

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) Rau, Steven E.	2. Court or Organization US District Court - District Court of Minnesota	3. Date of Report 07/22/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge - full-time	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 316 North Robert Street Suite 348 St. Paul, MN 55101		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

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

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.

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

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

	<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. IRA (H)									
2. Cash (MMKT) and Sweep Balances	A	Interest	K	T					
3. Abbvie, Inc. - ABBV		None			Sold	02/14/18	K	E	
4. Aberdeen Erg Mkts - ABEMX	A	Dividend	K	T	Buy	03/02/18	K		
5.					Buy (add'l)	10/02/18	J		
6. Affiliated Mgrs Group - AMG		None			Buy	02/28/18	J		
7.					Sold	04/16/18	J		
8. Ally Bank CD	A	Interest	K	T					
9. Alphabet Inc - GOOG		None			Buy	02/28/18	J		
10.					Sold	05/04/18	J		
11. Amer Express Bk FSB CD	A	Interest	K	T					
12. American Funds - NFFFX		None			Sold	03/02/18	J	A	
13. Ameriprise Finl Inc. - AMP		None			Buy	02/28/18	J		
14.					Sold	05/04/18	J		
15. Apple, Inc., - AAPL	A	Dividend			Sold (part)	02/28/18	K	D	
16.					Sold	05/04/18	J	C	
17. AT&T Inc. - T	A	Dividend			Buy	02/28/18	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 = \$250,000,001 - \$500,000,000	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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18.					Buy (add'l)	04/16/18	J		
19.					Sold	05/04/18	J		
20. Bayer AG - BAYRY		None			Buy	02/28/18	J		
21.					Sold	05/04/18	J		
22. Berkshire Hathaway		None			Sold (part)	02/28/18	K	D	
23.					Sold	05/04/18	J	A	
24. Blackrock Global - BDMKX	B	Dividend	K	T	Buy	02/13/18	K		
25. Blackrock Inc. - BLK	A	Dividend			Buy	02/28/18	J		
26.					Sold	05/04/18	J		
27. Boeing Co - BA		None			Buy	02/28/18	J		
28.					Sold	05/04/18	J		
29. Boston Ptrs L/S Research Fund - BPIRX	A	Dividend	J	T	Buy	02/13/18	K		
30. Capital One Bk USA NA CD	A	Interest	K	T					
31. Celanese Corp - CE	A	Dividend			Buy	02/28/18	J		
32.					Sold	05/04/18	J	A	
33. Cisco Systems Inc. - CSCO	A	Dividend			Sold (part)	02/28/18	K	D	
34.					Sold (part)	03/13/18	J	A	

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(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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35.					Sold	05/04/18	J	B	
36. Citigroup Inc. - C		None			Buy	02/26/18	J		
37.					Sold	05/04/18	J		
38. CME Group Inc. - CME	A	Dividend			Buy	02/28/18	J		
39.					Sold	05/04/18	J		
40. Cognizant Tech Sol - CTSH		None			Buy	02/28/18	J		
41.					Sold	05/04/18	J		
42. Columbia Fund Ser Tr-CEEZX		None			Sold	01/23/18	K	B	
43. Comcast Corp - CMCSA	A	Dividend			Buy	02/28/18	J		
44.					Sold	05/04/18	J		
45. CVS Health Corp - CVS	A	Dividend			Buy	02/28/18	J		
46.					Sold	05/04/18	J		
47. Diageo PLC - DEO		None			Buy	02/28/18	J		
48.					Sold	05/04/18	J	A	
49. Dodge & Cox FDS - DODFX	A	Dividend	J	T	Buy (add'l)	05/03/18	J		
50. Eaton Corp - ETN	A	Dividend			Buy	02/28/18	J		
51.					Sold	05/04/18	J		

