

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Schultz, David T.	2. Court or Organization U.S. District Court for the District of Minnesota	3. Date of Report 08/08/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address United States District Court 9E U.S. Courthouse 300 South Fourth Street Minneapolis, MN 55415		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☒ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.		
2.		
3.		
4.		
5.		

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2017	Retirement savings plan with Maslon (former employer)
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2017	Self-employed - attorney	\$20,000.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2017	Fairview Health Systems (salary)
2.	
3.	
4.	

IV. REIMBURSEMENTS *— transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*NONE *(No reportable gifts.)*

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. BROKERAGE ACCOUNT #1 (H)									
2. UBS CASH FLOW ACCOUNT (CASH ACCOUNT)	A	Interest	J	T					
3. BROKERAGE ACCOUNT #2 (H)									
4. UBS BANK USA DEP ACCT	A	Interest	J	T					
5. BROKERAGE ACCOUNT #3 (H)									
6. UBS BANK USA DEP ACCT	A	Interest	J	T					
7. VANGUARD TOTAL WORLD STK ETF (VT)	A	Dividend	J	T	Buy (add'l)	11/03/17	J		
8. PIMCO STOCKPLUS INTL FUND (PIHUX)	A	Dividend	J	T	Buy (add'l)	09/11/17	J		
9.					Sold (part)	11/03/17	J	A	
10. VOYA GLOBAL REAL ESTATE FUND (IGLIX)	B	Dividend	J	T	Sold (part)	11/02/17	J		
11. VOYA SMALLCAP OPPORTUNITIES FUND CLASS (NSPIX)	A	Dividend	J	T	Buy (add'l)	11/02/17	J		
12. PIMCO ENHANCED SHORT MAT ACTIVE EXCHANGE-TRADED FD (MINT)	A	Dividend	J	T	Sold (part)	09/12/17	J		
13. VANGUARD MORTGAGE BACKED SECURITIES ETF (VMBS)	A	Dividend	J	T					
14. ANGEL OAK MULTI-STRATEGY INCOME FUND CLASS INSTL (ANGIX)	A	Dividend	J	T	Sold (part)	11/02/17	J		
15. LORD ABBETT BOND DEBENTURE FUND (LBDFX)	A	Dividend	J	T					
16. PIMCO DIVERSIFIED INCOME FUND (PDVPX)	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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17. TEMPLETON GLBAL BOND ADV (TGBAX)	A	Dividend	J	T	Buy (add'l)	11/02/17	J		
18. VANGUARD INTERMEDIATE TERM TREASURY FUND ADM (VFIUX)	A	Dividend	J	T					
19. VIRTUS MULTI-SECTOR SHORT TERM BOND FUND (PIMSX)	A	Dividend	J	T	Sold	09/11/17	J	A	
20.					Buy	11/02/17	J		
21. LONGBOARD MANAGED FUTURES STRATEGY FUND (WAVIX)		None	J	T	Sold (part)	11/02/17	J		
22. RIVERPARK LONG/SHORT OPPORTUNITY FUND (RLSIX)	A	Dividend	J	T	Sold (part)	11/02/17	J	A	
23. AMER FUNDS AMERICAN BALANCED FUND (AMBFX)	A	Dividend	J	T					
24. SPDR GOLD SHARES ETF DE (GLD)		None	J	T	Buy	09/12/17	J		
25.					Sold (part)	11/03/17	J		
26. IRA #1 (H)									
27. UBS BANK USA DEP ACCT	A	Interest	L	T					
28. ADOBE SYSTEMS INC (DELAWARE) (ADBE)		None	K	T	Sold (part)	04/27/17	J	A	
29.					Buy (add'l)	09/21/17	J		
30. ALPHABET INC CL A (GOOGL)		None	K	T	Sold (part)	04/27/17	J	A	
31.					Buy (add'l)	09/21/17	J		
32. ALPHABET IN CL C (GOOG)		None	K	T	Sold (part)	04/27/17	J	A	
33.					Buy (add'l)	09/21/17	J		

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34. AMAZON.COM INC (AMZN)		None	K	T	Sold (part)	04/27/17	J	A	
35.					Buy (add'l)	09/21/17	J		
36. BANK OF AMERICA CORP (BAC)	A	Dividend	J	T	Sold (part)	04/27/17	J	A	
37.					Buy (add'l)	09/21/17	J		
38. CELGENE CORP (CELG)		None	J	T	Sold (part)	04/27/17	J		
39.					Buy (add'l)	09/21/17	J		
40. FACEBOOK INC CL A (FB)		None	K	T	Buy (add'l)	09/21/17	J		
41. LOREAL CO ADR FRANCE ADR (LRLCY)	A	Dividend	J	T	Buy (add'l)	05/02/17	J		
42.					Buy (add'l)	09/21/17	J		
43. MICROSOFT CORP (MSFT)	A	Dividend	K	T	Sold (part)	04/27/17	J	A	
44.					Buy (add'l)	09/21/17	J		
45. CONSUMER DISCRETIONARY SELECT SECTOR SPDR FUND ETF (XLY)	A	Dividend	K	T	Sold (part)	04/27/17	J	A	
46.					Sold (part)	08/14/17	J	B	
47.					Buy (add'l)	09/21/17	J		
48. ENERGY SELECT SECTOR SPDR FUND (XLE)	A	Dividend	J	T	Sold (part)	04/27/17	J	A	
49.					Buy (add'l)	09/21/17	J		
50. FINANCIAL SELECT SECTOR SPDR FUND ETF (XLF)	A	Dividend	K	T	Sold (part)	04/27/17	J	A	

