

# 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>Gilliam Jr., Haywood S.                                                                                               | <b>2. Court or Organization</b><br><br>U.S. District Court, Northern District of California                                                                                                                                                                                                         | <b>3. Date of Report</b><br><br>08/30/2017                       |
| <b>4. Title</b> (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)<br><br>U.S. District Judge, Active Status                             | <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 checked="" 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>1301 Clay Street<br>Oakland, CA 94612                                                                                                          |                                                                                                                                                                                                                                                                                                     |                                                                  |
| <p><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. Trustee                   | Trust #1                                                          |
| 2. Board President           | Northern District of California Practice Program                  |
| 3. Board of Governors Member | Association of Business Trial Lawyers Northern California Chapter |
| 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.          |                          |

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 19

Name of Person Reporting

Gilliam Jr., Haywood S.

Date of Report

08/30/2017

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

| <u>DATE</u> | <u>SOURCE AND TYPE</u> | <u>INCOME</u><br>(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.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u>              |
|-------------|-------------------------------------|
| 1. 2016     | San Francisco Superior Court salary |
| 2.          |                                     |
| 3.          |                                     |
| 4.          |                                     |

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

| <u>SOURCE</u>                                                        | <u>DATES</u>      | <u>LOCATION</u> | <u>PURPOSE</u>      | <u>ITEMS PAID OR PROVIDED</u>                  |
|----------------------------------------------------------------------|-------------------|-----------------|---------------------|------------------------------------------------|
| 1. Association of Business Trial Lawyers Northern California Chapter | October 4-9, 2016 | Kapalua, HI     | ABTL Annual Seminar | Transportation, hotel, meals, registration fee |
| 2.                                                                   |                   |                 |                     |                                                |
| 3.                                                                   |                   |                 |                     |                                                |
| 4.                                                                   |                   |                 |                     |                                                |
| 5.                                                                   |                   |                 |                     |                                                |

**FINANCIAL DISCLOSURE REPORT**

Page 3 of 19

Name of Person Reporting

Gilliam Jr., Haywood S.

Date of Report

08/30/2017

**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.

# FINANCIAL DISCLOSURE REPORT

Page 4 of 19

Name of Person Reporting

Gilliam Jr., Haywood S.

Date of Report

08/30/2017

## 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) |
| 1. Security Benefit Life Total Value Annuity                                                                                | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. IRA #1 (H)                                                                                                               | D                                       | Dividend                                      | N                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. -Automatic Data Processing Stock                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/15/16                | J                               | A                              |                                                                   |
| 4.                                                                                                                          |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 02/17/16                | J                               |                                |                                                                   |
| 5. -Bank of the Ozarks Stock                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/15/16                | J                               | A                              |                                                                   |
| 6.                                                                                                                          |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 02/17/16                | J                               |                                |                                                                   |
| 7. -Canadian National Railway Stock                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/15/16                | J                               | A                              |                                                                   |
| 8.                                                                                                                          |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/02/16                | J                               |                                |                                                                   |
| 9.                                                                                                                          |                                         |                                               |                                                 |                                           | Sold                                            | 12/12/16                | J                               | A                              |                                                                   |
| 10. -Cardinal Health Stock                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/15/16                | J                               | A                              |                                                                   |
| 11.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 02/17/16                | J                               |                                |                                                                   |
| 12.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/17/16                | J                               |                                |                                                                   |
| 13. -Casey's General Store Stock                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/09/16                | J                               |                                |                                                                   |
| 14. -Chubb Stock                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 04/08/16                | J                               |                                |                                                                   |
| 15. -Church & Dwight Stock                                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/15/16                | J                               | A                              |                                                                   |
| 16.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/02/16                | J                               |                                |                                                                   |
| 17. -Ecolab Stock                                                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/15/16                | 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>H ~\$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 ~\$250,000,001 - \$500,000,000 | K ~\$15,001 - \$50,000<br>O ~\$500,001 - \$1,000,000 | 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

Page 5 of 19

Name of Person Reporting

Gilliam Jr., Haywood S.