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52. Eaton Vance Global Macro - EIGMX	A	Dividend	K	T	Buy	02/26/18	J		
53.					Buy (add'l)	07/19/18	J		
54. Eli Lilly & Co - LLY		None			Buy	02/28/18	J		
55.					Sold	05/04/18	J		
56. EOG Resources Inc. - EOG	A	Dividend			Buy	04/16/18	J		
57.					Sold	05/04/18	J	A	
58. Flex LTD - FLEX		None			Buy	03/14/18	J		
59.					Buy (add'l)	04/16/18	J		
60.					Sold	05/04/18	J		
61. Gilead Sciences - GILD	A	Dividend			Buy	02/28/18	J		
62.					Sold	05/04/18	J		
63. Goldmand Sachs Bank CD	B	Interest	K	T					
64. Goldman Sachs Bank CD	A	Interest			Sold	10/29/18	K		
65. Hain Celestial Grp - HAIN		None			Buy	02/28/18	J		
66.					Sold	05/04/18	J		
67. Home Depot Inc - HD	A	Dividend			Buy	02/28/18	J		
68.					Sold	05/04/18	J		

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69. Intel Corp - INTC	A	Dividend			Sold	02/14/18	K	D	
70. Invesco Balance Risk Comm - BRCYX	A	Dividend	J	T	Buy	10/03/18	J		
71. Ishares Core S&P 500 - IVV	B	Dividend	M	T	Buy	05/04/18	M		
72.					Sold (part)	10/03/18	J	B	
73. Ishares S&P Midcap - IJH	A	Dividend	K	T	Buy	02/14/18	K		
74.					Buy (add'l)	05/04/18	J		
75. Ishares Core S&P Small Cap - IJR	A	Dividend	K	T	Buy	02/27/18	K		
76.					Buy (add'l)	05/04/18	K		
77.					Sold (part)	10/03/18	J	A	
78. JP Morgan Chase & Co - JPM	A	Dividend			Buy	02/28/18	J		
79.					Sold	05/04/18	J		
80. JP Morgan Chase Bk NA CD -	A	Interest	K	T					
81. Las Vegas Sands Corp - LVS	A	Dividend			Buy	02/28/18	J		
82.					Sold	05/04/18	J	A	
83. Manulife Finl Corp - MFC		None			Buy	02/28/18	J		
84.					Sold	05/04/18	J		
85. McKesson Corp - MCK	A	Dividend			Buy	02/28/18	J		

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 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)					
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value				

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86.					Sold	05/04/18	J	A	
87. Merck & Co., Inc. - MRK	A	Dividend			Sold (part)	02/28/18	J		
88.					Sold (part)	04/16/18	J	A	
89.					Sold	05/04/18	J	A	
90. Microsoft Corp - MSFT	A	Dividend			Sold (part)	02/28/18	K	D	
91.					Sold	05/04/18	J	C	
92. Neuberger Berman L/S Fund - NLSIX		None	K	T	Buy	02/26/18	K		
93. Nike Inc - NKE	A	Dividend			Buy	02/28/18	J		
94.					Sold	05/04/18	J		
95. Oppenheimer Intl Small - OSMYX		None			Sold	03/02/18	J	A	
96. Pfizer Incorporated - PFE		None			Sold	02/14/18	K	C	
97. PNC Financial Serv - PNC	A	Dividend			Buy	02/28/18	J		
98.					Sold	05/04/18	J		
99. Procter & Gamble Co - PG		None			Sold	02/28/18	K		
100. Roche Holdings LTD - RHHBY	A	Dividend			Buy	02/28/18	J		
101.					Sold (part)	05/04/18	J		
102.					Sold	05/04/18	J		

