

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) Wood, Kimba M.	2. Court or Organization U.S. District Court, SDNY	3. Date of Report 10/16/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge (Senior)	5a. Report Type (check appropriate type) ☐ Nomination, ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 1/1/2018 to 12/31/2018
7. Chambers or Office Address 500 Pearl Street New York, NY 10007	8. On the basis of the information contained in this Report and any modifications pertaining thereto, it is, in my opinion, in compliance with applicable laws and regulations. Reviewing Officer _____ Date _____	
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the <i>NONE</i> box for each part where you have no reportable information. Sign on last page.		

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Board Member	New York City Ballet, Inc.
2. Trustee	The Frank E. Richardson 2011 Insurance Trust Agreement (See Note 4 in Section VIII)
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. 2018*	Morgan Stanley Pension Benefit
2. 2/7/2018	Sonic Corp - various Board & Committee Fees
3. 2018*	Fee Income (Mgmt Fee Offset) - IPC II and III, HighCape, Tinicum, Vestar, Sentinel Capital, Blackstone VI and VIII
4.	
5. *(various)	

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.	Citibank	Line of Credit	None
2.	American Express	Credit Card	M
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. EXXON CORP COMMON STOCK	C	Dividend	L	T					
2. US BANK #1 (LINES 3-45)(SEE NOTE 20 IN SECT VIII) (IA) (H)		None			Open	04/30/18	J		
3. DEUTSCHE TREASURY PORT INST MM/CASH A/C (NOTE 14 SECT VIII)	A	Dividend			Buy	05/23/18	J		
4.					Buy (add'l)	06/07/18	J		
5.					Buy (add'l)	06/22/18	N		
6.					Sold (part)	06/22/18	N		
7.					Sold (part)	06/25/18	K		
8.					Sold (part)	07/26/18	J		
9.					Buy (add'l)	07/26/18	K		
10.					Sold (part)	07/30/18	J		
11.					Buy (add'l)	09/18/18	L		
12.					Sold	09/18/18	M		
13. FIRST AM GOVT OB FUND CL Z (SEE NOTE 14 IN SECT VIII)	A	Dividend	K	T	Buy	09/18/18	M		
14.					Sold (part)	09/26/18	L		
15.					Sold (part)	09/27/18	J		
16.					Buy (add'l)	10/12/18	K		
17.					Sold (part)	10/19/18	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	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.					Sold (part)	12/14/18	J		
19.					Buy (add'l)	12/14/18	J		
20.					Buy (add'l)	12/24/18	J		
21. ARTISAN GLOBAL VALUE ADVISOR	A	Dividend	K	T	Buy	06/21/18	K		
22. BROWN ADV BEUTI GDMAN LRGE CAP INST	A	Dividend	L	T	Buy	06/21/18	L		
23.					Buy (add'l)	09/25/18	J		
24. BROWN ADV EMG MKTS INS (SEE NOTE 21 IN SECT VIII)	A	Dividend			Buy	06/21/18	K		
25.					Sold (part)	10/11/18	K		
26. BROWN ADV FLEXIBLE EQUITY INV	A	Dividend	L	T	Buy	06/21/18	L		
27.					Buy (add'l)	09/25/18	J		
28. BROWN ADV GLOBAL LEADERS	A	Dividend	K	T	Buy	09/25/18	K		
29. BROWN ADV MACQUARIE ASIA	A	Dividend			Buy	06/21/18	K		
30.					Sold	07/25/18	K		
31. BROWN ADV SMALL CAP GROWTH INV	A	Dividend	K	T	Buy	06/21/18	K		
32.					Buy (add'l)	09/25/18	J		
33. BROWN ADV STRAT EUR EQ INS	A	Dividend	K	T	Buy	06/21/18	L		
34. BROWN ADV SUSTAINABLE GROWTH		None	K	T	Buy	06/21/18	K		

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	
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35.					Buy (add'l)	09/25/18	J		
36. BROWN ADV TAX EXEMPT BND INS (FKA BRN ADV TAX EXEMPT BOND)	B	Dividend	M	T	Buy	06/21/18	L		
37.					Buy (add'l)	09/25/18	K		
38. DFA EMERGING MKTS SMALL CAP INC	A	Dividend	J	T	Buy	07/25/18	J		
39. ISHARES MSCI ALL COUNTRY ASIA EX ETF		None			Buy	07/26/18	J		
40.					Sold	12/12/18	J		
41. ISHARES MSCI EAFE SMALL CAP ETF	A	Dividend	J	T	Buy	06/21/18	J		
42. ISHARES MSCI EMERGING MARKETS ETF	A	Dividend	K	T	Buy	10/17/18	K		
43. ISHARES MSCI EMERGING MARKETS ASIA ETF	A	Dividend	J	T	Buy	12/12/18	J		
44. ISHARES RUSSELL 2000 VALUE ETF	A	Dividend	K	T	Buy	06/21/18	K		
45.					Buy (add'l)	09/25/18	J		
46. MORGAN STANLEY BANK/CASH	A	Interest			Closed	06/18/18	J		
47. ADIENT PLC	A	Dividend			Sold	03/29/18	J		
48. ALPHABET INC COMMON STOCK		None			Sold	06/20/18	K	D	
49. AMAZON COM INC COMMON STOCK		None			Sold	06/20/18	K	D	
50. APPLE INC COMMON STOCK	A	Dividend			Sold	06/20/18	K	D	
51. AQR STYLE PREMIA ALT FUND		None			Buy (add'l)	01/22/18	J		

