

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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

|                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                          |                                                                  |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting</b> (last name, first, middle initial)<br><br>Fashing, Laura N.                                                                                                                    | <b>2. Court or Organization</b><br><br>U.S. District Court, District of New Mexico                                                                                                                                                                                                       | <b>3. Date of Report</b><br><br>05/02/2017                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. Magistrate Judge, full-time                                              | <b>5a. Report Type</b> (check appropriate type)<br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final<br><b>5b.</b> <input type="checkbox"/> Amended Report | <b>6. Reporting Period</b><br><br>01/01/2016<br>to<br>12/31/2016 |
| <b>7. Chambers or Office Address</b><br><br>333 Lomas Blvd. NW, Suite 680<br>Albuquerque, NM 87102                                                                                                        |                                                                                                                                                                                                                                                                                          |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                                                                          |                                                                  |

## 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. Secretary/Treasurer | Undaunted Carnival Foundation      |
| 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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**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.)*

DATE

SOURCE AND TYPE

INCOME  
(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.)*

DATE

SOURCE AND TYPE

1. 2016

self-employed physician

2. 2016

Presbyterian -- salary

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS 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. | Ironstone Bank  | Mortgage on Commercial Property | M                 |
| 2. |                 |                                 |                   |
| 3. |                 |                                 |                   |
| 4. |                 |                                 |                   |
| 5. |                 |                                 |                   |

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Name of Person Reporting

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Commercial Property, Albuquerque, NM                                                                                     | E                                       | Rent                                          | N                                               | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. IRA Contributory Acct (H)                                                                                                |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 3. - American Beacon Gbl                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. - American Fd Amcap Fund                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. - Artisan Intl Fund Adv                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/21/16                | J                               |                                |                                                                   |
| 6. - Artisan Intl Fund Inv                                                                                                  | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/21/16                | J                               | A                              |                                                                   |
| 7. - FMI Large Cap Fund                                                                                                     |                                         | None                                          |                                                 |                                           | Sold                                            | 11/17/16                | J                               | A                              |                                                                   |
| 8. - FMI Large Cap Fund Inst                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/17/16                | J                               |                                |                                                                   |
| 9. - Hennessy Cornerstone Mid (formerly<br>Westport Select Cap Fund)                                                        | B                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. - Stone Ridge All Asset                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. Investment Acct #1 (H)                                                                                                  |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 12. - Schwab Money Market Acct                                                                                              | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. - American Beacon Gbl                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 14. - Angel Oak Flexible Incm                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 02/12/16                | J                               |                                |                                                                   |
| 15. - Doubleline Total Return                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/17/16                | J                               |                                |                                                                   |
| 16. - AMG Yacktmn Fd Svc                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. - Artisan Intl Fund Inv                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                  |                                                                                         |                                                        |                                                                                          |                                                              |                                                       |
|--------------------------------------------------|-----------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------------------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                         | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>I = More than \$5,000,000          | E = \$15,001 - \$50,000<br>J = More than \$50,000,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$250,000,001 - \$500,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                                                       |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                         | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code I<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                                               |   |          |   |   |                |          |   |   |  |
|-------------------------------------------------------------------------------|---|----------|---|---|----------------|----------|---|---|--|
| 18. - Dodge & Cox Intl Stock Fund                                             | A | Dividend | J | T | Buy            | 01/20/16 | J |   |  |
| 19. - Driehaus Frontier Emrg Mkts Fd                                          | A | Dividend | J | T | Buy            | 07/12/16 | J |   |  |
| 20. - Eagle Mid Cap Stk Fd Cl A                                               | A | Dividend | J | T |                |          |   |   |  |
| 21. - Fidelity Contra Fund                                                    | A | Dividend | J | T |                |          |   |   |  |
| 22. - FMI Large Cap Fund                                                      |   | None     |   |   | Buy<br>(add'l) | 01/20/16 | J |   |  |
| 23.                                                                           |   |          |   |   | Sold           | 11/17/16 | J | A |  |
| 24. - FMI Large Cap Fund Inst                                                 | A | Dividend | J | T | Buy            | 11/17/16 | J |   |  |
| 25. - Hennessy Cornerstone Mid (formerly<br>Westport Select Cap Fund Class R) | A | Dividend | J | T |                |          |   |   |  |
| 26. - Oakmark Intl Small Cap Fund                                             |   | None     |   |   | Sold           | 03/15/16 | J |   |  |
| 27. - Oberweis Intl Oppty Fd Inst                                             | A | Dividend | J | T | Buy            | 03/16/16 | J |   |  |
| 28. - Stone Ridge All Asset Variance Risk Prem<br>Corn Cl                     | A | Dividend | J | T | Buy            | 02/16/16 | J |   |  |
| 29. - Stone Ridge Reinsurance                                                 | A | Dividend | J | T | Buy            | 08/19/16 | J |   |  |
| 30. - Wasatch Frontier Emrg Sm Countries Inv                                  |   | None     |   |   | Sold           | 07/11/16 | J |   |  |
| 31. Investment Acct #2 (H)                                                    |   |          |   |   |                |          |   |   |  |
| 32. - American Beacon Gbl                                                     | A | Dividend |   |   | Sold           | 10/21/16 | J |   |  |
| 33. - Angel Oak Flexible Incm                                                 | A | Dividend | J | T | Sold<br>(part) | 02/12/16 | J |   |  |
| 34. - Angel Oak Multi Strategy                                                | A | Dividend |   |   | Sold           | 08/30/16 | J |   |  |

