

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) Schultz, David T.	2. Court or Organization U.S. District Court for the District of Minnesota	3. Date of Report 08/01/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	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 United States District Court 9E U.S. Courthouse 300 South Fourth Street Minneapolis, MN 55415		
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.		
2.		
3.		
4.		
5.		

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

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2017	Retirement savings plan with Maslon (former employer)
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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

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	Fairview Health Systems (salary)
2.	
3.	
4.	

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

SOURCE	DATES	LOCATION	PURPOSE	ITEMS PAID OR PROVIDED
1. Network of Trial Law Firms	October 25 - 28, 2018	Half Moon Bay, CA	CLE panelist	Transportation, meals, lodging
2.				
3.				
4.				
5.				

FINANCIAL DISCLOSURE REPORT

Page 3 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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

☒ NONE *(No reportable gifts.)*

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. *(Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)*

☒ NONE *(No reportable liabilities.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

FINANCIAL DISCLOSURE REPORT

Page 4 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. IRA #1 (H)									
2. UBS BANK USA DEP ACCT (cash)	A	Interest	L	T					
3. ADOBE SYSTEMS INC (DELAWARE) (ADBE)		None	K	T					
4. ALPHABET INC CL A (GOOGL)		None	K	T	Buy (add'l)	02/08/18	J		
5. ALPHABET IN CL C (GOOG)		None	K	T	Buy (add'l)	02/08/18	J		
6. AMAZON.COM INC (AMZN)		None	K	T	Buy (add'l)	02/08/18	J		
7. BANK OF AMERICA CORP (BAC)	A	Dividend	J	T					
8. CELGENE CORP (CELG)		None			Sold	04/06/18	J		
9. FACEBOOK INC CL A (FB)		None			Buy (add'l)	02/08/18	J		
10.					Sold (part)	09/06/18	J	C	
11.					Sold (part)	09/28/18	J	C	
12.					Sold	12/24/18	K	C	
13. LOREAL CO ADR FRANCE ADR (LRLCY)	A	Dividend	J	T					
14. MICROSOFT CORP (MSFT)	A	Dividend	K	T					
15. VISA INC CL A (V)		None	K	T	Buy	12/31/18	K		
16. CONSUMER DISCRETIONARY SELECT SECTOR SPDR FUND ETF (XLY)	A	Dividend	K	T					
17. ENERGY SELECT SECTOR SPDR FUND (XLE)	A	Dividend			Sold	12/20/18	J		

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
2. Value Codes	F = \$50,001 - \$100,000 J = \$15,000 or less (See Columns C1 and D3)	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	
3. Value Method Codes	N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	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

FINANCIAL DISCLOSURE REPORT

Page 5 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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

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

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

18. FINANCIAL SELECT SECTOR SPDR FUND ETF (XLF)	A	Dividend	K	T					
19. HEALTH CARE SELECT SECTOR SPDR FUND ETF (XLV)	A	Dividend	K	T					
20. INDUSTRIAL SELECT SECTOR SPDR FUND ETF (XLI)	A	Dividend	K	T					
21. ISHARES FACTOR SELECT MSCI EMERGING ETF (EMGF)		None			Buy	04/05/18	J		
22.					Sold	10/09/18	J		
23. ISHARES RUSSELL 2000 ETF (IWM)	A	Dividend	J	T					
24. SPDR S&P HEALTH CARE EQUIPMENT ETF (XHE)	A	Dividend	J	T	Buy	12/20/18	J		
25. VANGUARD TOTAL STOCK MKT ETF (VTI)	A	Dividend	K	T	Buy (add'l)	02/08/18	J		
26. VANGUARD S&P 500 ETF (VOO)	A	Dividend	K	T	Buy (add'l)	02/08/18	J		
27. VANGUARD FTSE PAC ETF (VPL)	A	Dividend	J	T					
28. VANGUARD FTSE EUROPE ETF (VGK)	A	Dividend			Sold	12/20/18	K		
29. VANGUARD FTSE EMERGING MARKETS ETF (VWO)	A	Dividend			Sold	12/28/18	J		
30. VANGUARD FTSE ALL WORLD EX-US ETF (VEU)		None	J	T	Buy	12/28/18	J		
31. HARTFORD SCHRODERS EMERGING MKTS EQUITY FUND (SEMNX)		None	J	T	Buy	12/31/18	J		
32. VANGUARD DEVELOPED MARKETS INDEX FUND ADMIRAL (VTMGX)	A	Dividend	K	T	Buy	12/19/18	K		
33. OPPENHEIMER INTERNATIONAL GROWTH FUND (OIGYX)	A	Dividend			Sold	12/19/18	J		
34. PIMCO STOCKSPUS INTERNATIONAL FUND (PPLPX)	A	Dividend			Buy	10/04/18	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	

FINANCIAL DISCLOSURE REPORT

Page 6 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
35.					Sold	12/31/18	J		
36. WILLIAM BLAIR EMERGING MARKETS SMALL CAP GROWTH FUND (BESIX)	A	Dividend			Sold	12/19/18	K		
37. ISHARES TIPS BOND ETF (TIP)	A	Dividend	K	T					
38. AMER FUNDS THE BOND FUND OF AMERICA FUND (ABNFX)	A	Dividend			Buy (add'l)	02/07/18	J		
39.					Sold	06/04/18	K		
40. ANGEL OAK FLEXIBLE INCOME FUND (ANFIX)	A	Dividend	K	T					
41. DREYFUS/STANDISH GLOBAL FIXED INCOME FUND (SDGIX)	A	Dividend	K	T	Buy (add'l)	02/07/18	J		
42. EATON VANCE SHORT DURATION GOV'T INCOME FUND (EILDIX)	A	Dividend	K	T	Buy	06/04/18	K		
43. EATON VANCE FLOATING RATE ADVANTAGE (EIFAX)	A	Dividend			Sold	10/05/18	J	A	
44. EV MULTISECTOR INCOME FUND (EVBIX)	A	Dividend	J	T					
45. PGIM (FORMERLY PRUDENTIAL) TOTAL RETURN BOND FUND (PDBZX)	B	Dividend	K	T	Buy (add'l)	02/07/18	J		
46. PIMCO PREFERRED AND CAPITAL SECURITIES FUND CLASS I2 (PFPNX)	A	Dividend	J	T	Buy	10/04/18	J		
47. LONGBOARD MANAGED FUTURES STRATEGY FUND (WAVIX)	A	Dividend			Buy (add'l)	02/07/18	J		
48.					Sold	12/31/18	K		
49. SPDR GOLD SHARES ETF DE (GLD)		None	K	T	Buy (add'l)	02/08/18	J		
50. IRA #2 (H)									

