

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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

1. Person Reporting (last name, first, middle initial) Davis, Diane	2. Court or Organization Utica, NY	3. Date of Report 05/15/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2017 to 12/31/2017
7. Chambers or Office Address 220 U.S. Courthouse 10 Broad Street Utica, New York 13501		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Co-Trustee	Trust #1
2.	Co-Trustee	Trust #2
3.	Co-Trustee	Trust #4
4.	Co-Executor	██████████ estate
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. 2017	Troy Web Consulting LLC - salary
2. 2017	self-employed elder caregiver
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. FJC educational seminar	03/12/17-03/17/17	Charleston, SC	educational seminar funded by the Federal Judicial Center	program, meals, hotel, air
2. Central NY Bankruptcy Bar Association	03/31/2017	Albany, NY	non-FJC educational seminar funded by BAR association	program fee
3. Albany Law School	04/03/2017	Albany, NY	lecture	program fee
4. Broome County Bar Association	05/25/2017	Binghamton, NY	non-FJC educational seminar funded by BAR association	program fee
5. Circuit Judicial Conference	06/07/2017-06/09/2017	New Paltz, NY	circuit judicial conference	program, meals, hotel, mileage

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6.	Court governance or administrative/managerial meetings	08/18/2017	Cooperstown, NY	meetings	meeting fee
7.	Court governance or administrative/managerial meetings	09/13/2017-09/15/2017	Lake Placid, NY	meetings	meeting fee, meals, hotel, mileage
8.	Central NY Bankruptcy Bar Association	10/03/2017	Syracuse, NY	non-FJC educational seminar funded by BAR association	program fee
9.	Central NY and Capital District Bankruptcy Bar Associations	10/20/2017-10/21/2017	Cooperstown, NY	Bar Associations Annual Bankruptcy Conference	mileage, meals, hotel
10.	Federal Court Bar Association, NDNY	12/07/2017	Albany, NY	non-FJC educational seminar funded by BAR association	program fee

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V. GIFTS. *(Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)*

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE 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. Brokerage Account #1									
2. -Fidelity Advisors Small Cap Fund Class A	A	Int./Div.	J	T					
3. -Henderson Global Investors Intl Opport Fund A	A	Int./Div.	J	T					
4. -Mainstay Large Cap Growth Fund Class A	A	Int./Div.	J	T					
5. -MFS Value Fund Class A	A	Int./Div.	J	T					
6. -FT Templeton Global Bond A	A	Int./Div.	J	T					
7. -PIMCO Total Return Fund Class A	A	Int./Div.	J	T					
8. -USB Bank USA Dep Acct	A	Int./Div.	J	T					
9. -Virtus Multi-Sector Short Term Bond Fund Class A	A	Int./Div.			Sold	06/27/17	J	A	
10. -USB PACE Large Company Growth Equity Investment Fund Class	A	Int./Div.	J	T					
11. -UBS PACE Intl Emerging Mkts Equity Investment Fund Class P	A	Int./Div.	J	T	Sold (part)	04/04/17	J	A	
12. -UBS PACE Large Company Value Equity Investment Fund Class P	A	Int./Div.	J	T					
13. -UBS PACE International Equity Investment Fund Class P	A	Int./Div.	J	T	Buy (add'l)	04/04/17	J		
14. -UBS PACE Small/Medium Co Value Equity Investment Fund	A	Int./Div.	J	T					
15. -UBS Government Sec Fixed Income Investment Fund	A	Int./Div.	J	T					
16. -UBS Strategic Fixed Income Investment Fund Long	A	Int./Div.	J	T					
17. -UBS High Yield Investments Class P	A	Int./Div.	J	T	Sold (part)	04/04/17	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 \$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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18. -CSRSX	A	Int./Div.	J	T					
19. -GTEYX	A	Int./Div.	J	T					
20. -FMI Large Cap Fund	A	Int./Div.	J	T	Sold (part)	06/27/17	J	A	
21. -Riverpark/Wedgewood Retail Funds	A	Int./Div.			Sold	04/27/17	J	A	
22. -UBS PACE Small/Medium Co Growth Equity Inv Class P	A	Int./Div.	J	T					
23. -UBS PACE International Fixed Investment Class P	A	Int./Div.	J	T	Buy (add'l)	04/04/17	J		
24. -UBS PACE Alternative Strategies Investments Class P	A	Int./Div.	K	T	Buy (add'l)	04/04/17	J		
25. -SPY	A	Int./Div.	J	T	Sold (part)	06/29/17	J	A	
26. -JVMIX	A	Int./Div.	J	T	Sold (part)	06/27/17	J	B	
27. -BND	A	Int./Div.			Sold	06/29/17	J	A	
28. -AQMNX	A	Int./Div.	J	T					
29. -JHAIX	A	Int./Div.	J	T					
30. -UBS PACE Interim Fixed Income	A	Int./Div.	J	T					
31. -OOSYX	A	Int./Div.			Sold	03/28/17	J	A	
32. -BGCIX	A	Int./Div.	J	T	Buy (add'l)	06/27/17	J		
33. -RLSIX	A	Int./Div.	J	T					
34. -ICEUX (Y)	A	Int./Div.							