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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	
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103. Schlumberger LTD - SLB		None			Buy	02/28/18	J		
104.					Sold	05/04/18	J	A	
105. SPDR DJ Wilshire Internatl RE - RWX	A	Dividend	J	T	Buy	02/14/18	K		
106.					Sold (part)	07/19/18	J	A	
107. Spider S&P Biotech EFT-XBI		None			Sold	02/14/18	K	D	
108. Spirit Aerosystems - SPR	A	Dividend			Buy	02/28/18	J		
109.					Sold	05/04/18	J		
110. Suncor Energy Inc - SU	A	Dividend			Buy	02/28/18	J		
111.					Sold	05/04/18	J	A	
112. Synchrony Bank CD - CA3	A	Interest	K	T					
113. Synchrony Bank CD - HM9	A	Interest	J	T					
114. T Rowe Price Intl Fds - PRMSX		None			Sold	03/02/18	J	A	
115. Target Corp - TGT		None			Buy	02/28/18	J		
116.					Sold	05/04/18	J		
117. TE Connectivity LTD - TEL		None			Buy	02/28/18	J		
118.					Sold	05/04/18	J		
119. Thermo Fisher Scientific - TMO	A	Dividend			Buy	02/28/18	J		

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2. Value Codes (See Columns C1 and D3)	J ~\$15,000 or less N ~\$250,001 - \$500,000	K ~\$15,001 - \$50,000 O ~\$500,001 - \$1,000,000	L ~\$50,001 - \$100,000 P1 ~\$1,000,001 - \$5,000,000	M ~\$100,001 - \$250,000 P2 ~\$5,000,001 - \$25,000,000	P4 ~More than \$50,000,000
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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)
120.					Sold	05/04/18	J		
121. TJX Companies Inc - TJX		None			Buy	02/28/18	J		
122.					Sold	05/04/18	J	A	
123. Total S.A. - TOT	A	Dividend			Buy	02/28/18	J		
124.					Sold	05/04/18	J	A	
125. Tweedy Browne FD INC - TBGVX		None			Sold	05/03/18	J	A	
126. UBS Group AG - UBS		None			Buy	02/28/18	J		
127.					Buy (add'l)	04/16/18	J		
128.					Sold	05/04/18	J		
129. Union Pacific Corp - UNP	A	Dividend			Buy	02/28/18	J		
130.					Sold	05/04/18	J		
131. United Parcel Service - UPS		None			Buy	02/28/18	J		
132.					Sold	05/04/18	J	A	
133. Vanguard FTSE Emerging Mkts - VWO	A	Dividend	K	T	Buy	02/27/18	J		
134.					Buy (add'l)	10/03/18	J		
135. Vanguard International Growth FD - VWILX (formerly Vanguard World Fund)	A	Dividend	J	T	Buy (add'l)	05/03/18	J		
136. Vanguard Real Estate EFT - VNQ	B	Dividend	K	T	Buy	02/14/18	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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Rau, Steven E.

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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)
137.					Sold (part)	07/19/18	J	B	
138. Vanguard ST Invest Grade Admiral Fund - VFSUX	A	Dividend	K	T	Buy	07/19/18	J		
139.					Buy (add'l)	10/31/18	J		
140. Walt Disney Co - DIS		None			Buy	02/28/18	J		
141.					Buy (add'l)	04/16/18	J		
142.					Sold	05/04/18	J		
143. Wells Fargo Fund Tr-WFMIX		None			Sold	01/23/18	K	C	
144. Zoetis Inc - ZTS	A	Dividend			Buy	02/28/18	J		
145.					Sold	05/04/18	J		
146.									
147. IRA (H)									
148. Abbvie - ABBV	A	Dividend			Sold	02/14/18	K	E	
149. Apple, Inc. - AAPL	A	Dividend			Sold	05/08/18	K	B	
150. AT&T Inc. - T	A	Dividend			Sold	02/15/18	K	C	
151. Berkshire Hathaway - BRKB		None			Sold	02/14/18	K	D	
152. Bristol Meyers Squibb	A	Dividend			Sold	02/14/18	K	D	
153. Celgene Corp		None			Sold	02/14/18	K	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.)

