

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) Opperman, Daniel S.	2. Court or Organization Bankruptcy Eastern District MI	3. Date of Report 10/28/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 111 First Street Bay City, Michigan 48708		
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. Board of Directors Member and Vice Chair	Midland Center for the Arts
2. Member	Bankruptcy Appellate Panel
3. Trustee	Eastern Michigan University Foundation
4.	
5.	

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

☒ NONE (No reportable agreements.)

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

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

DATE	SOURCE AND TYPE	INCOME (yours, not spouse's)
1.		
2.		
3.		
4.		

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

DATE	SOURCE AND TYPE
1. 2018	DowDuPont f/k/a The Dow Chemical Company - Salary and Bonus; Severance Benefits
2. 2018	DowDuPont f/k/a The Dow Chemical Company - Pension
3. 2018	Opperman Consulting LLC - Earnings
4. 2018	Orrick, Herrington & Satchliffe, L.L.P. - Consultant Fees
5. 2018	Isabella Bank Corporation - Director Fees
6. 2018	Midland Business Alliance

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

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. American Bankruptcy Institute	06/06/18-06/09/18	Lake Geneva, WI	Seminar	Transportation and Lodging
2. Federal Bar Association	07/25/18-07/27/18	Traverse City, MI	Seminar	Transportation and Lodging
3. American Bankruptcy Institute Veteran's Day Consumer Conference	11/12/18	Troy, MI	Seminar	Transportation and Lodging
4.				

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.			
2.			
3.			
4.			
5.			

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*NONE *(No reportable liabilities.)*

	<u>CREDITOR</u>	<u>DESCRIPTION</u>	<u>VALUE CODE</u>
1.			
2.			
3.			
4.			
5.			

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

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

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

1. Bank Accounts "(H)"									
2. Huntington Bank f/k/a First Merit f/k/a Citizens - Cash Equivalent	A	Interest	K	T					
3. Comerica Bank - Cash Equivalent	A	Interest	K	T					
4. Dow Chemical Credit Union - Cash Equivalent	B	Interest	M	T					
5. Members First Credit Union - Cash Equivalent	B	Interest			Sold	01/05/18	K	A	
6. E-Trade - Cash Equivalent	A	Interest	L	T					
7. Raymond James - Cash Equivalent	A	Interest	K	T					
8. Isabella Bank - Cash Equivalent	B	Interest	M	T					
9. Certificates of Deposit "(H)"									
10. Members First Credit Union	B	Interest			Sold	01/05/18	L	A	
11. Dow Chemical Credit Union	B	Interest	L	T					
12. Mayville State Bank	A	Interest	K	T					
13. Isabella Bank	B	Interest	L	T					
14. Municipal Bonds "(H)"									
15. FLORIDA ST GO ULT	A	Interest	K	T					
16. MARYLAND ST GO ULT	B	Interest	L	T					
17. Muniyield Michigan Insured	A	Interest	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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18. Muniyield Michigan Insured	A	Interest	J	T					
19. MICHIGAN ST Trunk Line	B	Interest	L	T					
20. MINNESOTA ST GO ULT	A	Interest	K	T					
21. NEW MEXICO ST GO ULT	A	Interest	K	T					
22. OAKLAND CNTY MI - Rochester Hills Water & Sewer	A	Interest	K	T					
23. OREGON ST GO ULT	A	Interest	K	T					
24. PENNSYLVANIA ST GO ULT	A	Interest	K	T					
25. SAGINAW MI TWP School District	A	Interest			Sold	05/01/18	K	A	
26. TEXAS ST GO ULT	A	Interest	K	T					
27. Treasury Bills	A	Interest			Buy (add'l)	08/27/18	L		
28.					Sold	10/25/18	L	A	
29. WASHINGTON ST GO ULT	C	Interest	L	T					
30. Real Estate "(H)"									
31. Farmland, Millington, Michigan Acquired 04/13/89 for \$70,000	E	Rent	L	R					
32. Life Insurance "(H)"									
33. Farm Bureau Life Insurance - Universal Life - Fixed	A	Interest	K	T					
34. Stock and Certificates Held as Tenants By Entirety "(H)"									

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35. ATMOS Energy	B	Dividend	K	T					
36. Citizens Communications	A	Dividend	J	T					
37. Chevron Corporation	B	Dividend	K	T					
38. CMS Energy	A	Dividend	K	T					
39. DowDuPont f/k/a The Dow Chemical Company	D	Dividend	L	T					
40. Evergy, Inc. f/k/a Great Plains Energy by way of merger on 06/04/18	A	Interest	J	T					
41. Highwoods Property	A	Dividend	J	T					
42. News Corp	A	Dividend	J	T					
43. 20th Century Fox	A	Dividend	K	T					
44. Northwestern Corp	A	Dividend	J	T					
45. XCEL Energy	B	Dividend	K	T					
46. Stocks and Bonds - Broker Account DSO and BLO "(H)"									
47. Adams Natural Resources Fund formerly Petroleum & Resources Corp.	A	Dividend	J	T					
48. Alliance Bernstein Sustainable Int'l Growth	A	Dividend	K	T					
49. Ameriprise Insured Money Market	A	Interest	K	T					
50. Camden Property	A	Dividend	J	T					
51. Centrus Energy Corp.		None			Sold	08/13/18	J	A	

