000
227	Vanguard FTSE Emerging Markets ETF (VWO) 78t	Sale	8/31/18	\$15,001 - \$50,000
228	Vanguard FTSE all world (VEU) 78t	Sale	8/31/18	\$15,001 - \$50,000
229	US Bancorp (USB) 78t	Sale	8/31/18	\$1,001 - \$15,000
230	Verizon Communications Inc (VZ) 78t	Sale	8/31/18	\$1,001 - \$15,000
231	Technology Select Sector (XLK) 78t	Sale	8/31/18	\$15,001 - \$50,000
232	Schwab Charles Family Fd (SNOXX) iaftfbolk	Sale	9/4/18	\$50,001 - \$100,000
233	Frost Total Return Bond (FLJEX) iatfbolk	Purchase	9/4/18	\$100,001 - \$250,000
234	Oakmark Intl Fund (OAKIX) 86t	Purchase	9/4/18	\$500,001 - \$1,000,000
235	Aberdeen Emerging Markets Instl (ABEMX) 86t	Purchase	9/4/18	\$100,001 - \$250,000
236	Eaton Vance Floating Rate I (EIBLX) 78t	Purchase	9/4/18	\$250,001 - \$500,000
237	Schwab Charles Family Fd Treas (SNOXX) 78t	Purchase	9/5/18	\$15,001 - \$50,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
238	Schwab Charles Family Fd Treas (SNOXX) 84t	Purchase	9/5/18	\$15,001 - \$50,000
239	Schwab Charles Family Fd (SNOXX) iaftfbolk	Sale	9/11/18	\$15,001 - \$50,000
240	Schwab Charles Family Fd (SNOXX) iaftfbolk	Sale	10/4/18	\$1,001 - \$15,000
241	Schwab Charles Family Fd (SNOXX) iatfbolk	Sale	10/4/18	\$1,001 - \$15,000
242	Schwab Money Market (SCHWABMM) lkind	Purchase	10/4/18	\$1,001 - \$15,000
243	Weight Wathcers (WTW) Schwab Ind	Purchase	11/5/18	\$15,001 - \$50,000
244	Weight Wathcers (WTW) Schwab jt	Purchase	11/5/18	\$15,001 - \$50,000
245	Oakmark International Fund (OANIX) 86t	Sale	12/10/18	\$500,001 - \$1,000,000
246	Aberdeen Emerging Markets Instl (ABEMX) 84t	Sale	12/11/18	\$250,001 - \$500,000
247	Artisan International Instl (APHIX) 84t	Sale	12/11/18	\$250,001 - \$500,000
248	Artisan International Instl (APHIX) 87t	Sale	12/11/18	\$250,001 - \$500,000
249	Aberdeen Emerging Markets Instl (ABEMX) 86t	Sale	12/11/18	\$100,001 - \$250,000
250	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$1,001 - \$15,000
251	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$15,001 - \$50,000
252	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$15,001 - \$50,000
253	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
254	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$1,001 - \$15,000
255	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$15,001 - \$50,000
256	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$50,001 - \$100,000
257	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$1,001 - \$15,000
258	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$1,001 - \$15,000
259	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$15,001 - \$50,000
260	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$15,001 - \$50,000
261	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$1,001 - \$15,000
262	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$1,001 - \$15,000
263	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$1,001 - \$15,000
264	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$1,001 - \$15,000
265	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$1,001 - \$15,000
266	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$1,001 - \$15,000
267	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$1,001 - \$15,000
268	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$50,001 - \$100,000