|                                                  |                                                                                       |                                                        |                                                                                           |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                   | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$50,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |

|                                                |   |          |   |   |             |          |   |   |  |
|------------------------------------------------|---|----------|---|---|-------------|----------|---|---|--|
| 35. - Doubleline Total Return                  | A | Dividend | J | T |             |          |   |   |  |
| 36. - Voya Securitized Credit                  | A | Dividend | J | T | Buy         | 08/31/16 | J |   |  |
| 37. - American Beacon Bridgeway Lg Cap Value Y | A | Dividend | J | T |             |          |   |   |  |
| 38. - Artisan Intl Fund Adv                    | A | Dividend | J | T | Buy         | 07/21/16 | J |   |  |
| 39. - Artisan Intl Fund Inv                    |   | None     |   |   | Sold        | 07/21/16 | J |   |  |
| 40. - Dodge & Cox Intl Stock Fund              | A | Dividend | J | T |             |          |   |   |  |
| 41. - Driehaus Frontier Emrg Mkts Fd           | A | Dividend | J | T | Buy         | 07/12/16 | J |   |  |
| 42. - Fidelity Contra Fund                     | A | Dividend | J | T |             |          |   |   |  |
| 43. - FMI Large Cap Fund                       | A | Dividend |   |   | Sold (part) | 09/28/16 | J | A |  |
| 44.                                            |   |          |   |   | Sold        | 11/17/16 | J | A |  |
| 45. - FMI Large Cap Fund Inst                  | A | Dividend | J | T | Buy         | 11/17/16 | J |   |  |
| 46. - Glenmede Secured Options                 |   | None     | J | T | Buy         | 12/14/16 | J |   |  |
| 47. - JPMorgan Mid Cap Value Inst              | A | Dividend | J | T |             |          |   |   |  |
| 48. - Oakmark Intl Small Cap Fund              | A | Dividend |   |   | Sold        | 03/15/16 | J | A |  |
| 49. - Oberweiss Intl Oppty Fd Inst             | A | Dividend | J | T | Buy         | 03/16/16 | J |   |  |
| 50. -Schooner Hedged Alt Incm Inst             | A | Dividend |   |   | Buy         | 10/21/16 | J |   |  |
| 51.                                            |   |          |   |   | Sold        | 12/13/16 | J |   |  |

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

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

| A.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. - Stone Ridge All Asset Variance Risk Prem Com Cl                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy (add'l)                                     | 02/16/16                | J                               |                                |                                                                   |
| 53. - Stone Ridge Reinsurance Risk Prem Interval                                                                            | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 54. - Voya Midcap Oppty Fd I                                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 55. - Wasatch Frontier Emrg Sm Countries Inv                                                                                |                                         | None                                          |                                                 |                                           | Sold                                            | 07/11/16                | J                               |                                |                                                                   |
| 56. IRA Rollover Acct (H)                                                                                                   |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 57. - Schwab Govt Money Fund                                                                                                |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 58. - American Beacon Gbl                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 59. - Angel Oak Flexible Incm Inst                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Sold (part)                                     | 02/12/16                | J                               |                                |                                                                   |
| 60. - Doubleline Total Return Bd Fd Cl 1                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 61. - Pimco Total Return Fund Instl Cl                                                                                      | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 62. - American Beacon Bridgeway Lg Cap Value Y                                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 63. - Artisan Intl Fund Adv                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/21/16                | J                               |                                |                                                                   |
| 64. - Artisan Intl Fund Inv                                                                                                 |                                         | None                                          |                                                 |                                           | Sold                                            | 07/21/16                | J                               |                                |                                                                   |
| 65. - Dodge & Cox Intl Stock Fund                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. - Driehaus Frontier Emrg Mkts Fd                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/12/16                | J                               |                                |                                                                   |
| 67. - Fidelity Contra Fund                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 68. - FMI Large Cap Fund                                                                                                    |                                         | None                                          |                                                 |                                           | Sold                                            | 11/17/16                | J                               | A                              |                                                                   |

