

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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) MACKINNON, ALEXANDER F.	2. Court or Organization U.S. DISTRICT COURT, CENTRAL DISTRICT OF CALIFORNIA	3. Date of Report 07/28/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) FULL-TIME MAGISTRATE JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address 312 NORTH SPRING STREET LOS ANGELES, CA 90012-4701		
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. _____	_____
2. _____	_____
3. _____	_____

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Name of Person Reporting

MACKINNON, ALEXANDER F.

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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.)*DATESOURCE AND TYPEINCOME

(yours, not spouse's)

1. _____

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.)*DATESOURCE AND TYPE

1. _____

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

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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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

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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. INVESTMENT PARTNERSHIPS (H)									
2. K&E 1995 PEF	A	Int./Div.	J	T					
3. K&E 1997 PEF	A	Int./Div.	J	T					
4. K&E 1999 PEF	B	Int./Div.	J	T					
5. K&E 2001 PEF	B	Int./Div.	J	T					
6. K&E 2003 PEF	C	Int./Div.	J	T					
7. K&E 2004 PEF	D	Int./Div.	J	T					
8. K&E 2005 PEF	E	Int./Div.	K	T					
9. K&E 2006 PEF	E	Int./Div.	L	T					
10. K&E 2007 PEF	D	Int./Div.	L	T					
11. K&E 2008 PEF	D	Int./Div.	L	T					
12. K&E 2009 PEF	C	Int./Div.	K	T					
13. K&E 2010 PEF	B	Int./Div.	K	T					
14. K&E 2012 PEF	A	Int./Div.	K	T					
15. K&E 2014 PEF	A	Int./Div.	J	T					
16. K&E 2015 PEF	A	Int./Div.	J	T					
17. K&E 1996 DIF	A	Int./Div.	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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☐ 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 I (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)
18. K&E 1998 DIF	A	Int./Div.	J	T					
19. K&E 2000 DIF	D	Int./Div.	J	T					
20. K&E 2000-B DIF	A	Int./Div.	J	T					
21. K&E 2002 DIF	C	Int./Div.	K	T					
22. K&E 2003 DIF	D	Int./Div.	J	T					
23. K&E 2004 DIF	A	Int./Div.	J	T					
24. K&E 2004-B DIF	B	Int./Div.	J	T					
25. K&E 2005 DIF	E	Int./Div.	J	T					
26. K&E 2006 DIF	D	Int./Div.	J	T					
27. K&E 2008 DIF	D	Int./Div.	K	T					
28. K&E 2011 DIF	B	Int./Div.	J	T					
29. ACCEL-KKR GROWTH	A	Int./Div.	K	T					
30. ACCEL-KKR III	E	Int./Div.	K	T					
31. ACCEL-KKR IV	A	Int./Div.	K	T					
32. APAX VIII-B	A	Int./Div.	K	T					
33. BAIN CAPITAL ASIA II	A	Int./Div.	K	T					
34. CARLYLE ASIA PARTNERS IV	A	Int./Div.	K	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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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)

35. CARLYLE VI	A	Int./Div.	K	T					
36. EDGEWATER CAPITAL PARTNERS II	A	Int./Div.	J	T					
37. FORTRESS REAL ESTATE	B	Int./Div.	K	T					
38. GEM REALTY FUND IV	D	Int./Div.	K	T					
39. IRVING PLACE III	D	Int./Div.	K	T					
40. OCM EUROPEAN PRINCIPAL FUND III	A	Int./Div.	K	T					
41. OCM OPPORTUNITIES IX (DISTRESSED)	C	Int./Div.	K	T					
42. OCM OPPORTUNITIES VIIIB (DISTRESSED)	B	Int./Div.	J	T					
43. OCM OPPORTUNITIES VIII (DISTRESSED)	A	Int./Div.	J	T					
44. OCM OPPORTUNITIES VIIIB (DISTRESSED)	A	Int./Div.	K	T					
45. OCM POWER OPPORTUNITIES III	D	Int./Div.	K	T					
46. OCM PRINCIPAL OPPORTUNITIES IV (LBO)	C	Int./Div.	K	T					
47. OCM PRINCIPAL V (LBO)	A	Int./Div.	K	T					
48. SANKATY CREDIT OPPORTUNITIES III	A	Int./Div.	J	T					
49. SANKATY CREDIT OPPORTUNITIES IV	B	Int./Div.	J	T					
50. SILVER OAK SERVICES PARTNERS II	A	Int./Div.	K	T					
51. SUN VI	A	Int./Div.	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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☐ 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)
52. VESTAR VI	A	Int./Div.	K	T					
53. WALTON STREET REAL ESTATE FUND VII	A	Int./Div.	K	T					
54. WARBURG PINCUS XI	B	Int./Div.	K	T					
55. IRVING PLACE III (DORAL B)	A	Int./Div.	J	T					
56.									
57. MERRILL LYNCH TRADITIONAL IRA 1 (H)									
58. BANK OF AMERICA N.A.	A	Interest	K	T					
59. VANGUARD 500 INDX ADMIRAL (VFIAX)	D	Dividend	N	T					
60. VANGUARD BAL INDEX ADM (VBIAX)	B	Dividend	L	T					
61. VANGUARD DIVIDEND GRW INV (VDIGX)	B	Dividend	L	T					
62. VANGUARD EURO STK INDX ADM (VEUSX)	B	Dividend	L	T					
63. VANGUARD GLOBAL EQUITY INV (VHGEX)	B	Dividend	L	T					
64. VANGUARD MID CAP INDEX ADM (VIMAX)	B	Dividend	M	T					
65.									
66. MERRILL LYNCH TRADITIONAL IRA 2 (H)									
67. BANK OF AMERICA N.A.	A	Interest	M	T					
68. ISHARES MSCI EAFE ETF (EFA)	E	Dividend			Sold	01/22/16	M	D	