Date of Report

08/30/2017

## 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 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.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/17/16                | J                               |                                |                                                                   |
| 19. -EOG Resources Stock                                                                                                    | A                                       | Dividend                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 20. -Energy Transfer Partners LP                                                                                            | A                                       | Distribution                                  | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 21. -Enterprise Products Partners LP                                                                                        | A                                       | Distribution                                  | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 22. -Factset Research Systems Stock                                                                                         | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/15/16                | J                               | A                              |                                                                   |
| 23.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 02/17/16                | J                               |                                |                                                                   |
| 24.                                                                                                                         |                                         |                                               |                                                 |                                           | Sold<br>(part)                                  | 07/08/16                | J                               | A                              |                                                                   |
| 25.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/09/16                | J                               |                                |                                                                   |
| 26. -Flowers Foods Stock                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/09/16                | J                               |                                |                                                                   |
| 27. -Genesis Energy LP (X)                                                                                                  | A                                       | Distribution                                  | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 28. -Harris Corporation Stock                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/15/16                | J                               | A                              |                                                                   |
| 29.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/17/16                | J                               |                                |                                                                   |
| 30. -Henry Jack & Associates Stock                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/02/16                | J                               |                                |                                                                   |
| 31. -Hormel Foods Stock                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/15/16                | J                               | B                              |                                                                   |
| 32.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/02/16                | J                               |                                |                                                                   |
| 33. -Magellan Midstream Partners LP Stock                                                                                   | A                                       | Distribution                                  | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 34. -Microsoft Stock                                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/16/16                | 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

Page 6 of 19

Name of Person Reporting

Gilliam Jr., Haywood S.

Date of Report

08/30/2017

## 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) |
| 35.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/02/16                | J                               |                                |                                                                   |
| 36. -Nestle Stock                                                                                                           | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/08/16                | J                               | A                              |                                                                   |
| 37. -Nike Stock                                                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 02/17/16                | J                               |                                |                                                                   |
| 38.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/07/16                | J                               |                                |                                                                   |
| 39. -Novo Nordisk Stock                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/15/16                | J                               | B                              |                                                                   |
| 40.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 02/03/16                | J                               |                                |                                                                   |
| 41. -Parker Hannifin Corporation Stock                                                                                      | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/15/16                | J                               | A                              |                                                                   |
| 42. -Perrigo Stock                                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 03/17/16                | J                               |                                |                                                                   |
| 43. -Plains All American Pipeline LP Stock                                                                                  | A                                       | Distribution                                  | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 44. -Polaris Industries Stock                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 02/17/16                | J                               |                                |                                                                   |
| 45.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/08/16                | J                               |                                |                                                                   |
| 46. -Qualcomm Stock                                                                                                         | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/18/16                | J                               | A                              |                                                                   |
| 47. -Roche Holdings Stock                                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/15/16                | J                               | A                              |                                                                   |
| 48.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 02/17/16                | J                               |                                |                                                                   |
| 49.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/17/16                | J                               |                                |                                                                   |
| 50. -Roper Industries Stock                                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/15/16                | J                               | A                              |                                                                   |
| 51.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 02/17/16                | 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

Page 7 of 19

Name of Person Reporting

Gilliam Jr., Haywood S.