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)
51. CITIGROUP GLOBAL MARKETS CB-GEARS SPX 08/30/2019		None	K	T					
52. JPMORGAN CHASE FINANCIAL CT-GEARS RTY 09/30/2020		None	K	T					
53. HSBC USA INC CT-GEARS EEM 09/30/2020		None	K	T					
54. CITIGROUP GLOBAL MARKETS CT-GEARS RTY 01/29/2021		None	K	T	Buy	01/26/18	K		
55. GS FINANCE CORP CT-GEARS EEM 02/26/2021		None	K	T	Buy	02/23/18	K		
56. JPMORGAN CHASE FINANCIAL CT-GEARS RTY 04/30/2021		None	K	T	Buy	04/25/18	K		
57. GS FINANCE CORP CT-GEARS RTY 08/31/2021		None	J	T	Buy	08/28/18	J		
58. CITIGROUP GLOBAL MARKETS L/O TA-CYN MXEA RTY 02/02/2023	B	Dividend	K	T	Buy	01/29/18	K		
59. SKYBRIDGE MULTI-ADVISER HEDGE FD PORTFOLIOS LLC SER A/O	B	Dividend	L	T					
60. ABBEY CAPITAL MULTI-MANAGER FUND LTD		None	K	T					
61. IRA #3 (H)									
62. UBS BANK USA DEP ACCT (cash)	A	Interest	K	T					
63. ACCENTURE PLC IRELAND CL A (ACN)	A	Dividend	J	T					
64. ALLERGAN PLC (AGN)		None	J	T	Buy	12/28/18	J		
65. ALPHABET INC CL A (GOOGL)		None	K	T	Sold (part)	02/02/18	J	A	
66. AMERICA TOWER CORP REIT (AMT)	A	Dividend	J	T					
67. APPLE INC (AAPL)		None	J	T	Buy	12/31/18	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

Page 8 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)
68. BROOKS AUTOMATION INC (BRKS)		None	J	T	Buy	12/27/18	J		
69. CELGENE CORP (CELG)		None			Sold	02/02/18	J		
70. CHEVRON CORP (CVX)	A	Dividend	J	T	Buy (add'l)	02/02/18	J		
71. GOGNEX CORP (CGNX)		None	J	T	Buy	12/31/18	J		
72. COLGATE PALMOLIVE CO (CL)	A	Dividend			Sold	12/31/18	J		
73. DOLLAR TREE INC (DLTR)		None			Buy	02/02/18	J		
74.					Sold	12/24/18	J		
75. EDWARDS LIFESCIENCES CORP (EW)		None	J	T					
76. FACEBOOK INC CL A (FB)		None	J	T	Sold (part)	12/24/18	J	B	
77.					Sold (part)	12/31/18	J	A	
78. FEDEX CORP (FDX)	A	Dividend			Sold	12/31/18	J		
79. GILEAD SCIENCES INC (GILD)		None			Sold	02/02/18	J		
80. INTEL CORP (INTC)	A	Dividend	J	T	Sold (part)	02/02/18	J	B	
81. INTERCONTINENTAL EXCHANGE GROUP (ICE)	A	Dividend	J	T					
82. JPMORGAN CHASE & CO (JPM)	A	Dividend	J	T	Sold (part)	02/02/18	J	A	
83. LAUDER ESTEE COS CL A DE (EL)	A	Dividend	J	T	Buy (add'l)	02/02/18	J		
84. LULULEMON ATHLETICA INC (LULU)		None	J	T	Sold (part)	12/24/18	J	B	

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)

85. MEDTRONIC PLC (MDT)		None	J	T	Buy	12/27/18	J		
86. MICROCHIP TECHNOLOGY INC (MCHP)		None	J	T	Buy	12/28/18	J		
87. MICROSOFT CORP (MSFT)	A	Dividend	K	T					
88. MONDELEZ INTL INC DE (MDLZ)	A	Dividend	J	T					
89. MYLAN N V EUR DE (MYL)		None			Sold (part)	02/02/18	J	A	
90.					Sold	12/28/18	J		
91. OCCIDENTAL PETROLEUM CRP (OXY)	A	Dividend			Buy	02/02/18	J		
92.					Sold	12/31/18	J		
93. PALO ALTO NETWORKS INC (PANW)		None	J	T	Sold (part)	02/02/18	J	A	
94. PAYPAL HOLDINGS INC (PYPL)		None	K	T					
95. PEPSICO INC (PEP)	A	Dividend	J	T					
96. PROCTOR & GAMBLE CO (PG)		None	J	T	Buy	12/28/18	J		
97. PULTE GROUP INC DE (PHM)	A	Dividend	J	T	Buy (add'l)	02/02/18	J		
98. ROBO GLOBAL ROBOTICS & AUT INDEX ETF DE (ROBO)	A	Dividend			Buy (add'l)	02/02/18	J		
99.					Sold (part)	12/24/18	J		
100.					Sold (part)	12/27/18	J		
101.					Sold	12/31/18	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

Page 10 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)
102. SCHLUMBERGER LTD NETHERLANDS ANTILLES (SLB)		None	J	T	Buy	12/31/18	J		
103. SPDR S&P AEROSPACE & DEFENSE ETF (XAR)		None	J	T	Buy	12/31/18	J		
104. THERMO FISHER SCIENTIFIC INC (TMO)	A	Dividend	J	T					
105. UNTD TECHNOLOGIES CORP (UTX)	A	Dividend			Buy (add'l)	02/02/18	J		
106.					Sold	12/31/18	J		
107. US BANCORP DEL (NEW) (USB)	A	Dividend			Sold	12/24/18	J		
108. VISA INC CL A (V)		None	J	T	Buy	12/20/18	J		
109.					Buy (add'l)	12/27/18	J		
110. WALT DISNEY CO DISNEY COM (DIS)		None	J	T	Buy	12/20/18	J		
111. WHIRLPOOL CORP DE (WHR)	A	Dividend			Sold	12/24/18	J		
112. 3M CO (MMM)	A	Dividend	J	T					
113. ISHARES RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	J	T	Buy (add'l)	02/02/18	J		
114. ISHARES CORE MSCI EAFE ETF (IEFA)	A	Dividend			Buy	02/02/18	J		
115.					Sold	12/24/18	J		
116. VANECK VECTORS MORNINGSTAR WIDE MOAT ETF (MOAT)	A	Dividend	K	T					
117. VANGUARD S&P 500 ETF (VOO)	A	Dividend	J	T					
118. IRA #4 (H)									