269	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$1,001 - \$15,000
270	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$50,001 - \$100,000
271	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$1,001 - \$15,000
272	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
273	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$1,001 - \$15,000
274	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$1,001 - \$15,000
275	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$1,001 - \$15,000
276	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$1,001 - \$15,000
277	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$15,001 - \$50,000
278	iShares MSCI EAFE Value Index (EFV) 86t	Purchase	12/11/18	\$50,001 - \$100,000
279	iShares MSCI EAFE Growth Index (EFG) 84t	Purchase	12/12/18	\$15,001 - \$50,000
280	iShares MSCI EAFE Growth Index (EFG) 84t	Purchase	12/12/18	\$1,001 - \$15,000
281	iShares MSCI EAFE Growth Index (EFG) 84t	Purchase	12/12/18	\$1,001 - \$15,000
282	iShares MSCI EAFE Growth Index (EFG) 84t	Purchase	12/12/18	\$15,001 - \$50,000
283	iShares MSCI EAFE Growth Index (EFG) 84t	Purchase	12/12/18	\$15,001 - \$50,000
284	iShares MSCI EAFE Growth Index (EFG) 84t	Purchase	12/12/18	\$250,001 - \$500,000
285	iShares Core MSCI Emerging Markets ETF (IEMG) 84t	Purchase	12/12/18	\$250,001 - \$500,000
286	iShares MSCI EAFE Growth Index (EFG) 87t	Purchase	12/12/18	\$250,001 - \$500,000
287	iShares Core MSCI Emerging Markets ETF (IEMG) 86t	Purchase	12/12/18	\$100,001 - \$250,000
288	New Economy Fund (FNEFX) CapGrplk	Purchase	12/21/18	\$1,001 - \$15,000
289	New Economy Fund (FNEFX) CapGrplk	Purchase	12/21/18	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
290	Europacific Growth Fund (FEUPX) CapGrplk	Purchase	12/24/18	\$1,001 - \$15,000
291	Europacific Growth Fund (FEUPX) CapGrplk	Purchase	12/24/18	\$1,001 - \$15,000
292	Washington Mutual Investors (FWMIX) CapGplk	Purchase	12/27/18	\$1,001 - \$15,000
293	Schwab Charles Family Fd (SNOXX) lkgstne	Purchase	12/28/18	\$100,001 - \$250,000
294	Roper Industries Inc (ROP) schwab ind	Purchase	12/28/18	\$100,001 - \$250,000
295	Teleflex Inc (TFX) Schwab ind	Purchase	12/28/18	\$100,001 - \$250,000
296	Apache Corp (APA) Schwab Ind	Sale	12/28/18	\$50,001 - \$100,000
297	Roper Industries Inc (ROP) Vill jt	Purchase	12/28/18	\$50,001 - \$100,000
298	Teleflex Inc (TFX) Vill jt	Purchase	12/28/18	\$50,001 - \$100,000
299	Apache Corp (APA) Vill jy	Sale	12/28/18	\$50,001 - \$100,000
300	Apache Corp Vill ind	Purchase	01/04/18	\$15,001 - \$50,000
301	Progressive Corp Vill Ind	Purchase	02/07/18	\$100,001 - \$250,000
302	Genesee & WYO Vill ind	Sale	1/11/18	\$15,001 - \$50,000
303	2U, Inc. - Common Stock Vill ind	Sale	3/9/18	\$50,001 - \$100,000
304	Visa Inc Vill ind	Sale	3/9/18	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
305	Axon Enterprise Vill ind	Sale	6/22/18	\$100,001 - \$250,000
306	Financial Engines, Inc. Vill ind	Sale	7/19/18	\$50,001 - \$100,000
307	Financial Engines Vill ind	Sale	7/19/18	\$50,001 - \$100,000
308	Financial Engines Vill ind	Sale	7/19/18	\$15,001 - \$50,000
309	Financial Engines Vill ind	Sale	7/19/18	\$15,001 - \$50,000
310	Acuity Brands Vil ind	Sale	8/9/18	\$50,001 - \$100,000
311	Apache Corp Vill jt	Purchase	01/04/18	\$15,001 - \$50,000