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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)
154. Cisco Systems	A	Dividend			Sold	05/08/18	J	C	
155. Coca-cola		None			Sold	02/14/18	K	A	
156. Exxon Mobile Corp		None			Sold	02/14/18	J	A	
157. General Electric Company	A	Dividend			Sold	02/14/18	J		
158. Intel Corp		None			Sold	05/08/18	J	B	
159. Ishares Global Tech - IXN		None			Sold	02/15/18	K	E	
160. JPMorgan Mid Cap Value Fund CL L - FLMVX (X)		None			Sold	02/20/18	J	D	
161. Merck & Co Inc.	A	Dividend			Sold	02/14/18	K	D	
162. Microsoft Corp		None			Sold	05/08/18	K	D	
163. Novartis AG		None			Sold	05/08/18	J		
164. Oppenheimer Dev Markets - ODVYX		None			Sold	02/26/18	K	D	
165. Pfizer		None			Sold	02/14/18	K	C	
166. Proctor and Gamble Co	A	Dividend			Sold	02/14/18	K	A	
167. Spdr S&P Biotech		None			Sold	02/15/18	K	E	
168. Thornburg Inv Tr Developin World Fd - THDIZ		None			Sold	02/20/18	K	C	
169. United Technologies Corp		None			Sold	02/14/18	J	C	
170. Wells Fargo Advantage - SCVNX		None			Sold	01/26/18	K	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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	(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. Wells Fargo Absolute Return Fund Class Inst - WABIX (X)		None			Sold	01/26/18	J	A	
172.									
173. Joint Account (H)									
174. Abbvie - ABBV	A	Dividend	J	T	Sold (part)	01/17/18	J	B	
175. AT&T, Inc. - T	B	Dividend	K	T					
176. CVS Health - CVS	A	Dividend	K	T	Buy (add'l)	01/19/18	J		
177. Disney Walt Company - DIS	A	Dividend	K	T	Buy	04/23/18	J		
178. HCP Inc. - HCP	B	Dividend	K	T	Buy	01/19/18	K		
179. Intel Corp - INTC	A	Dividend	K	T					
180. Ishares ETF - IDV	B	Dividend	K	T					
181. Ishares ETF - PFF	B	Dividend	K	T	Buy	01/19/18	K		
182. Kimberly-Clark Corp - KMB	A	Dividend	K	T	Buy	04/23/18	K		
183. Medtronic PLC - MDT	A	Dividend	K	T					
184. Merck & Co Inc. - MRK	B	Dividend	K	T	Buy (add'l)	01/19/18	J		
185. Microsoft Corp - MSFT	A	Dividend	K	T					
186. Mondelez Intl Inc. - MDLZ	A	Dividend	K	T	Buy	04/23/18	K		
187. Novartis AG Spon ADR-NVS	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	
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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188. Pepsico Inc. - PEP	A	Dividend	K	T					
189. Pfizer Inc - PFE	A	Dividend	K	T	Buy	04/23/18	K		
190. PG&E Corporation - PCG	A	Dividend			Buy (add'l)	01/19/18	K		
191.					Sold	04/19/18	K	B	
192. Proctor & Gamble CO - PG	A	Dividend	K	T	Buy	04/23/18	K		
193. Public Storage PFD - PSAF	B	Dividend	K	T	Buy	01/19/18	K		
194. San OFI ADR - SNY	A	Dividend	K	T	Buy (add'l)	01/19/18	J		
195. Scana Corp Com - SCG		None			Buy	01/19/18	K		
196.					Sold	04/19/18	K		
197. Unilever PLC Spons ADR - UL	A	Dividend	K	T	Buy	04/23/18	K		
198. United Technologies Corp - UTX	A	Dividend	K	T					
199. US Treasury Bills	B	Interest	N	T	Buy	04/20/18	M		
200.					Buy (add'l)	10/16/18	M		
201.					Buy (add'l)	10/23/18	L		
202.					Buy (add'l)	12/14/18	L		
203.					Sold (part)	08/09/18	K		
204.					Sold (part)	12/06/18	K	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
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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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205.					Sold (part)	10/31/18	K		
206.					Sold (part)	12/17/18	K		
207.					Sold (part)	12/06/18	K	A	
208. Welltower, Inc. - HCN/WELL	B	Dividend	K	T	Buy (add'l)	01/19/18	K		
209. Wells Fargo Company - WFC	C	Dividend	M	T					
210. Wells Fargo - STRIX	B	Int./Div.	L	T	Buy (add'l)	01/18/18	K		
211.					Buy (add'l)	04/20/18	J		
212. Wells Fargo Fund - WHYIX	B	Int./Div.	K	T	Buy (add'l)	01/18/18	J		
213. Wells Fargo Money Market Fund	A	Int./Div.	M	T					
214. Wells Fargo (Checking & Savings) (X)	A	Interest	K	T					
215.									
216. Individual Account (H)									
217. Wells Fargo Fund - WHYMX	A	Int./Div.			Sold (part)	02/13/18	J	A	
218.					Sold	11/20/18	J	A	
219.									
220. Alliance Bernstein 529 Growth C		None			Distributed	07/17/18	K		
221.									