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)
119. UBS BANK USA DEP ACCT (cash)	A	Dividend	K	T					
120. ALIBABA GROUP HLDG LTD SPON ADR (BABA)		None	J	T					
121. AMAZON.COM INC (AMZN)		None	K	T					
122. AMERIPRISE FINANCIAL INC (AMP)	A	Dividend			Sold	12/20/18	J		
123. ANDEAVOR COM (ANDV)		None			Sold (part)	10/01/18	J	B	
124.					Merged (with line 146)	10/03/18	J		
125. BROADCOM LTD (AVGO)	A	Dividend	J	T					
126. CELGENE CORP (CELG)		None			Sold	12/20/18	J		
127. CIGNA CORP (CI)		None	J	T					
128. CITIGROUP INC (C)	A	Dividend	J	T					
129. COHERENT INC (COHR)		None			Buy	05/10/18	J		
130.					Sold	12/27/18	J		
131. CTRIP.COM INTL LTD ADS (CTRP)		None			Sold	12/27/18	J		
132. DANAHER CORP (DHR)	A	Dividend	J	T					
133. DENTSPLY SIRONA INC (XRAY)	A	Dividend			Sold	12/27/18	J		
134. ELECTRONIC ARTS (EA)		None			Sold	11/28/18	J		
135. EXPEDIA INC (EXPE)	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 12 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)
136. EXPRESS SCRIPTS HLDG CO (ERSX)		None			Sold (part)	12/20/18	J	B	
137.					Merged (with line 127)	12/21/18	J		
138. HANESBRANDS INC (HBI)	A	Dividend			Sold	11/20/18	J		
139. INCYTE CORP (INCY)		None			Sold	12/20/18	J		
140. IAC INTERACTIVE CORP (IAC)		None	J	T	Buy	12/20/18	J		
141. INTERCONTINENTAL EXCHANGE GROUP (ICE)	A	Dividend	J	T					
142. INTERNATIONAL FLAVORS & FRAGRANCES (IFF)		None	J	T	Buy	11/20/18	J		
143. INTUITIVE SURGICAL INC (ISRG)		None	J	T	Buy	12/27/18	J		
144. KLA-TENCOR CORP (KLAC)		None	J	T	Buy	12/27/18	J		
145. LEAR CORP COM NEW (LEA)	A	Dividend	J	T					
146. MARATHON PETROLEUM CO (MPC)	A	Dividend	J	T					
147. MCKESSON CORP (MCK)	A	Dividend	J	T					
148. NVIDIA CORP (NVDA)	A	Dividend	J	T					
149. PVH CORP COM (PVH)	A	Dividend	J	T					
150. SERVICE CORP INTL (SCI)	A	Dividend	J	T					
151. TAKE-TWO INTERACTIVE SOFTWARE (TTWO)		None	J	T	Buy	11/28/18	J		
152. TJX COS INC NEW (TJX)	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 13 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)
153. UNTD TECHNOLOGIES CORP (UTX)	A	Dividend	J	T					
154. VISTEON CORP COM NEW (VC)		None			Sold	12/20/18	J		
155. ISHARES RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	J	T	Buy (add'l)	12/27/18	J		
156. ISHARES NASDAQ BIOTECHNOLOGY ETF (IBB)		None			Sold	05/10/18	J		
157. ISHARES US AEROSPACE & DEFENSE ETF (ITA)	A	Dividend	J	T					
158. ROBO GLOBAL ROBOTICS & AUT INDEX ETF DE (ROBO)	A	Dividend	J	T					
159. VANECK VECTORS SEMICONDUCTOR (SMH)		None	J	T	Buy	12/20/18	J		
160. VANGUARD TOTAL WORLD STK ETF (VT)	A	Dividend	J	T	Buy	02/06/18	J		
161. IRA #5 (H)									
162. UBS BANK USA DEP ACCT (cash)	A	Interest	J	T					
163. ADIENT PLC (ADNT)	A	Dividend			Sold	06/25/18	J		
164. BLACKROCK INC DE (BLK)	A	Dividend	J	T					
165. BRITISH AMER TABACCO PLC GB SPON ADR (BTI)	A	Dividend			Sold	07/05/18	J		
166. CITIGROUP INC (C)	A	Dividend			Sold	12/21/18	J		
167. CME GROUP INC (CME)	A	Dividend	J	T					
168. HOME DEPOT INC (HD)	A	Dividend	J	T					
169. HONEYWELL INTL INC (HON)	A	Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)
170. ILLNOIS TOOL WORKS INC (ITW)	A	Dividend			Sold	12/20/18	J	B	
171. INTEL CORP (INTC)	A	Dividend	J	T					
172. JOHNSON & JOHNSON COM (JNJ)	A	Dividend	J	T					
173. LINDE PLC (LIN)	A	Dividend	J	T					
174. LOCKHEED MARTIN CORP (LMT)	A	Dividend	J	T					
175. MCDONALDS CORP (MCD)		None	J	T	Buy	12/20/18	J		
176. MEDTRONIC PLC (MDT)		None	J	T	Buy	12/20/18	J		
177. NEXTERA ENERGY INC COM (NEE)	A	Dividend	K	T					
178. PACCAR INC (PCAR)	A	Dividend			Sold	06/01/18	J		
179. PEPSICO INC (PEP)	A	Dividend	J	T					
180. PRAXAIR (PX)	A	Dividend			Merged (with line 173)	10/30/18	J		
181. ROCKWELL COLLINS (COL)	A	Dividend			Merged (with line 191)	11/27/18	J		
182. ROCKWELL AUTOMATION (ROK)	A	Dividend			Sold	12/27/18	J		
183. SUNTRUST BANKS INC (STI)		None	J	T	Buy	12/21/18	J		
184. STARBUCKS CORP (SBUX)	A	Dividend	J	T					
185. SUNCOR ENERGY INC (SU)	A	Dividend	J	T	Buy	06/01/18	J		
186. TAIWAN SEMICONDUCTOR MFG CO LTD ADR (TSM)	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	

FINANCIAL DISCLOSURE REPORT

Page 15 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)
187. TEXAS INSTRUMENTS (TXN)	A	Dividend	J	T					
188. 3M CO (MMM)	A	Dividend	J	T					
189. ISHARES MSCI EAFE VAL ETF (EFV)	A	Dividend			Sold	12/20/18	J		
190. SPDR S&P DIVIDEND ETF (SDY)	A	Dividend	J	T					
191. UNTD TECHNOLOGIES CORP (UTX)		None	J	T					
192. VANGUARD VALUE ETF (VTV)	A	Dividend	J	T					
193. VANGUARD DIVID APPRECIATION ETF (VIG)		None	K	T	Buy	12/31/18	K		
194. VANGUARD REIT ETF (VNQ)	A	Dividend			Sold	12/20/18	J		
195. VF CORP (VFC)		None	J	T	Buy	12/27/18	J		
196. GOLDMAN SACHS US EQUITY DIVIDEND AND PREMIUM FUND (GSPKX)	B	Dividend			Sold	12/31/18	K		
197. IRA #6 (H)									
198. ADOBE SYSTEMS INC (DELAWARE) (ADBE)		None	J	T					
199. ALPHABET INC CL A (GOOGL)		None	J	T					
200. ALPHABET INC CL C (GOOG)		None	J	T					
201. AMAZON.COM INC (AMZN)		None	J	T					
202. BANK OF AMER CORP (BAC)	A	Dividend	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		