312	First Hawaiian Inc Vill jt	Purchase	1/22/118	\$50,001 - \$100,000
313	Progressive Corp Vill jt	Purchase	02/07/18	\$50,001 - \$100,000
314	3D Systems Corp Vill jt	Purchase	3/7/18	\$15,001 - \$50,000
315	Luminex Corp Vill jt	Sale	1/16/18	\$15,001 - \$50,000
316	Luminex Corp Vill jt	Sale	1/16/18	\$15,001 - \$50,000
317	Dst Sys Inc Vill jt	Sale	1/17/18	\$100,001 - \$250,000
318	2U Inc Vill jt	Sale	3/9/18	\$15,001 - \$50,000
319	2U Inc Vill jt	Sale	3/9/18	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
320	Axon Enterprise Vill jt	Sale	6/22/18	\$100,001 - \$250,000
321	Financial Engines Vill jt	Sale	7/19/18	\$15,001 - \$50,000
322	Financial Engines Vill jt	Sale	7/19/18	\$15,001 - \$50,000
323	Financial Engines Vill jt	Sale	7/19/18	\$15,001 - \$50,000
324	Financial Engines Vill jt	Sale	7/19/18	\$15,001 - \$50,000
325	Financial Engines Vill jt	Sale	7/19/18	\$15,001 - \$50,000
326	Acuity Brands - Vill jt	Sale	08/09/18	\$50,001 - \$100,000
327	MFC Flexshares TR Morningstar Emerging mkts TLTE 7876	Purchase	2/27/18	\$15,001 - \$50,000
328	MFC Flexshares TR Monringstar Global Upstream GUNR 7876	Purchase	2/27/18	\$1,001 - \$15,000
329	MFC Vanguard Intl Equity VEU 7876	Purchase	2/27/18	\$15,001 - \$50,000
330	Chevron Corp CVX 7876	Sale	2/27/18	\$1,001 - \$15,000
331	General Electric GE 7876	Sale	2/27/18	\$1,001 - \$15,000
332	Merck MRK 7876	Sale	2/27/18	\$1,001 - \$15,000
333	MFC Ishares Intermediate Credit Bond CIU 7876	Sale	2/27/18	\$1,001 - \$15,000
334	Pfizer PFE 7876	Sale	2/27/18	\$1,001 - \$15,000
335	Procter and Gamble GD 7876	Sale	2/27/18	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
336	MFC Flexshares TR Morningstar Emerg Mkts TLTE 8481	Purchase	2/27/18	\$15,001 - \$50,000
337	MFC Flexshares TR Morningstar Developed Markets TLTD 8481	Purchase	2/27/18	\$50,001 - \$100,000
338	MFC Vanguard Intl Equity VEU 8481	Purchase	2/27/18	\$50,001 - \$100,000
339	MFC Vanguard Intl Equity Emerging Mkts VWO 8481	Purchase	2/27/18	\$50,001 - \$100,000
340	Allergan AGN 8481	Sale	2/27/18	\$15,001 - \$50,000
341	Biogen Inc BIB 8481	Sale	2/27/18	\$1,001 - \$15,000
342	Celgene CELG 8481	Sale	2/27/18	\$1,001 - \$15,000
343	Chevron CVX 8481	Sale	2/27/18	\$1,001 - \$15,000
344	Coca Cola KO 8481	Sale	2/27/18	\$1,001 - \$15,000
345	CVS Health Corp CVS 8481	Sale	2/27/18	\$1,001 - \$15,000
346	Dicks Sporting Goods DKS 8481	Sale	2/27/18	\$1,001 - \$15,000
347	Duke Energy DUK 8481	Sale	2/27/18	\$1,001 - \$15,000
348	General Electric GE 8481	Sale	2/27/18	\$1,001 - \$15,000
349	Gilead Sciences GILD	Sale	2/27/18	\$1,001 - \$15,000
350	Grainger WW GWW 8481	Sale	2/27/18	\$1,001 - \$15,000
351	Kohls Corp KSS 8481	Sale	2/27/18	\$15,001 - \$50,000
352	Qualcomm QCOM 8481	Sale	2/27/18	\$1,001 - \$15,000
353	Schlumberger SLB 8481	Sale	2/21/18	\$1,001 - \$15,000
354	Shire PLC SHPG 8481	Sale	2/27/18	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
355	Starbucks Corp SBUX 8481	Sale	2/27/18	\$1,001 - \$15,000
356	Twenty First Century Fox FOXA 8481	Sale	2/27/18	\$15,001 - \$50,000
357	Wells Fargo WFC 8481	Sale	2/27/18	\$15,001 - \$50,000
358	Zimmer Biomet ZBH 8481	Sale	2/27/18	\$1,001 - \$15,000
359	MFC Flexshares TR Morningstar Emerg Mkt 8692	Purchase	2/27/18	\$15,001 - \$50,000