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222. Wells Fargo Stable Value Fund - Wells Fargo 401(k) Plan		None			Distributed	07/10/18	J		
223. Wells Fargo Large Cap Value Fund - Wells Fargo 401(k) Plan		None			Distributed	07/10/18	J		
224. State Street S&P 500 Index Fund - in Wells Fargo 401(k) Plan		None			Distributed	07/10/18	J		
225. Wells Fargo Large Cap Growth Fund - Wells Fargo 401(k) Plan		None			Distributed	07/10/18	J		
226. State Street S&P Mid Cap Index Fund - in Wells Fargo 401(k) Plan		None			Distributed	07/10/18	J		
227. Wells Fargo Small Cap Value Fund - Wells Fargo 401(k) Plan		None			Distributed	07/10/18	J		
228. Wells Fargo International Equity Fund - in Wells Fargo 401(k) Plan		None			Distributed	07/10/18	J		
229. Wells Fargo Emerging Markets Equity Fund - in Wells Fargo 401(k) Plan		None			Distributed	07/10/18	J		
230. Wells Fargo ESOP Fund - in Wells Fargo 401(k) Plan		None			Distributed	07/10/18	J		
231. Wells Fargo Stock - Equiniti Trust	A	Dividend			Open	01/26/18	K		
232.					Distributed	01/29/18	K		
233.									
234. CD-12 Month Equivalent - in Wells Fargo Deferred Compensation Plan		None	P1	T	Buy (add'l)	10/01/18	O		
235. Wells Fargo International Equity Fund - in WF Deferred Comp Plan		None			Sold	10/01/18	M		
236. Russell Small Cap Index Fund - in WF Deferred Comp Plan		None			Sold	10/01/18	K		
237. State Street S&P 500 Index Fund - in WF Deferred Comp Plan		None			Sold	10/01/18	N		
238. State Street S&P Mid Cap Index Fund - in WF Deferred Comp Plan		None			Sold	10/01/18	L		