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52. Equity Commonwealth		None	J	T					
53. Essex Property	A	Dividend	J	T					
54. First Industrial Realty	A	Dividend			Sold	08/13/18	J	A	
55. Five Star Quality Care Inc.		None			Sold	08/13/18	J	A	
56. Golden Ocean Group, Ltd. f/k/a Knightsbridge Shipping		None			Sold	08/13/18	J	A	
57. Evergy, Inc. f/k/a Great Plains Energy by way of merger on 06/04/18	A	Dividend			Sold	08/13/18	J	A	
58. JBG Smith Properties	A	Dividend			Sold	08/13/18	J	A	
59. John Hancock Financial	A	Dividend	J	T					
60. Nordic American Tanker	A	Dividend			Sold	08/13/18	J	A	
61. Royal Dutch Shell PLC	A	Dividend	J	T					
62. Southern Company	A	Dividend	J	T					
63. Vornado Realty	A	Dividend	J	T					
64. Urban Edge Properties	A	Dividend			Sold	08/13/18	J	A	
65. Stocks and Certificates "(H)"									
66. DowDuPont f/k/a The Dow Chemical Company	D	Dividend	M	T					
67. Van Kampen Municipal Trust	A	Interest	J	T					
68. Restricted Stock - DowDuPont f/k/a The Dow Chemical Company		None	M	T					

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69. Restricted Stock - Isabella Bank Corporation	B	Dividend	L	T					
70. Limited Liability Company Units - SRO "(H)"									
71. Opperman Consulting LLC	E	Dividend	L	T					
72. Rowley Family Properties, LLC		None	L	W					
73. Stocks and Bonds - Broker Accounts IRA SRO "(H)"									
74. Amazon.com Inc.		None	M	T	Sold (part)	02/14/18	J	C	
75.					Sold (part)	03/28/18	K	E	
76.					Buy (add'l)	12/06/18	K		
77. American Tower Corp.	A	Dividend	K	T	Sold (part)	03/06/18	K	A	
78. A.O. Smith Corp.	A	Dividend	K	T	Buy (add'l)	06/22/18	K		
79.					Sold (part)	10/02/18	K	C	
80. Carter's Inc.	A	Dividend			Sold	10/26/18	K	B	
81. Celgene Corp.		None	K	T	Sold (part)	03/06/18	K	A	
82. Charles Schwab Corp.	A	Dividend	L	T	Sold (part)	11/09/18	K	B	
83. Dollar Tree Inc		None			Sold	10/15/18	K	E	
84. DowDuPont f/k/a Dow Chemical Co	B	Dividend	L	T					
85. Edwards Lifesciences		None	L	T	Sold (part)	10/02/18	K	D	

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86. EPAM Systems		None	L	T	Sold (part)	02/15/18	K	D	
87.					Sold (part)	10/02/18	J	C	
88. Euronet Worldwide Inc.		None	L	T	Buy	10/15/18	K		
89.					Buy (add'l)	10/19/18	K		
90.					Buy (add'l)	11/07/18	K		
91. Facebook Inc.		None	L	T	Buy (add'l)	03/23/18	J		
92.					Sold (part)	06/22/18	K	B	
93.					Sold (part)	10/02/18	J	C	
94.					Sold (part)	12/14/18	K	D	
95. Fleetcor Technologies		None	K	T	Buy	11/26/18	K		
96. Google Inc. C1 a/k/a A/Alphabet Inc. C1 A		None	M	T	Sold (part)	03/27/18	K	D	
97.					Buy (add'l)	05/18/18	K		
98. Guidewire Software	A	Dividend	K	T	Sold (part)	03/23/18	K	A	
99. Illumina Inc.		None	L	T	Sold (part)	08/23/18	K	D	
100.					Sold (part)	10/02/18	J	B	
101.					Buy (add'l)	12/06/18	K		
102. Intuitive Surgical Inc.		None	K	T	Buy (add'l)	10/15/18	K		