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. -NMPAX	A	Int./Div.	J	T					
36. -VTI	A	Int./Div.			Sold	06/29/17	J	A	
37. -BMDIX	A	Int./Div.	J	T	Sold (part)	06/27/17	J	A	
38. -CWSIX	A	Int./Div.	J	T	Sold (part)	06/27/17	J	A	
39. -IEF	A	Int./Div.			Sold (part)	03/02/17	J	A	
40.					Buy (add'l)	03/08/17	J		
41.					Sold (part)	04/26/17	J	A	
42.					Sold	06/29/17	J	A	
43. -CLSIX	A	Int./Div.			Closed	07/18/17	J		nontaxabe exchg to ln 44
44. -VCRSX	A	Int./Div.	J	T	Open	07/18/17	J		nontaxable exchg frm ln 43
45. -BGLSX	A	Int./Div.	J	T	Buy (add'l)	06/27/17	J		
46. -BHYIX	A	Int./Div.	J	T					
47. -Delaware Diversified Income I	A	Int./Div.	J	T					
48. -EFA	A	Int./Div.	J	T	Sold (part)	06/29/17	J	B	
49. -LQD	A	Int./Div.	J	T	Buy (add'l)	02/27/17	J		
50.					Sold (part)	06/29/17	J	A	
51. -LSIIX	A	Int./Div.			Sold	06/27/17	J	A	

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52. -PONPX	A	Int./Div.			Sold	06/27/17	J	A	
53. -LFMIX	A	Int./Div.	J	T					
54. -PCGTX	A	Int./Div.	J	T	Sold (part)	04/04/17	J	A	
55. -IJR	A	Int./Div.	J	T					
56. -VO	A	Int./Div.	J	T	Sold (part)	03/02/17	J	A	
57. -IEFA	A	Int./Div.	J	T	Buy (add'l)	02/27/17	J		
58.					Sold (part)	06/29/17	J	A	
59. -IEMG	A	Int./Div.	K	T	Sold (part)	03/02/17	J	A	
60.					Buy (add'l)	06/29/17	J		
61. -VTV	A	Int./Div.	J	T	Buy (add'l)	02/27/17	J		
62.					Buy (add'l)	05/24/17	J		
63. -VUG	A	Int./Div.	J	T	Buy (add'l)	02/27/17	J		
64.					Sold (part)	05/24/17	J	A	
65. -MBB	A	Int./Div.			Sold (part)	03/02/17	J	A	
66.					Sold	06/29/17	J	A	
67. -EMB	A	Int./Div.	J	T					
68. -SHY	A	Int./Div.			Sold	03/02/17	J	A	