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(See Columns B1 and D4)	F = \$50,001 - \$100,000	G = \$100,001 - \$1,000,000	H1 = \$1,000,001 - \$5,000,000	H2 = More than \$5,000,000	
2. Value Codes	J = \$15,000 or less	K = \$15,001 - \$50,000	L = \$50,001 - \$100,000	M = \$100,001 - \$250,000	
(See Columns C1 and D3)	N = \$250,001 - \$500,000	O = \$500,001 - \$1,000,000	P1 = \$1,000,001 - \$5,000,000	P2 = \$5,000,001 - \$25,000,000	
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239. State Street US Bond Index Fund-K - in WF Deferred Comp Plan		None			Sold	10/01/18	M		
240.									
241. Wells Fargo Cash Balance (Pension) Plan - no control		None			Distributed	08/08/18	M		
242.									
243. Wells Fargo - Mgd IRA Main (H)									
244. Aberdeen Emerg Mkts - ABEMX	A	Dividend	L	T	Buy (add'l)	02/26/18	J		
245.					Buy (add'l)	08/13/18	J		
246.					Buy (add'l)	10/02/18	K		
247. Blackrock GL - BDMKX	D	Dividend	L	T	Buy (add'l)	02/20/18	K		
248.					Buy (add'l)	05/07/18	J		
249.					Buy (add'l)	08/13/18	K		
250. Boston P LNG/SHRT - BPIRX	A	Dividend	L	T	Buy (add'l)	02/13/18	K		
251. Eaton Vance Global Macro - EIGMX	B	Dividend	L	T	Buy (add'l)	02/20/18	K		
252.					Buy (add'l)	07/19/18	K		
253. FID New Mkts - FGZMX(formerly FID ADV Emer Mkts - FMKIX)	C	Dividend	M	T	Buy (add'l)	02/20/18	K		
254.					Buy (add'l)	07/18/18	K		
255.					Buy (add'l)	08/13/18	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 \$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. GE Capital Retail Bank CD	A	Interest	K	T					
257. Goldman Sachs Bank USA CD	A	Interest	K	T					
258. Invesco Bal Risk Comm - BRCYX	A	Dividend	K	T	Buy	10/03/18	K		
259. IShares Core S&P 500 ETF - IVV	D	Dividend	N	T	Buy	05/08/18	N		
260.					Buy (add'l)	08/14/18	K		
261.					Sold (part)	10/03/18	K	C	
262. IShares Core S&P Mid Cap ETF - IJH	B	Dividend	M	T	Buy (add'l)	02/14/18	L		
263.					Buy (add'l)	05/08/18	J		
264. Ishares Core S&P Small Cap - IJR	B	Dividend	L	T	Buy (add'l)	02/14/18	L		
265.					Sold (part)	10/03/18	K	C	
266. Lehman Brothers Holdings ESC		None	J	T					
267. MOXYCASH - Cash/MMKT	A	Interest	K	T					
268. Neuberger Berman Long - NLSIX		None	L	T	Buy (add'l)	02/20/18	K		
269.					Buy (add'l)	08/13/18	J		
270. SPDR DJ Wilshire Internatl REAL - RWX	B	Dividend	K	T	Buy (add'l)	02/14/18	K		
271.					Sold (part)	07/19/18	J	A	
272. T Rowe Price Inst Float Rate Fund - RPIFX	B	Dividend	L	T	Buy	02/20/18	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 \$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.					Buy (add'l)	07/18/18	K		
274.					Buy (add'l)	08/13/18	K		