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103.					Buy (add'l)	12/06/18	K		
104. KAR Auction Services Ind.	A	Dividend	K	T	Sold (part)	03/23/18	J	A	
105.					Sold (part)	10/15/18	J	C	
106. LKQ Corp.		None			Sold	05/01/18	K	A	
107. Omnicell Inc.		None	L	T	Buy (add'l)	03/29/18	J		
108.					Sold (part)	10/02/18	K	D	
109.					Sold (part)	11/09/18	J	B	
110. Palo Alto Networks		None	L	T	Buy	03/12/18	K		
111.					Buy (add'l)	03/29/18	K		
112.					Buy (add'l)	10/15/18	K		
113.					Buy (add'l)	12/06/18	K		
114. Proofpoint, Inc.		None	L	T	Sold (part)	03/12/18	L	D	
115.					Buy (add'l)	08/23/18	K		
116.					Buy (add'l)	12/06/18	J		
117. RBC Money Market Account	A	Dividend	N	T					
118. Red Hat Inc.		None			Sold (part)	03/27/18	K	D	
119.					Buy (add'l)	05/18/18	J		

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Name of Person Reporting

Opperman, Daniel S.

Date of Report

10/28/2019

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.					Sold	12/06/18	L	E	
121. Salesforce.com		None	L	T	Sold (part)	05/18/18	J	B	
122.					Sold (part)	06/27/18	J	B	
123.					Sold (part)	10/02/18	J	C	
124. Signature Bank NY	B	Dividend	L	T	Buy (add'l)	03/23/18	J		
125.					Buy (add'l)	05/18/18	J		
126. Splunk Inc.		None	M	T	Buy (add'l)	02/14/18	K		
127.					Sold (part)	03/27/18	K	B	
128.					Buy (add'l)	03/29/18	K		
129.					Sold (part)	05/18/18	K	C	
130.					Buy (add'l)	10/15/18	K		
131. Starbucks	A	Dividend			Sold	06/27/18	K	E	
132. Ulta Salon		None	K	T	Buy (add'l)	04/10/18	K		
133.					Sold (part)	05/18/18	K	D	
134.					Sold (part)	10/15/18	J	D	
135. The Ultimate Software Group		None	K	T	Buy (add'l)	02/15/18	K		
136.					Buy (add'l)	03/29/18	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	

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Name of Person Reporting

Opperman, Daniel S.

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
137.					Sold (part)	06/22/18	K	B	
138.					Sold (part)	10/02/18	K	D	
139.					Buy (add'l)	10/15/18	J		
140. Vertex Pharmaceuticals		None	L	T	Buy	03/06/18	K		
141.					Buy (add'l)	03/29/18	K		
142.					Buy (add'l)	05/16/18	K		
143.					Sold (part)	10/02/18	J	B	
144.					Sold (part)	10/15/18	J	A	
145. Stocks and Bonds - Broker Accounts IRA DSO "(H)"									
146. Amazon.com Inc.		None	J	T	Sold (part)	02/14/18	J	B	
147. American Tower Corp.	A	Dividend			Sold	03/06/18	J	A	
148. A.O. Smith Corp.	A	Dividend	J	T	Buy (add'l)	06/22/18	J		
149.					Sold (part)	10/02/18	J	A	
150. Carter's Inc.	A	Dividend			Sold	10/26/18	J	A	
151. Celgene Corp.		None	J	T	Sold (part)	03/06/18	J	A	
152. Charles Schwab Corp.	A	Dividend	J	T	Sold (part)	11/09/18	J	A	
153. CHEVRON CORP.	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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154. Dollar Tree Inc.		None			Sold	10/15/18	J	A	
155. Dreyfus Money Market Account	A	Dividend	J	T					
156. Edwards Lifesciences		None	J	T					
157. EPAM Systems		None	J	T	Sold (part)	02/15/18	J	A	
158. Euronet Worldwide Inc.		None	J	T	Buy	10/15/18	J		
159.					Buy (add'l)	10/19/18	J		
160.					Buy (add'l)	11/07/18	J		
161. Facebook Inc.		None	J	T	Buy (add'l)	03/23/18	J		
162.					Sold (part)	06/22/18	J	A	
163.					Sold (part)	12/14/18	J	A	
164. FEDEX CORP.	A	Interest	J	T					
165. Fleetcor Technologies		None	J	T	Buy	11/26/18	J		
166. Google Inc. C1 a/k/a A/Alphabet Inc. C1 A		None	J	T					
167. Guidewire Software	A	Dividend	J	T	Buy (add'l)	03/29/18	J		
168. Illumina Inc.		None	J	T					
169. Intuitive Surgical Inc.		None	J	T	Buy (add'l)	10/26/18	J		
170. JOHNSON & JOHNSON	A	Dividend	J	T					