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2. Value Codes (See Columns C1 and D3)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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69. -CRED	A	Int./Div.	K	T	Buy (add'l)	02/27/17	J		
70. -IEI	A	Int./Div.			Sold	03/02/17	J	A	
71. -GOVT	A	Int./Div.	K	T	Buy (add'l)	03/20/17	J		
72.					Buy (add'l)	04/06/17	J		
73.					Buy (add'l)	06/29/17	J		
74.					Buy (add'l)	07/26/17	J		
75.					Buy (add'l)	09/26/17	J		
76.					Sold (part)	12/19/17	J	A	
77. -MINT	A	Int./Div.	J	T					
78. -SCHP	A	Int./Div.			Sold	04/06/17	J	A	
79. -JNK	A	Int./Div.	J	T	Sold (part)	03/02/17	J	A	
80.					Sold (part)	03/29/17	J	A	
81.					Buy (add'l)	06/29/17	J		
82.					Sold (part)	07/26/17	J	A	
83. -BWV	A	Int./Div.			Sold (part)	03/02/17	J	A	
84.					Sold	06/29/17	J	A	
85. -EMKIX	A	Int./Div.	J	T	Buy (add'l)	06/27/17	J		

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86. -EMLC	A	Int./Div.	J	T	Buy (add'l)	12/15/17	J		
87. -PREQX (X)	A	Int./Div.	J	T					
88. -VT (X)	A	Int./Div.	J	T	Buy (add'l)	02/27/17	J		
89.					Buy (add'l)	03/24/17	J		
90.					Buy (add'l)	03/27/17	J		
91.					Buy (add'l)	05/24/17	J		
92.					Buy (add'l)	06/29/17	J		
93.					Sold (part)	09/26/17	J	A	
94. -IUSG	A	Int./Div.	J	T	Buy	04/26/17	J		
95.					Sold (part)	06/27/17	J	A	
96. -OIGYX	A	Int./Div.	J	T	Buy	06/27/17	J		
97. -PBDPX	A	Int./Div.	J	T	Buy	06/27/17	J		
98. -QSPIX	A	Int./Div.	J	T	Buy	06/27/17	J		
99. -QFVIX	A	Int./Div.	J	T	Buy	06/27/17	J		
100. Brokerage Account #2									
101. NYS Retirement Plan - no control		None	N	T					
102. Trustco	A	Interest	J	T					

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103. Keybank	A	Int./Div.	M	T					
104. SEFCU	A	Interest	K	T					
105. Citizens	A	Interest	J	T					
106. Berkshire	A	Interest			Closed	12/31/17	J		
107. Brokerage Account #3									
108. Morgan Stanley Bank N.A.	A	Interest	N	T					
109. -IWR	A	Int./Div.	K	T		11/01/17	J		transfer in from Trust
110. -IJH	A	Int./Div.	K	T		11/01/17	J		transfer in from Trust
111. -IJR	A	Int./Div.	K	T	Buy (add'l)	02/21/17	J		
112.						11/01/17	J		transfer in from Trust
113. -IWM	A	Int./Div.	J	T		11/01/17	J		transfer in from Trust
114. -FNX	A	Int./Div.	J	T					
115. -FYX	A	Int./Div.	J	T					
116. -EWJ	A	Int./Div.	J	T					
117. -DIA	A	Int./Div.	K	T	Sold (part)	02/21/17	J	A	
118.						10/31/17	J		transfer in from Trust
119.						11/08/17	J		transfer in from Trust

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120.						11/13/17	J		transfer in from Trust
121. -FEZ	A	Int./Div.	J	T					
122. -SPY	A	Int./Div.	J	T	Sold (part)	02/21/17	J	A	
123.						10/31/17	J		transfer in from Trust
124.						11/08/17	J		transfer in from Trust
125.						11/13/17	J		transfer in from Trust
126. -VGK	A	Int./Div.	J	T		11/08/17	J		transfer in from Trust
127.						11/13/17	J		transfer in from Trust
128. -VPL	A	Int./Div.	J	T	Sold (part)	02/21/17	J	A	
129.						11/08/17	J		transfer in from Trust
130. -EWS	A	Int./Div.	J	T	Sold (part)	02/21/17	J	A	
131. -EEM	A	Int./Div.	J	T					
132. -EWY	A	Int./Div.	J	T	Sold (part)	02/21/17	J	A	
133. -EWU (X)	A	Int./Div.	J	T	Buy (add'l)	02/11/17	J		
134. -MDY (X)	A	Int./Div.	J	T					
135. -IWD (X)	A	Int./Div.	J	T	Buy (add'l)	02/15/17	J		
136.						10/31/17	J		transfer in from Trust