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51.					Buy (add'l)	09/21/17	J		
52. HEALTH CARE SELECT SECTOR SPDR FUND ETF (XLV)	A	Dividend	K	T	Sold (part)	04/27/17	J	A	
53.					Buy (add'l)	09/21/17	J		
54. INDUSTRIAL SELECT SECTOR SPDR FUND ETF (XLI)	A	Dividend	K	T	Sold (part)	04/27/17	J	A	
55. ISHARES RUSSELL 2000 ETF (IWM)	A	Dividend	J	T	Sold (part)	04/27/17	J	A	
56.					Buy (add'l)	09/21/17	J		
57. REAL ESTATE SELECT SECT SPDR ETF (XLRE)	A	Dividend			Sold (part)	04/27/17	J		
58.					Sold	08/15/17	J	A	
59. SPDR S&P PHARMACEUTICALS ETF (XPH)	A	Dividend			Sold (part)	04/27/17	J		
60.					Sold	08/15/17	J		
61. VANGUARD TOTAL STOCK MKT ETF (VTI)	A	Dividend	K	T	Sold (part)	04/27/17	J	A	
62.					Buy (add'l)	09/21/17	J		
63. VANGUARD S&P 500 ETF (VOO)	A	Dividend	K	T	Sold	04/27/17	J	A	
64.					Buy	09/21/17	J		
65. VANGUARD FTSE PAC ETF (VPL)	A	Dividend	J	T	Buy	04/27/17	J		
66.					Buy (add'l)	09/21/17	J		
67. VANGUARD FTSE EUROPE ETF (VGK)	A	Dividend	K	T	Buy	04/27/17	K		

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68.					Buy (add'l)	09/21/17	J		
69. VANGUARD FTSE EMERGING MARKETS ETF (VWO)	A	Dividend	J	T	Buy	04/27/17	J		
70.					Buy (add'l)	09/21/17	J		
71. OPPENHEIMER INTERNATIONAL GROWTH FUND (OIGYX)	A	Dividend	J	T	Buy (add'l)	09/20/17	J		
72. WILLIAM BLAIR EMERGING MARKETS SMALL CAP GROWTH FUND (BESIX)	A	Dividend	K	T	Buy	04/27/17	K		
73.					Buy (add'l)	09/21/17	J		
74. ISHARES TIPS BOND ETF (TIP)	A	Dividend	K	T	Sold (part)	04/27/17	J		
75.					Buy (add'l)	09/20/17	J		
76. AMER FUNDS THE BOND FUND OF AMERICA FUND (ABNFX)	A	Dividend	K	T	Sold (part)	04/27/17	J		
77.					Buy (add'l)	09/20/17	J		
78. ANGEL OAK FLEXIBLE INCOME FUND (ANFIX)	A	Dividend	K	T	Buy (add'l)	09/20/17	J		
79. DREYFUS/STANDISH GLOBAL FIXED INCOME FUND (SDGIX)	A	Dividend	K	T	Sold (part)	04/27/17	J		
80.					Buy (add'l)	09/20/17	J		
81. EATON VANCE FLOATING RATE ADVANTAGE (EIFAX)	A	Dividend	J	T	Buy (add'l)	09/20/17	J		
82. EV MULTISECTOR INCOME FUND (EVBIX)	A	Dividend	J	T	Buy (add'l)	09/20/17	J		
83. PRUDENTIAL TOTAL RETURN BOND FUND (PDBZX)	A	Dividend	K	T	Sold (part)	04/27/17	J		

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84.					Buy (add'l)	09/20/17	J		
85. GOLDMAN SACHS MULTI-MANAGER ALTS FUND (GSMX)		None			Sold	08/10/17	J	A	
86. LONGBOARD MANAGED FUTURES STRATEGY FUND (WAVIX)		None	K	T	Sold (part)	04/27/17	J		
87.					Buy (add'l)	09/20/17	J		
88. SPDR GOLD SHARES ETF DE (GLD)		None	K	T	Buy	08/15/17	K		
89.					Buy (add'l)	09/21/17	J		
90. IRA #2 (H)									
91. UBS BANK USA DEP ACCT (CASH)	A	Interest	M	T					
92. SKYBRIDGE MULTI-ADVISER HEDGE FD PORTFOLIOS LLC SER A/O		None	L	T					
93. ABBEY CAPITAL MULTI-MANAGER FUND LTD		None	K	T					
94. CITIGROUP GLOBAL MARKETS CB- GEARS SPX		None	K	T	Buy	08/31/17	K		
95. HSBC USA INC CT-GEARS EEM		None	K	T	Buy	09/29/17	K		
96. JPMORGAN CHASE FINANCIAL CT- GEARS RTY		None	K	T	Buy	09/29/17	K		
97. IRA #3 (H)									
98. UBS BANK USA DEP ACCT	A	Interest	K	T					
99. ACCENTURE PLC IRELAND CL A (ACN)	A	Dividend	J	T	Buy (add'l)	09/14/17	J		
100. ALPHABET INC CL A (GOOGL)		None	K	T	Buy (add'l)	09/14/17	J		

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
101. AMERICA TOWER CORP REIT (AMT)	A	Dividend	J	T	Buy (add'l)	09/11/17	J		
102. CELGENE CORP (CELG)		None	J	T	Buy (add'l)	09/14/17	J		
103. CHEVRON CORP (CVX)	A	Dividend	J	T	Buy (add'l)	09/14/17	J		
104. COLGATE PALMOLIVE CO (CL)	A	Dividend	J	T	Buy (add'l)	09/14/17	J		
105. EDWARDS LIFESCIENCES CORP (EW)		None	J	T					
106. EXXON MOBIL CORP (XOM)	A	Dividend			Sold	09/14/17	J		
107. FACEBOOK INC CL A (FB)		None	K	T	Buy (add'l)	09/14/17	J		
108. FEDEX CORP (FDX)	A	Dividend	J	T	Buy (add'l)	09/14/17	J		
109. FORD MOTOR CO COM NEW (F)	A	Dividend			Sold	09/11/17	J		
110. GENL ELECTRIC CO (GE)	A	Dividend			Sold	09/14/17	J		
111. GILEAD SCIENCES INC (GILD)	A	Dividend	J	T					
112. INTEL CORP (INTC)	A	Dividend	J	T					
113. INTERCONTINENTAL EXCHANGE GROUP (ICE)	A	Dividend	J	T	Buy (add'l)	09/14/17	J		
114. JPMORGAN CHASE & CO (JPM)	A	Dividend	J	T	Buy (add'l)	09/14/17	J		
115. LAUDER ESTEE COS CL A DE (EL)	A	Dividend	J	T	Buy	09/14/17	J		
116. LULULEMON ATHLETICA INC (LULU)		None	J	T					
117. MICROSOFT CORP (MSFT)	A	Dividend	K	T	Buy (add'l)	09/14/17	J		

