

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

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

1. Person Reporting (last name, first, middle initial) CRISTOL, A. J.	2. Court or Organization U.S. BANKRUPTCY COURT, FLORIDA	3. Date of Report 07/26/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) CHIEF JUDGE EMERITUS	5a. Report Type (check appropriate type) ☐ Nomination Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address C. CLYDE ATKINS UNITED STATES COURTHOUSE 301 NORTH MIAMI AVENUE CHAMBERS 717 MIAMI, FLORIDA 33128		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. Judicial Director	University of Miami School of Law Alumni Association
2. Trustee	Trust #2
3. Trustee	Trust #3
4.	
5.	

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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> (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.	
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.	Federal Judicial Center educational seminar or program	03/13/18 to 03/16/18	New Orleans, LA	FJE Educational seminar or programs	Air, Hotel, meals
2.	Circuit Judicial conference : Funded by Judicial Conference, Conference Committee	05/01/18 to 05/05/18	Ponte Verde Beach, FL	Judicial Conference	Hotel, Meals
3.					
4.					
5.					

FINANCIAL DISCLOSURE REPORT

Page 3 of 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. General Electric	B	Dividend	K	T	Sold (part)	01/16/18	K	A	
2.					Sold (part)	11/05/18	J	A	
3.					Sold (part)	11/05/18	J	A	
4.					Sold (part)	12/11/18	J	A	
5. Hospitality Properties	B	Dividend	J	T					
6. Miami-Dade Aviation	A	Interest	K	T					
7. Cohen & Steers	C	Dividend	K	T					
8. Elbit	A	Dividend	K	T					
9. AT&T	C	Dividend	K	T					
10. Nuveen Real Estate Fund Com	A	Dividend	J	T					
11. Starbucks		None			Sold	01/20/18	K	D	
12. Lord Abbett Floating Rate/High Yield	D	Dividend	M	T					
13. Apple Inc	B	Dividend	L	T					
14. Celgene Corp		None			Sold (part)	03/19/18	J	B	
15.					Sold	04/05/18	J	B	
16. Comcast Corp New Special CL A	A	Dividend	K	T					
17. Grandeur Peak Int'l Opportunities	C	Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
18. Genesis Energy LP	B	Distribution	J	T					
19. Angel Oak Multi Strategy	D	Dividend	M	T					
20. Allergan PLC	A	Dividend			Sold	04/05/18	K	C	
21. Gilead Sciences Inc	A	Dividend	J	T					
22. Alphabet Inc CL A		None	K	T	Buy (add'l)	09/11/18	J		
23. Alphabet Inc CL C		None	K	T					
24. Grandeur Peak Global	B	Dividend	K	T					
25. Florida ST BRD ED PUB ED	A	Interest			Redeemed	06/01/18	K	A	
26. Goldman Sachs Group Trigger		None			Sold	09/18/18	K	D	
27. Home Depot Inc	A	Dividend	K	T					
28. UnitedHealth Group Inc	A	Dividend	K	T					
29. Maine St Hsg Auth Mtge P SR D	B	Interest	K	T	Redeemed (part)	10/10/18	J	A	
30.					Redeemed (part)	12/10/18	J	A	
31. North Dakota St Hsg FIN Sr D RV	A	Interest	K	T	Redeemed (part)	01/02/18	J	A	
32.					Redeemed (part)	11/01/18	J	A	
33. HSBC USA Inc		None			Sold	04/06/18	K	D	
34. Mastercard Inc CL A	A	Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35. Pepsico Inc	A	Dividend	J	T					
36. American Tower Corp REIT	A	Dividend	K	T	Buy (add'l)	01/03/18	J		
37. Microsoft Corp	A	Dividend	K	T					
38. Facebook Inc C1 A		None			Buy (add'l)	01/31/18	J		
39.					Sold (part)	04/17/18	J	A	
40.					Sold	10/03/18	K	D	
41. Visa Inc. CL A	A	Dividend	K	T					
42. Heico Corp New	A	Dividend	K	T	Buy (add'l)	01/03/18	J		
43. JP Morgan Chase Financial CT-ISS SPX		None	K	T					
44. Citigroup Global Markets TAR-SS MXEA SX5E 12/21/2021		None	L	T					
45. Jazz Pharmaceuticals PLC		None			Sold (part)	09/14/18	J	B	
46.					Sold	11/07/18	K	C	
47. Principal Preferred Securiteis Fund	A	Dividend			Sold	02/02/18	K	A	
48. Transamerica Mid Cap Value Opps FD Class I		None			Sold	06/21/18	K	A	
49. Block Financial NTS B/A 4.125% 100120 DTD093015	B	Interest	K	T					
50. Viacom Inc B/E 4.250% 090123 DTD 081913	B	Interest	K	T					
51. Metropolitan Transit Auth SR E B/ER	B	Interest	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. North TX TWY Auth SR A RV B/E/R	B	Interest	K	T					
53. American Tower Corp B/E 4.70% 031522 DTD031212	A	Interest	K	T					
54. Fidelity Natl Inform NTS 4.5% 101522 DTD102015	A	Interest	K	T					
55. NASDAQ QMX Group 4.225% 060124 DTD052914	B	Interest	K	T					
56. Monster Beverage Corp New Com		None			Buy (add'l)	03/22/18	J		
57.					Sold	11/08/18	K	C	
58. Transamerica floating rate fund class I	D	Dividend	M	T	Buy (add'l)	01/03/18	L		
59. SPDR S&P Bank ETF	A	Dividend	K	T					
60. T-Mobile US Inc Com		None			Sold	06/27/18	J	A	
61. Huntington Ingalls Inds Inc	A	Dividend	J	T	Buy (add'l)	01/02/18	J		
62. Federated Strategic Value Div Class IS	A	Dividend			Sold	06/21/18	K	A	
63. Clearbridge Dividend Strategy FD CL I	B	Dividend	K	T					
64. Thor Industries Inc.		None			Buy	01/26/18	J		
65.					Sold	02/12/18	J	A	
66. Barclays Bank PLC L/O TA-CYN SPX SX5E	B	Dividend	K	T	Buy	01/29/18	K		
67. Johnson & Johnson com	A	Int./Div.	K	T	Buy	01/31/18	J		
68.					Buy (add'l)	03/19/18	J		