Date of Report

08/30/2017

## 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) |
| 52. -Ross Stores Stock                                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/09/16                | J                               |                                |                                                                   |
| 53. -SEI Investments Stock                                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 05/02/16                | J                               |                                |                                                                   |
| 54. -Sherwin Williams Stock                                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 01/15/16                | J                               | A                              |                                                                   |
| 55.                                                                                                                       |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 02/17/16                | J                               |                                |                                                                   |
| 56. -Spectra Energy LP                                                                                                    | A                                       | Distribution                                  | J                                               | T                                         | Buy                                             | 09/01/16                | J                               |                                |                                                                   |
| 57. -Sunoco Logistics Partners LP                                                                                         | A                                       | Distribution                                  | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 58. -T. Rowe Price Group Stock                                                                                            | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 59. -Tiffany Stock                                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 04/08/16                | J                               |                                |                                                                   |
| 60.                                                                                                                       |                                         |                                               |                                                 |                                           | Sold                                            | 06/01/16                | J                               | A                              |                                                                   |
| 61. -TJX Stock                                                                                                            | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 62. -United Technologies Corporation Stock                                                                                | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 02/17/16                | J                               |                                |                                                                   |
| 63.                                                                                                                       |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 03/17/16                | J                               |                                |                                                                   |
| 64.                                                                                                                       |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/23/16                | J                               |                                |                                                                   |
| 65. -Valspar Corporation Stock                                                                                            | A                                       | Dividend                                      |                                                 |                                           | Sold<br>(part)                                  | 01/15/16                | J                               | A                              |                                                                   |
| 66.                                                                                                                       |                                         |                                               |                                                 |                                           | Sold                                            | 07/18/16                | J                               | B                              |                                                                   |
| 67. -VF Corporation Stock                                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 07/18/16                | J                               | A                              |                                                                   |
| 68. -Walmart Stores Inc. Stock                                                                                            | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/09/16                | 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

Page 8 of 19

Name of Person Reporting

Gilliam Jr., Haywood S.

Date of Report

08/30/2017

## 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) |
| 69. -Pershing Prime Reserves MMF                                                                                            | A                                       | Distribution                                  | J                                               | T                                         | Redeemed<br>(part)                              | 01/06/16                | J                               | A                              |                                                                   |
| 70.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 01/22/16                | L                               |                                |                                                                   |
| 71.                                                                                                                         |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 02/08/16                | J                               | A                              |                                                                   |
| 72.                                                                                                                         |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 02/22/16                | L                               | A                              |                                                                   |
| 73.                                                                                                                         |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 03/22/16                | K                               | A                              |                                                                   |
| 74.                                                                                                                         |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 04/06/16                | J                               | A                              |                                                                   |
| 75.                                                                                                                         |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 04/13/16                | J                               | A                              |                                                                   |
| 76.                                                                                                                         |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 05/05/16                | K                               | A                              |                                                                   |
| 77.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/07/16                | J                               |                                |                                                                   |
| 78.                                                                                                                         |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 06/28/16                | J                               | A                              |                                                                   |
| 79.                                                                                                                         |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 07/08/16                | J                               | A                              |                                                                   |
| 80.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/14/16                | K                               |                                |                                                                   |
| 81.                                                                                                                         |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/22/16                | K                               |                                |                                                                   |
| 82.                                                                                                                         |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 09/07/16                | J                               | A                              |                                                                   |
| 83.                                                                                                                         |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 10/03/16                | L                               | A                              |                                                                   |
| 84. -Federated Treasury Obligations Capital<br>MMF                                                                          | A                                       | Distribution                                  | K                                               | T                                         | Buy                                             | 10/03/16                | L                               |                                |                                                                   |
| 85.                                                                                                                         |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 11/15/16                | K                               | 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                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 9 of 19

Name of Person Reporting

Gilliam Jr., Haywood S.