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
118. MONDELEZ INTL INC DE (MDLZ)	A	Dividend	J	T	Buy	09/11/17	J		
119.					Buy (add'l)	09/14/17	J		
120. MYLAN N V EUR DE (MYL)		None	J	T	Buy	09/14/17	J		
121. O REILLY AUTOMOTIVE INC (ORLY)		None			Sold	09/11/17	J		
122. PALO ALTO NETWORKS INC (PANW)		None	J	T	Buy (add'l)	09/14/17	J		
123. PAYPAL HOLDINGS INC (PYPL)		None	J	T	Buy (add'l)	09/14/17	J		
124. PEPSICO INC (PEP)	A	Dividend	J	T	Buy (add'l)	09/14/17	J		
125. PULTE GROUP INC DE (PHM)	A	Dividend	J	T	Buy	09/14/17	J		
126. ROBO GLOBAL ROBOTICS & AUT INDEX ETF DE (ROBO)	A	Dividend	J	T	Buy	09/14/17	J		
127. SCHLUMBERGER LTD NETHERLANDS ANTILLES (SLB)	A	Dividend			Sold	09/14/17	J		
128. THERMO FISHER SCIENTIFIC INC (TMO)	A	Dividend	J	T					
129. TJX COS INC NEW (TJX)	A	Dividend			Buy (add'l)	09/14/17	J		
130.					Sold	10/20/17	J	A	
131. UNTD TECHNOLOGIES CORP (UTX)	A	Dividend	J	T	Buy (add'l)	09/14/17	J		
132. US BANCORP DEL (NEW) (USB)	A	Dividend	J	T	Buy (add'l)	09/14/17	J		
133. WALT DISNEY CO HOLDING CO (DIS)	A	Dividend			Sold	09/14/17	J		
134. WHIRLPOOL CORP DE (WHR)	A	Dividend	J	T	Buy	09/11/17	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
135.					Buy (add'l)	09/14/17	J		
136. 3M CO (MMM)	A	Dividend	J	T	Buy (add'l)	09/14/17	J		
137. ISHARES RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	J	T	Buy (add'l)	09/14/17	J		
138. VANECK VECTORS MORNINGSTAR WIDE MOAT ETF (MOAT)	A	Dividend	K	T	Buy (add'l)	09/14/17	J		
139. VANGUARD S&P 500 ETF (VOO)	A	Dividend	J	T	Buy (add'l)	09/14/17	J		
140. IRA #4 (H)									
141. UBS BANK USA DEP ACCT	A	Dividend	L	T					
142. ALIBABA GROUP HLDG LTD SPON ADR (BABA)		None	J	T	Buy (add'l)	07/21/17	J		
143.					Buy (add'l)	09/21/17	J		
144. AKAMAI TECHNOLOGIES INC DE (AKAM) (Y)									
145. AMAZON.COM INC (AMZN)		None	J	T	Buy (add'l)	07/21/17	J		
146.					Buy (add'l)	09/21/17	J		
147. AMERIPRISE FINANCIAL INC (AMP)	A	Dividend	J	T	Buy (add'l)	07/21/17	J		
148. ANDEAVOR COM (ANDV) (FORMERLY TESORO CORP (TSO))	A	Dividend	J	T	Buy (add'l)	07/21/17	J		
149.					Buy (add'l)	09/21/17	J		
150. BROADCOM LTD (AVGO)	A	Dividend	J	T	Buy (add'l)	07/21/17	J		
151.					Buy (add'l)	09/21/17	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
152. CELGENE CORP (CELG)		None	J	T	Buy (add'l)	07/21/17	J		
153.					Buy (add'l)	09/21/17	J		
154. CITIGROUP INC (C)	A	Dividend	J	T	Sold	04/10/17	J	A	
155.					Buy	07/21/17	J		
156.					Buy (add'l)	09/21/17	J		
157. CTRIP.COM INTL LTD ADS (CTRP)		None	J	T	Buy (add'l)	07/21/17	J		
158.					Buy (add'l)	09/21/17	J		
159. DANAHER CORP (DHR)	A	Dividend	J	T	Buy (add'l)	07/21/17	J		
160.					Buy (add'l)	09/21/17	J		
161. DENTSPLY SIRONA INC (XRAY)	A	Dividend	J	T	Buy (add'l)	07/21/17	J		
162.					Buy (add'l)	09/21/17	J		
163. ELECTRONIC ARTS (EA)		None	J	T	Buy (add'l)	07/21/17	J		
164.					Buy (add'l)	09/21/17	J		
165. EXPEDIA INC (EXPE)	A	Dividend	J	T	Buy (add'l)	07/21/17	J		
166.					Buy (add'l)	09/21/17	J		
167. EXPRESS SCRIPTS HLDG CO (ERSX)		None	J	T	Buy (add'l)	07/21/17	J		
168.					Buy (add'l)	09/21/17	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
169. FORTIVE CORP (FTV) (Y)									
170. HANESBRANDS INC (HBI)	A	Dividend	J	T	Buy (add'l)	07/21/17	J		
171.					Buy (add'l)	09/21/17	J		
172. INCYTE CORP (INCY)		None	J	T	Buy (add'l)	07/21/17	J		
173.					Buy (add'l)	09/21/17	J		
174. INTERCONTINENTAL EXCHANGE GROUP (ICE)	A	Dividend	J	T	Buy (add'l)	07/21/17	J		
175.					Buy (add'l)	09/21/17	J		
176. LEAR CORP COM NEW (LEA)	A	Dividend	J	T	Buy (add'l)	07/21/17	J		
177.					Buy (add'l)	09/21/17	J		
178. MCKESSON CORP (MCK)	A	Dividend	J	T	Buy (add'l)	07/21/17	J		
179.					Buy (add'l)	09/21/17	J		
180. NVIDIA CORP (NVDA)	A	Dividend	J	T	Buy (add'l)	07/21/17	J		
181.					Buy (add'l)	09/21/17	J		
182. PVH CORP COM (PVH)	A	Dividend	J	T	Buy (add'l)	07/21/17	J		
183.					Buy (add'l)	09/21/17	J		
184. SERVICE CORP INTL (SCI)	A	Dividend	J	T	Buy (add'l)	07/21/17	J		
185.					Buy (add'l)	09/21/17	J		