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69. ISHARES MSCI EMERGING MKTS ETF (EEM)	C	Dividend	M	T					
70. ISHARES RUSSELL 1000 GRW ETF (IWF)	D	Dividend	N	T					
71. ISHARES RUSSELL 1000 VALUE ETF (IWD)	D	Dividend	N	T					
72. ISHARES RUSSELL 2000 GRWTH ETF (IWO)	B	Dividend	M	T					
73. ISHARES RUSSELL 2000 VALUE ETF (IWN)	B	Dividend	M	T					
74. ISHARES RUSSELL MIDCAP G ETF (IWP)	B	Dividend	M	T					
75. ISHARES RUSSELL MIDCAP V ETF (IWS)	B	Dividend	M	T					
76. ISHARES 1-3 YEAR TREASURY BOND ETF (SHY)	B	Dividend	M	T	Buy	11/22/16	M		
77. ISHARES CORE US AGGREGATE BOND ETF (AGG)	C	Dividend	M	T	Buy	11/22/16	M		
78. ISHARES TIPS BOND ETF (TIP)	B	Dividend	M	T	Buy	10/25/16	M		
79. ISHARES SHORT TREASURY BOND ETF (SHV)	A	Dividend	M	T	Buy	11/22/16	M		
80. ISHARES MSCI JAPAN ETF (EWJ)	C	Dividend	M	T	Buy	01/22/16	M		
81. SPDR BLMBRG BRCLY INTL TRSRY BOND ETF (BWV)	A	Dividend	L	T	Buy	10/25/16	L		
82. SPDR BLMBRG BRCLY HIGH YIELD BOND ETF (JNK)	D	Dividend	M	T	Buy	10/25/16	M		
83. ISHARES N AMER NAT RES ETF (IGE)	A	Dividend			Sold	01/22/16	K	B	
84. GOLDMAN SACHS ABSLT RET TRCK I (GJRTX)	A	Dividend			Sold	01/22/16	L	C	
85. GUGGENHEIM MNGD FUTRS STRAT P (RYMFX)	A	Dividend			Sold	01/22/16	L	C	

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86. JOHN HANCOCK SEAPORT 1 (JSFDX)	A	Dividend			Sold	01/22/16	K	B	
87. ISHARES TR MSCI EAFE (EFG)	E	Dividend	O	T	Buy	10/25/16	O		
88.									
89. MERRILL LYNCH TRUST ACCOUNT (H)									
90. BANK OF AMERICA N.A.	A	Interest	J	T					
91. WESTTOWN TWP PA GENL OBLIG	B	Interest	M	T					
92. SAN FRAN CA CY-CO PUWTR REV SER A	C	Interest	L	T	Buy	10/27/16	L		
93. ROCK CNTY WIS GENL OBLIG ROCK HAVEN PROJ SER-B	C	Interest	M	T					
94. TOMBALL TEX CTFS OBLIG	C	Interest	M	T					
95. CALIFORNIA ST PUB WKS BRD LEASE REV	D	Interest	M	T					
96. CLOVIS CALIF WTR REV REF-1	D	Interest	M	T					
97. FREMONT CALIF CTFS PARTN REV	B	Interest	L	T					
98. PLEASANT HILL CALIF REC & PK DIST GENL OBLIG-B	C	Interest	L	T					
99. SALIDA CALIF AREA PUB FACS FIN G AGY CMNTY FACS DIST SPL TAX	C	Interest	M	T					
100. ANTIOCH UNIFIED SCHOOL DIST GENL OBLIG SER-B	B	Interest	L	T					
101. SACRAMENTO CALIF CITY UNI SCH DIST REF	D	Interest	M	T					
102. ALVORD CALIF UNI SCH DIST SER-A	B	Interest	K	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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103. SAN JOSE CALIF ARPT REV REF-B	B	Interest	L	T					
104. LINCOLN CALIF UNI SCH DIST SAN JOAQUIN SER-C	B	Interest	L	T					
105. SACRAMENTO CALIF MUN UTIL DIST FING AUTH REV REF	B	Interest	L	T					
106. LAYTONVILLE UNI SCH DIST CALI SER-A	B	Interest	K	T					
107. MARYLAND ST HEALTH & HIGHER EDL FACS AUTH REV-C	D	Interest	M	T					
108. NORTHERN CALIFORNIA POWER AGENCY HYDROELEC PJ-I REV REF-A	B	Interest	L	T					
109. SANTA CLARA CALIF UNI SCH DIS OID	C	Interest	M	T					
110. SAN FRANCISCO CALIF CITY & CNT OID	B	Interest	K	T					
111.									
112. MORGAN STANLEY 2 PERSONAL ACCOUNT (H)									
113. MORGAN STANLEY BANK N.A.	A	Interest	K	T					
114. ABBOTT LABORATORIES (ABT)	A	Dividend	K	T					
115. ABBVIE INC COM (ABBV)	B	Dividend	K	T					
116. FRONTIER COMMUNICATIONS CORP (FTR)	B	Dividend	J	T					
117. AMERICAN AMCAP A (AMCPX)	A	Dividend	J	T	Buy	11/30/16	J		
118. AMERICAN EUROPACIFIC GRW A (AEPGX)	A	Dividend	J	T	Buy	11/30/16	J		
119. AMERICAN INV CO OF AMER A (AIVSX)	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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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

