

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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

1. Person Reporting (last name, first, middle initial) ZAGEL, JAME B.	2. Court or Organization U.S. DISTRICT COURT NORTHERN ILLINOIS	3. Date of Report 04/30/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. DISTRICT JUDGE, ACTIVE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address U.S. COURTHOUSE 219 SOUTH DEARBORN STREET ROOM 2560 CHICAGO, ILLINOIS 60604-1822		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

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.)*DATESOURCE AND TYPEINCOME
(yours, not spouse's)

1. _____

2. _____

3. _____

4. _____

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

1. _____

2. _____

3. _____

4. _____

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

1. _____

2. _____

3. _____

4. _____

5. _____

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

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.)*CREDITORDESCRIPTIONVALUE CODE

1.

2.

3.

4.

5.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. M.O.N.Y. POLICY - WHOLE LIFE	D	Dividend	L	T					
2. NORTHERN TRUST ASSETS	A	Interest	O	T					
3. FARM LAND WASHINGTON/CLINTON CTY'S, IL	C	Rent	K	W					
4. NORTHWESTERN MUTUAL LIFE INSURANCE POLICY-WHOLE LIFE	A	Dividend	J	T					
5. NEW YORK LIFE INSURANCE POLICY - WHOLE LIFE	A	Dividend	J	T					
6. COUNTRY COMPANIES LIFE INSURANCE POLICY- WHOLE LIFE	A	Dividend	K	T					
7. TRANSAMERICAN LIFE INSURANCE POLICY-WHOLE LIFE		None	L	T					
8. PRUDENTIAL LIFE INSURANCE POLICY-WHOLE LIFE	A	Dividend	J	T					
9. METROPOLITAN LIFE INSURANCE POLICY- WHOLE LIFE	A	Dividend	J	T					
10. AXA EQUITABLE INSURANCE POLICY - WHOLE LIFE	A	Dividend	K	T					
11. ROYAL BANK OF CANADA (RBC)	D	Interest	P1	T					
12. RBC	E	Dividend	P1	T					
13. KO	A	Dividend	K	T					
14. KO	A	Dividend	K	T					
15. SAG PENSION PLAN	A	Interest	J	T					
16. CP	A	Dividend	L	T					
17. CP	A	Dividend	L	T					

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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18. ENCANA - ECA	B	Dividend	K	T					
19. ENCANA - ECA	B	Dividend	K	T					
20. CENOVIVUS	B	Dividend	K	T					
21. CENOVIVUS	B	Dividend	K	T					
22. CP	A	Dividend	K	T					
23. ENCANA - ECA	A	Dividend	J	T					
24. CENOVIVUS	A	Dividend	K	T					
25. HD	A	Dividend	K	T					
26. HD	A	Dividend	K	T					
27. PG	B	Dividend	L	T					
28. PG	B	Dividend	L	T					
29. TIME WARNER	A	Dividend	J	T					
30. TIME WARNER	A	Dividend	J	T					
31. JANUS CONTRARIAN FUND	A	Dividend	L	T					
32. JANUS CONTRARIAN FUND	A	Dividend	L	T					
33. PEPCO HOLDINGS POM		None			Sold	03/29/16	K	E	
34. LEASE OF EXCESS BERRIEN CTR., MI ACREAGE TO LEITZ CORP.	C	Rent	L	W					

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

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35. NEE	B	Dividend	L	T					
36. BAC	A	Dividend	K	T					
37. FIP PROPERTIES		None	M	U					
38. ALPINE ULTRA SHORT TAX - INCOME FUND - ATOIX	B	Interest	N	T					
39. ALPINE ULTRA SHORT TAX - INCOME FUND - ATOIX	B	Interest	M	T					
40. ZOETIS - ZTS	A	Dividend	J	T					
41. ZOETIS - ZTS	A	Dividend	J	T					
42. ARTISAN MIDCAP - ARTOX	A	Dividend			Sold	04/26/16	K		
43. BLACK ROCK EQUITY MDO' US	A	Dividend	J	T					
44. GOLDMAN SACHS - GS/DAX	A	Dividend	J	T					
45. IVY MIDCAP - WMGAX		None	J	T					
46. PIMCO SHORT TERM - PSHAX	A	Dividend			Sold	04/13/16	J		
47. PIMCO TOTAL - PTTAX	A	Dividend	J	T					
48. WELLS FARGO EMERGING MKTS	A	Dividend	J	T					
49. WELLS FARGO PREM LG	A	Dividend	J	T					
50. 3M CO.	A	Dividend	J	T					
51. ABBOTT LAB		None			Sold	02/18/16	J	A	