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q ~Appraisal U ~Book Value	R ~Cost (Real Estate Only) V ~Other	S ~Assessment W ~Estimated	T ~Cash Market	

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
186. SERVICEMASTER GLOBAL HLDGS INC (SERV)		None			Sold	01/31/17	J	A	
187. TJX COS INC NEW (TJX)	A	Dividend	J	T	Buy (add'l)	07/21/17	J		
188.					Buy (add'l)	09/21/17	J		
189. UNDER ARMOUR INC CL A (UAA)		None			Sold	04/10/17	J		
190. UNDER ARMOUR INC CL C (UA) (Y)									
191. UNTD TECHNOLOGIES CORP (UTX)	A	Dividend	J	T	Buy (add'l)	07/21/17	J		
192.					Buy (add'l)	09/21/17	J		
193. VISTEON CORP COM NEW (VC)		None	J	T	Buy (add'l)	07/21/17	J		
194.					Buy (add'l)	09/21/17	J		
195. ISHARES RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	J	T	Buy (add'l)	07/21/17	J		
196.					Buy (add'l)	09/21/17	J		
197. ISHARES NASDAQ BIOTECHNOLOGY ETF (IBB)	A	Dividend	J	T	Buy (add'l)	07/21/17	J		
198.					Buy (add'l)	09/21/17	J		
199. ISHARES US AEROSPACE & DEFENSE ETF (ITA)	A	Dividend	J	T	Buy (add'l)	01/31/17	J		
200.					Buy (add'l)	07/21/17	J		
201.					Buy (add'l)	09/21/17	J		
202. ROBO GLOBAL ROBOTICS & AUT INDEX ETF DE (ROBO)	A	Dividend	J	T	Buy	04/10/17	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
203.					Buy (add'l)	07/21/17	J		
204.					Buy (add'l)	09/21/17	J		
205. IRA #5 (H)									
206. UBS BANK USA DEP ACCT	A	Interest	J	T					
207. ADIENT PLC (ADNT)	A	Dividend	J	T	Buy	08/09/17	J		
208. ASTRAZENECA PLC SPON ADR (AZN)	A	Dividend			Sold	08/04/17	J		
209. BLACKROCK INC DE (BLK)	A	Dividend	J	T	Buy	08/09/17	J		
210. BRITISH AMER TABACCO PLC GB SPON ADR (BTT)	A	Dividend	J	T					
211. CITIGROUP INC (C)	A	Dividend	J	T	Buy	08/09/17	J		
212. CME GROUP INC (CME)	A	Dividend	J	T	Buy (add'l)	08/09/17	J		
213. COCA COLA CO COM (KO)	A	Dividend			Sold	08/04/17	J	A	
214. CVS HEALTH CORP (CVS)	A	Dividend			Sold	08/04/17	J		
215. GENL MILLS INC (GIS)	A	Dividend			Sold	08/04/17	J	A	
216. HOME DEPOT INC (HD)	A	Dividend	J	T					
217. HONEYWELL INTL INC (HON)	A	Dividend	K	T	Sold (part)	08/04/17	J	B	
218. ILLNOIS TOOL WORKS INC (ITW)	A	Dividend	J	T	Sold (part)	08/04/17	J	B	
219. INTEL CORP (INTC)	A	Dividend	J	T	Buy (add'l)	08/09/17	J		

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
2. Value Codes	J ~\$15,000 or less (See Columns C1 and D3)	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes	P3 ~\$25,000,001 - \$50,000,000 (See Column C2)	Q ~Appraisal U ~Book Value	R ~Cost (Real Estate Only) V ~Other	P4 ~More than \$50,000,000 S ~Assessment W ~Estimated	T ~Cash Market

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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
220. JOHNSON CTLS INTL PLC (JCI) (Y)									
221. JOHNSON & JOHNSON COM (JNJ)	A	Dividend	J	T	Buy (add'l)	08/09/17	J		
222. LOCKHEED MARTIN CORP (LMT)	A	Dividend	J	T	Buy (add'l)	08/09/17	J		
223. NEXTERA ENERGY INC COM (NEE)	A	Dividend	K	T					
224. PACCAR INC (PCAR) (X)	A	Dividend	J	T	Buy (add'l)	08/09/17	J		
225. PEPSICO INC (PEP)	A	Dividend	J	T					
226. PRAXAIR (PX)	A	Dividend	J	T	Buy	08/09/17	J		
227. ROCKWELL COLLINS (COL)	A	Dividend	J	T	Buy	08/09/17	J		
228. ROCKWELL AUTOMATION (ROK)	A	Dividend	J	T	Buy	08/09/17	J		
229. STARBUCKS CORP (SBUX)	A	Dividend	J	T	Buy (add'l)	08/09/17	J		
230. TAIWAN SEMICONDUCTOR MFG CO LTD ADR (TSM)	A	Dividend	J	T	Buy (add'l)	08/09/17	J		
231. TEXAS INSTRUMENTS (TXN)	A	Dividend	J	T					
232. 3M CO (MMM)	A	Dividend	J	T					
233. ISHARES MSCI EAFE VAL ETF (EFV) (X)	A	Dividend	J	T	Buy (add'l)	08/09/17	J		
234. SPDR S&P DIVIDEND ETF (SDY)	A	Dividend	J	T					
235. VANGUARD VALUE ETF (VTV)	A	Dividend	J	T	Buy (add'l)	08/09/17	J		
236. VANGUARD REIT ETF (VNQ)	A	Dividend	J	T	Sold (part)	08/04/17	J	A	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
3. Value Method Codes	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
(See Column C2)	U = Book Value	V = Other	W = Estimated		