07/28/2017

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)
120. AMERICAN MUTUAL A (AMRMX)	A	Dividend	J	T	Buy	11/30/16	J		
121. AMERICAN NEW WORLD A (NEWFX)	A	Dividend	J	T	Buy	11/30/16	J		
122. AMERICAN SMALLCAP WORLD A (SMCWX)	A	Dividend	J	T	Buy	11/30/16	J		
123. TEMPLETON FOREIGN FUND C (TEFTX)	A	Dividend	J	T					
124.									
125. MORGAN STANLEY 2 TRADITIONAL IRA (H)									
126. MORGAN STANLEY BANK N.A.	A	Interest	J	T					
127. AMERICAN AMCAP A (AMCPX)	A	Dividend	K	T					
128. AMERICAN EUROPACIFIC GRW F1 (AEGFX)	A	Dividend	K	T					
129. DEUTSCHE GLB INFRASTRUCTURE C (TOLCX)	A	Dividend	K	T					
130. DEUTSCHE UNCONSTRAINED INC A (KSTAX)	A	Dividend	J	T					
131. TEMPLETON FOREIGN FUND C (TEFTX)	A	Dividend	K	T					
132. VOYA GBL VALUE ADVANTAGE C (NAWCX)	A	Dividend	K	T					
133.									
134. MORGAN STANLEY 2 TRADITIONAL IRA 2 (H)									
135. MORGAN STANLEY BANK N.A.	A	Interest	J	T					
136. DEUTSCHE X-TRACKERS MSCI EAF (DBEF)	B	Dividend	K	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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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

07/28/2017

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)
137. ISHARES CORE MSCI EAFE ETF (IEFA)	B	Dividend	K	T					
138. ISHARES CORE MSCI EMERGING (IEMG)	A	Dividend	K	T					
139. ISHARES IBOXX \$ H/Y COR BD ETF (HYG)	A	Dividend	K	T					
140. ISHARES RUSSELL 1000 GRW ETF (IWF)	A	Dividend	K	T					
141. ISHARES RUSSELL 1000 VALUE ETF (IWD)	B	Dividend	L	T					
142. ISHARES RUSSELL 2000 GRWTH ETF (IWO)	A	Dividend	J	T					
143. ISHARES RUSSELL 2000 VALUE ETF (IWN)	A	Dividend	J	T					
144. ISHARES RUSSELL MIDCAP G ETF (IWP)	A	Dividend	J	T					
145. ISHARES RUSSELL MIDCAP V ETF (IWS)	A	Dividend	J	T					
146. ISHARES TIPS BOND ETF (TIP)	A	Dividend	J	T					
147. PIMCO ENHANCED SHRT MTRT EXC (MINT)	A	Dividend	J	T	Buy	01/22/16	J		
148. VANGUARD SHORT TERM BND (BSV)	A	Dividend	K	T					
149. VANGUARD TOTAL BOND MARKET (BND)	A	Dividend	K	T					
150. WISDOMTREE TRUST JAPN HEDGE EQ (DXJ)	A	Dividend	J	T	Buy	01/22/16	J		
151. VANGUARD TOTAL INTL BOND ETF (BNDX)	A	Dividend			Sold	01/22/16	J	A	
152.									
153. MORGAN STANLEY 2 TRUST ACCOUNT (H)									

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

MACKINNON, ALEXANDER F.