|                                                  |                                                                                       |                                                        |                                                                                          |                                                              |                         |
|--------------------------------------------------|---------------------------------------------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------------------------------------|--------------------------------------------------------------|-------------------------|
| 1. Income Gain Codes:<br>(See Columns B1 and D4) | A = \$1,000 or less<br>F = \$50,001 - \$100,000                                       | B = \$1,001 - \$2,500<br>G = \$100,001 - \$1,000,000   | C = \$2,501 - \$5,000<br>H1 = \$1,000,001 - \$5,000,000                                  | D = \$5,001 - \$15,000<br>H2 = More than \$5,000,000         | E = \$15,001 - \$50,000 |
| 2. Value Codes<br>(See Columns C1 and D3)        | J = \$15,000 or less<br>N = \$250,001 - \$500,000<br>P3 = \$25,000,001 - \$50,000,000 | K = \$15,001 - \$50,000<br>O = \$500,001 - \$1,000,000 | L = \$50,001 - \$100,000<br>P1 = \$1,000,001 - \$5,000,000<br>P4 = More than \$5,000,000 | M = \$100,001 - \$250,000<br>P2 = \$5,000,001 - \$25,000,000 |                         |
| 3. Value Method Codes<br>(See Column C2)         | Q = Appraisal<br>U = Book Value                                                       | R = Cost (Real Estate Only)<br>V = Other               | S = Assessment<br>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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. - FMI Large Cap Fund Inst                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/17/16                | J                               |                                |                                                                   |
| 70. - JPMorgan Mid Cap Value Inst                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 71. - Longleaf Partners Small Cap Fund                                                                                      | B                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 72. - Oakmark Intl Small Cap Fund                                                                                           |                                         | None                                          |                                                 |                                           | Sold                                            | 03/15/16                | J                               | A                              |                                                                   |
| 73. - Oberweis Intl Oppty Fd Inst                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/16/16                | J                               |                                |                                                                   |
| 74. - Stone Ridge All Asset Variance Risk Prem<br>Com Cl                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 02/16/16                | J                               |                                |                                                                   |
| 75. - Stone Ridge Reinsurance Risk Prem<br>Interval                                                                         | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 76. - Voya Midcap Oppty Fd 1                                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 77. - Wasatch Frontier Emrg SM Countries Inv                                                                                |                                         | None                                          |                                                 |                                           | Sold                                            | 07/11/16                | J                               |                                |                                                                   |
| 78. Inherited IRA (H)                                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 79. - Angel Oak Flexible Incm Inst                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 80. - Doubleline Total Return Fd Fd Cl 1                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 81. - American Fd Amcap Fund F1                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 10/19/16                | J                               | A                              |                                                                   |
| 82. - Artisan Intl Fund Inv                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 83. - Dodge & Cox Intl Stock Fund                                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 84. - FMI Large Cap Fund                                                                                                    |                                         | None                                          |                                                 |                                           | Sold                                            | 11/17/16                | J                               |                                |                                                                   |
| 85. - FMI Large Cap Fund Inst                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/17/16                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Fashing, Laura N.