Date of Report

08/30/2017

## 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.                                      |   |          |   |   | Redeemed<br>(part) | 12/07/16 | J | A |  |
| 87.                                      |   |          |   |   | Buy<br>(add'l)     | 12/16/16 | J |   |  |
| 88. Pershing Cash-Equivalent Account     | A | Interest | J | T |                    |          |   |   |  |
| 89. IRA # 3 (H)                          | D | Dividend | N | T |                    |          |   |   |  |
| 90. -BlackRock Capital Investment Bonds  | A | Interest | J | T |                    |          |   |   |  |
| 91. -M/I Homes Bonds                     | A | Interest | J | T |                    |          |   |   |  |
| 92. -Redwood Trust Convertible Notes     | A | Interest | J | T |                    |          |   |   |  |
| 93. -Broadsoft Bonds                     | A | Interest | J | T |                    |          |   |   |  |
| 94. -Chart Industries Bonds              | A | Interest | J | T |                    |          |   |   |  |
| 95. -Blackstone Mortgage Trust Bonds     | A | Interest | J | T |                    |          |   |   |  |
| 96. -Ares Capital Corporation Bonds      | A | Interest |   |   | Sold               | 07/06/16 | J | A |  |
| 97. -KB Home Bonds                       | A | Interest |   |   | Sold               | 12/06/16 | J | A |  |
| 98. -Apollo Commercial Real Estate Bonds | A | Interest | J | T |                    |          |   |   |  |
| 99. -Ryland Group Bonds                  | A | Interest | J | T |                    |          |   |   |  |
| 100. -Renewable Energy Group Bonds       | A | Interest | J | T |                    |          |   |   |  |
| 101. -ANI Pharmaceuticals Bonds          | A | Interest | J | T |                    |          |   |   |  |
| 102. -Resource Capital Corp. Bonds       | A | Interest |   |   | Sold               | 11/16/16 | 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

Page 10 of 19

Name of Person Reporting

Gilliam Jr., Haywood S.

Date of Report

08/30/2017

## 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. -Forestar Group Bonds                                                                                                  | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 104. -Prospect Capital Corp. Bonds                                                                                          | A                                       | Interest                                      |                                                 |                                           | Sold                                            | 04/15/16                | J                               | A                              |                                                                   |
| 105. -Echo Global Logistics Bonds                                                                                           | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 106. -PennyMac Bonds                                                                                                        | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 107. -Encore Capital Group Bonds                                                                                            | A                                       | Interest                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 11/09/16                | J                               |                                |                                                                   |
| 108. -Portfolio Recovery Associates Bonds                                                                                   | A                                       | Interest                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 05/26/16                | J                               |                                |                                                                   |
| 109.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/30/16                | J                               |                                |                                                                   |
| 110. -Sandisk Corporation Bonds                                                                                             | A                                       | Interest                                      |                                                 |                                           | Sold                                            | 05/13/16                | J                               | A                              |                                                                   |
| 111. -TTM Technologies Bonds                                                                                                | A                                       | Interest                                      | K                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 112. -Colony Capital Bonds                                                                                                  | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 113. -Emergent Biosolutions Bonds                                                                                           | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 114. -UBS AG Callable Exchangeable Securities<br>90270kaw99                                                                 | B                                       | Dividend                                      |                                                 |                                           | Sold                                            | 05/10/16                | J                               | A                              |                                                                   |
| 115. -Barclays Bank PLC Synthetic Convertible<br>Notes 06741jv307                                                           |                                         | None                                          |                                                 |                                           | Sold                                            | 07/01/16                | J                               | A                              |                                                                   |
| 116. -Barclays Bank PLC Synthetic Convertible<br>Notes 06741jv893                                                           | B                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 117. -Societe Generale Medium Term Notes                                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 07/11/16                | J                               |                                |                                                                   |
| 118. -Atlas Air Bonds                                                                                                       | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 119. -Seacor Holdings Bonds                                                                                                 | A                                       | Interest                                      |                                                 |                                           | Buy<br>(add'l)                                  | 04/26/16                | 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

Page 11 of 19

Name of Person Reporting

Gilliam Jr., Haywood S.