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. -IWF (X)	A	Int./Div.	J	T	Buy (add'l)	02/15/17	J		
138.						10/31/17	J		transfer in from Trust
139.						11/08/17	J		transfer in from Trust
140. -RSP	A	Int./Div.	J	T		10/31/17	J		transfer in from Trust
141. -IJJ	A	Int./Div.	J	T		10/31/17	J		transfer in from Trust
142. -MUXA	A	Int./Div.	J	T		11/01/17	J		transfer in from Trust
143. -JPM	A	Int./Div.	J	T		11/15/17	J		transfer in from Trust
144. -WMT	A	Int./Div.	J	T		11/15/17	J		transfer in from Trust
145. -MSFT	A	Int./Div.	J	T		11/15/17	J		transfer in from Trust
146. -VZ	A	Int./Div.	J	T		11/01/17	J		transfer in from Trust
147. -T	A	Int./Div.	J	T		11/15/17	J		transfer in from Trust
148. -CAT	A	Int./Div.	J	T		11/15/17	J		transfer in from Trust
149. -CSCO	A	Int./Div.	J	T		11/15/17	J		transfer in from Trust
150. -XOM	A	Int./Div.	J	T		11/15/17	J		transfer in from Trust
151. -JNJ	A	Int./Div.	J	T		11/15/17	J		transfer in from Trust
152. -WFC	A	Int./Div.	J	T		11/15/17	J		transfer in from Trust
153. -PG	A	Int./Div.	J	T		11/15/17	J		transfer in from Trust

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. -AXP	A	Int./Div.	J	T		11/15/17	J		transfer in from Trust
155. -AAPL	A	Int./Div.	J	T		11/15/17	J		transfer in from Trust
156. -BK	A	Int./Div.	J	T		11/15/17	J		transfer in from Trust
157. -BA	A	Int./Div.	J	T		11/15/17	J		transfer in from Trust
158. -EMN	A	Int./Div.	J	T		11/01/17	J		transfer in from Trust
159.						11/16/17	J		transfer in from Trust
160. -HD	A	Int./Div.	J	T		11/15/17	J		transfer in from Trust
161. -IBM	A	Int./Div.	J	T		11/15/17	J		transfer in from Trust
162. -PEP	A	Int./Div.	J	T		11/16/17	J		transfer in from Trust
163. -UTX	A	Int./Div.	J	T		11/15/17	J		transfer in from Trust
164. -DIS	A	Int./Div.	J	T		11/15/17	J		transfer in from Trust
165. Trust #1					Closed	12/31/17			
166. -buyout of 50% int in decedent's ownership of warehouse	B	Interest			Matured	08/01/17	L		
167. -Bank Deposit Program Citibank	A	Int./Div.			Closed	11/15/17	J		
168. -XOM	A	Int./Div.			Distributed	11/15/17	J		
169. -MS Liquid Asset Fund	A	Int./Div.			Distributed (part)	11/06/17	J		
170.					Distributed (part)	11/15/17	O		

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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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.					Distributed	12/20/17	J		
172. -EEM	A	Int./Div.			Distributed	11/06/17	J		
173. -VZ	A	Dividend			Distributed	11/15/17	J		
174. -JNJ	A	Dividend			Distributed	11/15/17	J		
175. -IBM	A	Dividend			Distributed	11/15/17	J		
176. -MSFT	A	Dividend			Distributed	11/15/17	K		
177. -MRK	A	Dividend			Distributed	11/15/17	J		
178. -HD	A	Dividend			Distributed	11/15/17	K		
179. -INTC	A	Dividend			Distributed	11/15/17	J		
180. -UTX	A	Dividend			Distributed	11/15/17	J		
181. -AXP	A	Dividend			Distributed	11/15/17	J		
182. -BA	A	Dividend			Distributed	11/15/17	K		
183. -T	A	Dividend			Distributed	11/15/17	J		
184. -PFE	A	Dividend			Distributed	11/15/17	J		
185. -JPM	A	Dividend			Distributed	11/15/17	J		
186. -PG	A	Dividend			Distributed	11/15/17	J		
187. -WMT	A	Dividend			Distributed	11/15/17	K		