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

FINANCIAL DISCLOSURE REPORT

Page 8 of 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
69.					Buy (add'l)	04/06/18	J		
70. Victory Floating Rate Fund Class Y	C	Int./Div.	L	T	Buy	02/02/18	L		
71. Alpha Centric Income Opportunities Fund Class 2/21/18	D	Int./Div.	M	T	Buy	02/22/18	L		
72.					Buy (add'l)	03/19/18	J		
73.					Buy (add'l)	06/04/18	K		
74.					Buy (add'l)	11/07/18	K		
75.					Buy (add'l)	11/23/18	K		
76. Keurig DR Pepper Inc		None	J	T	Buy	12/17/18	J		
77. Victory High Inc Municipal Bknd Fund (X)	C	Dividend			Sold (part)	02/02/18	L	A	
78.					Sold (part)	10/15/18	K	A	
79.					Sold	11/07/18	K	A	
80. Massachusetts Water Reso RV BE/R 3/22/2018	A	Interest			Buy	03/28/18	L		
81.					Redeemed	11/01/18	L	A	
82. New York NY City Transi B-4 RV LOC	A	Interest	M	T	Buy	11/07/18	M		
83. Trust # 2 (H)									
84. Hospitality Properties	A	Dividend	J	T					
85. General Electric	A	Dividend	L	T	Sold (part)	01/24/18	K		