Date of Report

05/02/2017

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86. - Stone Ridge All Asset Variance Risk Prem Com Cl                                                                       | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 87. - Touchstone Small Cap Fd Cl Y                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 88. - Voya Midcap Oppty Fd I                                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 89. [REDACTED] Simple IRA (H)                                                                                               |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 90. - Schwab Govt Money Fund                                                                                                |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 91. - Angel Oak Flexible Incm Inst                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 02/12/16                | J                               |                                |                                                                   |
| 92. - Angel Oak Multi Strategy Incm Fd Instl                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 93. - Calvert Bond Port Cl A                                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 94. - Domini Social Bond Fund Inv Cl                                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 95. - Doubleline Total Return Bd Fd Cl I                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 02/09/16                | J                               |                                |                                                                   |
| 96.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/23/16                | J                               |                                |                                                                   |
| 97.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 06/06/16                | J                               | A                              |                                                                   |
| 98. - Legg Mason BW Alt Credit Fd Inst                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/06/16                | J                               | A                              |                                                                   |
| 99. - Stone Ridge Alt Lending Risk Premium Inst                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 06/07/16                | J                               |                                |                                                                   |
| 100. - American Beacon Bridgeway Lg Cap Value Y                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 03/23/16                | J                               |                                |                                                                   |
| 101. - Artisan Intl Fund Adv                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/21/16                | J                               |                                |                                                                   |
| 102. - Artisan Intl Fund Inv                                                                                                |                                         | None                                          |                                                 |                                           | Sold                                            | 07/21/16                | J                               | A                              |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Fashing, Laura N.

Date of Report

05/02/2017

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103. - Ashmore Emrg Mkts Frontier Eqty Inst                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 104. - Calvert Equity Portfolio Cl A                                                                                        | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 105. - Dodge & Cox Intl Stock Fund                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 03/23/16                | J                               |                                |                                                                   |
| 106. - Driehaus Frontier Emrg Mkts Fd                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/12/16                | J                               |                                |                                                                   |
| 107. - FMI Large Cap Fund                                                                                                   |                                         | None                                          |                                                 |                                           | Sold                                            | 11/17/16                | J                               | A                              |                                                                   |
| 108. - FMI Large Cap Fund Inst                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/17/16                | J                               |                                |                                                                   |
| 109. - Glenmede Secured Options                                                                                             |                                         | None                                          | J                                               | T                                         | Buy                                             | 12/14/16                | J                               |                                |                                                                   |
| 110. - Oakmark Intl Small Cap Fund                                                                                          | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 03/15/16                | J                               | A                              |                                                                   |
| 111. - Oberweis Intl Oppty Fd Inst                                                                                          |                                         | None                                          | J                                               | T                                         | Buy                                             | 03/16/16                | J                               |                                |                                                                   |
| 112.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/23/16                | J                               |                                |                                                                   |
| 113. - Palmer Square Incm Plus Fd (not included<br>on prior report by mistake)                                              |                                         | None                                          |                                                 |                                           | Sold                                            | 02/08/16                | J                               | A                              |                                                                   |
| 114. - PAX ESG Beta Quality Fd (formerly PAX<br>Growth Indvl Inv Cl)                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 115. - Schooner Hedged Alt Incm Inst                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 12/13/16                | J                               | A                              |                                                                   |
| 116. - Sentinel Sustainable Core Oppty A                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 117. - Sentinel Sustainable Mid Cap Oppty Fd A                                                                              |                                         |                                               |                                                 |                                           | Merged<br>(with line 116)                       | 03/30/16                | J                               |                                |                                                                   |
| 118. - Stone Ridge All Asset Variance Risk Prem<br>Com Cl                                                                   | A                                       | Dividend                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 02/16/16                | J                               |                                |                                                                   |
| 119. - Stone Ridge Reinsurance Risk Prem<br>Interval                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 03/23/16                | J                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Fashing, Laura N.

Date of Report

05/02/2017

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120. - Wasatch Frontier Emrg Sm Countries Inv                                                                               |                                         | None                                          |                                                 |                                           | Buy<br>(add'l)                                  | 03/23/16                | J                               |                                |                                                                   |
| 121.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 07/11/16                | J                               | B                              |                                                                   |
| 122. Investment Acct (H)                                                                                                    |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 123. - Schwab Markettrack All Equity                                                                                        | A                                       | Int./Div.                                     | J                                               | T                                         | Sold<br>(part)                                  | 12/29/16                | J                               | A                              |                                                                   |
| 124. Rollover IRA (H)                                                                                                       |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 125. - Schwab Govt Money Fund                                                                                               |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 126. - Angel Oak Flexible Incm Inst                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 02/12/16                | J                               |                                |                                                                   |
| 127. - Angel Oak Multi Strategy Incm Fd Instl                                                                               | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 08/30/16                | J                               | A                              |                                                                   |
| 128. - Calvert Bond Port Cl A                                                                                               | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 129. - Domini Impact Bond Fund (formerly<br>Domini Social Bond Fund Inv Cl)                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 130. - Voya Securitized Credit                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 08/31/16                | J                               |                                |                                                                   |
| 131. - American Beacon Bridgeway Lg Cap<br>Value Y                                                                          | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 132. - Artisan Intl Fund Adv                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/21/16                | J                               |                                |                                                                   |
| 133. - Artisan Intl Fund Inv                                                                                                |                                         | None                                          |                                                 |                                           | Sold                                            | 07/21/16                | J                               |                                |                                                                   |
| 134. - Ashmore Emrg Mkts Frontier Eqty Inst                                                                                 | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 135. - Calvert Equity Portfolio Cl A                                                                                        | B                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 136. - Dodge & Cox Intl Stock Fund                                                                                          | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Fashing, Laura N.