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52.					Sold	06/21/18	J		
53. ARES CAPITAL CORP FUND	A	Dividend			Sold	03/27/18	J	A	
54. BUCKEYE PARTNERS LP COMMON STOCK (SEE NOTE 1 IN SECT VIII)	A	Distribution			Sold	06/20/18	J		
55. CISCO SYS INC COMMON STOCK	A	Dividend			Sold	06/20/18	J	B	
56. COMCAST CORP COMMON STOCK	A	Dividend			Sold	06/20/18	J		
57. CORBUS PHARMACEUTICALS HLDGS COMMON STOCK		None			Sold	06/20/18	J		
58. CROWN CASTLE INTL CORP COMMONS STOCK	A	Dividend			Sold	06/20/18	J	A	
59. DOWDUPONT INC COMMON STOCK	A	Dividend			Sold	06/20/18	J		
60. ENTERPRISE PROD PARTNERS LP (SEE NOTE 1 IN SECT VIII)	A	Distribution			Sold	06/20/18	K	B	
61. FRESHPET INC COMMON STOCK		None			Sold (part)	05/07/18	J	A	
62.					Sold (part)	05/10/18	J	A	
63.					Sold	06/20/18	J	C	
64. GQG PARTNERS EMRG MKTS EQ INS COMMON STOCK		None			Buy	03/28/18	J		
65.					Sold	06/21/18	J		
66. HONEYWELL INTERNATIONAL INC COMMON STOCK	A	Dividend			Sold	06/20/18	J	C	
67. ISHARES EDGE MSCI US MOMENTUM FUND		None			Buy	03/29/18	J		
68.					Sold	06/20/18	J	A	

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69. ISHARES S&P MID CAP 400 GROWTH ETF	A	Dividend			Sold	06/20/18	J	D	
70. ISHARES US OIL & GAS EXP PROD ETF	A	Dividend			Sold	06/20/18	J	D	
71. INVESCO PREMIER TAX EXEMPT INST	A	Interest			Sold	06/06/18	J	C	
72. JPMORGAN CHASE & CO COMMON STOCK	A	Dividend			Buy	03/26/18	J		
73.					Sold	06/20/18	J		
74. OAKMARK INTL MUTUAL FUND		None			Sold	06/21/18	J	B	
75. INVESCO INTL BUYBACK FND (FKA POWERSHARES INTL BUYBACK FUND)	A	Dividend			Sold	06/20/18	J	B	
76. PROSHARES TR S&P 500 DV ARIST FUND	A	Dividend			Sold	06/20/18	J	B	
77. IQVIA HOLDINGS INC (FKA QUINTILES IMS HOLDINGS INC) COMMON		None			Sold	06/20/18	J	B	
78. SPDR S&P MIDCAP 400 ETF TRUST	A	Dividend			Sold	06/20/18	K	D	
79. STARBUCKS CORP COMMON STOCK	A	Dividend			Sold	06/20/18	J		
80. THERMO FISHER SCIENTIFIC COMMON STOCK	A	Dividend			Sold	06/20/18	J	C	
81. TORONTO DOM BK COMMON STOCK	A	Dividend			Sold (part)	03/26/18	J	A	
82.					Sold	06/20/18	J	B	
83. VANGUARD DIVIDEND APPRECIATION FUND	A	Dividend			Sold	06/20/18	K	D	
84. VANGUARD INFO TECH ETF	A	Dividend			Sold	06/20/18	K	D	

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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85. VANGUARD MID-CAP ETF	A	Dividend			Sold	06/20/18	J	C	
86. VIRTUS INSIGHT EMERGING MKTS MUTUAL FUND		None			Sold	06/21/18	J	B	
87. VISA INC COMMON STOCK	A	Dividend			Sold	06/20/18	K	D	
88. WALT DISNEY CO HLDG CO COMMON STOCK	A	Dividend			Buy (add'l)	05/10/18	J		
89.					Sold	06/20/18	J	A	
90. WELLS FARGO & CO COMMON STOCK	A	Dividend			Sold (part)	03/26/18	J	C	
91.					Sold	06/20/18	J	C	
92. WISDOMTREE EURO SM CAP DIV ETF	A	Dividend			Sold	06/20/18	J	C	
93. WISDOMTREE SMALL CAP DIV FUND	A	Dividend			Sold	06/20/18	J	C	
94. YUM BRANDS INC COMMON STOCK	A	Dividend			Sold	06/20/18	J	B	
95. IRA ACCOUNT #1 (H)									
96. US BANK #2 - FOR IRA #1 (LINES 97-130)(NOTE 20 SECT VIII)		None			Open	04/30/18	J		
97. DEUTSCHE TREASURY PORTFOLIO MM FUND (NOTE 14 SECT VIII)	A	Dividend			Buy	05/23/18	J		
98.					Buy (add'l)	05/29/18	J		
99.					Buy (add'l)	06/01/18	J		
100.					Buy (add'l)	06/15/18	J		
101.					Buy (add'l)	06/22/18	P1		