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

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

☐ 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. -GE	A	Dividend			Distributed	11/15/17	J		
189. -DIS	A	Dividend			Distributed	11/15/17	J		
190. -KO	A	Dividend			Distributed	11/15/17	J		
191. -CSCO	A	Dividend			Distributed	11/15/17	J		
192. -WFC	A	Dividend			Distributed	11/15/17	J		
193. -CAT	A	Dividend			Distributed	11/15/17	J		
194. -F	A	Dividend			Distributed	11/15/17	J		
195. -USB	A	Dividend			Distributed	11/15/17	J		
196. -Sector Rotation Account	A	Int./Div.			Closed	11/15/17	J		
197. -DIA	A	Int./Div.			Distributed	11/06/17	J		
198. -FEZ	A	Int./Div.			Sold	11/01/17	J	A	
199. -SPY	A	Int./Div.			Distributed	11/06/17	J		
200. -VGK	A	Int./Div.			Distributed	11/06/17	J		
201. -VPL	A	Int./Div.			Distributed	11/06/17	J		
202. -EWJ	A	Int./Div.			Distributed	11/06/17	J		
203. -BAC	A	Dividend			Distributed	11/15/17	J		
204. -AAPL	A	Dividend			Distributed	11/15/17	K		

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

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

☐ 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. - MET	A	Dividend			Distributed	11/15/17	J		
206. -Bank of New York Mellon	A	Interest			Distributed	11/15/17	K		
207. -Call JPM 1/19/18 (Y)									
208. -Call BA 5/19/17 (Y)									
209. -Call WFC 4/21/17 (Y)									
210. -Call MET 2/17/17 (Y)									
211. -Call JPM75.000 Jan (Y)									
212. -Call Metlife 47.500 Feb (Y)									
213. -EWY (X)	A	Int./Div.			Distributed	11/06/17	J		
214. Trust #2					Closed	12/31/17			
215. MS Liquid Asset Fund	A	Int./Div.			Distributed (part)	02/13/17	N		
216.					Distributed (part)	02/16/17	L		
217.					Distributed (part)	02/17/17	L		
218.					Distributed (part)	02/21/17	L		
219.					Distributed (part)	10/30/17	J		
220.					Distributed (part)	11/01/17	K		
221.					Distributed (part)	11/07/17	L		

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

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

☐ 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.					Distributed	11/13/17	J		
223. -MUXAX	A	Dividend			Distributed	11/01/17	K		
224. -XOM	B	Dividend			Distributed	11/01/17	K		
225. -EMN	A	Dividend			Distributed	11/01/17	J		
226. -EWU	A	Int./Div.			Buy (add'l)	02/21/17	J		
227.					Distributed (part)	11/08/17	J		
228.					Distributed	11/13/17	J		
229. -EWJ	A	Int./Div.			Distributed (part)	11/08/17	J		
230.					Distributed	11/13/17	J		
231. -IWR	A	Int./Div.			Distributed (part)	10/30/17	J		
232.					Distributed (part)	11/01/17	J		
233.					Distributed	11/15/17	J		
234. -IJH	A	Int./Div.			Distributed (part)	10/30/17	J		
235.					Distributed (part)	11/01/17	J		
236.					Distributed	11/15/17	J		
237. -IWM	A	Int./Div.			Distributed (part)	10/30/17	J		
238.					Distributed (part)	11/01/17	J		