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
86. Heico	A	Dividend	K	T	Buy (add'l)	03/19/18	J		
87.					Sold (part)	02/06/18	J	A	
88.					Sold (part)	06/28/18	J	A	
89. AT&T	A	Dividend	J	T					
90. Cohen&Steers	A	Dividend	K	T					
91. Palm Beach Solid Waste	B	Interest			Sold	10/01/18	K	A	
92. Miami Dade Aviation	A	Interest	L	T					
93. Lee Mem Hlth	B	Interest	K	T					
94. Alphabet Inc. CL A		None	L	T					
95. Georgia Hsg & Fin Auth	B	Interest	K	T	Redeemed (part)	05/01/18	J	A	
96.					Redeemed (part)	08/01/18	J	A	
97. Lord Abbet Floating	D	Dividend	M	T					
98. Mednax Inc		None	J	T					
99. SPDR Gold Trust		None	K	T					
100. Angel Oak Multi Strategy Income Class Instl	D	Dividend	M	T	Sold (part)	04/06/18	M	A	
101. Village Cmnty Dev No 6 Ser 2013	A	Interest	K	T					
102. Amer Express	A	Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
103. Blackstone Group LP	B	Distribution	L	T					
104. Costco Wholesale	A	Dividend	K	T					
105. New York NY Fiscal		None			Sold	01/24/18	L		
106. Wisconsin St Clean Wtr	B	Interest	L	T					
107. Credit Suisse AG Trigger		None			Sold	04/06/18	K	D	
108. Royal Bank of Canada Trigger SPS SPX		None	K	T					
109. Angel Oak Flexible Income Fund Class I		None			Sold	01/17/18	K	A	
110. Lord Abbett High Yield Fd CL F		None	M	T					
111. Dowdupont Inc (Formerly DuPont De Demours)	B	Dividend	L	T					
112. Facebook Inc CL A		None	J	T					
113. Maine ST Hsg Auth Mtge P SR D	C	Interest	L	T	Redeemed (part)	03/12/18	J	A	
114.					Redeemed (part)	10/10/18	J	A	
115. North Dakota ST Hsg Fin SR D RV	A	Interest	K	T	Redeemed (part)	07/02/18	J	A	
116. Victory High Minucipal Bond Fund Class Y	A	Dividend			Sold	02/02/18	L	A	
117. JP Morgan Chase & CO TriggerPS DXK		None	J	T					
118. Fidelity National Financial Inc		None			Sold	01/02/18	J	C	
119. Indian Trace CMTY	A	Interest	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
120. Citigroup Global Markets T-SS SPX 7/31/20		None	L	T	Sold (part)	04/06/18	K	C	
121. UBS AG CAR PS SX5E 12/31/19		None	J	T	Sold (part)	09/18/18	L	C	
122. Transamerica Floating Rate Fund CL I	B	Dividend	K	T					
123. Transamerica Mid Cap Value Opps FD C I I	B	Dividend	K	T					
124. Transamerica Floating Rate Fund CL I (	C	Dividend	L	T					
125. Blackstone Group LP/The Unit Repstg LTD		None	K	T					
126. Cisco Systems Inc	A	Dividend	J	T					
127. TE Connectivity LTD CHF	A	Dividend	J	T					
128. Victory Trivalent International Small Cap	A	Dividend	J	T					
129. SPDR S&P bank ETF	A	Dividend	J	T					
130. Cobb County GA Dev Auth PK 2017 RV BE/R	B	Interest	L	T					
131. Dallas Fort Worth TX IN SR C RV	B	Interest	K	T					
132. King Co WA Pub HSP DST SR B 3/13/17	B	Interest	K	T					
133. Michigan St BLDG Auth SR I RV	B	Interest	K	T					
134. Tallahassee FL Energy SY RV	B	Interest	K	T					
135. Washington ST Univ RV BE	B	Interest	K	T					
136. Washington ST CTFS Partn SR B RV	A	Interest	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137. Rhode Island ST TPK & BR SR A RV	B	Interest	K	T					
138. New York NY City Mun WT SR DDE BE	B	Interest			Sold	11/29/18	K	A	
139. Stephen F Austin ST Univ RV BE	B	Interest	K	T					
140. South Carolina ST HSG D A-1 BE	C	Interest	L	T					
141. New Jersey Turnpike Auth RV BE/R	A	Interest	K	T					
142. Miami Dade Cnty FL Avia A-1 RV/BE/R 5.250% 100124 DTD 083115	C	Interest	L	T					
143. Victory Floating Rate Fund Class Y	D	Dividend	M	T	Buy	02/02/18	L		
144. Adidas AG Spon ADR	A	Dividend	J	T	Buy	03/13/18	J		
145. Alpha Centric In Opportunitiws Fund Class	C	Dividend	K	T	Buy	04/06/18	K		
146.					Buy (add'l)	04/06/18	L		
147. Victory Floating Fund Rate Fund Class Y		None	M	T	Buy	04/06/18	K		
148. Texas ST Tax and Rev 2018 RV NTS BE/R	A	Interest	L	T	Buy	09/27/18	L		
149. Automatic Data Processing Inc		None	J	T	Buy	11/21/18	J		
150. Indianapolis IN LOC PUB SR C RV BE/R	A	Interest	K	T	Buy	01/12/18	K		
151. West VA Econ Dev Auth H E SR A RV BE/ R/	A	Interest	K	T	Buy	01/22/18	K		
152. Lousianna ST Univ & Agri SR A RV BE/R	A	Interest	K	T	Buy	02/02/18	K		
153. New York ST Dorm Auth RE Tax RV/BE/ R 3/21/18	A	Interest	K	T	Buy	03/22/18	K		