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52. ABBVIE, INC.		None			Sold	05/13/16	J	A	
53. ACCENTURE PLC -IRELAND ACN	A	Dividend	J	T					
54. ACE, LTD.	A	Dividend	J	T					
55. ALLERGAN, INC.	A	Dividend	J	T					
56. AMERICAN EXPRESS	A	Dividend			Sold	10/17/16	J		
57. AMER TOWER REIT AMT	A	Dividend	J	T					
58. APPLE, INC.	A	Dividend			Sold	11/07/16	J		
59. AT&T	A	Dividend	J	T					
60. ADP	A	Dividend	J	T					
61. CHEVRON	A	Dividend	J	T					
62. CHUBB	A	Dividend	J	T					
63. CITIGROUP	A	Dividend	J	T					
64. COCA COLA	A	Dividend	J	T					
65. COMCAST NEW	A	Dividend	J	T					
66. CONOCO PHILLIPS	A	Dividend	J	T					
67. DEERE CO.	A	Dividend	J	T					
68. DIAGEO PLC ADR	A	Dividend	J	T					

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69. DOMINIUM RES	A	Dividend	J	T					
70. DON	A	Dividend	J	T					
71. DUPONT		None			Sold	12/14/16	J		
72. DUKE ENERGY	A	Dividend	J	T					
73. ENBRIDGE	A	Dividend	J	T					
74. EXXON MOBIL	A	Dividend	J	T					
75. FACEBOOK	A	Dividend	J	T					
76. FACTSET RESEARCH	A	Dividend	J	T					
77. FASTENAL		None			Buy (add'l)	01/15/16	J	A	
78. FASTENAL		None			Sold	07/26/16	J	A	
79. FIFTH THIRD BANK	A	Dividend	J	T					
80. GARTNER IT	A	Dividend	J	T					
81. GENERAL ELECTRIC	A	Dividend	J	T					
82. GENERAL MILLS	A	Dividend	J	T					
83. GOOGLE	A	Dividend	J	T					
84. HOME DEPOT	A	Dividend			Sold	08/09/16	J	A	
85. HONEYWELL INT'L	A	Dividend	J	T					

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86. INTEL	A	Dividend	J	T					
87. INTERNATIONAL PAPER	A	Dividend			Buy (add'l)	01/15/16	J		
88. INTERNATIONAL PAPER	A	Dividend			Sold	04/07/16	J		
89. IBM		None			Buy (add'l)	01/15/16	J		
90. IBM		None			Sold	01/25/16	J		
91. JOHNSON CONTROLS	A	Dividend	J	T					
92. JPMORGAN CHASE	A	Dividend	J	T					
93. KIMBERLY CLARK	A	Dividend	J	T					
94. KINDER MORGAN	A	Dividend	J	T					
95. LORILLARD	A	Dividend	J	T					
96. MARATHON OIL	A	Dividend			Sold	11/30/16	J		
97. MARATHON PETROL	A	Dividend	J	T					
98. MASTERCARD	A	Dividend	J	T					
99. MCDONALDS CORP.		None			Sold	08/29/16	J	A	
100. MEAD WEST VACO	A	Dividend	J	T					
101. MERCK	A	Dividend	J	T					
102. METLIFE - WHOLE LIFE	A	Dividend	J	T					