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

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

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

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

239.					Distributed	11/15/17	J		
240. -LJR	A	Int./Div.			Buy (add'l)	02/11/17	J		
241.					Distributed (part)	10/30/17	J		
242.					Distributed (part)	11/01/17	J		
243.					Distributed (part)	11/08/17	J		
244.					Distributed (part)	11/13/17	J		
245.					Distributed	11/15/17	J		
246. -EWS	A	Int./Div.			Sold	02/21/17	J	A	
247. -DIA	A	Int./Div.			Sold (part)	02/21/17	J	B	
248.					Distributed (part)	10/31/17	K		
249.					Distributed (part)	11/08/17	K		
250.					Distributed	11/14/17	J		
251. Citibank Bank Deposit Program	A	Interest			Closed	12/31/17	J		
252. -EWY	A	Int./Div.			Sold	02/21/17	J	A	
253. -JSOSX	A	Int./Div.			Sold	06/08/17	J	A	
254. -MDY	A	Int./Div.			Buy (add'l)	02/21/17	J		
255.					Sold	06/19/17	J	A	

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

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

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

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

256. -EEM	A	Int./Div.			Buy (add'l)	02/21/17	J		
257.					Distributed (part)	11/08/17	J		
258.					Distributed	11/13/17	J		
259. -IWF	A	Int./Div.			Buy (add'l)	02/21/17	J		
260.					Sold (part)	06/19/17	J	A	
261.					Distributed (part)	10/31/17	J		
262.					Distributed (part)	11/08/17	J		
263.					Distributed (part)	11/13/17	J		
264.					Distributed	11/14/17	J		
265. -IWD	A	Int./Div.			Buy (add'l)	02/21/17	J		
266.					Sold (part)	06/19/17	J	A	
267.					Distributed (part)	10/31/17	J		
268.					Distributed (part)	11/08/17	J		
269.					Distributed	11/14/17	J		
270. -IWO	A	Int./Div.			Distributed	10/31/17	J		
271. -IWN	A	Int./Div.			Distributed	10/31/17	J		
272. -LJK	A	Int./Div.			Sold	06/15/17	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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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. -IJJ	A	Int./Div.			Distributed (part)	10/31/17	J		
274.					Distributed	11/14/17	J		
275. -SPY	A	Int./Div.			Sold (part)	02/21/17	J	A	
276.					Distributed (part)	10/31/17	J		
277.					Distributed (part)	11/08/17	K		
278.					Distributed	11/14/17	J		
279. -FXV	A	Int./Div.			Distributed	11/01/17	J		
280. Apple Inc corporate bond	A	Interest			Sold	06/08/17	J	A	
281. Verizon Communications corporate bond	A	Interest			Sold	06/08/17	J	A	
282. -FNV	A	Int./Div.			Distributed	11/01/17	J		
283. -FEZ	A	Int./Div.			Buy (add'l)	02/21/17	J		
284.					Distributed (part)	11/08/17	J		
285.					Distributed	11/13/17	J		
286. -VGK	A	Int./Div.			Buy (add'l)	02/21/17	J		
287.					Distributed (part)	11/08/17	J		
288.					Distributed	11/13/17	J		
289. -VPL	A	Int./Div.			Sold (part)	02/15/17	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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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.					Distributed (part)	11/08/17	J		
291.					Distributed	11/13/17	J		
292. Caterpillar Financial corporate bond	A	Interest			Sold (part)	06/08/17	J	A	
293.					Sold	09/08/17	J	A	
294. Home Depot Inc. Corporate Bond	A	Interest			Sold	06/08/17	J	A	
295. US Bancorp Corporate Bond	A	Interest			Sold	06/08/17	J	A	
296. Microsoft Corp Corporate Bond	A	Interest			Sold	06/08/17	J	A	
297. Wal-Mart Stores Inc. Corporate Bond	A	Interest			Sold	06/08/17	J	A	
298. Toyota Motor Credit Corp Corporate Bon	A	Interest			Sold	06/08/17	J	A	
299. -TXRAX	A	Int./Div.			Sold	11/08/17	J	A	
300. -BB&T Corporation bond	A	Interest			Sold	06/08/17	J	A	
301. -American Express Corporate Bond	A	Interest			Sold	06/08/17	J	A	
302. -Bank of NY Mellon Corporate Bond	A	Interest			Sold	06/08/17	J	A	
303. -VZ	A	Dividend			Distributed	11/01/17	J		
304. -RSP	A	Int./Div.			Distributed (part)	10/31/17	J		
305.					Distributed	11/14/17	J		
306. -Shell International Fin bond	A	Interest			Buy	02/08/17	J		