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

FINANCIAL DISCLOSURE REPORT

Page 13 of 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. Karegnondi Wtr Auth BE/R/ Trade 3/23/18	A	Interest			Buy	03/26/18	L		
155.					Redeemed	11/01/18	L	A	
156. Univ North FL Fin G Corp Assur RV BE/R/ 3/22/18	B	Interest	L	T	Buy	03/28/18	L		
157. Port Seattle WA Sr A RV BE/R 4/9/18	B	Int./Div.	L	T	Buy	04/10/18	L		
158. Houston TX Util SYS for RV BE/R/ 6/18/18	A	Interest	K	T	Buy	06/20/18	L		
159. Southeast Cmnty College RV BE/R/ 8/2/18	B	Interest	L	T	Buy	08/03/18	L		
160. Brownsville TX Util Sys Assur RV BE/R/ 9/19/18	A	Interest	L	T	Buy	09/20/18	L		
161. Arlington TX SPL Tax Assur 2017 RV BE/R/ 10/15/18	A	Interest	L	T	Buy	10/17/18	L		
162. Virginia Commwlth Univ HE RV BE/R/ 11/26/18	A	Interest	L	T	Buy	11/27/18	L		
163. Fort Worth TX SPL Tax A RV BE/R/ 11/28/18	A	Interest	K	T	Buy	11/29/18	K		
164. New York NY For Previou Pref BE/R/	C	Interest			Buy	01/24/18	L		
165.					Redeemed	09/21/18	K	A	
166. New York NY For Previou BE/R/	B	Interest			Buy	01/24/18	L		
167.					Redeemed	09/21/18	K	A	
168. Cary NC BE/R Trade 3/22/2018	B	Interest	L	T	Buy	03/28/18	M		
169. Goldman Sachs Group Inc Trigger ROS (X)		None			Redeemed	01/31/18	J	C	
170. Trust # 3 (H)									