Date of Report

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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)
154. MORGAN STANLEY BANK N.A.	A	Interest	L	T					
155. ABBOTT LABORATORIES (ABT)	B	Dividend	L	T					
156. ABBVIE INC COM (ABBV)	B	Dividend	L	T					
157. AVERY DENNISON CORPORATION (AVY)	A	Dividend	J	T					
158. BERKSHIRE HATHAWAY CL-B NEW (BRK'B)	A	Dividend	L	T					
159. BOEING CO (BA)	B	Dividend	K	T					
160. CHEVRON CORP (CVX)	B	Dividend	K	T					
161. COCA COLA CO (KO)	A	Dividend	K	T					
162. EDISON INTERNATIONAL (EIX)	A	Dividend	K	T					
163. FRONTIER COMMUNICATIONS CORP (FTR)	B	Dividend	J	T					
164. MICROSOFT CORP (MSFT)	B	Dividend	K	T					
165. NEXTERA ENERGY INC COM (NEE)	C	Dividend	L	T					
166. PRUDENTIAL PLC ADR (PUK)	A	Dividend	J	T					
167. TELEFONICA SA ADR (TEF)	A	Dividend	J	T					
168. WALT DISNEY CO HLDG CO (DIS)	A	Dividend	K	T					
169. WEC ENERGY GROUP INC COM (WEC)	A	Dividend	K	T					
170. SPDR S&P 500 ETF TRUST (SPY)	A	Dividend	K	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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MACKINNON, ALEXANDER F.

Date of Report

07/28/2017

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)
171. SPECIAL OPPORTUNITIES FD INC (SPE)	A	Dividend	K	T					
172. WISDOM TREE TOT DIV (DTD)	C	Dividend	M	T					
173. AMERICAN AMCAP A (AMCPX)	A	Dividend	M	T					
174. AMERICAN CAP WRLD GR & INC A (CWGIX)	D	Dividend	N	T					
175. AMERICAN EUROPACIFIC GRW A (AEPGX)	B	Dividend	M	T					
176. AMERICAN INV CO OF AMER A (AIVSX)	B	Dividend	M	T					
177. FIDELITY ADV STK SELECT MDCP C (FMCEX)	A	Dividend	L	T					
178. FRANKLIN CA INSURED TX FR A (FRCIX)	B	Dividend	L	T					
179. LORD ABBETT MID CAP STOCK C (LMCCX)	A	Dividend	M	T					
180. OPPENHEIMER DEVELOPING MKTS A (ODMAX)	A	Dividend	M	T					
181. OPPENHEIMER MAIN ST SELECT A (OMSOX)	B	Dividend	M	T					
182. OPPENHEIMER MID CAP VALUE A (QVSCX)	A	Dividend	M	T					
183. STAPLES INC (SPLS)	A	Dividend			Sold	11/30/16	J	A	
184. SACRAMENTO CA CITY FING AUTH IMPT REV 911 CTR OTHER PJS	B	Interest			Sold	11/30/16	L	A	
185.									
186. MORGAN STANLEY 2 TRUST ACCOUNT 2 (H)									
187. MORGAN STANLEY BANK N.A.	A	Interest	K	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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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

07/28/2017

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)
188. ALERIAN MLP ETF (AMLPE)	E	Dividend	M	T	Buy	09/20/16	M		
189. ISHARES MSCI EAFE SM CAP ETF (SCZ)	C	Dividend	L	T					
190. SPDR S&P 500 ETF TRUST (SPY)	D	Dividend	O	T					
191. VANGUARD EXTENDED MKT ETF (VXF)	B	Dividend	M	T					
192. VANGUARD FTSE DEVELOPED MKTS E (VEA)	D	Dividend	M	T					
193. VANGUARD FTSE EMERGING MARKETS (VWO)	B	Dividend	L	T					
194. VANGUARD MID-CAP ETF INDEX (VO)	C	Dividend	M	T					
195. AMERICAN TAX-EXEMPT BD FD F2 (TEAFX)	D	Dividend	M	T					
196. PRINCIPAL PREFERRED SEC INST (PPSIX)	E	Dividend	N	T					
197. CENTER COAST MLP FOCUS 1 (CCCNX)	E	Dividend			Sold	09/20/16	N	D	
198.									
199. MORGAN STANLEY 3 PERSONAL ACCOUNT (H)									
200. CASH	A	Interest	M	T					
201. MORGAN STANLEY BANK, N.A.	A	Interest	M	T					
202. ABBOTT LABORATORIES (ABT)	B	Dividend	L	T					
203. ABBVIE INC COM (ABBV)	C	Dividend	M	T					
204. ALCATEL-LUCENT ADS (ALU)	A	Dividend			Sold	11/30/16	J	A	

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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Name of Person Reporting

MACKINNON, ALEXANDER F.