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

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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.					Sold	06/08/17	J	A	
308. -Novartis Sec Invest Ltd bond	A	Interest			Buy	02/08/17	J		
309.					Sold	06/08/17	J	A	
310. Trust #4									
311. -Morgan Stanley cash	A	Interest	J	T	Distributed (part)	11/09/17	L		
312.					Distributed (part)	11/10/17	L		
313.					Distributed (part)	11/13/17	K		
314.					Distributed (part)	11/28/17	L		
315. -EMN	A	Dividend			Distributed	11/16/17	J		
316. -FE	A	Dividend			Distributed	11/16/17	J		
317. -PEP	A	Dividend			Distributed	11/16/17	J		
318. -YUM	A	Dividend			Distributed	11/16/17	J		
319. -Everflow Eastern Partners, LP	A	Distribution			Distributed	12/31/17	L		
320. -residential property Delray Beach, FL, Palm Beach County		None	N	W					
321. -note	A	Interest			Matured	01/01/17	K		
322. Canadaigua National Bank	A	Interest			Closed	01/01/17	J		
323. Morgan Stanley cash	A	Interest			Closed	12/31/17	J		

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

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

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

324. -YUMC (X)	A	Dividend			Distributed	11/06/17	J		
325. Brokerage Account #4									
326. -JPM	A	Dividend	J	T					
327. -T	A	Dividend	J	T					
328. -CAT	A	Dividend	J	T					
329. -CSCO	A	Dividend	J	T					
330. -KO	A	Dividend	J	T					
331. -XOM	A	Dividend	J	T					
332. -INTC	A	Dividend	J	T					
333. -JNJ	A	Dividend	J	T					
334. -WFC	A	Dividend	J	T					
335. -PG	A	Dividend	J	T					
336. -MCD	A	Dividend	J	T					
337. -WMT (X)	A	Dividend	J	T					
338. -MSFT (X)	A	Dividend	J	T					

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

PART I: I serve as a Co-trustee on two trusts (Trust #1 and Trust #2) with my two brothers. The trusts were established as part of my late father's estate and are for the benefit of my mother. We review the status of the trusts annually to assure they meet my mother's financial needs. My brothers and I have waived our right to receive our lawful commission from the trusts. The balance of these trusts will now go to the seven children equally, including myself, as a result of her passing in July 2015. The trusts were terminated during 2017.

I serve as Co-trustee on Trust #4 with one of my brothers. My position as co-trustee occurred upon my mother's passing in July 2015 when the trust became irrevocable. The assets of the trust will be monitored and disposed of by the trustees and the balance will be distributed equally to her seven children, including myself. My brother and I have waived our right to receive our lawful commission from the trust.

I serve as Co-executor of my late mother's estate with one of my brothers. We are in the process of gathering information and data for the estate and a full accounting of its assets and liabilities is not available at this time. My brother and I have waived our right to any fees we may be entitled to from the estate. The estate was closing during 2017.

PART VII:

The fund on line 43 was transferred in a nontaxable transaction to the fund on line 44.

Lines 111, 112, 114, 115, 120-122, 125-129, 131, 138, 140-166 represent assets transferred in to the respective brokerage accounts as a result of distributions in-kind from the two trust accounts that were closed during 2017.

Line 165 indicates the aggregate total for Trust #1. All of the information listed in lines 165 through 213 are the holdings for this trust.

The Sector Rotation Account at Line 196 is an account that buys stocks in Sector Rotation style for Trust #1. All stocks within the Trust have been disclosed in Part VII.

Line 214 indicates the aggregate total for Trust #2. All of the information listed in lines 214 through 309 are the holdings for this trust.

Line 310 indicates the aggregate total for Trust #4. All of the information listed in lines 310 through 324 are the holdings for this trust.

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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/ **Diane Davis**

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