FINANCIAL DISCLOSURE REPORT

Page 16 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)
203. CELGENE CORP (CELG)		None			Sold	12/18/18	J		
204. FACEBOOK INC CL A (FB)		None			Sold (part)	09/06/18	J	A	
205.					Sold	12/20/18	J	A	
206. HARTFORD SCHRODERS EMERGING MARKETS EQUITY FUND CL I (SEMNX)		None	J	T	Buy	12/28/18	J		
207. LOREAL CO ADR FRANCE ADR DE	A	Dividend	J	T					
208. MICROSOFT CORP (MSFT)	A	Dividend	J	T					
209. CONSUMER DICRESTIONARY SELECT SECTOR SPDR FUND ETF (XLY)	A	Dividend	J	T					
210. ENERGY SELECT SECTOR SPDR FUND ETF (XLE)	A	Dividend			Sold	12/18/18	J		
211. FINANCIAL SELECT SECTOR SPDR FUND ETF (XLF)	A	Dividend	J	T					
212. HEALTH CARE SELECT SECTOR SPDR FUND ETF (XLV)	A	Dividend	J	T					
213. INDUSTRIAL SELECT SECTOR SPDR FUND ETF (XLI)	A	Dividend	J	T					
214. ISHARES RUSSELL 2000 ETF (IWM)	A	Dividend	J	T					
215. VANGUARD TOTAL STOCK MKT ETF (VTI)	A	Dividend	J	T					
216. VANGUARD S&P 500 ETF (VOO)	A	Dividend	J	T					
217. VANGUARD FTSE PAC ETF DE (VPL)	A	Dividend	J	T					
218. VANGUARD FTSE EUROPE ETF DE (VGK)	A	Dividend			Sold	12/18/18	J		

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
2. Value Codes	J = \$15,000 or less (See Columns C1 and D3)	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	
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

FINANCIAL DISCLOSURE REPORT

Page 17 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)
219. VANGUARD FTSE EMERGING MARKETS ETF (VWO)	A	Dividend			Sold	12/28/18	J		
220. VANGUARD DEVELOPED MARKETS INDEX FUND CLASS ADMIRAL (VTMGX)	A	Dividend	J	T	Buy	12/18/18	J		
221. VISA INC CL A (V)		None	J	T	Buy	12/31/18	J		
222. OPPENHEIMER INTERNATIONAL GROWTH FUND Y CLASS (OIGYX)	A	Dividend			Sold	12/18/18	J		
223. PIMCO PREFERRED AND CAPITAL SECURITIES FUND CLASS I2 (PFNNX)	A	Dividend	J	T	Buy	10/04/18	J		
224. WILLIAM BLAIR EMERGING MARKETS SMALL CAP GROWTH FUND (BESIX)	A	Dividend			Sold	12/18/18	J		
225. ISHARES TIPS BOND ETF (TIP)	A	Dividend	J	T					
226. AMER FUNDS THE BOND FUND OF AMERICA FUND CLASS F2 (ABNFX)	A	Dividend			Sold	06/04/18	J		
227. ANGEL OAK FLEXIBLE INCOME FUND CLASS I (ANFIX)	A	Dividend	J	T					
228. DREYFUS/STANDISH GLOBAL FIXED INCOME FUND CLASS I (SDGIC)	A	Dividend	J	T					
229. EATON VANCE FLOATING RATE ADVANTAGE CL I (EIFAX)	A	Dividend			Sold	10/04/18	J	A	
230. EV MULTISECTOR INCOME FUND CLASS I (EVPIX)	A	Dividend	J	T					
231. EATON VANCE SHORT DURATION GOVT INC CL I (EILDIX)	A	Dividend	J	T	Buy	06/04/18	J		
232. PRUDENTIAL TOTAL RETURN BOND FUND CLASS Z (PDBZX)	A	Dividend	J	T					
233. LONGBOARD MANAGED FUTURES STRATEGY FUND (WAVIX)	A	Dividend			Sold	12/31/18	J		
234. SPDR GOLD SHARES ETF (GLD)		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		

FINANCIAL DISCLOSURE REPORT

Page 18 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)

235. SPDR S&P HEALTH CARE EQUIPMENT ETF (XHE)		None	J	T	Buy	12/18/18	J		
236. IRA #7 (H)									
237. UBS BANK DEPOSIT ACCOUNT (cash)	A	Interest	J	T					
238. BLACKROCK ENHANCED CAPITAL & INCOME FUND, INC (CII)	B	Dividend	K	T	Buy (add'l)	03/19/18	J		
239. BLACKROCK ENHANCED EQUITY DIVID TR (BDJ)	A	Dividend	J	T	Buy (add'l)	03/19/18	J		
240. EATON VANCE TAX MANAGED BUY- WRITE INC FUND (ETB)	A	Dividend			Buy (add'l)	03/19/18	J		
241.					Sold	12/27/18	J		
242. HEALTH CARE SELECT SECTOR SPDR FUND ETF (XLV)	A	Dividend	K	T	Buy (add'l)	12/27/18	J		
243. NUVEEN S&P 500 BUY-WRITE INCOME FUND (BXXM)	B	Dividend	K	T	Buy (add'l)	03/19/18	J		
244. PIMCO ENHANCED SHORT MAT ACTIVE ETF (MINT)		None	J	T	Buy	12/31/18	J		
245. ROYCE VALUE TRUST INC (RVT)	B	Dividend			Buy (add'l)	03/19/18	J		
246.					Sold	12/31/18	J		
247. SPDR S&P DIVIDEND ETF (SDY)	A	Dividend	K	T	Buy (add'l)	03/19/18	J		
248. SPDR S&P INTL DIVIDEND ETF (DWX)	A	Dividend	K	T	Buy (add'l)	03/19/18	J		
249. TEKLA HEALTHCARE INVESTORS FUND (HQH)	A	Dividend			Buy (add'l)	03/19/18	J		
250.					Sold	09/07/18	J		
251. VANGUARD SMALL-CAP VALUE ETF (VBR)	A	Dividend	J	T	Buy (add'l)	03/19/18	J		

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

FINANCIAL DISCLOSURE REPORT

Page 19 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)

252. BLACKROCK LTD DURATION INCOME TRUST (BLW)	A	Dividend	J	T	Buy (add'l)	03/19/18	J		
253. BLACKROCK MUNIYIELD QUALITY FUND (MYI)	A	Dividend	J	T	Buy	06/01/18	J		
254. BLACKROCK CREDIT ALLOCATION INCOME TRUST (BTZ)	B	Dividend	K	T	Buy (add'l)	03/19/18	J		
255. EATON VANCE LTD DURATION INCOME FUND (EVV)	A	Dividend	J	T	Buy (add'l)	03/19/18	J		
256. NUVEEN PFD SECURITIES INCOME FUND (JPS)	B	Dividend	K	T	Buy (add'l)	03/19/18	J		
257. NUVEEN QUALITY MUNICIPAL INCOME FUND (NAD)	A	Dividend	J	T	Sold (part)	03/19/18	J		
258. PIONEER DIVERSIFIED HIGH INCOME TRUST (HNW)	A	Dividend			Buy (add'l)	03/19/18	J		
259.					Buy (add'l)	03/20/18	J		
260.					Sold	06/01/18	J		
261. PIONEER HIGH INCOME TRUST (PHT)	A	Dividend			Buy	03/19/18	J		
262.					Sold	12/27/18	J		
263. SPDR DOUBLINE SHORT DURATIONS TOTAL RETURN TACT ETF (STOT)	A	Dividend			Sold	03/19/18	J		
264. VANGUARD INTER TERM GOVERNMENT BOND ETF (VGIT)	A	Dividend	K	T	Buy (add'l)	03/19/18	J		
265. WESTERN ASSET INVT GRADE DEFINED OPP TR INC (IGI)	A	Dividend	K	T	Buy	09/07/18	J		
266.					Buy (add'l)	09/10/18	J		
267.					Buy (add'l)	12/27/18	J		
268. WESTERN ASSET HIGH INCOME FUND II INC (HIX)	B	Dividend	J	T	Buy (add'l)	03/19/18	J		