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103. MICROSOFT	A	Dividend	J	T					
104. MONDELEZ	A	Dividend	J	T					
105. MOTOROLA SOLUTIONS	A	Dividend	J	T					
106. NEW NONT MINING	A	Dividend	J	T					
107. NEXTERA ENERGY	A	Dividend	J	T					
108. NIKE	A	Dividend	J	T					
109. NORTHEAST UTILITIES	A	Dividend	J	T					
110. NORTHROP	A	Dividend	J	T					
111. OCCIDENTAL PETROLEUM	A	Dividend	J	T					
112. ORACLE	A	Dividend	J	T	Buy (add'l)	05/19/16	J		
113. PFIZER	A	Dividend	J	T					
114. PHILLIP MORRIS	A	Dividend	J	T					
115. PHILLIPS 66	A	Dividend	J	T					
116. PRAXAIR	A	Dividend	J	T					
117. PROCTOR & GAMBLE	A	Dividend	J	T					
118. PRUDENTIAL - WHOLE LIFE	A	Dividend	J	T					
119. PUBLIC SERVICE ENTERPRISE	A	Dividend	J	T					

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120. QUALCOMM	A	Dividend			Sold	11/30/16	J		
121. RAYTHEON	A	Dividend	J	T					
122. SCHLUMBERGER	A	Dividend	J	T					
123. SEMPRA ENERGY	A	Dividend	J	T					
124. STARBUCKS	A	Dividend	J	T					
125. SUNTRUST BANK	A	Dividend	J	T					
126. T ROWE PRICE	A	Dividend	J	T					
127. TJX COS INC	A	Dividend	J	T	Buy (add'l)	09/13/16	J		
128. TORONTO DOM BANK-TIME DEPOSIT	A	Dividend	J	T					
129. TOTAL SA	A	Dividend	J	T					
130. TRAVELLERS COS.	A	Dividend			Sold	01/25/16	J	A	
131. US BANCORP-COMMON-NEW	A	Dividend	J	T					
132. UNILEVER	A	Dividend	J	T					
133. UNITED PARCEL SERVICE	A	Dividend	J	T					
134. UNITED TECHNOLOGY	A	Dividend			Sold	06/29/16	J	A	
135. VF CORP	A	Dividend	J	T					
136. VARIAN MEDICAL	A	Dividend	J	T					

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

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Name of Person Reporting

ZAGEL, JAME B.

Date of Report

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. VERIZON COMM	A	Dividend	J	T					
138. VISA	A	Dividend	J	T					
139. WW GRAINGER	A	Dividend	J	T					
140. WALMART	A	Dividend	J	T					
141. WEYERHAUSER	A	Dividend	J	T					
142. WELLS FARGO	A	Dividend	J	T					
143. GEORGIA STATE GEN'L OBLIGATION	A	Interest	J	T					
144. GILBERT AZ GENERAL OBLIGATION	A	Interest	J	T					
145. ST LUCIE FL COUNTY REVENUE	A	Interest			Sold	06/17/16	J	A	
146. JEA WTR & SEWER REVENUE	A	Interest	J	T					
147. PASCO CTY, FL REVENUE	A	Interest	J	T					
148. MICHIGAN STATE TRUNK LINE	A	Interest	J	T					
149. SNOHOMISH CTY SCHL DIST	A	Interest	J	T					
150. ANCHORAGE ALASKA GEN'L OBLIG	A	Interest	J	T					
151. MASS ST GEN OBL	A	Interest	J	T					
152. HURON SD SCHOOL DIST	A	Interest	J	T					
153. COLUMBUS, OH GEN'L OBLIG	A	Interest	J	T					

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

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Name of Person Reporting

ZAGEL, JAME B.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. INVESCO PREMIER TAX EXEMPT	A	Dividend			Sold	05/31/16	J		
155. 3M COMPANY	A	Dividend	J	T					
156. ABBOTT LABS		None			Sold	02/18/16	J	A	
157. ABBVIE INC	A	Dividend			Sold	05/13/16	J	A	
158. ACE LTD	A	Dividend	J	T					
159. AMERICAN EXPRESS	A	Dividend			Sold	10/17/16	J		
160. AMERICAN TOWER REIT	A	Dividend	J	T					
161. APPLE INC	A	Dividend			Sold	11/07/16	J		
162. AT&T	A	Dividend	J	T					
163. BERKSHIRE HATHAWAY	A	Dividend	J	T					
164. BHP BILLITON	A	Dividend			Sold	03/29/16	J	A	
165. CHEVRON	A	Dividend	J	T					
166. CITIGROUP	A	Dividend	J	T					
167. COACH	A	Dividend	J	T					
168. COCA COLA	A	Dividend	J	T	Buy (add'l)	02/05/16	J		
169. COMCAST	A	Dividend	J	T					
170. CONOCOPHILLIPS	A	Dividend	J	T	Buy (add'l)	01/15/16	J		