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
171. General Motors Company Warrant 072019		None	J	T					
172. Capital Product Partners LP	C	Distribution	K	T					
173. Transocean Limited REG SHS		None	J	T					
174. Amazon Com Incorporated		None	N	T	Sold (part)	01/24/18	K		
175. Hi-Crush Partners LP Com	D	Distribution	K	T					
176. Fidus Invt Corporation	D	Dividend	L	T					
177. Angel Oak Multi-Strategy Inc Fund Class Instl	D	Dividend	M	T	Sold (part)	03/22/18	L	A	
178. Lord Abbett Floating Rate fD Cl F	D	Dividend	M	T					
179. Florida ST Brd ED Lottery	D	Interest			Redeemed	07/02/18	M		
180. Biogen Inc		None	J	T					
181. Home Depot Inc	A	Dividend	K	T					
182. Mastercard Inc CL A	A	Dividend	K	T					
183. Mednax Inc		None	J	T					
184. Pepsico Inc	A	Dividend	K	T	Buy (add'l)	12/18/18	J		
185. Walt Disney Co (Holding Co)	A	Dividend	K	T					
186. Dallas Fort Worth TX IN SR C RV	B	Interest	K	T					
187. Florida ST Muni Pwr AGY	B	Interest	L	T					

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

FINANCIAL DISCLOSURE REPORT

Page 15 of 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
188. Broward CO FL ARPT	A	Interest	K	T					
189. Miami Dade CNTY FLA AVIA	C	Interest	L	T					
190. Victory High Minucipal Bond Fund Class Y	B	Dividend			Sold (part)	02/02/18	L	A	
191.					Sold	03/15/18	L	A	
192. Amgen Inc		None			Sold	02/06/18	K	B	
193. Celgene Corp		None	J	T					
194. Cisco Systems Inc	B	Dividend	K	T					
195. Coresite Rlty Corp COM Reit	B	Dividend	K	T					
196. Facebook Inc C1 A		None	K	T	Sold (part)	04/17/18	J	A	
197. Gilead Sciences Inc	A	Dividend	J	T					
198. Johnson Ctls Intl PLC	A	Dividend	J	T	Buy (add'l)	01/24/18	J		
199. Kraft Heinz Co/The	A	Dividend			Sold	06/14/18	K	A	
200. Microsoft Corp	A	Dividend	K	T					
201. New Jersey Turnpike Auth SR B RV	B	Interest	K	T					
202. Maine ST HSG Auth MTGE P SR C	B	Interest	K	T	Redeemed (part)	10/10/18	J	A	
203. Allianzgi Short Duration High Income Cl Intl	A	Dividend			Sold	02/09/18	L	A	
204. General Electric Co	C	Dividend	K	T	Sold (part)	01/24/18	K	A	

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

FINANCIAL DISCLOSURE REPORT

Page 16 of 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205.					Sold (part)	01/24/18	K	A	
206.					Sold (part)	11/05/18	J	A	
207.					Sold (part)	11/05/18	J	A	
208. Chesapeak Granite Wash Trus	D	Distribution	K	T					
209. JP Morgan Chase Financial TAR-GEARS SPX 8/31/2021		None			Sold	04/06/18	K	D	
210. JP Morgan Chase Financial CT-ISS SPX 3/29/2019		None	K	T					
211. Citigroup Global Markets T-SS SPX 7/31/2020		None	K	T					
212. Goldman Sachs Group Inc Trigger PS EFA		None	K	T					
213. JP Morgan Chase Trigger PS SX5E 4/30/2020		None	J	T					
214. Transamerica floating rate fund class I	D	Dividend	M	T	Buy (add'l)	01/24/18	L		
215. Atlanta GA ARPT Passenge SR A RV BE/R	B	Interest	L	T					
216. Thermo Fisher Scientific Inc	A	Dividend	K	T	Buy (add'l)	03/22/18	J		
217. WCM Focused International Airport	B	Dividend	K	T	Buy (add'l)	01/24/18	J		
218.					Buy (add'l)	03/15/18	J		
219. Discovery Comm LLC B/E 3.250% 040123 dtd031913	A	Interest	K	T					
220. Verizon Communications 4.150% 031524 DTD 031714	B	Interest	K	T					
221. Verizon Communications 5.150% 091523 DTD 091813	B	Interest	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 17 of 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222. Bioverativ Inc		None			Sold	01/24/18	J	A	
223. Dowdupont Inc	C	Dividend	M	T	Sold (part)	01/24/18	K	D	
224.					Sold (part)	07/30/18	J	C	
225. Principal Investors Preferred Secs Inst F/K/ A Principal Preferred S	A	Dividend			Buy (add'l)	01/03/18	K		
226.					Sold	02/02/18	L	A	
227. UBS AG L/O TA-CYN MXEF NKYSX5E	C	Dividend	L	T					
228. Align Technology Inc		None	K	T	Buy	02/01/18	J		
229.					Buy (add'l)	02/05/18	J		
230.					Buy (add'l)	03/19/18	J		
231. Victory Floating Rate Fund Class Y	D	Dividend	M	T	Buy	02/02/18	J		
232.					Buy (add'l)	02/09/18	K		
233.					Buy (add'l)	07/17/18	K		
234. Robo Global Robotics \$ Aut Index ETF		None			Buy	02/09/18	J		
235.					Buy (add'l)	05/01/18	J		
236.					Sold	12/11/18	J	A	
237. Barclays Bank PLC L/O TA-CYN SPX		None			Buy	03/09/18	K		
238.					Redeemed	09/12/18	K	A	