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

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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. KAR Auction Services Ind.	A	Dividend	J	T					
172. LKQ Corp.		None			Sold	05/01/18	J	A	
173. MCDONALD'S CORP. BONDS	A	Interest	J	T					
174. MCKESSON CORP.	A	Dividend	J	T					
175. Omnicell Inc.		None	J	T	Sold (part)	11/09/18	J	A	
176. O'REILLY AUTOMOTIVE CORP.	A	Dividend	J	T					
177. Palo Alto Networks		None	J	T	Buy	03/12/18	J		
178.					Buy (add'l)	04/05/18	J		
179.					Buy (add'l)	04/18/18	J		
180.					Buy (add'l)	10/09/18	J		
181. Proofpoint, Inc.		None	J	T	Sold (part)	03/12/18	J	A	
182.					Buy (add'l)	08/23/18	J		
183. Red Hat Inc.		None	J	T					
184. Salesforce.com		None	J	T	Sold (part)	06/22/18	J	A	
185. Signature Bank NY	A	Dividend	J	T					
186. Splunk Inc.		None	J	T	Buy (add'l)	02/14/18	J		
187.					Sold (part)	03/27/18	J	A	

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

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	(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. Starbucks Corp.	A	Dividend			Sold	06/21/18	J	A	
189. STRYKER COPR.	A	Dividend	J	T					
190. Ultra Salon		None	J	T					
191. The Ultimate Software Group		None	J	T					
192. UNITED PARCEL SERVICE	A	Dividend	J	T	Buy	09/18/18	J		
193. Vertex Pharmaceuticals		None	J	T	Buy	03/06/18	J		
194.					Buy (add'l)	03/23/18	J		
195.					Sold (part)	10/15/18	J	A	
196. WALT DISNEY CO.	A	Dividend	J	T					
197. WEYERHAEUSER CO.	A	Dividend	J	T					
198. Broker Account - DSO and SRO "(H)"									
199. Abbott Lab	B	Dividend	L	T	Buy (add'l)	09/25/18	J		
200. Accenture LTD C1 A	A	Dividend	K	T					
201. Agilent Technologies	A	Dividend	K	T	Buy	11/27/18	K		
202. Amphenol Corp. C1 A	A	Dividend	K	T					
203. Apple Computer Inc.	A	Dividend	K	T	Sold (part)	02/02/18	J	D	
204.					Buy (add'l)	09/13/18	K		

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

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205. AptarGroup Inc.	A	Dividend	K	T					
206. ASML Holdings	A	Dividend	J	T	Buy	11/08/18	J		
207. Ball Corp.	A	Dividend	K	T	Sold (part)	06/27/18	K	A	
208.					Buy (add'l)	09/13/18	J		
209.					Buy (add'l)	11/01/18	J		
210. Baxter Int'l Inc.	A	Dividend			Sold (part)	01/22/18	J	C	
211.					Buy (add'l)	09/13/18	K		
212.					Sold	11/07/18	K	D	
213. Becton Dickinson	A	Dividend	K	T	Buy (add'l)	02/14/18	K		
214. Black Rock Inc.	A	Dividend	K	T	Sold (part)	01/24/18	K	D	
215.					Sold (part)	07/24/18	K	D	
216.					Buy (add'l)	11/01/18	J		
217. Boeing Co.	B	Dividend	L	T	Sold (part)	01/22/18	K	D	
218.					Buy (add'l)	07/31/18	K		
219.					Buy (add'l)	11/07/18	K		
220. Broadcom Ltd.	C	Dividend	L	T	Buy (add'l)	12/12/18	K		
221. Brookfield Asset Management	A	Dividend	K	T	Buy	12/03/18	J		

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222.					Buy (add'l)	12/11/18	J		
223. Canadian Nat'l Railway	A	Dividend	K	T					
224. Capgemini	A	Dividend	J	T	Buy	11/28/18	J		
225.					Buy (add'l)	12/11/18	J		
226. Check Point Software		None	J	T	Buy	04/19/18	K		
227.					Sold (part)	05/21/18	J	A	
228. Chevron Corp.	B	Dividend	K	T					
229. Cisco Systems Inc.	A	Dividend	K	T	Buy	07/24/18	K		
230.					Buy (add'l)	09/13/18	K		
231.					Buy (add'l)	11/01/18	J		
232.					Sold (part)	12/28/18	K	A	
233. Colgate-Palmolive Co.	A	Dividend			Buy (add'l)	03/23/18	J		
234.					Sold	09/13/18	K	A	
235. Comcast Corp	A	Dividend			Buy	11/07/18	K		
236.					Sold	12/28/18	K	A	
237. Cons Disc Select	A	Dividend	J	T	Buy	12/14/18	K		
238. Costco Wholesale	A	Dividend			Buy (add'l)	01/24/18	J		