Date of Report

08/30/2017

## 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.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 08/05/16                | J                               | A                              |                                                                   |
| 121. -j2 Global Bonds                                                                                                       |                                         |                                               |                                                 |                                           | Sold                                            | 04/04/16                | J                               | A                              |                                                                   |
| 122. -Helix Energy Solutions Group Bonds                                                                                    | A                                       | Interest                                      |                                                 |                                           | Sold                                            | 07/20/16                | J                               | A                              |                                                                   |
| 123. -Finisar Corp. Bonds                                                                                                   | A                                       | Interest                                      | K                                               | T                                         | Buy<br>(add'l)                                  | 08/05/16                | J                               |                                |                                                                   |
| 124. -Huron Consulting Group Bonds                                                                                          | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 12/23/16                | J                               |                                |                                                                   |
| 125. -Interdigital Bonds                                                                                                    | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 05/05/16                | J                               |                                |                                                                   |
| 126. -Calamp Corp. Bonds                                                                                                    | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 06/03/16                | J                               |                                |                                                                   |
| 127.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 06/27/16                | J                               |                                |                                                                   |
| 128. -Wells Fargo Bonds                                                                                                     | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 07/22/16                | J                               |                                |                                                                   |
| 129. -Aceto Corp. Bonds                                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 12/15/16                | J                               |                                |                                                                   |
| 130. -On Semiconductor Bonds                                                                                                | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 07/11/16                | J                               |                                |                                                                   |
| 131.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 08/09/16                | J                               |                                |                                                                   |
| 132. -Impax Laboratories Bonds                                                                                              | A                                       | Interest                                      | J                                               | T                                         | Buy                                             | 09/22/16                | J                               |                                |                                                                   |
| 133. -Repligen Bonds                                                                                                        | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 05/19/16                | J                               |                                |                                                                   |
| 134.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 10/18/16                | J                               | A                              |                                                                   |
| 135. -Synchronoss Bonds                                                                                                     |                                         | None                                          |                                                 |                                           | Buy                                             | 04/26/16                | J                               |                                |                                                                   |
| 136.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 04/28/16                | 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                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 12 of 19

Name of Person Reporting

Gilliam Jr., Haywood S.

Date of Report

08/30/2017

## 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. -Federated Treasury Obligations MMF                                                                                    | A                                       | Distribution                                  | J                                               | T                                         | Buy                                             | 10/03/16                | J                               |                                |                                                                   |
| 138.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 10/07/16                | J                               | A                              |                                                                   |
| 139.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/21/16                | J                               |                                |                                                                   |
| 140.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 11/14/16                | J                               | A                              |                                                                   |
| 141.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/21/16                | J                               |                                |                                                                   |
| 142.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/09/16                | J                               |                                |                                                                   |
| 143.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 12/19/16                | J                               | A                              |                                                                   |
| 144.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 12/28/16                | J                               | A                              |                                                                   |
| 145. -Pershing Government Account MMF                                                                                       | A                                       | Distribution                                  | J                                               | T                                         | Redeemed<br>(part)                              | 01/06/16                | J                               | A                              |                                                                   |
| 146.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 04/06/16                | J                               | A                              |                                                                   |
| 147.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/06/16                | J                               |                                |                                                                   |
| 148.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 04/21/16                | J                               |                                |                                                                   |
| 149.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 04/27/16                | J                               | A                              |                                                                   |
| 150.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/02/16                | J                               |                                |                                                                   |
| 151.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 05/10/16                | J                               | A                              |                                                                   |
| 152.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/12/16                | J                               |                                |                                                                   |
| 153.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 05/13/16                | 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

Page 13 of 19

Name of Person Reporting

Gilliam Jr., Haywood S.