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

FINANCIAL DISCLOSURE REPORT

Page 20 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)
269. BROKERAGE ACCOUNT #1 (H)									
270. UBS CASH FLOW ACCOUNT (cash)	A	Interest	J	T					
271. BROKERAGE ACCOUNT #2 (H)									
272. VANGUARD TOTAL WORLD STK ETF (VT)	A	Dividend	J	T					
273. VANGUARD GLB EX-US REAL ESTATE (VNQI)	A	Dividend			Buy	06/29/18	J		
274.					Sold	12/31/18	J		
275. PIMCO STOCKPLUS INTL FUND (PIUHX)	A	Dividend	J	T					
276. VOYA GLOBAL REAL ESTATE FUND (IGLIX)	A	Dividend			Sold	06/29/18	J	A	
277. VOYA SMALLCAP OPPORTUNITIES FUND CLASS (NSPIX)	A	Dividend			Sold	12/31/18	J		
278. PIMCO ENHANCED SHORT MAT ACTIVE EXCHANGE-TRADED FD (MINT)	A	Dividend	J	T	Buy (add'l)	06/29/18	J		
279. VANGUARD MORTGAGE BACKED SECURITIES ETF (VMBS)	A	Dividend	K	T					
280. ANGEL OAK MULTI-STRATEGY INCOME FUND CLASS INSTL (ANGIX)	A	Dividend	J	T					
281. LORD ABBETT BOND DEBENTURE FUND (LBDFX)	A	Dividend			Sold	06/29/18	J		
282. PIMCO DIVERSIFIED INCOME FUND (PDVPX)	A	Dividend	J	T					
283. PIMCO LOW DURATION INCOME FUND CLASS I2 (PFTPX)	A	Dividend	J	T	Buy	06/29/18	J		
284. TEMPLETON GLBAL BOND ADV (TGBAX)	A	Dividend	J	T	Sold (part)	06/29/18	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

Page 21 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)
285. VANGUARD INTERMEDIATE TERM TREASURY FUND ADM (VFIUX)	A	Dividend	J	T					
286. VIRTUS MULTI-SECTOR SHORT TERM BOND FUND (PMSX)	A	Dividend	J	T					
287. LONGBOARD MANAGED FUTURES STRATEGY FUND (WAVIX)	A	Dividend	J	T	Buy (add'l)	06/29/18	J		
288. RIVERPARK LONG/SHORT OPPORTUNITY FUND (RLSIX)	B	Dividend	J	T					
289. AMER FUNDS AMERICAN BALANCED FUND (AMBFX)	A	Dividend	J	T	Sold (part)	06/29/18	J	A	
290. SPDR GOLD SHARES ETF DE (GLD)		None	J	T					
291. BROKERAGE ACCOUNT #3 (H)									
292. UBS BANK USA DEP ACCT (cash)	A	Interest	J	T					
293. BLACKROCK ENHANCED CAP & INCOME STRATEGIES FUND INC (CII)	A	Dividend	J	T	Buy (add'l)	03/19/18	J		
294. BLACKROCK ENHANCED EQUITY DIVID TR (BDJ)	A	Dividend	J	T					
295. EATON VANCE TAX MANAGED BUY- WRITE INC FUND (ETB)	A	Dividend			Buy (add'l)	03/19/18	J		
296.					Sold	12/27/18	J		
297. HEALTH CARE SELECT SECTOR SPDR FUND ETF (XLV)	A	Dividend	K	T	Sold (part)	03/19/18	J	A	
298.					Buy (add'l)	12/27/18	J		
299. NUVEEN S&P 500 BUY-WRITE INCOME FUND (BXM)	B	Dividend	J	T	Sold (part)	03/19/18	J	A	
300. PIMCO ENHANCED SHORT MAT ACTIVE ETF (MINT)		None	J	T	Buy	12/31/18	J		
301. ROYCE VALUE TRUST INC (RVT)	A	Dividend			Sold	12/31/18	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 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 22 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)
302. SPDR S&P DIVIDEND ETF (SDY)	A	Dividend	J	T	Buy (add'l)	03/19/18	J		
303. SPDR S&P INTL DIVI F (DWX)	A	Dividend	J	T	Buy (add'l)	03/19/18	J		
304. TELKA HEALTHCARE INVS (HQB)	A	Dividend			Sold (part)	03/19/18	J		
305.					Sold	09/07/18	J		
306. VANGUARD SMALL-CAP VALUE ETF (VBR)	A	Dividend	J	T	Buy (add'l)	03/19/18	J		
307. BLACKROCK LTD DURATION INCOME TRUST (BLW)	A	Dividend			Sold	12/31/18	J		
308. BLACKROCK MUNIYIELD QUALITY FUND III INC (MYI)	A	Dividend	J	T	Buy	06/01/18	J		
309. BLACKROCK CREDIT ALLOCATION INCOME TRUST (BTZ)	A	Dividend	J	T	Buy (add'l)	03/19/18	J		
310. EATON VANCE LTD DURATION INCOME FUND (EVV)	A	Dividend	J	T					
311. NUVEEN PFD SECURITIES INCOME FUND (JPS)	A	Dividend	J	T					
312. NUVEEN QUALITY MUNICIPAL INCOME FUND (NAD)	A	Dividend	J	T	Sold (part)	03/19/18	J		
313. PIONEER DIVERSIFIED HIGH INCOME TRUST (HNW)	A	Dividend			Buy (add'l)	03/19/18	J		
314.					Buy (add'l)	03/20/18	J		
315.					Sold	06/01/18	J		
316. PIONEER HIGH INCOME TRUST (PHT)	A	Dividend			Buy	03/15/18	J		
317.					Sold	12/27/18	J		
318. PROSHARES HIGH YIELD INT RATE HEDGED ETF (HYHG)	A	Dividend			Sold	03/19/18	J		