360	MFC Vanguard Intl Equity VEU 8692	Purchase	2/27/92	\$50,001 - \$100,000
361	MFC Vanguard Intl Equity Index VWO 8692	Purchase	2/27/18	\$15,001 - \$50,000
362	Allergan AGN 8692	Sale	2/27/18	\$15,001 - \$50,000
363	Biogen Inc BIIB 8692	Sale	2/27/18	\$1,001 - \$15,000
364	Chevron Corp CVX 8692	Sale	2/27/18	\$1,001 - \$15,000
365	Coca Cola KO 8692	Sale	2/27/18	\$1,001 - \$15,000
366	CVS Health Corp CVS 8692	Sale	2/27/18	\$1,001 - \$15,000
367	Dicks Sporting Goods DKS 8692	Sale	2/27/18	\$1,001 - \$15,000
368	Duke Energy Corp DUK 8692	Sale	2/27/18	\$1,001 - \$15,000
369	General Electric GE 8692	Sale	2/27/18	\$1,001 - \$15,000
370	Gilead Sciences GILD 8692	Sale	2/27/18	\$1,001 - \$15,000
371	Qualcomm QCOM 8692	Sale	2/27/18	\$1,001 - \$15,000
372	Schlumberger SLB 8692	Sale	2/27/18	\$1,001 - \$15,000
373	Shire PLC SHPG 8692	Sale	2/27/18	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
374	Starbucks Corp SBUX 8692	Sale	2/27/18	\$1,001 - \$15,000
375	Twenty First Century Fox FOXA 8692	Sale	2/27/18	\$15,001 - \$50,000
376	Wells Fargo WFC 8692	Sale	2/27/18	\$15,001 - \$50,000
377	Zimmer Biomet 8692	Sale	2/27/18	\$1,001 - \$15,000
378	MFC Vanguard Intl Equity Index VWO 8798	Purchase	2/27/18	\$50,001 - \$100,000
379	MFC Vangurad Intl Equity VEU 8798	Purchase	2/27/18	\$50,001 - \$100,000
380	Allergan AGN 8798	Sale	2/27/18	\$1,001 - \$15,000
381	Biogen BIIB 8798	Sale	2/27/18	\$1,001 - \$15,000
382	Celgene CELG 8798	Sale	2/27/18	\$1,001 - \$15,000
383	Chevron Corp 8798	Sale	2/27/18	\$1,001 - \$15,000
384	Coca Cola KO 8798	Sale	2/27/18	\$1,001 - \$15,000
385	CVS Health Corp CVS 8798	Sale	2/27/18	\$1,001 - \$15,000
386	Dicks Sporting Goods DKS 8798	Sale	2/27/18	\$1,001 - \$15,000
387	Duke Energy Corp DUK 8798	Sale	2/27/18	\$1,001 - \$15,000
388	General Electric GE 8798	Sale	2/27/18	\$1,001 - \$15,000
389	Gilead Sciences GILD 8798	Sale	2/27/18	\$1,001 - \$15,000
390	Kohls Corp KSS 8798	Sale	2/27/18	\$1,001 - \$15,000
391	Qualcomm QCOM 8798	Sale	2/27/18	\$15,001 - \$50,000
392	Schlumberger SLB 8798	Sale	2/27/18	\$1,001 - \$15,000
393	Shire plc SHPG 8798	Sale	2/27/18	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
394	Starbucks Corp SBUX 8798		Sale	2/27/18	\$1,001 - \$15,000
395	Twenty First Century Fox FOXA 8798		Sale	2/27/18	\$1,001 - \$15,000
396	Wells Fargo WFC 8798		Sale	2/27/18	\$15,001 - \$50,000
397	Zimmer Biomet ZBH 8798		Sale	2/27/18	\$1,001 - \$15,000
398	Axon Enterprise awat	See Endnote	Sale	1/9/2018	\$15,001 - \$50,000
399	Financial Engines awat	See Endnote		1/9/18	\$1,001 - \$15,000
400	The Howard Hughes Co awat	See Endnote		1/9/18	\$1,001 - \$15,000
401	LKQ Corp awat	See Endnote		1/9/18	\$1,001 - \$15,000
402	Pool corp awat	See Endnote	Sale	1/9/18	\$1,001 - \$15,000
403	Visa awat	See Endnote		1/9/18	\$15,001 - \$50,000
404	Axon Enterprise awat	See Endnote	Sale	1/19/18	\$50,001 - \$100,000
405	Financial Engines awat	See Endnote	Sale	1/19/18	\$15,001 - \$50,000
406	Howard Hughes Co awat	See Endnote		1/19/18	\$50,001 - \$100,000
407	LKQ Corp awat	See Endnote	Exchange	1/19/18	\$100,001 - \$250,000
408	Pool Corp awat	See Endnote	Sale	1/19/18	\$100,001 - \$250,000
409	Vanguard Short Term Tax Ex awat	See Endnote	Sale	4/4/18	\$100,001 - \$250,000
410	Wisconsin St Transp awat	See Endnote	Sale	7/2/18	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