Date of Report

08/30/2017

## 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) |
| 154.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 05/24/16                | J                               | A                              |                                                                   |
| 155.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 05/31/16                | J                               | A                              |                                                                   |
| 156.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 06/07/16                | J                               | A                              |                                                                   |
| 157.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 06/27/16                | J                               | A                              |                                                                   |
| 158.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/01/16                | J                               |                                |                                                                   |
| 159.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 07/08/16                | J                               | A                              |                                                                   |
| 160.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 07/13/16                | J                               | A                              |                                                                   |
| 161.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 07/15/16                | J                               | A                              |                                                                   |
| 162.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/21/16                | J                               |                                |                                                                   |
| 163.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 07/26/16                | J                               |                                |                                                                   |
| 164.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 09/01/16                | J                               | A                              |                                                                   |
| 165.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 09/02/16                | J                               | A                              |                                                                   |
| 166.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 09/26/16                | J                               | A                              |                                                                   |
| 167.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 10/03/16                | J                               | A                              |                                                                   |
| 168. IRA # 4 (H)                                                                                                            | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 169. -AQR Managed Futures Strategy Fund                                                                                     |                                         | None                                          |                                                 |                                           | Sold                                            | 11/18/16                | J                               | A                              |                                                                   |
| 170. -Alger Capital Appreciation Institutional Fund Class I                                                                 |                                         | None                                          |                                                 |                                           | Sold                                            | 02/26/16                | 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

Page 14 of 19

Name of Person Reporting

Gilliam Jr., Haywood S.

Date of Report

08/30/2017

## 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) |
| 171. -Calamos Global Convertible Fund Class I                                                                               | A                                       | Interest                                      | J                                               | T                                         | Sold<br>(part)                                  | 02/26/16                | J                               | A                              |                                                                   |
| 172. -Deutsche X-Trackers MSCI EAFE Equity<br>ETF                                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 04/26/16                | J                               |                                |                                                                   |
| 173. -Federated Strategic Value Dividend Fund                                                                               | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 02/26/16                | J                               | A                              |                                                                   |
| 174. -Ivy International Core Equity Fund Class A                                                                            |                                         | None                                          |                                                 |                                           | Sold                                            | 04/18/16                | J                               | A                              |                                                                   |
| 175. -John Hancock Disciplined Value Fund<br>Class A                                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 176. -John Hancock Global Absolute Return<br>Strategies Class A                                                             |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 177. -Oppenheimer Senior Floating Rate Fund<br>Class Y                                                                      | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 02/26/16                | J                               | A                              |                                                                   |
| 178. -Oppenheimer SteelPath MLP Alpha Class<br>Y                                                                            | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 06/07/16                | J                               | A                              |                                                                   |
| 179. -iShares TR TIPS BD ETF                                                                                                | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 02/26/16                | J                               | A                              |                                                                   |
| 180. -iShares TR iBoxx USD Investment Grade<br>Corporate Bond ETF                                                           | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 02/26/16                | J                               |                                |                                                                   |
| 181. -iShares TR Barclays 7-10 Year Treasury<br>Bond ETF                                                                    | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 02/26/16                | J                               | A                              |                                                                   |
| 182.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 12/01/16                | J                               |                                |                                                                   |
| 183. -iShares TR 1-3 Year Treasury Bond ETF                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Sold<br>(part)                                  | 12/01/16                | J                               | A                              |                                                                   |
| 184. -iShares TR International Treasury Bond<br>ETF                                                                         | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 02/26/16                | J                               | A                              |                                                                   |
| 185. -iShares TR MSCI ACWI ETF                                                                                              | A                                       | Dividend                                      | J                                               | T                                         | Buy<br>(add'l)                                  | 07/05/16                | J                               |                                |                                                                   |
| 186.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/17/16                | J                               |                                |                                                                   |
| 187. -iShares TR MBS ETF                                                                                                    | 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 \$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

Page 15 of 19

Name of Person Reporting

Gilliam Jr., Haywood S.