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239.					Sold	10/05/18	L	D	
240. CVS Corp.	A	Dividend	K	T	Buy (add'l)	09/13/18	K		
241. Dassault Systems S.A.	A	Dividend	K	T	Sold (part)	02/14/18	J	B	
242. DBS Group	A	Dividend	J	T	Buy (add'l)	02/14/18	J		
243.					Sold (part)	12/11/18	J	A	
244. Diageo PLC ADR	A	Dividend	K	T	Sold (part)	11/14/18	J	A	
245. Discover Financial	A	Dividend			Buy (add'l)	02/13/18	J		
246.					Buy (add'l)	03/23/18	J		
247.					Sold	12/14/18	K	A	
248. Enterprise Prod	A	Dividend	J	T					
249. Estee Lauder C1A	A	Dividend	K	T	Sold (part)	01/22/18	K	C	
250.					Buy (add'l)	05/10/18	J		
251.					Sold (part)	08/23/18	K	C	
252. Experian PLC	A	Dividend	K	T	Buy	11/16/18	J		
253.					Buy (add'l)	12/11/18	J		
254. Fastenal Co.	A	Dividend	K	T	Buy (add'l)	01/25/18	K		
255.					Buy (add'l)	08/07/18	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
256.					Sold (part)	12/12/18	K	A	
257. Fomento Eco Mexicano	A	Dividend	J	T	Sold (part)	01/09/18	J	A	
258. General Dynamics	A	Dividend			Buy (add'l)	05/10/18	K		
259.					Sold	07/31/18	K	D	
260. Google Inc. C1 a/k/a A/Alphabet Inc. C1 A		None	K	T	Sold (part)	01/22/18	K	D	
261.					Sold (part)	03/27/18	K	D	
262. GRAND RAPIDS - Grand Rapids Public Schools	A	Dividend	K	T					
263. Grupo Aeroportuario Cen-ADR	A	Dividend			Buy	04/19/18	J		
264.					Sold	11/29/18	J	A	
265. HDFC Bank Ltd. ADR	A	Dividend	J	T	Buy	06/12/18	J		
266. Henkel AG & Co. KGaA	A	Dividend			Sold	11/20/18	J	A	
267. Home Depot Inc.	A	Dividend	K	T	Buy (add'l)	09/13/18	K		
268.					Sold (part)	12/14/18	K	A	
269. Isabella Bank Corporation	D	Dividend	N	T					
270. iShares FTSE/China 25	A	Dividend	K	T	Buy (add'l)	02/14/18	J		
271. iShares MCSI EAFE	A	Dividend	K	T					
272. iShares MSCI Emerging	B	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
273. iShares MSCI EU Financial	A	Dividend	K	T	Sold (part)	11/29/18	K	A	
274. Japan Index	A	Dividend	K	T					
275. JB Hunt Transport	A	Dividend	J	T	Buy (add'l)	07/31/18	K		
276.					Sold (part)	12/14/18	J	A	
277. JOHNSON & JOHNSON	A	Dividend	K	T	Sold (part)	05/10/18	K	A	
278. Marsh & McLennan	A	Dividend			Sold (part)	05/10/18	K	D	
279.					Sold	10/02/18	K	D	
280. McCormick & Co.	A	Dividend			Sold	09/07/18	K	E	
281. Microsoft Corp.	B	Dividend	L	T					
282. Mondelez International	A	Dividend	J	T	Buy (add'l)	03/23/18	J		
283. New Oriental Education SP ADR	A	Dividend			Buy (add'l)	05/21/18	J		
284.					Sold	09/13/18	K	A	
285. Nike Inc.	A	Dividend	K	T	Buy	01/22/18	J		
286. Nippon Tel & Tel ADR	A	Dividend			Buy (add'l)	02/14/18	J		
287.					Sold (part)	06/12/18	J	C	
288.					Sold	11/08/18	J	B	
289. Oneok Partners LP	B	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
290. Pepsico Inc.	A	Dividend	J	T	Sold (part)	02/13/18	J	B	
291. Prudential PLC	A	Dividend			Buy (add'l)	03/21/18	J		
292.					Sold (part)	12/03/18	J	A	
293.					Sold	12/11/18	J	A	
294. Reims Grp of America	A	Dividend			Sold (part)	06/27/18	K	D	
295.					Buy (add'l)	11/13/18	K		
296.					Sold	12/28/18	K	A	
297. Republic Services	A	Dividend	J	T	Sold (part)	07/31/18	K	D	
298. Ross Stores	A	Dividend	K	T	Buy (add'l)	09/07/18	J		
299.					Sold (part)	12/28/18	J	A	
300. Royal Caribbean Cruises Ltd.	A	Dividend			Sold	12/14/18	K	A	
301. S&P 500 Trust	A	Dividend	K	T	Buy (add'l)	12/28/18	L		
302. Schlumberger Ltd.	A	Dividend			Buy	01/22/18	K		
303.					Buy (add'l)	03/23/18	J		
304.					Sold	09/13/18	K	A	
305. Stryker Corp.	A	Dividend	K	T	Sold (part)	03/27/18	K	C	
306.					Buy (add'l)	09/13/18	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 P3 ~\$25,000,001 - \$50,000,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000 P4 ~More than \$50,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307. Svenska Cellulosa a/k/a Essity Aktiebolag	A	Dividend	J	T					
308. Taiwan Semiconductor	A	Dividend			Sold (part)	04/19/18	K	D	
309.					Buy (add'l)	09/13/18	K		
310.					Sold	12/11/18	J	A	
311. Tata Motors Ltd.	A	Dividend			Buy	01/09/18	K		
312.					Sold (part)	08/23/18	J	A	
313.					Sold	09/13/18	J	A	
314. Techtronic Inds. SP ADR	A	Dividend			Buy	09/20/18	J		
315.					Buy (add'l)	10/05/18	J		
316.					Sold	11/29/18	K	A	
317. TELUS Corp.	B	Dividend	K	T	Buy (add'l)	02/14/18	J		
318. Total System Services, Inc.	A	Dividend	K	T					
319. Unilever NV	A	Dividend	J	T	Sold (part)	02/13/18	J	B	
320. UnitedHealth Group	A	Dividend	K	T	Sold (part)	03/29/18	K	A	
321. Union Pacific Corp.	A	Dividend	K	T	Sold (part)	01/25/18	K	D	
322.					Buy (add'l)	03/23/18	K		
323. Visa Inc.	A	Dividend	L	T	Sold (part)	01/24/18	J	D	