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07/28/2017

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)
205. ALCOA INC (AA)	A	Dividend	J	T					
206. ARCONIC INC (ARNC)	A	Dividend	J	T	Buy	11/30/16	J		
207. AT&T INC (T)	A	Dividend	J	T					
208. BANK OF NEW YORK MELLON CORP (BK)	A	Dividend	K	T					
209. BERKSHIRE HATHAWAY CL-B NEW (BRKB)	A	Dividend	J	T	Buy	11/30/16	J		
210. CISCO SYS INC (CSCO)	B	Dividend	K	T					
211. COMCAST CORP (NEW) CLASS A (CMCSA)	A	Dividend	J	T					
212. CONOCOPHILLIPS (COP)	A	Dividend	J	T					
213. EXXON MOBIL CORP (XOM)	B	Dividend	K	T					
214. HONEYWELL INTERNATIONAL INC (HON)	B	Dividend	L	T					
215. INTEL CORP (INTC)	A	Dividend	K	T					
216. LIFE STORAGE INC (LSI)	A	Dividend	K	T	Buy	11/30/16	K		
217. NCR CORPORATION (NCR)	A	Dividend	J	T					
218. PHILLIPS 66 COM (PSX)	A	Dividend	J	T					
219. SCHLUMBERGER LTD (SLB)	A	Dividend	K	T					
220. SOVRAN SELF STORAGE INC (SSS)	B	Dividend			Sold	11/30/16	K	B	
221. SUN LIFE FINL SVCS CDA INC (SLF)	B	Dividend	K	T					

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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Name of Person Reporting

MACKINNON, ALEXANDER F.

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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)
222. TECO ENERGY (TE)	A	Dividend			Sold	11/30/16	J	A	
223. TERADATA CORP (TDC)	A	Dividend	J	T					
224. TEXAS INSTRUMENTS (TXN)	C	Dividend	L	T					
225. TRANSOCEAN LTD (RIG)	A	Dividend	J	T					
226. TWENTY-FIRST CENTURY FOX CL A (FOXA)	A	Dividend	J	T					
227. VERIZON COMMUNICATIONS (VZ)	A	Dividend	J	T					
228. VODAFONE GROUP PLC (VOD)	A	Dividend	J	T					
229. WALGREENS BOOTS ALLIANCE INC (WBA)	C	Dividend	M	T					
230. WALT DISNEY CO HLDG CO (DIS)	A	Dividend	K	T					
231. WILLIAMS CO INC (WMB)	A	Dividend	K	T					
232. WPX ENERGY INC (WPX)	A	Dividend	J	T					
233. AMERICAN BALANCED A (ABALX)	B	Dividend	L	T	Buy	11/30/16	L		
234. AMERICAN CAP WORLD GR & INC A (CWGIX)	A	Dividend	K	T	Buy	11/30/16	K		
235. AMERICAN NEW PERSPECTIVE A (ANWPX)	A	Dividend	K	T	Buy	11/30/16	K		
236. AMERICAN NEW WORLD A (NEWFX)	A	Dividend	K	T	Buy	11/30/16	K		
237. AMERICAN SMALL CAP WORLD A (SMCWX)	A	Dividend	J	T	Buy	11/30/16	J		
238. INVESCO VAN KAMPEN CALIF VALUE (VCV)	B	Dividend	K	T					

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	
3. Value Method Codes	P3 = \$25,000,001 - \$50,000,000		P4 = More than \$50,000,000		
(See Column C2)	Q = Appraisal	R = Cost (Real Estate Only)	S = Assessment	T = Cash Market	
	U = Book Value	V = Other	W = Estimated		

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MACKINNON, ALEXANDER F.

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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 I (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)

239. INVESCO BAL RISK COMM STRAT A (BRCAX)	A	Dividend	J	T					
240. INVESCO GLOBAL CORE EQUITY A (AWSAX)	A	Dividend	J	T					
241. MSIF GROWTH A (MSEGX)	A	Dividend	M	T					
242. MSIF TR MID CAP GROWTH A (MACGX)	A	Dividend	K	T					
243.									
244. MORGAN STANLEY 3 TRADITIONAL IRA (H)									
245. MORGAN STANLEY BANK N.A.	A	Interest	J	T					
246. WALT DISNEY CO HLDG CO (DIS)	A	Dividend	K	T					
247. ISHARES MSCI EAFE ETF (EFA)	A	Dividend	K	T					
248. DAVIS NEW YORK VENTURE C (NYVCX)	A	Dividend	K	T					
249. MS U.S. GOVERNMENT SEC TR 1 (USGDX)	A	Dividend	J	T	Sold (part)	11/30/16	K		
250. MSIF GROWTH L (MSHLX)	A	Dividend	K	T	Buy	11/30/16	K		
251.									
252. WILMINGTON TRUST (H)									
253. AMGEN INC COM	A	Dividend			Sold	10/31/16	J	B	
254. ANALOG DEVICES INC	A	Dividend			Sold	10/31/16	J	A	
255. APPLE INC	A	Dividend	K	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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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

07/28/2017

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)