Date of Report

08/30/2017

## 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) |
| 188. -iShares TR 1-3 Year Credit Bond ETF                                                                                   | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 12/01/16                | J                               | A                              |                                                                   |
| 189. -iShares TR MSCI EAFE Minimum Volatility ETF                                                                           | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 190. -Neuberger Berman Long Short Fund Institutional Class                                                                  | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 191. -PowerShares DWA Momentum Portfolio ETF                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 192. -PowerShares S&P 500 Low Volatility Portfolio ETF                                                                      | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 193. -SPDR S&P 500 ETF                                                                                                      | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 02/26/16                | J                               | A                              |                                                                   |
| 194. -SPDR Health Care Select Sector ETF                                                                                    | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 195. -SPDR Energy Select Sector ETF                                                                                         |                                         | None                                          |                                                 |                                           | Sold                                            | 02/16/16                | J                               | A                              |                                                                   |
| 196. -SPDR Technology Select Sector ETF                                                                                     | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 197. -Templeton Global Bond Advantage Fund                                                                                  | A                                       | Dividend                                      | J                                               | T                                         | Buy (add'l)                                     | 02/26/16                | J                               |                                |                                                                   |
| 198. -Thornburg Limited Term Income Fund Class I                                                                            | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 02/26/16                | J                               | A                              |                                                                   |
| 199. -Vanguard Malvern Short-Term Inflation Protected Securities ETF                                                        | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 200. -Vanguard International Equity Index Pacific ETF                                                                       |                                         | None                                          |                                                 |                                           | Sold                                            | 02/26/16                | J                               | A                              |                                                                   |
| 201. -Vanguard International Equity Index Europe ETF                                                                        | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 11/21/16                | J                               | A                              |                                                                   |
| 202. -Vanguard REIT ETF                                                                                                     | A                                       | Dividend                                      |                                                 |                                           | Sold                                            | 04/26/16                | J                               | A                              |                                                                   |
| 203. -Vanguard Small-Cap ETF                                                                                                |                                         | None                                          |                                                 |                                           | Sold                                            | 02/26/16                | J                               | A                              |                                                                   |
| 204. -WisdomTree Japan Hedged Equity ETF                                                                                    | A                                       | Dividend                                      |                                                 |                                           | 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                                              |                         |

# FINANCIAL DISCLOSURE REPORT

Page 16 of 19

Name of Person Reporting

Gilliam Jr., Haywood S.

Date of Report

08/30/2017

## 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) |
| 205. -Edgewood Growth Fund Institutional Fund                                                                               | A                                       | Distribution                                  | J                                               | T                                         | Buy                                             | 02/26/16                | J                               |                                |                                                                   |
| 206. -Delaware Small Cap Core Fund                                                                                          | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 02/26/16                | J                               |                                |                                                                   |
| 207. -Deutsche Enhanced Commodity Strategy Fund                                                                             | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 11/18/16                | J                               |                                |                                                                   |
| 208. -Eaton Vance Floating Rate Fund                                                                                        | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 02/26/16                | J                               |                                |                                                                   |
| 209.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 09/08/16                | J                               |                                |                                                                   |
| 210. -Oppenheimer International Growth Fund                                                                                 | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 04/18/16                | J                               |                                |                                                                   |
| 211. -Oppenheimer Developing Markets Fund                                                                                   | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 02/26/16                | J                               |                                |                                                                   |
| 212. -Prudential High Yield Fund Inc.                                                                                       | A                                       | Dividend                                      | J                                               | T                                         | Buy                                             | 02/26/16                | J                               |                                |                                                                   |
| 213. -SPDR Real Estate Select Sector ETF (X)                                                                                | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 214. -ProShares Short Dow 30 ETF                                                                                            |                                         | None                                          |                                                 |                                           | Buy                                             | 03/18/16                | J                               |                                |                                                                   |
| 215.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 06/24/16                | J                               | A                              |                                                                   |
| 216. -ProShares Short 20+ Year Treasury ETF                                                                                 | A                                       | Dividend                                      |                                                 |                                           | Buy                                             | 06/15/16                | J                               |                                |                                                                   |
| 217.                                                                                                                        |                                         |                                               |                                                 |                                           | Sold                                            | 10/17/16                | J                               | A                              |                                                                   |
| 218. -Pershing Government Account MMF                                                                                       | A                                       | Distribution                                  | J                                               | T                                         | Redeemed<br>(part)                              | 02/29/16                | J                               | A                              |                                                                   |
| 219.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 03/23/16                | J                               | A                              |                                                                   |
| 220.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 09/14/16                | J                               | A                              |                                                                   |
| 221.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 10/03/16                | 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                                             |                        |

# FINANCIAL DISCLOSURE REPORT

Page 17 of 19

Name of Person Reporting

Gilliam Jr., Haywood S.