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324. Wabtec Corp.	A	Dividend	J	T	Buy	01/22/18	J		
325.					Buy (add'l)	03/23/18	J		
326.					Buy (add'l)	08/02/18	K		
327.					Sold (part)	12/12/18	K	A	
328. West Pharmaceutical Services	A	Dividend	K	T	Buy (add'l)	03/23/18	J		
329.					Buy (add'l)	11/01/18	K		
330. Wisdom Tree Europe	A	Dividend	K	T					
331. Wisdom Tree Japan	A	Dividend	J	T	Buy (add'l)	09/13/18	K		
332.					Sold (part)	12/26/18	K	A	
333. WNS Holdings Ltd-ADR		None	K	T	Buy (add'l)	01/09/18	J		
334.					Buy (add'l)	02/14/18	J		
335.					Sold (part)	04/19/18	J	A	
336.					Sold (part)	05/16/18	J	A	
337.					Sold (part)	08/08/18	J	C	
338.					Buy (add'l)	11/08/18	J		
339.					Sold (part)	12/28/18	J	A	
340. Zoetis Inc.	A	Dividend	K	T	Sold (part)	07/31/18	J	D	

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

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

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

341.					Buy (add'l)	11/01/18	J		
342.					Buy (add'l)	12/12/18	J		
343. Retirement Funds "(H)"									
344. ABBEY Capital Futures	A	Dividend	J	T	Buy (add'l)	09/13/18	J		
345. Aerovironment Inc.	A	Dividend			Buy	02/08/18	J		
346.					Sold	11/30/18	K	D	
347. American Mutual Class F2	A	Dividend	K	T	Sold (part)	08/31/18	J	A	
348.					Buy (add'l)	09/12/18	J		
349. AMG Southernsun U.S. Equity	A	Dividend			Buy (add'l)	08/30/18	J		
350.					Sold	09/12/18	K	A	
351. AQR Diversified Arbitrage Fund	A	Dividend	J	T					
352. AQR Managed Futures Strategy Fund		None	J	T					
353. AQR Style Premium Alternative	A	Dividend	J	T	Buy (add'l)	09/14/18	J		
354. Artisan International Fund	A	Dividend	J	T					
355. ASG Global Alternatives Fund	A	Dividend	J	T					
356. Blackrock Event Driven Equity Fund	A	Dividend	J	T	Buy (add'l)	09/14/18	J		
357. Boston Partners Long/Short Research Fund	A	Dividend	J	T					