256. CAMBIAN INTERNATIONAL EQUITY FUND	C	Dividend	M	T	Buy	10/27/16	M		
257. BIOGEN, INC	A	Dividend			Sold	10/31/16	J	A	
258. CISCO SYSTEMS INC	A	Dividend			Sold	10/31/16	J	A	
259. CITIGROUP INC	A	Dividend			Sold	10/31/16	J	A	
260. DELTA AIR LINES INC	A	Dividend			Sold	10/31/16	J	A	
261. WALT DISNEY CO	A	Dividend			Sold	10/31/16	K	A	
262. EXXON MOBIL CORP	A	Dividend			Sold	10/31/16	J	A	
263. FEDEX CORP COM	A	Dividend			Sold	10/31/16	J	A	
264. GILEAD SCIENCES INC COM	A	Dividend			Sold	10/31/16	J	A	
265. ISHARES CORE S&P MID-CAP ETF	C	Dividend	M	T					
266. ISHARES GLOBAL ENERGY ETF	A	Dividend			Sold	01/04/16	K	A	
267. ISHARES MSCI EAFE SMALL-CAP ETF	A	Dividend			Sold	10/31/16	K	A	
268. ISHARES RUSSELL 2000 VALUE ETF	B	Dividend	M	T					
269. ISHARES RUSSELL 2000 ETF	B	Dividend	M	T	Buy	11/29/16	M		
270. ISHARES S&P 500 GROWTH ETF	C	Dividend	N	T					
271. JPMORGAN CHASE & CO	A	Dividend			Sold	11/18/16	K	D	
272. JPMORGAN US SMALL COMP-INST	A	Dividend			Buy	10/27/16	M		

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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Name of Person Reporting

MACKINNON, ALEXANDER F.

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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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273.					Sold	11/16/16	M	D	
274. MERCK & COMPANY INC	A	Dividend			Sold	10/31/16	J	A	
275. ORACLE CORPORATION COM	A	Dividend	J	T					
276. REAL ESTATE SELECT SECTOR SPDR FUND	A	Dividend	K	T	Buy	10/31/16	K		
277. PNC FINANCIAL SERVICES GROUP INC	A	Dividend			Sold	10/31/16	J	A	
278. REGENERON PHARMACEUTICALS INC	A	Dividend			Sold	10/31/16	J	A	
279. SPDR DJ INTL REAL ESTATE	A	Dividend			Buy	10/31/16	L		
280.					Sold	11/29/16	L	A	
281. STARBUCKS CORP COM	A	Dividend	J	T					
282. UNITED TECHNOLOGIES CORP COM	A	Dividend			Sold	10/31/16	J	A	
283. VANGUARD 500 INDEX FUND CLASS ADMIRAL	C	Dividend	M	T	Buy	10/27/16	M		
284. VANGUARD CONSUMER DISCRETIONARY ETF	B	Dividend	L	T	Buy	10/31/16	L		
285. VANGUARD CONSUMER STAPLES ETF	A	Dividend	K	T	Buy	10/31/16	K		
286. VANGUARD EMERGING MARKETS STOCK INDEX FUND	C	Dividend	M	T	Buy	07/10/16	M		
287. VANGUARD ENERGY ETF	A	Dividend	K	T	Buy	10/31/16	K		
288. VANGUARD FINANCIALS ETF	B	Dividend	L	T	Sold (part)	10/31/16	J	A	
289. VANGUARD FINANCIALS INDEX-ADM	A	Dividend			Buy	01/04/16	M		

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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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MACKINNON, ALEXANDER F.

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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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290.					Sold	10/26/16	M	C	
291. VANGUARD HEALTH CARE ETF	B	Dividend			Buy	10/31/16	J		
292.					Sold	12/13/16	L	A	
293. VANGUARD INDUSTRIALS ETF	A	Dividend	K	T	Buy	10/31/16	K		
294. VANGUARD INFORMATION TECHNOLOGY ETF	B	Dividend	L	T	Buy	10/31/16	L		
295. VANGUARD MATERIALS ETF	A	Dividend	J	T	Buy	10/31/16	J		
296. VANGUARD TELECOMMUNICATION SERVICES ETF	A	Dividend	J	T	Buy	10/31/16	J		
297. VANGUARD UTILITIES ETF	A	Dividend	J	T	Buy	10/31/16	J		
298. WCM FOCUSED INTL	A	Dividend			Buy	10/27/16	M		
299.					Sold	12/09/16	M	A	
300. WELLS FARGO & CO	A	Dividend			Sold	10/31/16	J	A	
301. WILMINGTON LARGE-CAP STRATEGY FUND UNSTITUTIONAL SHARES	E	Dividend			Sold	10/27/16	L	C	
302. WILMINGTON MULTI-MANAGER INTERNATIONAL FUND INSTITUTIONAL SHARES	D	Dividend			Sold	10/27/16	O	D	
303. NUVEEN HIGH YIELD MUNI CL-I	A	Dividend			Buy	10/27/16	L		
304.					Sold	11/25/16	L	A	
305. NUVEEN SHORT DURATION HIGH YIELD MUNICIPAL BOND FUND CLASS I	C	Dividend	K	T	Sold (part)	10/27/16	L	B	