Date of Report

08/30/2017

## 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) |
| 222. -Federated Treasury Obligations Capital<br>MMF                                                                         | A                                       | Distribution                                  | J                                               | T                                         | Buy                                             | 10/03/16                | J                               |                                |                                                                   |
| 223.                                                                                                                        |                                         |                                               |                                                 |                                           | Redeemed<br>(part)                              | 10/18/16                | J                               | A                              |                                                                   |
| 224.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 10/21/16                | J                               |                                |                                                                   |
| 225.                                                                                                                        |                                         |                                               |                                                 |                                           | Buy<br>(add'l)                                  | 11/29/16                | J                               |                                |                                                                   |
| 226. Brokerage Account #1 (H)                                                                                               |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 227. -Gamco Global Gold, Natural Resources and<br>Income Trust                                                              | A                                       | Dividend                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 228. -Tier REIT I                                                                                                           |                                         | None                                          | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 229. American Funds College 2018 Fund -- 529                                                                                | C                                       | Dividend                                      | M                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 230. Citibank cash accounts                                                                                                 | A                                       | Interest                                      | L                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 231. Chase cash accounts                                                                                                    | A                                       | Interest                                      | J                                               | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 232. Trust #1 (H)                                                                                                           |                                         |                                               |                                                 |                                           |                                                 |                         |                                 |                                |                                                                   |
| 233. -Personal Residence (Oakland, CA)                                                                                      |                                         | None                                          | P1                                              | W                                         |                                                 |                         |                                 |                                |                                                                   |

|                         |                                  |                             |                                |                                 |                         |
|-------------------------|----------------------------------|-----------------------------|--------------------------------|---------------------------------|-------------------------|
| 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                  |                                 |                         |

# FINANCIAL DISCLOSURE REPORT

Page 18 of 19

Name of Person Reporting

Gilliam Jr., Haywood S.

Date of Report

08/30/2017

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

Part VII - In some instances, Column B includes unrealized gains not constituting reportable income.

Part VII, page 4, line 14 - On January 14, 2016, Ace Limited acquired Chubb and adopted the Chubb name. I therefore assume that this was an addition to what previously had been my position in Ace Limited.

Part VII, page 8, line 69 - Pershing Prime Reserves MMF is a money fund account used for the sole purpose of purchasing assets in IRA #1. This account has existed since IRA #1 was opened, and should have been disclosed in my 2015 report. I inadvertently omitted this account from the earlier report.

Part VII, page 10, line 114 - Exchangeable securities are linked to the performance of Google common stock.

Part VII, page 10, line 115 - Convertible notes are linked to the performance of International Paper Company common stock.

Part VII, page 10, line 116 - Convertible notes are linked to the performance of General Electric common stock.

Part VII, page 12, line 145 - Pershing Government Account MMF is a money fund account used for the sole purpose of purchasing assets in IRA #3. This account has existed since IRA #3 was opened, and should have been disclosed in my 2015 report. I inadvertently omitted this account from the earlier report.

Part VII, page 16, line 218 - Pershing Government Account MMF is a money fund account used for the sole purpose of purchasing assets in IRA #4. This account has existed since IRA #4 was opened, and should have been disclosed in my 2015 report. I inadvertently omitted this account from the earlier report.

# FINANCIAL DISCLOSURE REPORT

Page 19 of 19

Name of Person Reporting

Gilliam Jr., Haywood S.

Date of Report

08/30/2017

## IX. CERTIFICATION.

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

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

Signature: s/ **Haywood S. Gilliam Jr.**

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