Date of Report

05/02/2017

## 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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 137. - Driehaus Frontier Emrg Mkts Fd                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/12/16                | J                               |                                |                                                                   |
| 138. - FMI Large Cap Fund                                                                                                   |                                         | None                                          |                                                 |                                           | Sold                                            | 11/17/16                | J                               | A                              |                                                                   |
| 139. - FMI Large Cap Fund Inst                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/17/16                | J                               |                                |                                                                   |
| 140. - Glenmede Secured Options                                                                                             |                                         | None                                          | J                                               | T                                         | Buy                                             | 12/14/16                | J                               |                                |                                                                   |
| 141. - JPMorgan Mid Cap Value L (formerly<br>JPMorgan Mid Cap Value Inst)                                                   | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 142. - Oakmark Intl Small Cap Fund                                                                                          |                                         | None                                          |                                                 |                                           | Sold                                            | 03/15/16                | J                               |                                |                                                                   |
| 143. - Oberweis Intl Oppty Fd Inst                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/16/16                | J                               |                                |                                                                   |
| 144. - PAX ESG Beta Quality Fd (formerly PAX<br>Growth Indvl Inv Cl)                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 145. - Schooner Hedged Alt Incm Inst                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 12/13/16                | J                               | A                              |                                                                   |
| 146. - Sentinel Sustainable Core Oppty A                                                                                    | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 147. - Sentinel Sustainable Mid Cap Oppty Fd A                                                                              |                                         |                                               |                                                 |                                           | Merged<br>(with line 146)                       | 03/30/16                | J                               |                                |                                                                   |
| 148. - Stone Ridge All Asset Variance Risk Prem<br>Com Cl                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 02/16/16                | J                               |                                |                                                                   |
| 149. - Stone Ridge Reinsurance Risk Prem<br>Interval                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 150. - Touchstone Small Cap Fd Cl Y                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 03/31/16                | J                               | A                              |                                                                   |
| 151. - Wasatch Frontier Emrg Sm Countries Inv                                                                               |                                         | None                                          |                                                 |                                           | Sold                                            | 07/11/16                | J                               | A                              |                                                                   |
| 152. USAA Bank Accts                                                                                                        | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 153. Bank of the West Bank Accts                                                                                            | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Fashing, Laura N.

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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.<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B.<br>Income during<br>reporting period |                                               | C.<br>Gross value at end<br>of reporting period |                                           | D.<br>Transactions during reporting period      |                         |                                 |                                |                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|-----------------------------------------------|-------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                             | (1)<br>Amount<br>Code 1<br>(A-H)        | (2)<br>Type (e.g.,<br>div., rent,<br>or int.) | (1)<br>Value<br>Code 2<br>(J-P)                 | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e.g.,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 154. USAA Precious Metals Investmt Fund                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 155. USAA Precious Metals Investmt Fund                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 156. The Education Plan, Index Age Based Portfolio 60                                                                       |                                         | None                                          | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 157. The Education Plan, Index Age Based Portfolio 10                                                                       | A                                       | Int./Div.                                     | J                                               | T                                         | Sold (part)                                     | 08/30/16                | J                               | A                              |                                                                   |
| 158. The Education Plan, Index Low Duration Fixed Income                                                                    |                                         | None                                          | J                                               | T                                         | Open                                            | 12/28/16                | J                               |                                |                                                                   |

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

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Name of Person Reporting

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

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Name of Person Reporting

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## 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/ Laura N. Fashing**

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