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

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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)
358. Bristol Myers	A	Dividend	J	T					
359. Brown Advisory Growth Equity Fund		None	K	T	Sold (part)	08/30/18	J	A	
360. Causeway International	A	Dividend	K	T	Buy (add'l)	08/30/18	J		
361. Champlain Mid Cap Fund		None	J	T	Buy	09/11/18	K		
362. Chiron Capital Allocation Fund	A	Dividend	J	T					
363. Clearbridge Aggressive Growth Fund	A	Dividend	K	T	Sold (part)	08/30/18	J	A	
364. CM Finance	A	Dividend	J	T	Sold (part)	02/08/18	J	A	
365. Comcast Corporation	A	Dividend	J	T	Buy	02/08/18	J		
366. Credit Suisse Commodity Return Strategy Fund	A	Dividend			Sold	07/19/18	J	A	
367. Delta Airlines	A	Dividend	J	T	Buy	02/08/18	J		
368. Deutsche Global Real Estate	A	Dividend			Sold	07/19/18	J	A	
369. Disney Walt Company Com Disney	A	Dividend	J	T	Buy (add'l)	02/08/18	J		
370. Dodge & Cox Income Fund	A	Dividend	K	T	Buy (add'l)	08/30/18	J		
371. Dreyfus Global Real Return	A	Dividend			Sold	09/14/18	J	A	
372. Dreyfus Treas Prime Cash	A	Dividend	L	T					
373. Europacific Growth Fund Class F1	A	Dividend	L	T	Sold (part)	08/31/18	J	A	
374. Exxon Mobil - IRA	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
375. Gateway Fund Class	A	Dividend	J	T					
376. Global Sachs Strategic Income Fund	A	Dividend			Sold	07/19/18	J	A	
377. Harding Loevner Emerging Markets	A	Dividend	J	T					
378. Heritage Cash Trust	A	Interest	K	T					
379. International Paper Co.	B	Dividend	K	T					
380. Ivy Asset Strategy Fund	A	Dividend			Sold	07/19/18	J	A	
381. iShares TR Core MSCI EAFE	B	Dividend	K	T	Buy (add'l)	08/31/18	J		
382. iShares TR Core US AGGBD ET	A	Dividend	K	T	Buy (add'l)	08/31/18	J		
383. iShares TR Min Vol USA	A	Dividend	K	T	Sold (part)	08/31/18	J	A	
384. John Hancock Disciplined Value Fund	A	Dividend	K	T	Sold (part)	08/31/18	J	A	
385.					Buy (add'l)	09/13/18	J		
386. John Hancock Global Absolute Return		None	J	T					
387. JPMorgan Certificate of Deposit		None	J	T					
388. JPMorgan Value Advantage Fund	A	Dividend			Sold (part)	08/30/18	J	A	
389.					Sold (part)	09/11/18	J	A	
390.					Sold	09/12/18	K	A	
391. Knoll Incorporated	A	Dividend	J	T	Buy	02/08/18	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 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

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Name of Person Reporting

Opperman, Daniel S.

Date of Report

10/28/2019

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)
392. Lazard Emerging Markets Equity Port	A	Dividend	K	T	Buy (add'l)	08/30/18	J		
393. Locorr Market Trend	A	Dividend			Sold	09/13/18	J	A	
394. Loomis Sayles Growth Fund	A	Dividend	K	T	Sold (part)	08/30/18	J	A	
395. Meridian Growth Fund	A	Dividend	J	T	Buy	09/12/18	J		
396. Metropolitan West Total Return Bond Fund	A	Dividend	K	T	Buy (add'l)	08/30/18	J		
397. MFS International Growth Fund	A	Dividend	K	T	Sold (part)	08/31/18	J	A	
398. Neuberger Berman Long Short Fund	A	Dividend			Sold	07/19/18	J	A	
399. Nuance Mid. Cap. Value Fund	A	Dividend	J	T	Buy	09/12/18	J		
400. Oakmark International	A	Dividend	J	T					
401. Pimco Low Duration Fund	A	Dividend	J	T	Buy	05/16/18	J		
402. Prudential High Yield Fund	A	Dividend			Sold	05/16/18	J	A	
403. Raymond James Bank Deposit Program	A	Interest	L	T					
404. Raytheon Company	A	Dividend	J	T	Buy	02/08/18	J		
405. Sabra Healthcare	A	Dividend	J	T					
406. Starbucks	A	Dividend	J	T					
407. Templeton Global Bond Fund	A	Dividend			Sold	07/19/18	J	A	
408. T. Rowe Price - Latin America - IRA	A	Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 29 of 35

Name of Person Reporting

Opperman, Daniel S.

Date of Report

10/28/2019

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)
409. T Rowe Price Small Cap Value Fund	A	Dividend	J	T	Sold (part)	08/30/18	J	A	
410.					Sold (part)	09/11/18	J	A	
411. Vanguard Group - Energy Fund	B	Dividend	K	T					
412. Vanguard Index Funds S&P 500	B	Dividend	K	T	Sold (part)	08/31/18	J	A	
413. Victory Integrity Small Cap Value Fund	A	Dividend	J	T	Sold (part)	08/30/18	J	A	
414. Victory Trivalent Intl	A	Dividend	J	T	Sold (part)	09/12/18	J	A	
415.					Sold (part)	09/12/18	J	A	
416. Virtus Emerging Markets	A	Dividend			Sold	07/19/18	J	A	
417. Voya International Real Estate	A	Dividend			Sold	07/19/18	J	A	
418. Wells Fargo Advantage Absolute Return Fund	A	Dividend	J	T					
419. Wells Fargo Advantage Intl	A	Dividend	J	T					
420. Wells Fargo Certificate of Deposit		None			Redeemed	05/16/18	J	A	
421. Wells Fargo International Value Fund	A	Dividend	J	T					
422. Western Asset Total Return	A	Dividend	K	T	Buy (add'l)	08/30/18	J		
423. William Blair Marco	A	Dividend	J	T					
424. William Blair Macro Allocation Fund	A	Dividend	J	T					
425. Dow Chemical Retirement Health Care Assoc.		None	J	T					