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

FINANCIAL DISCLOSURE REPORT

Page 18 of 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
239. Alpha Centric Income Opportunities Fund Class	D	Dividend	M	T	Buy	03/15/18	L		
240.					Buy (add'l)	07/30/18	K		
241.					Buy (add'l)	07/31/18	K		
242. Mc Cormick & Co NV	A	Dividend	K	T	Buy	04/03/18	J		
243.					Buy (add'l)	04/12/18	J		
244.					Buy (add'l)	04/23/18	J		
245.					Buy (add'l)	12/19/18	J		
246. Berkshire Hathaway Inc New CL B		None	K	T	Buy	04/17/18	J		
247.					Buy (add'l)	10/26/18	J		
248.					Buy (add'l)	12/10/18	J		
249. Zoetis Inc	A	Dividend	J	T	Buy	05/03/18	J		
250. Ebay Inc NTS B/E 3.800% DTD 030916	A	Interest	K	T	Buy	07/17/18	K		
251. Brink's Co	A	Dividend	J	T	Buy	08/15/18	J		
252. Texas St Tax and Rev 2018 RV NTS BE/R	A	Interest	L	T	Buy	09/27/18	L		
253. New York LOC	B	Interest	L	T	Buy	03/22/18	M		
254. UBS Traditional (IRA) #2 (H)									
255. Seadrill LTD		None	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 19 of 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
256. UBS AG Trigger PS SX5E		None	J	T					
257. Citigroup Inc. Trigger PS SX5E		None			Sold	04/08/18	J	A	
258. Goldman Sachs Group Inc Trigger PS EFA		None	J	T					
259. Morgan Stanley L/O TPAOS SPX SX5E		None	J	T					
260. JPMorgan Chase& CO Trigger PS SX5E (Y)									
261.									
262.									
263.									
264.									
265.									
266.									
267.									
268.									
269.									
270.									
271.									
272.									

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

FINANCIAL DISCLOSURE REPORT

Page 20 of 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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

Trust 2,

Line 105, New York NY Fiscal was exchanged for 75,000 New York NY For Pref BE/R/ listed on Line 161 AND 25,000 New York NY For BE/R/ listed on Line 162. Line 105 was listed as sold (no exchange option) and Lines 161 and 162 were listed as buys. The exchange was dollar for dollar with no gain or loss.

Line 169, The Goldman Sachs Group Trigger ROS, did not have any reportable transaction in prior and it was re-listed in 2019 because it was redeemed

UBS Traditional (IRA) #2

Line 255, Seadrill LTD US Line was exchanged for Seadrill LTD

FINANCIAL DISCLOSURE REPORT

Page 21 of 21

Name of Person Reporting

CRISTOL, A. J.

Date of Report

07/26/2019

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/ **A. J. CRISTOL**

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