275. TIAA-CREF Soc Choice - TSBIX	C	Dividend	M	T	Buy (add'l)	08/15/18	K		
276.					Sold (part)	07/18/18	J	A	
277. Vanguard FTSE Dev ETF - VEA	C	Dividend	M	T	Buy (add'l)	02/15/18	K		
278. Vanguard FTSE Emerging Mkts - VWO	B	Dividend	L	T	Buy (add'l)	02/27/18	J		
279.					Buy (add'l)	08/14/18	J		
280.					Buy (add'l)	10/03/18	K		
281. Vanguard REIT - VNQ	C	Dividend	L	T	Buy (add'l)	02/14/18	L		
282.					Sold (part)	07/19/18	K	A	
283. Vanguard Short Term Invest Grd - VFSUX	D	Dividend	N	T	Buy (add'l)	02/20/18	J		
284.					Buy (add'l)	05/07/18	K		
285.					Buy (add'l)	08/13/18	L		
286. Vanguard High Yield Corp Adm - VWEAX	B	Dividend	K	T					
287.									
288. Wells Fargo Mgd IRA - SII (H)									
289. Accenture PLC - AEN	A	Dividend			Buy (add'l)	02/15/18	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	
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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.					Sold	05/08/18	J	B	
291. Air Prods & Chem - APD	A	Dividend			Buy (add'l)	02/15/18	J		
292.					Sold	05/08/18	J	A	
293. Alphabet Inc. - GOOGL		None			Buy (add'l)	02/15/18	J		
294.					Sold	05/08/18	K	A	
295. Apple Inc - AAPL	A	Dividend			Sold (part)	02/15/18	K	D	
296.					Sold	05/08/18	K	B	
297. Biogen Inc - BIIB		None			Buy (add'l)	01/08/18	J		
298.					Buy (add'l)	02/15/18	J		
299.					Sold	05/08/18	J		
300. Blackrock Inc - BLK	A	Dividend			Buy (add'l)	02/15/18	J		
301.					Sold	05/08/18	J	B	
302. Cisco Systems Inc - CSCO	A	Dividend			Sold (part)	02/15/18	K	D	
303.					Sold	05/08/18	J		
304. Clorox Co - CLX	A	Dividend			Buy (add'l)	02/15/18	J		
305.					Sold	05/08/18	J	C	
306. Cognizant Tech Sol - CTSG		None			Buy	04/16/18	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	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
307.					Sold	05/08/18	J	A	
308. Colgate Palmolive Co - CL	A	Dividend			Buy (add'l)	02/15/18	J		
309.					Sold	05/08/18	J		
310. Costco Wholesale Group - COST	A	Dividend			Buy (add'l)	02/15/18	J		
311.					Sold	05/08/18	J	B	
312. Cummins Inc. - CMI	A	Dividend			Buy (add'l)	02/15/18	J		
313.					Sold	05/08/18	J		
314. Danaher Corp - DHR	A	Dividend			Buy (add'l)	01/08/18	J		
315.					Buy (add'l)	02/15/18	J		
316.					Sold	05/08/18	J	B	
317. Discover Financial Serv - DFS	A	Dividend			Buy (add'l)	02/15/18	J		
318.					Sold	05/08/18	J	A	
319. Eaton Corp PLC - ETN	A	Dividend			Buy (add'l)	02/15/18	J		
320.					Sold	05/08/18	J		
321. EOG Resources Inc - EOG	A	Dividend			Buy (add'l)	02/15/18	J		
322.					Sold	05/08/18	J	B	
323. Fortive Corp - FTV	A	Dividend			Buy (add'l)	02/15/18	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	