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

237. GOLDMAN SACHS US EQUITY DIVIDEND AND PREMIUM FUND (GSPKX)	B	Dividend	K	T	Buy (add'l)	01/11/17	J		
238.					Buy (add'l)	08/07/17	J		
239. GOLDMAN SACHS MLP ENERGY INFRAS FUND (GMLPX)	A	Dividend			Sold	08/04/17	J		
240. IRA #6 (H)									
241. ADOBE SYSTEMS INC (DELAWARE) (ADBE)		None	J	T					
242. ALPHABET INC CL A (GOOGL)		None	J	T					
243. ALPHABET INC CL C (GOOG)		None	J	T					
244. AMAZON.COM INC (AMZN)		None	J	T					
245. BANK OF AMER CORP (BAC)	A	Dividend	J	T					
246. CELGENE CORP (CELG)		None	J	T					
247. FACEBOOK INC CL A (FB)		None	J	T					
248. LOREAL CO ADR FRANCE ADR DE	A	Dividend	J	T	Buy	04/27/17	J		
249. MICROSOFT CORP (MSFT)	A	Dividend	J	T					
250. CONSUMER DISCRETIONARY SELECT SECTOR SPDR FUND ETF (XLY)	A	Dividend	J	T	Sold (part)	08/09/17	J		
251. ENERGY SELECT SECTOR SPDR FUND ETF (XLE)	A	Dividend	J	T					
252. FINANCIAL SELECT SECTOR SPDR FUND ETF (XLF)	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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253. HEALTH CARE SELECT SECTOR SPDR FUND ETF (XLV)	A	Dividend	J	T					
254. INDUSTRIAL SELECT SECTOR SPDR FUND ETF (XLI)	A	Dividend	J	T					
255. ISHARES RUSSELL 2000 ETF (IWM)	A	Dividend	J	T					
256. SPDR S&P PHARMACEUTICALS ETF (XPH)	A	Dividend			Sold	08/10/17	J		
257. VANGUARD TOTAL STOCK MKT ETF (VTI)	A	Dividend	J	T					
258. VANGUARD S&P 500 ETF (VOO)	A	Dividend	J	T					
259. VANGUARD FTSE PAC ETF DE (VPL)	A	Dividend	J	T	Buy	04/27/17	J		
260. VANGUARD FTSE EUROPE ETF DE (VGK)	A	Dividend	J	T	Buy	04/27/17	J		
261. VANGUARD FTSE EMERGING MARKETS ETF (VWO)	A	Dividend	J	T	Buy	04/27/17	J		
262. OPPENHEIMER INTERNATIONAL GROWTH FUND Y CLASS (OIGYX)	A	Dividend	J	T					
263. WILLIAM BLAIR EMERGING MARKETS SMALL CAP GROWTH FUND (BESIX)	A	Dividend	J	T	Buy	04/27/17	J		
264. ISHARES TIPS BOND ETF (TIP)	A	Dividend	J	T					
265. AMER FUNDS THE BOND FUND OF AMERICA FUND CLASS F2 (ABNFX)	A	Dividend	J	T					
266. ANGEL OAK FLEXIBLE INCOME FUND CLASS I (ANFIX)	A	Dividend	J	T					
267. DREYFUS/STANDISH GLOBAL FIXED INCOME FUND CLASS I (SDGIC)	A	Dividend	J	T					
268. EATON VANCE FLOATING RATE ADVANTAGE CL I (EIFAX)	A	Dividend	J	T					

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

269. EV MULTISECTOR INCOME FUND CLASS I (EVBIX)	A	Dividend	J	T					
270. PRUDENTIAL TOTAL RETURN BOND FUND CLASS Z (PDBZX)	A	Dividend	J	T					
271. GOLDMAN SACHS MULTI-MANAGER ALTS FUND CLASS I (GSMMX)	A	Dividend			Sold	08/09/17	J		
272. LONGBOARD MANAGED FUTURES STRATEGY FUND (WAVIX)	A	Dividend	J	T					
273. SPDR GOLD SHARES ETF (GLD)		None	J	T	Buy	08/15/17	J		
274. IRA #7 (H)									
275. UBS BANK DEPOSIT ACCOUNT (cash)	A	Interest	L	T	Open	07/27/17	M		
276. BLACKROCK ENHANCED EQUITY DIVID TR (BDJ)	A	Dividend	J	T	Buy	07/19/17	J		
277.					Buy (add'l)	09/21/17	J		
278. EATON VANCE TAX MANAGED BUY-WRITE INC FUND (ETB)	A	Dividend	J	T	Buy	07/19/17	J		
279.					Buy (add'l)	09/21/17	J		
280. HEALTH CARE SELECT SECTOR SPDR FUND ETF (XLV)	A	Dividend	K	T	Buy	07/19/17	J		
281.					Buy (add'l)	09/21/17	J		
282.					Buy (add'l)	12/20/17	J		
283. NUVEEN S&P 500 BUY-WRITE INCOME FUND (BXXMX)	A	Dividend	K	T	Buy	07/19/17	J		
284.					Buy (add'l)	09/21/17	J		
285.					Buy (add'l)	12/20/17	J		