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

FINANCIAL DISCLOSURE REPORT

Page 23 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)
319. SPDR DOUBLELINE SHORT DURATION TOTAL RETURN TACTICAL ETF (STOT)	A	Dividend			Sold	03/19/18	J		
320. VANGUARD INTER TERM GOVERNMENT BOND ETF (VGIT)	A	Dividend	J	T	Buy (add'l)	03/19/18	J		
321. WESTERN ASSET INVT GRADE DEFINED OPP TR INC (IGI)	A	Dividend	J	T	Buy	09/07/18	J		
322.					Buy (add'l)	09/10/18	J		
323.					Buy (add'l)	12/27/18	J		
324. WESTERN ASSET HIGH INCOME FUND II INC (HIX)	A	Dividend	J	T	Buy (add'l)	03/19/18	J		
325. CALAMOS STRATEGIC TOTAL RETURN (CSQ)	A	Dividend			Sold	03/19/18	J		
326. BROKERAGE ACCOUNT #4 (H)									
327. UBS BANK USA DEP ACCT (cash) (X)	A	Interest	J	T					
328. JPMORGAN CHASE FINANCIAL CT-SS RTY		None			Redeemed	06/29/18	K	C	
329. CREDIT SUISSE AG CB-GEARS SPX		None			Redeemed	08/31/18	K	C	
330. UBS AG BUFFERED ROS SPY		None	K	T					
331. UBS AG CB-GEARS SX5E		None	K	T					
332. HSBC USA INC CT-GEARS EEM		None	K	T					
333. CITIGROUP GLOBAL MARKETS CB-GEARS EEM (06/30/2020)		None	K	T	Buy	06/29/18	K		
334. BARCLAYS BANK PLC CT-GEARS EEM (08/31/2021)		None	K	T	Buy	08/31/18	K		

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

FINANCIAL DISCLOSURE REPORT

Page 24 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)

335. BROKERAGE ACCOUNT #5 (H)									
336. UBS BANK USA DEP ACCT (cash)	A	Interest	J	T					
337. ACCENTURE PLC IRELAND CL A (ACN)	A	Dividend	J	T					
338. ALLERGAN PLC (AGN)		None	J	T	Buy	12/28/18	J		
339. ALPHABET INC CL A (GOOGL)		None	J	T					
340. AMERICAN TOWER CORP REIT (AMT)	A	Dividend	J	T					
341. APPLE INC (AAPL)		None	J	T	Buy	12/31/18	J		
342. BROOKS AUTOMATION INC (BRKS)		None	J	T	Buy	12/27/18	J		
343. CELGENE CORP (CELG)		None			Sold	01/31/18	J		
344. CHEVRON CORP (CVX)	A	Dividend	J	T	Buy (add'l)	01/31/18	J		
345. COGNEX CORP (CGNX)		None	J	T	Buy	12/31/18	J		
346. COLGATE PALMOLIVE CO (CL)	A	Dividend			Sold	12/28/18	J		
347. DOLLAR TREE INC (DLTR)		None			Buy	01/31/18	J		
348.					Sold	12/27/18	J		
349. EDWARDS LIFESCIENCES CORP (EW)		None	J	T					
350. FACEBOOK INC CL A (FB)		None	J	T	Sold (part)	12/20/18	J	A	
351.					Sold (part)	12/31/18	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	

FINANCIAL DISCLOSURE REPORT

Page 25 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)
352. FEDEX CORP (FDX)	A	Dividend			Sold	12/27/18	J		
353. GILEAD SCIENCES INC (GILD)		None			Sold	01/31/18	J	A	
354. INTEL CORP (INTC)	A	Dividend	J	T	Sold (part)	01/31/18	J	A	
355. INTERCONTINENTAL EXCHANGE GROUP (ICE)	A	Dividend	J	T					
356. JPMORGAN CHASE & CO (JPM)	A	Dividend	J	T					
357. LAUDER ESTEE COS CL A DE (EL)	A	Dividend	J	T					
358. LULULEMON ATHLETICA INC (LULU)		None	J	T	Sold (part)	12/20/18	J	A	
359. MEDTRONIC PLC (MDT)		None	J	T	Buy	12/27/18	J		
360. MICROCHIP TECHNOLOGY INC (MCHP)		None	J	T	Buy	12/28/18	J		
361. MICROSOFT CORP (MSFT)	A	Dividend	J	T					
362. MONDELEZ INTL INC DE (MDLZ)	A	Dividend	J	T					
363. MYLAN N V EUR DE (MYL)		None			Sold	12/28/18	J		
364. OCCIDENTAL PETROLEUM CRP (OXY)	A	Dividend			Buy	01/31/18	J		
365.					Sold	12/28/18	J		
366. PALO ALTO NETWORKS INC (PANW)		None	J	T	Sold (part)	01/31/18	J	A	
367. PAYPAL HOLDINGS INC (PYPL)		None	J	T					
368. PEPSICO INC (PEP)	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 \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 26 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)
369. PROCTOR & GAMBLE CO (PG)		None	J	T	Buy	12/28/18	J		
370. PULTE GROUP INC DE (PHM)	A	Dividend	J	T					
371. ROBO GLOBAL ROBOTICS & AT INDEX ETF DE (ROBO)	A	Dividend			Sold (part)	12/27/18	J		
372.					Sold (part)	12/28/18	J		
373.					Sold	12/31/18	J		
374. SCHLUMBERGER LTD NETHERLANDS ANTILLES (SLB)		None	J	T	Buy	12/28/18	J		
375. SPDR S&P AEROSPACE & DEFENSE ETF (XAR)		None	J	T	Buy	12/31/18	J		
376. THERMO FISHER SCIENTIFIC INC (TMO)	A	Dividend	J	T					
377. UNTD TECHNOLOGIES CORP (UTX)	A	Dividend			Sold	12/31/18	J		
378. US BANCORP DEL (NEW) (USB)	A	Dividend			Sold	12/20/18	J	A	
379. VISA INC CL A (V)		None	J	T	Buy	12/20/18	J		
380.					Buy (add'l)	12/27/18	J		
381. WHIRLPOOL CORP DE (WHR)	A	Dividend			Sold	12/20/18	J		
382. WALT DISNEY CO (DIS)		None	J	T	Buy	12/20/18	J		
383. 3M CO (MMM)	A	Dividend	J	T					
384. ISHARES RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	J	T	Buy (add'l)	01/31/18	J		
385. ISHARES CORE MSCI EAFE ETF (IEFA)	A	Dividend			Buy	01/31/18	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	

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)
386.					Sold	12/20/18	J		
387. VANECK VECTORS MORNINGSTAR WIDE MOAT ETF (MOAT)	A	Dividend	J	T					
388. VANGUARD S&P 500 ETF (VOO)	A	Dividend	J	T					
389. BROKERAGE ACCOUNT #6 (H)									
390. UBS BANK DEPOSIT ACCOUNT (cash)	A	Int./Div.	K	T					
391. ADOBE SYSTEMS INC (ADBE)		None	J	T	Buy	02/22/18	J		
392. ALPHABET INC CL A (GOOGL)		None	J	T	Buy	02/22/18	J		
393. ALPHABET INC CL C (GOOG)		None	J	T	Buy	02/22/18	J		
394. AMAZON.COM INC (AMZN)		None	J	T	Buy	02/22/18	J		
395. BANK OF AMERICA CORP (BAC)	A	Dividend	J	T	Buy	02/22/18	J		
396. BRISTOL MYERS SQUIBB (BMY)	A	Dividend			Sold	02/22/18	J	A	
397. WP CAREY INC REIT (WPC)	A	Dividend			Sold	02/22/18	J		
398. AMER FUNDS AMCAP F2 (AMCFX)		None			Sold	02/22/18	K	C	
399. AMER FUNDS CAPITAL WORLD GR & INC F2 (WGIFX)		None			Sold	02/22/18	K	B	
400. AMER FUNDS NEW PERSPECTIVE F2 (ANWFX)		None			Sold	02/22/18	K	C	
401. AMER FUNDS NEW WORLD FUND F2 (NFFFX)		None			Sold	02/22/18	J	B	
402. AMER FUNDS THE BOND FUND OF AMERICA FUND CLASS F2 (ABNFX)	A	Dividend			Buy	02/22/18	K		