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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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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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306.			L	T	Buy	11/25/16	L		
307. VANGUARD SHORT-TERM TAX- EXEMPT FUND CLASS ADMIRAL	D	Dividend	N	T	Buy	11/25/16	N		
308.			O	T	Buy (add'l)	12/12/16	M		
309. VANGUARD CA INT-TERM TE CL	A	Dividend			Buy	10/27/16	N		
310.					Sold	11/25/16	N	A	
311. RIDGEWORTH SEIX FLOATING RATE HIGH INCOME FUND I	C	Dividend			Sold	10/27/16	L	A	
312. T ROWE PRICE TAX-FREE SHORTINTERMEDIATE FUND	B	Dividend			Sold	10/27/16	M	A	
313. WILMINGTON MUNICIPAL BOND FUND INSTITUTIONAL SHARES	B	Int./Div.			Sold	10/27/16	M	B	
314. COLORADO STATE DEPT OF TRANSPRTN TRANSPORTATION REVENUE	B	Dividend			Sold	12/15/16	K	A	
315. UPPER SANTA CLARA VY CALIFORNIA POWER REVENUE	B	Dividend	K	T					
316. SONOMA CNTY CALIFORNIA JNR CLG DIST HIGHER EDUCATION	A	Dividend	K	T					
317. WASHINGTON STATE ECON DEV REVENUE BONDS	B	Dividend	K	T					
318. LEWISTON MAINE GENERAL OBLIGATION	A	Dividend	K	T					
319. CHELMSFORD MASSACHUSETTS GENERAL OBLIGATION	A	Dividend	K	T					
320. SAN FRANCISCO CITY & CNTY CALIFORNIA GENERAL OBLIGATION	B	Dividend	K	T					
321. NEWBURYPORT MASSACHUSETTS GENERAL OBLIGATION	A	Dividend	K	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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Name of Person Reporting

MACKINNON, ALEXANDER F.

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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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322. OKLAHOMA STATE CAPITAL IMPT AUTHS GENERAL OBLIGATION	A	Dividend	K	T					
323. TRI-CNTY OREGON METRO TRANSPRTN DIST GENERAL OBLIGATION	A	Dividend	K	T					
324. SAN ANTONIO TEXAS ELEC & GAS UTILITIES REVENUE	B	Dividend	K	T					
325. SAN FRANCISCO CALIFORNIA CITY & CNTY REVENUE BONDS	B	Dividend	K	T					
326. NORTH LAKE TAHOE CALIFORNIA REVENUE BOND	B	Dividend	K	T					
327. EAST BAY CALIFORNIA UTILITY WATER REVENUE	B	Dividend	K	T					
328. ISHARES COHEN & STEERS REIT ETF	B	Dividend	L	T					
329. ISHARES TIPS BOND ETF	B	Dividend	L	T	Buy	01/04/16	L		
330. WILMINGTON MULTI-MANAGER REAL ASSET FUND INSTITUTIONAL SHARES	D	Dividend			Sold	10/26/16	M		
331. ABSOLUTE STRATEGIES FUND INSTITUTIONAL CLASS	A	Dividend			Sold (part)	10/26/16	L		
332.					Sold	12/23/16	L		
333. BLACKSTONE ALTERNATIVE MULTI-STRATEGY FUND CLASS INSTITUTIONAL	A	Dividend	M	T	Sold (part)	10/27/16	M		
334. GATEWAY FUND CLASS Y	A	Dividend	L	T	Buy (add'l)	12/23/16	K		
335.			L	T	Sold (part)	10/27/16	L		
336. WILMINGTON TRUST BANK DEPOSIT SWEEP	A	Dividend	L	T					
337. WILMINGTON US GOVERNMENT MONEY MARKET FUND CLASS SELECT	A	Dividend	J	T					

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338. ISHARES MSCI EAFE GROWTH ETF	A	Dividend	M	T	Buy	12/14/16	M		
339. CREDIT SUISSE COMDTY RTN	A	Dividend			Buy	01/04/16	K		
340.					Sold	10/27/16	K		
341. VANGUARD DEV MARKET INDX-ADM	A	Dividend			Buy	01/04/16	O		
342.					Sold	10/27/16	O		
343.									
344. BANK OF AMERICA, N.A. WEATH MGMT BOFA INTEREST CHECKING	A	Interest	O	T					
345. BANK OF AMERICA, N.A. WEALTH MANAGEMENT MMS MONEY MARKET SAVINGS 1	B	Interest	P1	T					
346. BANK OF AMERICA, N.A. WEALTH MANAGEMENT MMS MONEY MARKET SAVINGS 2	B	Interest	O	T					
347. BANK OF AMERICA, N.A. WEALTH MANAGEMENT MMS MONEY MARKET SAVINGS 3	B	Interest	O	T					
348. BANK OF AMERICA, N.A. CORE CHECKING	A	Interest	M	T	Buy	01/22/16	M		
349. BANK OF AMERICA SAVINGS ACCOUNT	A	Interest	K	T	Buy	01/22/16	K		
350. UNION BANK PRIVATE ADVANTAGE	A	Interest	J	T					
351. UNION BANK HIGH RATE MONEYMARKET	A	Interest	N	T					
352. WELLS FARGO HIGH YIELD SAVINGS	A	Interest	N	T					
353. WELLS FARGO PMA PRIME CHECKING ACCOUNT	A	Interest	K	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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354. CHASE PRIVATE CLIENT	A	Interest	N	T					
355. CITIBANK PRIVATE CLIENT CITIBANK SAVINGS PLUS	A	Int./Div.	N	T					
356. CITIBANK PRIVATE CLIENT INTEREST CHECKING	A	Interest	N	T					
357. CITIBANK PRIVATE BANK 6 MONTH CD	A	Interest	N	T					
358. CITIBANK PRIVATE CLIENT CITIBANK SAVINGS PLUS	B	Interest	M	T					
359. EDISON INTERNATIONAL	A	Dividend	J	T					
360. WISCONSIN ENERGY CORPORATION	A	Dividend	J	T					
361. NEXTERA ENERGY, INC	A	Dividend	K	T					
362.									
363. FIDELITY INVESTMENTS (H)									
364. FIDELITY INVESTMENTS	A	Int./Div.	J	T					
365. FIDELITY INT'L VALUE	A	Int./Div.	J	T					
366. FIDELITY INTL SMALL CAP OPP FUND	A	Int./Div.	J	T					
367. FIDELITY EQUITY DIVIDEND INCOME FUND	A	Int./Div.	K	T					
368. FIDELITY PURITAN	A	Int./Div.	K	T					
369.									
370. OPPENHEIMER & CO INC (H)									