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

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)

426. Dow Chemical Elective Deferral Plan		None	J	T					
427. Freeland State Bank - Certificate of Deposit - IRA	A	Dividend	K	T					
428. YUM, Inc	A	Dividend	J	T					
429. Auto Owners Insurance - Annuity - Fixed Rate	A	Interest	K	T					
430. SEP-IRA - SRO "(H)"									
431. Amazon.com Inc.		None	K	T	Sold (part)	03/28/18	J	C	
432.					Buy (add'l)	05/18/18	J		
433.					Sold (part)	06/27/18	J	A	
434. American Tower Corp.	A	Dividend	J	T	Sold (part)	03/06/18	J	A	
435. A.O. Smith Corp.	A	Dividend	J	T	Sold (part)	10/02/18	J	A	
436. BNY Deposit	A	Dividend	K	T					
437. Carter's Inc.	A	Dividend			Sold (part)	03/23/18	J	A	
438.					Sold	10/26/18	J	A	
439. Cellegene Corp.		None	J	T	Sold (part)	03/06/18	J	A	
440.					Buy (add'l)	05/15/18	J		
441. Charles Schwab Corp.	A	Dividend	J	T	Sold (part)	11/09/18	J	A	
442. Dollar Tree Inc.		None			Sold	10/15/18	J	A	

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

VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)
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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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443. Edwards Lifesciences		None	K	T	Sold (part)	03/23/18	J	B	
444.					Buy (add'l)	05/18/18	J		
445. EPAM Systems		None	J	T	Sold (part)	02/15/18	J	A	
446. Euronet Worldwide Inc.		None	K	T	Buy	10/15/18	J		
447.					Buy (add'l)	10/19/18	J		
448.					Buy (add'l)	11/07/18	J		
449. Facebook Inc.		None	J	T	Buy (add'l)	02/14/18	J		
450.					Buy (add'l)	03/23/18	J		
451.					Sold (part)	10/02/18	J	A	
452.					Sold (part)	12/14/18	J	C	
453. Fleetcor Technologies		None	J	T	Buy	11/26/18	J		
454. Google Inc. C1 a/k/a A/Alphabet C1 A		None	K	T	Sold (part)	03/27/18	J	C	
455.					Buy (add'l)	05/15/18	J		
456. Guidewire Software	A	Dividend	K	T	Sold (part)	03/23/18	J	A	
457.					Buy (add'l)	03/29/18	J		
458. Illumina Inc.		None	J	T	Sold (part)	08/23/18	J	B	
459. Intuitive Surgical Inc.		None	J	T	Buy (add'l)	10/26/18	J		

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460. KAR Auction Services Ind.	A	Dividend	J	T	Sold (part)	03/23/18	J	A	
461. LKQ Corp.		None			Sold	05/01/18	J	A	
462. Omnicell Inc.		None	J	T	Buy (add'l)	03/29/18	J		
463.					Sold (part)	11/09/18	J	B	
464. Palo Alto Networks		None	K	T	Buy	03/12/18	J		
465.					Buy (add'l)	04/05/18	J		
466.					Buy (add'l)	04/18/18	J		
467.					Buy (add'l)	05/18/18	J		
468.					Buy (add'l)	10/09/18	J		
469.					Buy (add'l)	12/06/18	J		
470. Proofpoint, Inc.		None	K	T	Sold (part)	03/12/18	J	B	
471.					Buy (add'l)	05/18/18	J		
472.					Buy (add'l)	08/23/18	J		
473.					Buy (add'l)	12/06/18	J		
474. Red Hat Inc.		None			Sold	12/06/18	K	D	
475. Salesforce.com		None	K	T	Sold (part)	03/27/18	J	A	
476.					Sold (part)	10/02/18	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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477. Splunk Inc.		None	K	T	Buy (add'l)	02/14/18	J		
478.					Sold (part)	03/27/18	J	A	
479.					Buy (add'l)	03/29/18	J		
480. Signature Bank NY	A	Dividend	J	T	Buy (add'l)	05/15/18	J		
481. Starbucks Corp.	A	Dividend			Sold	06/27/18	J	A	
482. The Ultimate Software Group		None	K	T	Buy (add'l)	02/15/18	J		
483.					Buy (add'l)	03/23/18	J		
484. Ulta Salon		None	J	T					
485. Vertex Pharmaceuticals		None	J	T	Buy	03/06/18	J		
486.					Buy (add'l)	03/29/18	J		
487.					Sold (part)	10/15/18	J	A	

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

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

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/ Daniel S. Opperman**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544