411	DFA International Small Co awat	See Endnote	Sale	11/19/18	\$15,001 - \$50,000
412	DFA International Small Co awat	See Endnote	Sale	11/19/18	\$15,001 - \$50,000
413	Abbey Cap Futures awat	See Endnote	Sale	11/19/18	\$15,001 - \$50,000
414	DFA International Core Equity awat	See Endnote	Sale	12/31/18	\$50,001 - \$100,000
415	DFA International Core Equity awat	See Endnote	Sale	12/31/18	\$50,001 - \$100,000
416	Eaton Corp plc	See Endnote	Sale	12/31/18	\$50,001 - \$100,000
417	Oppenheimer Developing Mkt awat	See Endnote	Sale	12/31/18	\$50,001 - \$100,000
418	Oppenheimer Developing Mkt awat	See Endnote	Sale	12/31/18	\$50,001 - \$100,000

## 8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Freedom Mortgage	See Endnote	Mortgage on Personal Residence	\$250,001 - \$500,000	2011	3.875	30 year

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
6.	68.8	Certificate of divestiture
6.	68.9	Closely held private equity fund
6.	68.9.4	Formerly known as ETF Securities
6.	68.10	Closely held private equity fund
6.	68.11	Closely held private equity fund
6.	68.16	Divested
6.	70.6	Divested
6.	71.11	Divested
6.	71.12	Divested
6.	72.11	Divested
6.	72.12	Divested
6.	75.1	Income derived from one quarter share of the crops
7.	398	This is in trust for my wife's ex-step mother, but the ethics committee has asked us to report this trust as my wife is a remainder beneficiary should there be anything left at the ex-step mother's death.
7.	399	This is in trust for my wife's ex-step mother, but the ethics committee has asked us to report this trust as my wife is a remainder beneficiary should there be anything left at the ex-step mother's death.
7.	400	This is in trust for my wife's ex-step mother, but the ethics committee has asked us to report this trust as my wife is a remainder beneficiary should there be anything left at the ex-step mother's death.
7.	401	This is in trust for my wife's ex-step mother, but the ethics committee has asked us to report this trust as my wife is a remainder beneficiary should there be anything left at the ex-step mother's death.



PART	#	ENDNOTE
7.	417	This is in trust for my wife's ex-step mother, but the ethics committee has asked us to report this trust as my wife is a remainder beneficiary should there be anything left at the ex-step mother's death.
7.	418	This is in trust for my wife's ex-step mother, but the ethics committee has asked us to report this trust as my wife is a remainder beneficiary should there be anything left at the ex-step mother's death.
8.	1	The year incurred is an estimate as we refinanced and can not recall the exact year. We know it has been more than 4 years.

# 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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received 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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received 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, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received 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 in income was received). 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 ten 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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