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

MACKINNON, ALEXANDER F.

Date of Report

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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)
371. OPPENHEIMER & CO INC ADVANTAGE BANK DEPOSITS	A	Interest	L	T					
372. AMERICAN ELEC PWR INC	A	Dividend	J	T					
373. FIRST INDUSTRIAL REALTY TRUST REIT	A	Dividend	J	T					
374. MEDICAL PPTYS TRUST INC REIT	A	Dividend	J	T					
375. SOUTHERN CO	B	Dividend	K	T					
376. MERRILL LYNCH CAP TR III	A	Dividend	J	T					
377. OPPENHEIMER GLOBAL STRATEGIC INCOME FD CLA	A	Dividend	J	T					
378. PUTNAM HIGH YIELD TRUST SBI CLA	A	Dividend	J	T					
379. ALLIANZGI EQUITY & CONV INCOME	A	Dividend	J	T					
380. BARINGS CORPORATE INVS CLOSED END	A	Dividend	J	T	Buy	11/30/16	J		
381. CBRE CLARION GLOBAL REAL ESTAT	A	Dividend	J	T					
382. GLADSTONE CAPITAL CORP	A	Dividend	J	T					
383. GLADSTONE INVT CORP	A	Dividend	J	T					
384. PROSPECT CAPITAL COPORATION	A	Dividend	J	T					
385. VOYA ASIA PAC DIVID EQUITY IN	A	Dividend	J	T					
386. VOYA GLBL EQTY DIV & PREM OPP	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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Name of Person Reporting

MACKINNON, ALEXANDER F.

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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)
387. MICHIGAN ST HOSP FIN AUTH REV MI AMBAC 5.25% DUE 05/15/26 B/E REV OID	A	Interest	J	T					
388. JPMORGAN CHASE & CO COM	A	Dividend			Sold	11/30/16	J		
389. BABSON CAP CORPORATE INVS	A	Dividend			Sold	11/30/16	J		
390.									
391. ASSOCIATED BANK N.A. INDIVIDUAL HSA W	A	Interest	J	T					
392.									
393. JOHN HANCOCK - TERM POLICY		None	J	T					
394.									
395. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 1	B	Dividend	K	T					
396. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 2	A	Dividend	K	T					
397. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 3	B	Dividend	L	T					
398. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 4	A	Dividend	K	T					
399. NORTHWESTERN MUTUAL WHOLE LIFE INSURANCE 5	A	Dividend	J	T					
400.									

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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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

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

All assets in Morgan Stanley 1 Traditional IRA 1 (H) were moved into Merrill Lynch Traditional IRA 1 (H). Thus, Morgan Stanley Bank N.A became Bank of America N.A. No assets within the account were bought and sold.

All assets in Morgan Stanley 1 Traditional IRA 2 (H) were moved into Merrill Lynch Traditional IRA 2 (H). Thus, Morgan Stanley Bank N.A became Bank of America N.A.

All assets in Morgan Stanley 1 Trust (H) were moved into Merrill Lynch Trust 1 (H). Thus, Morgan Stanley Bank N.A became Bank of America N.A.

MORGAN STANLEY 2 PERSONAL ACCOUNT (H) - MS AAA CALIF TAX FR TRUST WAS RENAMED TO MORGAN STANLEY BANK, N.A.

MORGAN STANLEY 3 PERSONAL ACCOUNT (H) - MS AAA CALIF TAX FR TRUST WAS RENAMED TO MORGAN STANLEY BANK, N.A.

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Name of Person Reporting

MACKINNON, ALEXANDER F.

Date of Report

07/28/2017

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/ ALEXANDER F. MACKINNON**

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