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

FINANCIAL DISCLOSURE REPORT

Page 28 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)
403.					Sold	06/04/18	K	A	
404. ANGEL OAK FLEXIBLE INCOME FUND (ABNFX)	A	Dividend	J	T	Buy	02/22/18	J		
405. CELGENE CORP (CELG)		None			Buy	02/22/18	J		
406.					Sold	04/04/18	J		
407. COHEN & STEERS REALTY SHARES (CSRSX)		None			Sold	02/22/18	J		
408. CONSUMER DISCRETIONARY SELECT SECTOR SPDR FUND ETF (XLY)	A	Dividend	J	T	Buy	02/22/18	J		
409. DREYFUS/STANDISH GLOBAL FIXED INCOME FUND CLASS I (SDGIX)	A	Dividend	K	T	Buy	02/22/18	K		
410. EATON VANCE SHORT DURATION GOVT (EILDXX)	A	Dividend	J	T	Buy	06/04/18	J		
411. EATON VANCE FLOATING RATE ADVANTAGE CL I (EIFAX)	A	Dividend			Buy	02/22/18	J		
412.					Sold	10/04/18	J	A	
413. EATON VANCE LARGE CAP VALUE FUND I (EILVX)		None			Sold	02/22/18	K	B	
414. ENERGY SELECT SECTOR SPDR FUND ETF (XLE)	A	Dividend			Buy	02/22/18	J		
415.					Sold	12/18/18	J	A	
416. EV MULTISECTOR INCOME FUND CLASS I (EVBIX)	A	Dividend	J	T	Buy	02/22/18	J		
417. FACEBOOK INC CL A (FB)		None			Buy	02/22/18	K		
418.					Sold (part)	09/06/18	J	A	
419.					Sold (part)	09/28/18	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		

FINANCIAL DISCLOSURE REPORT

Page 29 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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)
420.					Sold	12/18/18	J	B	
421. FINANCIAL SELECT SECTOR SPDR FUND ETF (XLF)	A	Dividend	J	T	Buy	02/22/18	J		
422. HARTFORD SCHROEDERS EMERGING MARKETS EQUITY FUND CL I (SEMNX)		None	J	T	Buy	12/28/18	J		
423. HEALTH CARE SELECT SECTOR SPDR FUND ETF (XLV)	A	Dividend	J	T	Buy	02/22/18	J		
424. INDUSTRIAL SELECT SECTOR SPDR FUND ETF (XLI)	A	Dividend	J	T	Buy	02/22/18	J		
425. ISHARES RUSSELL 2000 ETF (IWM)	A	Dividend	J	T	Buy	02/22/18	J		
426. ISHARES FACTORSELECT MSCI EMERGING ETF (EMGF)	A	Dividend			Buy	02/22/18	J		
427.					Sold	10/04/18	J	A	
428. ISHARES TIPS BOND ETF (TIP)	A	Dividend	J	T	Buy	02/22/18	J		
429. ROYCE PREMIER FUND (RYPRX)		None			Sold	02/22/18	J		
430. LONGBOARD MANAGED FUTURES STRATEGY FUND CLASS I (WAVIX)	A	Dividend			Buy	02/22/18	K		
431.					Sold	12/28/18	K		
432. LOREAL CO ADR FRANCE ADR (LRLCY)	A	Dividend	J	T	Buy	02/22/18	J		
433. MICROSOFT CORP (MSFT)	A	Dividend	J	T	Buy	02/22/18	J		
434. OPPENHEIMER INTERNATIONAL GROWTH FUND Y CLASS (OIGYX)	A	Dividend			Buy	02/22/18	J		
435.					Sold	12/18/18	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		

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)
436. PIMCO PREFERRED AND CAPITAL SECURITIES FUND CLASS I2 (PPPNX)	A	Dividend	J	T	Buy	10/04/18	J		
437. PIMCO STOCKPLUS INTL FUND (PFUPX)	A	Dividend			Buy	10/04/18	J		
438.					Sold	12/28/18	J		
439. PRUDENTIAL TOTAL RETURN BOND FUND CLASS Z (PDBZX)	A	Dividend	K	T	Buy	02/22/18	K		
440. SPDR GOLD SHARES ETF (GLD)		None	J	T	Buy	02/22/18	J		
441. SPDR S&P HEALTH CARE EQUIPMENT ETF (XHE)	A	Dividend	J	T	Buy	12/18/18	J		
442. VANGUARD DEVELOPED MARKETS INDEX ADMIRAL (VTMGX)	A	Dividend	J	T	Buy	12/18/18	J		
443. VANGUARD FTSE ALL WORLD (VEU)		None	J	T	Buy	12/28/18	J		
444. VANGUARD FTSE EMERGING MARKETS ETF (VWO)	A	Dividend			Buy	02/22/18	J		
445.					Sold	12/28/18	J		
446. VANGUARD FTSE EUROPE ETF (VGK)	A	Dividend			Buy	02/22/18	J		
447.					Sold	12/18/18	J	A	
448. VANGUARD FTSE PAC ETF (VPL)	A	Dividend	J	T	Buy	02/22/18	J		
449. VANGUARD S&P 500 ETF (VOO)	A	Dividend	K	T	Buy	02/22/18	K		
450. VANGUARD TOTAL STOCK MKT ETF (VTI)	A	Dividend	J	T	Buy	02/22/18	J		
451. VISA INC CL A (V)		None	K	T	Buy	12/28/18	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	

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)