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286. ROYCE VALUE TRUST INC (RVT)	A	Dividend	J	T	Buy	07/19/17	J		
287.					Buy (add'l)	09/21/17	J		
288.					Buy (add'l)	12/20/17	J		
289. SPDR S&P DIVIDEND ETF (SDY)	A	Dividend	K	T	Buy	07/19/17	J		
290.					Buy (add'l)	09/21/17	J		
291.					Buy (add'l)	12/20/17	J		
292. SPDR S&P INTL DIVIDEND ETF (DWX)	A	Dividend	J	T	Buy	07/19/17	J		
293.					Buy (add'l)	09/21/17	J		
294. TEKLA HEALTHCARE INVESTORS FUND (HQB)	A	Dividend	J	T	Buy	07/19/17	J		
295.					Buy (add'l)	09/21/17	J		
296. VANGUARD SMALL-CAP VALUE ETF (VBR)	A	Dividend	J	T	Buy	07/19/17	J		
297.					Buy (add'l)	09/21/17	J		
298. BLACKROCK LTD DURATION INCOME TRUST (BLW)	A	Dividend	J	T	Buy	07/19/17	J		
299.					Buy (add'l)	09/21/17	J		
300. BLACKROCK CREDIT ALLOCATION INCOME TRUST (BTZ)	A	Dividend	J	T	Buy	07/19/17	J		
301.					Buy (add'l)	09/21/17	J		
302. EATON VANCE LTD DURATION INCOME FUND (EVV)	A	Dividend	J	T	Buy	07/19/17	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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303.					Buy (add'l)	09/21/17	J		
304.					Buy (add'l)	12/20/17	J		
305. NUVEEN PFD SECURITIES INCOME FUND (JPS)	A	Dividend	J	T	Buy	07/19/17	J		
306.					Buy (add'l)	09/21/17	J		
307. NUVEEN QUALITY MUNICIPAL INCOME FUND (NAD)	A	Dividend	K	T	Buy	07/19/17	J		
308.					Buy (add'l)	09/21/17	J		
309.					Buy (add'l)	12/20/17	J		
310. PIONEER DIVERSIFIED HIGH INCOME TRUST (HNW)	A	Dividend	J	T	Buy	07/19/17	J		
311.					Buy (add'l)	09/21/17	J		
312. SPDR DOUBLINE SHORT DURATIONS TOTAL RETURN TACT ETF (STOT)	A	Dividend	J	T	Buy	07/19/17	J		
313.					Buy (add'l)	09/21/17	J		
314.					Buy (add'l)	12/20/17	J		
315. VANGUARD INTER TERM GOVERNMENT BOND ETF (VGIT)	A	Dividend	J	T	Buy	07/19/17	J		
316.					Buy (add'l)	09/21/17	J		
317. WESTERN ASSET HIGH INCOME FUND II INC (HIX)	A	Dividend	J	T	Buy	07/19/17	J		
318.					Buy (add'l)	09/21/17	J		
319. BLACKROCK ENHANCED CAPITAL & INCOME FUND INC (CII)	A	Dividend	J	T	Buy	07/19/17	J		

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
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320.					Buy (add'l)	09/21/17	J		
321. BROKERAGE ACCOUNT #4 (H)									
322. UBS BANK USA DEP ACCT	A	Interest	K	T					
323. BLACKROCK CAP & INCOME STRATEGIES FUND INC (CII)	A	Dividend	J	T					
324. BLACKROCK ENHANCED EQUITY DIVID TR (BDJ)	A	Dividend	J	T					
325. EATON VANCE TAX MANAGED BUY- WRITE INC FUND (ETB)	A	Dividend	J	T					
326. HEALTH CARE SELECT SECTOR SPDR FUND ETF (XLV)	A	Dividend	J	T					
327. NUVEEN S&P 500 BUY-WRITE INCOME FUND (BXM)	A	Dividend	K	T	Buy	03/22/17	J		
328.					Buy (add'l)	06/08/17	J		
329. ROYCE VALUE TRUST INC (RVT)	A	Dividend	J	T					
330. SPDR S&P DIVIDEND ETF (SDY)	A	Dividend	J	T					
331. SPDR S&P INTL DIVI F (DWX)	A	Dividend	J	T	Buy (add'l)	06/08/17	J		
332. TELKA HEALTHCARE INVS (HGH)	A	Dividend	J	T					
333. VANGUARD SMALL-CAP VALUE ETF (VBR)	A	Dividend	J	T					
334. BLACKROCK LTD DURATION INCOME TRUST (BLW)	A	Dividend	J	T					
335. BLACKROCK CREDIT ALLOCATION INCOME TRUST (BTZ)	A	Dividend	J	T					
336. EATON VANCE LTD DURATION INCOME FUND (EVV)	A	Dividend	J	T					

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

337. GUGGENHEIM BULLETSHARES 2019 HIGH YIELD CORP BOND ETF (BSJJ)	A	Dividend			Sold	09/28/17	J	A	
338. NUVEEN PFD SECURITIES INCOME FUND (JPS)	A	Dividend	J	T					
339. NUVEEN QUALITY MUNICIPAL INCOME FUND (NAD)	A	Dividend	J	T					
340. PIONEER DIVERSIFIED HIGH INCOME TRUST (HNW)	A	Dividend	J	T	Sold (part)	09/28/17	J	A	
341. PROSHARES HIGH YIELD INT RATE HEDGED ETF (HYHG)	A	Dividend	J	T					
342. SPDR DOUBLELINE SHORT DURATION TOTAL RETURN TACTICAL ETF (STOT)	A	Dividend	J	T					
343. VANGUARD INTER TERM GOVERNMENT BOND ETF (VGIT)	A	Dividend	J	T					
344. WESTERN ASSET HIGH INCOME FUND II INC (HIX)	A	Dividend	J	T					
345. CALAMOS STRATEGIC TOTAL RETURN (CSQ)	A	Dividend	J	T	Buy	09/28/17	J		
346. BROKERAGE ACCOUNT #5 (H)									
347. JPMORGAN CHASE FINANCIAL CT-SS RTY		None	K	T					
348. CREDIT SUISSE AG CB-GEARS SPX		None	K	T					
349. UBS AG BUFFERED ROS SPY		None	K	T					
350. UBS AG CB-GEARS SX5E		None	K	T	Buy	07/31/17	K		
351. HSBC USA INC CT-GEARS EEM		None	K	T					
352. CREDIT SUISSE AG L/O TA-CYN SPX SX5E	A	Dividend	K	T	Sold (part)	06/13/17	K		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