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

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Name of Person Reporting

ZAGEL, JAME B.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. CUMMINS INC	A	Dividend	J	T					
172. DEERE	A	Dividend	J	T					
173. DIAGEO PLC	A	Dividend	J	T					
174. DOMINION RE	A	Dividend	J	T					
175. DON	A	Dividend	J	T					
176. DUPONT	A	Dividend			Sold	12/14/16	J	A	
177. DUKE ENERGY	A	Dividend	J	T					
178. EMC CORP.	A	Dividend	J	T					
179. ENBRIDGE	A	Dividend	J	T					
180. EXPRESS SCRIPS		None			Sold	11/30/16	J	A	
181. EXXON MOBIL	A	Dividend	J	T					
182. FIFTH THIRD BANK	A	Dividend	J	T					
183. GENERAL ELECTRIC	A	Dividend	J	T					
184. GENERAL MILLS	A	Dividend	J	T					
185. GILEAD SCIENCE	A	Dividend	J	T					
186. GOOGLE	A	Dividend	J	T					
187. HOME DEPOT	A	Dividend			Sold	08/09/16	J	A	

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

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ZAGEL, JAME B.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. HONEYWELL	A	Dividend	J	T					
189. INTEL	A	Dividend			Sold	08/12/16	J	A	
190. JOHNSON & JOHNSON	A	Dividend			Sold	11/18/16	J	A	
191. INTENATIONAL PAPER	A	Dividend			Sold	04/07/16	J		
192. JOHNSON CONTOLS	A	Dividend	J	T					
193. JPMORGAN CHASE	A	Dividend	J	T					
194. KIMBERLY CLARK	A	Dividend	J	T					
195. KINDER MORGAN	A	Dividend	J	T					
196. LORILLARD	A	Dividend	J	T					
197. M&T BANK		None			Sold	02/11/16	J		
198. MARATHON OIL	A	Dividend			Sold	11/30/16	J		
199. MARATHON PETRO	A	Dividend			Sold	11/30/16	J	A	
200. MCDONALDS	A	Dividend			Sold	08/29/16	J	A	
201. MEAD WEST VASCO	A	Dividend	J	T					
202. MERCK	A	Dividend	J	T					
203. METLIFE - WHOLE LIFE	A	Dividend	J	T					
204. MICROSOFT	A	Dividend	J	T					

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

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ZAGEL, JAME B.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. MONDELEZ INT'L	A	Dividend	J	T					
206. MONSTER BEVERAGE	A	Dividend	J	T					
207. MOTOROLA SOLUTIONS	A	Dividend	J	T					
208. NATIONAL OIL WELL VARCO	A	Dividend	J	T					
209. NEWMONT MINES	A	Dividend	J	T					
210. NEXTERA ENERGY	A	Dividend	J	T					
211. NORTHEAST UTILITIES	A	Dividend	J	T					
212. NORTHRUP GRUMMAN	A	Dividend			Sold	06/01/16	J	A	
213. OCCIDENTAL PETROLEUM	A	Dividend	J	T	Buy (add'l)	06/24/16	J		
214. PERRIGO CO.	A	Distribution			Sold	05/04/16	J		
215. PFIZER	A	Dividend	J	T	Buy (add'l)	05/19/16	J		
216. PHILLIP MORRIS	A	Dividend	J	T					
217. PHILLIPS 66	A	Dividend	J	T					
218. PRAXAIR	A	Dividend	J	T					
219. PRICELINE	A	Dividend	J	T					
220. PROCTOR & GAMBLE	A	Dividend			Sold	06/28/16	J	A	
221. PRUDENTIAL- WHOLE LIFE	A	Dividend	J	T					