452. WILLIAM BLAIR EMERGING MARKETS SMALL CAP GROWTH FUND CLASS I (BESIX)	A	Dividend			Buy	02/22/18	J		
453.					Sold	12/18/18	J		
454. THORNBURG INTL VAL FUND I (TGVIX)		None			Sold	02/22/18	J		
455. FRANKLIN FEDERAL TAX-FREE INC FUND (FAFTX)	A	Dividend			Sold	02/22/18	K		
456. FRANKLIN FEDERAL INTERIM TAX- FREE INCOME FUND (FITZX)	A	Dividend			Sold	02/22/18	K		
457. NUVEEN LIMITED TERM MUN BOND I (FLTRX)	A	Dividend			Sold	02/22/18	K		
458. THORNBURG LIMITED TERM MUN FUND I (LTMIX)	A	Dividend			Sold	02/22/18	K		
459. AMER FUNDS CAPITAL INC BUILDER F2 (CAIFX)		None			Sold	02/22/18	J	B	
460. BLACKROCK MULTI-ASSET INC PORT INST (BIICX)	A	Dividend			Sold	02/22/18	J	A	
461. BLACKROCK GLOBAL ALLOCATION FUND INST (MALOX)		None			Sold	02/22/18	J	A	
462. FIRST EAGLE GLOBAL FUNDS I (SGIIX)		None			Sold	02/22/18	K	B	
463. FRANKLIN INC ADV (FRIAX)	A	Dividend			Sold	02/22/18	J		
464. OAKMARK EQUITY & INCOME I (OAKBX)		None			Sold	02/22/18	J	A	
465. THE INCOME FUND OF AMERICA F2 (AMEFX)		None			Sold	02/22/18	K	B	
466. BROKERAGE ACCOUNT #7 (H)									
467. UBS BANK DEPOSIT ACCT (cash)	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	
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.)
☐ 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)

468. ALIBABA GROUP HLDG LTD (BABA)		None	J	T					
469. AMAZON.COM (AMZN)		None	J	T					
470. AMERIPRISE FINANCIAL (AMP)	A	Dividend			Sold	11/26/18	J		
471. BROADCOM LTD (AVGO)	A	Dividend	J	T					
472. CELGENE CORP (CELG)		None			Sold	12/20/18	J		
473. COHERENT INC (COHR)		None			Buy	05/10/18	J		
474.					Sold	12/20/18	J	A	
475. CONSTELLATION BRANDS INC (STZ)		None	J	T	Buy	12/31/18	J		
476. CTRIP.COM INTL LTD (CTRP)		None			Sold	12/27/18	J		
477. DANAHER CORP (DHR)	A	Dividend	J	T					
478. DENTSPLY SIRONA INC (XRAY)	A	Dividend			Sold	12/27/18	J		
479. ELECTRONIC ARTS (EA)		None			Sold	11/26/18	J	A	
480. EXPEDIA INC (EXPE)	A	Dividend	J	T					
481. FORTIVE CORP (FTV)	A	Dividend	J	T					
482. IAC INTERACTIVE CORP (IAC)		None	J	T	Buy	12/20/18	J		
483. INCYTE CORP (INCY)		None			Sold	12/20/18	J		
484. INTERCONTINENTAL EXCHANGE GROUP (ICE)	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 \$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.)
☐ 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)
485. INTERNATIONAL FLAVORS AND FRAGRANCES (IFF)		None	J	T	Buy	11/16/18	J		
486. INTUITIVE SURGICAL INC (ISRG)		None	J	T	Buy	12/27/18	J		
487. KLA-TENCOR (KLAC)		None	J	T	Buy	12/27/18	J		
488. LEAR CORP (LEA)	A	Dividend	J	T					
489. MARATHON PETROLEUM CO (MPC)	A	Dividend	J	T					
490. MCKESSON CORP (MCK)	A	Dividend			Sold	11/16/18	J		
491. NVIDIA CORP (NVDA)	A	Dividend	J	T					
492. PVH CORP (PVH)	A	Dividend	J	T					
493. SCOTTS MIRACLE-GRO (SMG)	A	Dividend			Sold	12/31/18	J		
494. SERVICE CORP INTL (SCI)	A	Dividend	J	T					
495. ANDEAVOR (ANDV)	A	Dividend			Merged (with line 489)	10/02/18	J		
496. TAKE-TWO INTERACTIVE SOFTWARE (TTWO)		None	J	T	Buy	11/26/18	J		
497. TJX COS INC (TJX)	A	Dividend	J	T					
498. UNITED TECHNOLOGIES (UTX)	A	Dividend	J	T					
499. VISTEON CORP (VC)		None			Sold	12/20/18	J		
500. ISHARES RUSSELL 2000 GROWTH (IWO)	A	Dividend	J	T	Buy (add'l)	12/27/18	J		
501. ISHARES NASDAQ BIOTECH (IBB)		None			Sold	05/10/18	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.)
☐ 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)

502. ISHARES US AEROSPACE & DEFENSE (ITA)	A	Dividend	J	T					
503. ROBO GLOBAL ROBOTICS & AUTOMATION INDEX (ROBO)	A	Dividend	J	T					
504. VANECK VECTORS SEMICONDUCTOR ETF (SMH)		None	J	T	Buy	12/20/18	J		
505. VANGUARD TOTAL WORLD STK ETF (VT)	A	Dividend	J	T	Buy	02/06/18	J		
506. EDUCATION ACCOUNT #1 (H)									
507. LEGG MASON SCHOLARS CHOICE 529 AGE BASED 7-9 C		None	M	T					
508. EDUCATION ACCOUNT #2 (H)									
509. LEGG MASON SCHOLARS CHOICE 529 AGE BASED 13-15 C		None	M	T					
510. EDUCATION ACCOUNT #3 (H)									
511. LEGG MASON SCHOLARS CHOICE 529 AGE BASED 10-12 C		None	M	T					
512. EDUCATION ACCOUNT #4 (H)									
513. COLLEGE AMERICA 529 CAPITAL INCOME BUILDER CIB A	A	Dividend	J	T					
514. COLLEGE AMERICA 529 THE GROWTH FUND OF AMERICA - GFA A	A	Dividend	J	T					
515. COLLEGE AMERICA 529 NEW PERSPECTIVE FUND NPF A	A	Dividend	J	T					
516. EDUCATION ACCOUNT #5 (H)									
517. COLLEGE AMERICA 529 CAPITAL INCOME BUILDER CIB A	A	Dividend	J	T					
518. COLLEGE AMERICA 529 THE GROWTH FUND OF AMERICA - GFA A	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	

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)
519. COLLEGE AMERICA 529 NEW PERSPECTIVE FUND NPF A	A	Dividend	J	T					
520. EDUCATION ACCOUNT #6 (H)									
521. COLLEGE AMERICA 529 CAPITAL INCOME BUILDER CIB A	A	Dividend	J	T					
522. COLLEGE AMERICA 529 THE GROWTH FUND OF AMERICA - GFA A	A	Dividend	J	T					
523. COLLEGE AMERICA 529 NEW PERSPECTIVE FUND NPF A	A	Dividend	J	T					
524. RETIREMENT SAVINGS PLAN #1 (H)									
525. MASLON CASH BALANCE PENSION PLAN (NO CONTROL)	D	Interest	N	T					

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

FINANCIAL DISCLOSURE REPORT

Page 36 of 37

Name of Person Reporting

Schultz, David T.

Date of Report

08/01/2019

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

Part VII, lines 275 and 293: Name/ticker symbol changes only; not indicative of reportable transactions.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

Part VII, lines 4, 6, 91, and 352 of the 2017 report became unreportable in 2018 without corresponding reportable transactions.

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/ David T. Schultz**

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544