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
324.					Sold	05/08/18	J	A	
325. Gilead Sciences Inc - GILD	A	Dividend			Buy (add'l)	01/08/18	J		
326.					Buy (add'l)	02/15/18	J		
327.					Sold	05/08/18	J		
328. Home Depot Inc - HD	A	Dividend			Buy (add'l)	02/15/18	J		
329.					Sold	05/08/18	J	B	
330. Illinois Tools Works Inc - ITW	A	Dividend			Buy (add'l)	02/15/18	J		
331.					Sold	05/08/18	J		
332. Intel Corp - INTC	A	Dividend			Sold (part)	02/15/18	K	E	
333.					Sold	05/08/18	J	C	
334. JPMorgan Chase & Co - JPM	A	Dividend			Buy (add'l)	02/15/18	J		
335.					Sold	05/08/18	K	B	
336. Keycorp - KEY	A	Dividend			Buy	02/15/18	J		
337.					Sold	05/08/18	J		
338. Kimberly Clark Corp - KMB	A	Dividend			Buy (add'l)	02/15/18	J		
339.					Sold	05/08/18	J		
340. Laboratory CRP of Amer Hldgs - LH		None			Buy (add'l)	01/08/18	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
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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				
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341.					Buy (add'l)	02/15/18	J		
342.					Sold	05/08/18	J	A	
343. Medtronic PLC - MDT	A	Dividend			Buy (add'l)	01/08/18	J		
344.					Buy (add'l)	02/15/18	J		
345.					Sold	05/08/18	J		
346. Microsoft Corp - MSFT	A	Dividend			Sold (part)	02/15/18	K	E	
347.					Sold	05/08/18	K	D	
348. Newell Brands Inc. - NWL	A	Dividend			Buy (add'l)	02/15/18	J		
349.					Sold	05/08/18	J		
350. Novartis AG - ADR	A	Dividend			Buy (add'l)	01/08/18	J		
351.					Sold (part)	02/15/18	J	C	
352.					Sold	05/08/18	J		
353. O'Reilly Automotive Inc - ORLY		None			Buy (add'l)	02/15/18	J		
354.					Sold	05/08/18	J	B	
355. Occidental Pete Corp - OXY	A	Dividend			Buy (add'l)	02/15/18	J		
356.					Sold	05/08/18	J	B	
357. PNC Financial Services Group - PNC	A	Dividend			Buy (add'l)	02/15/18	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
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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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	(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.					Sold	05/08/18	J	A	
359. Prologis Inc. - PLD		None			Buy	04/16/18	J		
360.					Sold	05/08/18	J	A	
361. Roche Holdings Ltd - RHHBY	A	Dividend			Buy (add'l)	01/08/18	J		
362.					Buy (add'l)	02/15/18	J		
363.					Sold	04/16/18	J		
364. Schlumberger Ltd - SLB	A	Dividend			Buy (add'l)	02/15/18	J		
365.					Sold	05/08/18	J	A	
366. Stryker Corp - SYK	A	Dividend			Buy (add'l)	01/08/18	J		
367.					Buy (add'l)	02/15/18	J		
368.					Sold	05/08/18	J	B	
369. Taiwan Semiconductor Man - TSM		None			Buy (add'l)	02/15/18	J		
370.					Sold	05/08/18	J		
371. Techni PPMC Ltd - FTI	A	Dividend			Buy (add'l)	02/15/18	J		
372.					Sold	05/08/18	J	B	
373. Thermo Fisher Scientific Inc - TMO	A	Dividend			Buy (add'l)	01/08/18	J		
374.					Buy (add'l)	02/15/18	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
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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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	(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.					Sold	05/08/18	J	B	
376. Time Warner Inc - TWX	A	Dividend			Buy (add'l)	02/15/18	J		
377.					Sold	05/08/18	J		
378. TJX Companies Inc. - TJX	A	Dividend			Buy (add'l)	02/15/18	J		
379.					Sold	05/08/18	J	B	
380. Travelers Companies Inc - TRV	A	Dividend			Buy (add'l)	02/15/18	J		
381.					Sold	05/08/18	J		
382. UnitedHealth Group Inc - UNH		None			Sold	01/08/18	J	B	
383. US Bancorp - USB	A	Dividend			Sold	02/15/18	J	A	
384. Verizon Communications - VZ	A	Dividend			Buy (add'l)	02/15/18	J		
385.					Sold	05/08/18	J	A	
386. VISA Inc - Class A Shrs - V	A	Dividend			Buy (add'l)	02/15/18	J		
387.					Sold	05/08/18	J	C	
388. Walt Disney Co - DIS	A	Dividend			Buy (add'l)	02/15/18	J		
389.					Sold	05/08/18	J		
390. 3M Co - MMM	A	Dividend			Buy (add'l)	02/15/18	J		
391.					Sold (part)	04/16/18	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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Name of Person Reporting

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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)
392.					Sold	05/08/18	J		
393. Moxycash - Cash	A	Interest			Closed	05/03/18	J		
394.									
395.									

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

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Name of Person Reporting

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IX. CERTIFICATION.

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

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

Signature: **s/ Steven E. Rau**

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
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