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

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ZAGEL, JAME B.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222. PUBLIC SERVICE ENT	A	Dividend	J	T	Buy (add'l)	01/15/16	J		
223. QUALCOMM	A	Dividend	J	T					
224. RAYTHEON	A	Dividend			Sold	11/22/16	J	A	
225. SCHLUMBERGER	A	Dividend	J	T	Buy (add'l)	01/15/16	J		
226. SEMPRA ENERGY	A	Dividend	J	T					
227. STERICYCLE		None			Buy (add'l)	02/23/16	J		
228. STERICYCLE		None			Sold	11/07/16	J		
229. SUNTRUST BANK - COMMON STOCK	A	Dividend	J	T					
230. TORONTO DOM BK - TIME DEPOSIT	A	Dividend	J	T					
231. TOTAL SA SPON ADR	A	Dividend	J	T	Buy (add'l)	01/15/16	J		
232. US BANCORP - COMMON - NEW	A	Dividend	J	T					
233. UNILEVER - NV - NY SH- N EW	A	Dividend	J	T					
234. UNITED PARCEL SERVICE	A	Dividend	J	T					
235. UNITED TECH	A	Dividend			Sold	06/29/16	J	A	
236. VF CORP	A	Dividend	J	T					
237. VARIAN MEDICAL	A	Dividend	J	T					
238. VERISK ANALYTICS	A	Dividend	J	T					

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

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Name of Person Reporting

ZAGEL, JAME B.

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

239. VERIZON	A	Dividend			Sold	12/01/16	J	A	
240. VISA	A	Dividend	J	T					
241. WALMART STORES	A	Dividend	J	T					
242. WELLS FARGO	A	Dividend			Sold	12/30/16	M		
243. WEYERHAEUSER	A	Dividend	J	T					
244. I SHARES MORNINGSTAR	A	Interest			Sold	01/15/16	K	D	
245. VANGUARD SMALL CAP	A	Interest	J	T					
246. NJ TRANS TR FD AUTH REVENUE	A	Interest	J	T					
247. MINNESOTA ST GEN'L OBLIGATION	A	Interest	J	T					
248. SAN ANTONIO TX GEN'L OBLIGATION	A	Interest			Sold	03/08/16	J	A	
249. SEA FLA WTR & SUN REVENUE	A	Interest	J	T					
250. OHIO WTR DEVL'P AUTH REVENUE	A	Interest	J	T					
251. TEXAS ST HWY FD REVENUE	A	Interest	J	T					
252. MINNESOTA ST 911 REVENUE	A	Interest	J	T					
253. SNOHOMISH WA SCHL DIST OBLIG	A	Interest	J	T					
254. VIRGINIA COLLEGE BLDG AUTH	A	Interest			Sold	06/29/16	J	A	
255. CONN ST GEN'L OBLIG SER E	A	Interest			Sold	06/29/16	J	B	

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

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

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

256. INVESCO PREM TX EXEMPT	A	Interest			Sold	10/11/16	K		
257. VIRTUS FOREIGN OPPORTUNITY	A	Interest	J	T					
258. MORGAN STANLEY ASSET #4 CASH A/C	A	Interest	M	T					
259. FINISH LINE INC	A	Dividend	J	T					
260. NXP SEMI-CONDUCTOR		None	J	T					
261. LOCKHEED MARTIN	A	Dividend			Sold	02/05/16	J	A	
262. CHEVRON	A	Dividend	J	T					
263. DOW CHEMICAL	A	Dividend	J	T					
264. GENERAL ELECTRIC	A	Dividend	J	T					
265. QUALCOMM	A	Dividend	J	T					
266. CORE LABS	A	Dividend	J	T	Buy (add'l)	01/15/16	J		
267. KROGER	A	Dividend	J	T	Buy (add'l)	08/26/16	J		
268. CELGENE	A	Dividend	J	T	Buy (add'l)	01/19/16	J		
269. O'REILLY		None	J	T					
270. REGENERON		None	J	T					
271. NESTLE		None	J	T					
272. EBAY		None	J	T					

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

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Name of Person Reporting

ZAGEL, JAME B.