353. BROKERAGE ACCOUNT #6 (H)									
354. UBS BANK USA DEP ACCT	A	Interest	J	T					
355. ACCENTURE PLC IRELAND CL A (ACN)	A	Dividend	J	T					
356. APLPHABET INC CL A (GOOGL)		None	J	T					
357. AMERICAN TOWER CORP REIT (AMT)	A	Dividend	J	T					
358. CEGENE CORP (CELG)		None	J	T					
359. CHEVRON CORP (CVX)	A	Dividend	J	T					
360. COLGATE PALMOLIVE CO (CL)	A	Dividend	J	T					
361. EDWARDS LIFESCIENCES CORP (EW)		None	J	T					
362. EXXON MOBIL CORP (XOM)	A	Dividend			Sold	09/11/17	J		
363. FACEBOOK INC CL A (FB)		None	J	T					
364. FEDEX CORP (FDX)	A	Dividend	J	T					
365. FORD MOTOR CO COM NEW (F)	A	Dividend			Sold	09/11/17	J		
366. GEN ELECTRIC CO (GE)	A	Dividend			Sold	09/14/17	J		
367. GILEAD SCIENCES INC (GILD)	A	Dividend	J	T	Sold (part)	09/14/17	J		
368. INTEL CORP (INTC)	A	Dividend	J	T	Sold (part)	09/14/17	J	A	
369. INTERCONTINENTAL EXCHANGE GROUP (ICE)	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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Schultz, David T.

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
370. JPMORGAN CHASE & CO (JPM)	A	Dividend	J	T					
371. LAUDER ESTEE COS CL A DE (EL)	A	Dividend	J	T	Buy	09/14/17	J		
372. LULULEMON ATHLETICA INC (LULU)		None	J	T					
373. MICROSOFT CORP (MSFT)	A	Dividend	J	T					
374. MONDELEZ INTL INC DE (MDLZ)	A	Dividend	J	T	Buy	09/11/17	J		
375.					Buy (add'l)	09/14/17	J		
376. MYLAN N V EUR DE (MYL)		None	J	T	Buy	09/14/17	J		
377. O REILLY AUTOMOTIVE INC (ORLY)		None			Sold	09/11/17	J		
378. PALO ALTO NETWORKS INC (PANW)		None	J	T					
379. PAYPAL HOLDINGS INC (PYPL)		None	J	T					
380. PEPSICO INC (PEP)	A	Dividend	J	T	Sold (part)	09/14/17	J	A	
381. PULTE GROUP INC DE (PHM)	A	Dividend	J	T	Buy	09/14/17	J		
382. ROBO GLOBAL ROBOTICS & AT INDEX ETF DE (ROBO)	A	Dividend	J	T	Buy	09/14/17	J		
383. SCHLUMBERGER LTD NETHERLANDS ANTILLES (SLB)	A	Dividend			Sold	09/13/17	J		
384. THERMO FISHER SCIENTIFIC INC (TMO)	A	Dividend	J	T					
385. TJX COS INC NEW (TJX)	A	Dividend			Sold	10/24/17	J		
386. UNTD TECHNOLOGIES CORP (UTX)	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
387. US BANCORP DEL (NEW) (USB)	A	Dividend	J	T					
388. WALT DISNEY CO (HOLDING CO) DISNEY COME (DIS)	A	Dividend			Sold	09/14/17	J		
389. WHIRLPOOL CORP DE (WHR)	A	Dividend	J	T	Buy	09/11/17	J		
390.					Buy (add'l)	09/14/17	J		
391. 3M CO (MMM)	A	Dividend	J	T					
392. ISHARES RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	J	T					
393. VANECK VECTORS MORNINGSTAR WIDE MOAT ETF (MOAT)	A	Dividend	J	T					
394. VANGUARD S&P 500 ETF (VOO)	A	Dividend	J	T	Sold (part)	09/14/17	J	A	
395. BROKERAGE ACCOUNT #7 (H)									
396. UBS BANK DEPOSIT ACCOUNT	A	Int./Div.	K	T	Open	10/05/17	J		
397. BRISTOL MYERS SQUIBB (BMY) (X)	A	Dividend	J	T					
398. WP CAREY INC REIT (WPC) (X)	A	Dividend	J	T					
399. AMER FUNDS AMCAP F2 (AMCFX) (X)	A	Dividend	K	T					
400. AMER FUNDS CAPITAL WORLD GR & INC F2 (WGIFX) (X)	B	Dividend	K	T					
401. AMER FUNDS NEW PERSPECTIVE F2 (ANWFX) (X)	B	Dividend	K	T					
402. AMER FUNDS NEW WORLD FUND F2 (NFFFX) (X)	A	Dividend	J	T					
403. COHEN & STEERS REALTY SHARES (CSRSX) (X)	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
404. EATON VANCE LARGE CAP VALUE FUND I (EILVX) (X)	A	Dividend	J	T					
405. ROYCE PREMIER FUND (RYPRX) (X)	B	Dividend	J	T					
406. THORNBURG INTL VAL FUND I (TGVIX) (X)	B	Dividend	J	T					
407. FRANKLIN FEDERAL TAX-FREE INC FUND (FAFTX) (X)	A	Dividend	K	T					
408. FRANKLIN FEDERAL INTERIM TAX- FREE INCOME FUND (FITZX) (X)	A	Dividend	K	T					
409. NUVEEN LIMITED TERM MUN BOND I (FLTRX) (X)	A	Dividend	K	T					
410. THORNBURG LIMITED TERM MUN FUND I (LTMIX) (X)	A	Dividend	K	T					
411. AMER FUNDS CAPITAL INC BUILDER F2 (CAIFX) (X)	A	Dividend	J	T					
412. BLACKROCK MULTI-ASSET INC PORT INST (BIICX) (X)	A	Dividend	J	T					
413. BLACKROCK GLOBAL ALLOCATION FUND INST (MALOX) (X)	A	Dividend	J	T					
414. FIRST EAGLE GLOBAL FUNDS I (SGIIX) (X)	A	Dividend	K	T					
415. FRANKLIN INC ADV (FRIAX) (X)	A	Dividend	J	T					
416. OAKMARK EQUITY & INCOME I (OAKBX) (X)	B	Dividend	J	T					
417. THE INCOME FUND OF AMERICA F2 (AMEFX) (X)	A	Dividend	K	T					
418. BROKERAGE ACCOUNT #8 (H)									
419. UBS BANK DEPOSIT ACCT (X)	A	Interest	J	T					
420. AKAMAI TECHNOLOGIES (AKAM) (X)		None			Sold	08/09/17	J		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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421. ALIBABA GROUP HLDG LTD (BABA) (X)		None	J	T					
422. AMAZON.COM (AMZN) (X)		None	J	T					
423. AMERIPRISE FINANCIAL (AMP) (X)	A	Dividend	J	T					
424. BROADCOM LTD (AVGO) (X)	A	Dividend	J	T					
425. CELGENE CORP (CELG) (X)		None	J	T					
426. CTRIP.COM INTL LTD (CTRP) (X)		None	J	T					
427. DANAHER CORP (DHR) (X)	A	Dividend	J	T					
428. DENTSPLY SIRONA INC (XRAY) (X)	A	Dividend	J	T					
429. ELECTRONIC ARTS (EA) (X)		None	J	T					
430. EXPEDIA INC (EXPE) (X)	A	Dividend	J	T					
431. EXPRESS SCRIPTS HLDG CO (ESRX) (X)		None			Sold	08/09/17	J		
432. FORTIVE CORP (FTV) (X)	A	Dividend	J	T					
433. HANESBRANDS INC (HBI) (X)	A	Dividend			Sold	08/04/17	J		
434. INCYTE CORP (INCY) (X)	A	Dividend	J	T					
435. INTERCONTINENTAL EXCHANGE GROUP (ICE) (X)	A	Dividend	J	T					
436. LEAR CORP (LEA) (X)	A	Dividend	J	T					
437. MCKESSON CORP (MCK) (X)	A	Dividend	J	T					

1. Income Gain Codes:	A = \$1,000 or less (See Columns B1 and D4)	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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438. NVIDIA CORP (NVDA) (X)	A	Dividend	J	T					
439. PVH CORP (PVH) (X)	A	Dividend	J	T					
440. SCOTTS MIRACLE-GRO (SMG)		None	J	T	Buy	08/09/17	J		
441. SERVICE CORP INTL (SCI) (X)	A	Dividend	J	T					
442. ANDEAVOR (ANDV) (FORMERLY TESORO CORP (TSO)) (X)	A	Dividend	J	T					
443. TJX COS INC (TJX) (X)	A	Dividend	J	T					
444. UNITED TECHNOLOGIES (UTX) (X)	A	Dividend	J	T					
445. VISTEON CORP (VC) (X)		None	J	T					
446. ISHARES RUSSELL 2000 GROWTH (IWO) (X)	A	Dividend	J	T					
447. ISHARES NASDAQ BIOTECH (IBB) (X)	A	Dividend	J	T					
448. ISHARES US AEROSPACE & DEFENSE (ITA) (X)	A	Dividend	J	T					
449. ROBO GLOBAL ROBOTICS & AUTOMATION INDEX (ROBO) (X)	A	Dividend	J	T					
450. EDUCATION ACCOUNT #1 (H)									
451. LEGG MASON SCHOLARS CHOICE 529 AGE BASED 7-9 C		None	M	T					
452. EDUCATION ACCOUNT #2 (H)									
453. LEGG MASON SCHOLARS CHOICE 529 AGE BASED 13-15 C		None	M	T					
454. EDUCATION ACCOUNT #3 (H)									

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455. LEGG MASON SCHOLARS CHOICE 529 AGE BASED 10-12 C		None	M	T					
456. EDUCATION ACCOUNT #4 (H)									
457. COLLEGE AMERICA 529 CAPITAL INCOME BUILDER CIB A		None	J	T					
458. COLLEGE AMERICA 529 THE GROWTH FUND OF AMERICA - GFA A		None	J	T					
459. COLLEGE AMERICA 529 NEW PERSPECTIVE FUND NPF A		None	J	T					
460. EDUCATION ACCOUNT #5 (H)									
461. COLLEGE AMERICA 529 CAPITAL INCOME BUILDER CIB A		None	J	T					
462. COLLEGE AMERICA 529 THE GROWTH FUND OF AMERICA - GFA A		None	J	T					
463. COLLEGE AMERICA 529 NEW PERSPECTIVE FUND NPF A		None	J	T					
464. EDUCATION ACCOUNT #6 (H)									
465. COLLEGE AMERICA 529 CAPITAL INCOME BUILDER CIB A		None	J	T					
466. COLLEGE AMERICA 529 THE GROWTH FUND OF AMERICA - GFA A		None	J	T					
467. COLLEGE AMERICA 529 NEW PERSPECTIVE FUND NPF A		None	J	T					
468. RETIREMENT SAVINGS PLAN #1 (H)									
469. MASLON CASH BALANCE PENSION PLAN (NO CONTROL)	D	Interest	M	T					
470. MFS INTERNATIONAL VALUE R4		None			Sold	06/26/17	L	C	
471. OPPENHEIMER DEVELOPING MARKETS I		None			Sold	06/26/17	L	C	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes: (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes: (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

472. OPPENHEIMER GLOBAL OPPORTUNITIES I		None			Sold	06/26/17	M	D	
473. VANGUARD EXPLORER ADM		None			Sold	06/26/17	L	D	
474. T. ROWE PRICE MID CAP GROWTH		None			Sold	06/26/17	M	E	
475. PARNASSUS CORE EQUITY INST	A	Dividend			Sold	06/26/17	M	D	
476. VANGUARD EQUITY-INCOME ADM	A	Dividend			Sold	06/26/17	L	D	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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Name of Person Reporting

Schultz, David T.

Date of Report

08/08/2018

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Information in this report is based upon the filer's best available information and belief.

Part VII, Column D: Transactions January 1, 2017, through June 30, 2017, overlap with the initial reporting period.

Part VII, lines 470-476: Transaction details were not available prior to the end of the initial reporting period.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **David T. Schultz**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544