Date of Report

04/30/2018

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

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

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

273. CLEARBRIDGE LG CAP GRWTH		None	M	T	Buy	12/30/16	M		
274. METROPOLITAN WEST TOTAL RET BD 1		None	K	T	Buy	04/20/16	K		
275. REGENERON PHARMACY		None	J	T	Buy	12/28/16	J		
276. DOW CHEMICAL	A	Dividend	J	T	Buy	12/14/16	J		
277. ALIGN TECNOLOGY		None	J	T	Buy	02/29/16	J		
278. AETNA, INC. (NEW)	A	Dividend	J	T	Buy	11/14/16	J		
279. ASTRAZENCA PLC ADS	A	Dividend	J	T	Buy	05/05/16	J		
280. DOLLAR GENERAL CORP (NEW)	A	Dividend	J	T	Buy	10/10/16	J		
281. KEYCORP (NEW)	A	Dividend	J	T	Buy	09/27/16	J		
282. DIAGEO PLC SPON ADR (NEW)	A	Dividend	J	T	Buy	09/08/16	J		
283. UNILEVER NV NY SH (NEW)	A	Dividend	J	T	Buy	09/09/16	J		
284. BECTON DICKINSON		None	J	T	Buy	08/31/16	J		
285. MARSH & MCLENNON CO	A	Dividend	J	T	Buy	08/16/16	J		
286. SUNCOR ENERGY	A	Dividend	J	T	Buy	08/12/16	J		
287. CHEVRON CORP	A	Dividend	J	T	Buy	08/10/16	J		
288. LAS VEGAS NV CONVENTION & VISITORS AUTH REV REF C		None	J	T	Buy	07/22/16	J		
289. US BANCORP	A	Dividend	J	T	Buy	06/24/16	J		

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

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Name of Person Reporting

ZAGEL, JAME B.

Date of Report

04/30/2018

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290. ANTHEM INC	A	Dividend	J	T	Buy	05/13/16	J		
291. AMERICAN INT'L GRP INC NEW	A	Dividend	J	T	Buy	03/29/16	J		
292. MORGAN STANLEY - COMMON	A	Dividend	J	T	Buy	03/29/16	J		
293. HESS CORP	A	Dividend	J	T	Buy	02/16/16	J		
294. QUEST DIAGNOSTICS	A	Dividend	J	T	Buy	02/05/16	J		
295. GAP INC	A	Dividend	J	T	Buy	01/25/16	J		
296. UNION PACIFIC	A	Dividend	J	T	Buy	01/15/16	J		
297. NESTLE SPON ADR REP REG		None	J	T	Buy	01/15/16	J		
298. TRACTOR SUPPLY CO		None	J	T	Buy	12/01/16	J		
299. TREEHOUSE FOODS INC		None	J	T	Buy	09/26/16	J		
300. WASHINGTON STATE VAR PURPOSE GEN'L OBLG REV - A8/1/2023		None	J	T	Buy	06/29/16	J		
301. ROSS STORES INC	A	Dividend	J	T	Buy	06/22/16	J		
302. KRAFT-HEINZ CO	A	Dividend	J	T	Buy	03/23/16	J		
303. OSCEOLA CNTY FL SALES TAX REV REF A 10/1/2026	A	Interest	J	T	Buy	03/16/16	J		
304. MEAD JOHNSON NUTRITION CO	A	Dividend	J	T	Buy	01/15/16	J		
305. ALPHABET INC. GOOG CL C		None	L	T					
306. PFIZER	A	Dividend	J	T					

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

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Name of Person Reporting

ZAGEL, JAME B.

Date of Report

04/30/2018

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

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

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

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

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

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

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

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

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Name of Person Reporting

ZAGEL, JAME B.

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
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366.									

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII

Page 2 of your letter of December 19,2017 addresses assets listed in a 2015 amended report and not shown in the 2016 report. My cureent accountant did not prepare the 2015 report nor the 2015 amended report.

I will attempt to secure the amended report and make the necessary revisions when able.

I would appreciate your patience while this is being obtained.

FINANCIAL DISCLOSURE REPORT

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ZAGEL, JAME B.

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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/ JAME B. ZAGEL**

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
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544