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102.					Sold (part)	06/22/18	P1		
103.					Sold (part)	06/25/18	M		
104.					Buy (add'l)	06/29/18	J		
105.					Buy (add'l)	07/02/18	J		
106.					Buy (add'l)	07/25/18	J		
107.					Sold (part)	07/26/18	K		
108.					Buy (add'l)	07/26/18	M		
109.					Sold (part)	07/30/18	L		
110.					Sold	09/26/18	M		
111. FIRST AM GOVT OB FUND CL Z MM FUND (SEE NOTE 14 IN SECT VIII)	A	Dividend	M	T	Buy	09/26/18	M		
112.					Buy (add'l)	10/01/18	J		
113.					Buy (add'l)	12/24/18	K		
114. ARTISAN GLOBAL VALUE ADVISOR	D	Dividend	L	T	Buy	06/21/18	M		
115.					Sold (part)	09/25/18	L	C	
116. BROWN ADV BEUTI GDMAN LRG CAP INST	D	Dividend	N	T	Buy	06/21/18	N		
117. BROWN ADV EMG MKTS INS	D	Dividend	M	T	Buy	06/21/18	M		
118. BROWN ADV FLEXIBLE EQUITY INV	D	Dividend	N	T	Buy	06/21/18	N		

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)
119. BROWN ADV GLOBAL LEADERS INST	A	Dividend	L	T	Buy	09/25/18	L		
120. BROWN ADV MACQUARIE ASIA	B	Dividend			Buy	06/21/18	M		
121.					Sold	07/25/18	M		
122. BROWN ADV SMALL CAP GROWTH INV	D	Dividend	M	T	Buy	06/21/18	M		
123. BROWN ADV STRATEGIC BOND FUND	A	Dividend	K	T	Buy	06/21/18	K		
124. BROWN ADV STRAT EUR EQ INS	E	Dividend	M	T	Buy	06/21/18	N		
125. BROWN ADV SUSTAINABLE GROWTH	D	Dividend	M	T	Buy	06/21/18	M		
126. BROWN ADV TOTAL RETURN INS	C	Dividend	M	T	Buy	06/21/18	M		
127. DFA EMERGING MKTS SML CAP INC	B	Dividend	K	T	Buy	07/25/18	K		
128. ISHARES RUSSELL 2000 VALUE ETF	B	Dividend	M	T	Buy	06/21/18	M		
129. ISHARES MSCI ALL COUNTRY ASIA EX ETF	A	Dividend	L	T	Buy	07/26/18	L		
130. ISHARES MSCI EAFE SMALL CAP ETF	A	Dividend	L	T	Buy	06/21/18	L		
131. IRA #1 - MORGAN STANLEY BANK CASH/MM	A	Interest			Closed	06/18/18	J		
132. IRA #1 - MORGAN STANLEY COMMON STOCKS (LINES 133-168) (H)									
133. ADIENT PLC COMMON	A	Dividend			Sold	04/04/18	K		
134. ALPHABET INC		None			Sold	06/20/18	L	E	
135. AMAZON COM INC		None			Sold	06/20/18	L	F	

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

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A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
136. CISCO SYS INC	A	Dividend			Buy (add'l)	02/12/18	J		
137.					Sold	06/20/18	K	D	
138. COMCAST CORP	A	Dividend			Buy (add'l)	02/27/18	J		
139.					Sold	06/20/18	K		
140. CORBUS PHARMACEUTICALS HLDGS		None			Sold	06/20/18	K		
141. CROWN CASTLE INTL CORP	A	Dividend			Sold (part)	02/08/18	J	A	
142.					Sold (part)	02/12/18	J	B	
143.					Sold	06/20/18	K	C	
144. DANAHER CORPORATION	A	Dividend			Sold	06/20/18	K	E	
145. DOWDUPONT NIC	A	Dividend			Buy (add'l)	01/08/18	J		
146.					Sold	06/20/18	L		
147. FRESHPET INC		None			Buy (add'l)	03/06/18	J		
148.					Sold (part)	05/03/18	J	C	
149.					Sold (part)	05/07/18	J	D	
150.					Sold	06/20/18	K	E	
151. HONEYWELL INTERNATIONAL INC	A	Dividend			Sold	06/20/18	K	E	
152. KINDER MORGAN INCORP	B	Dividend			Buy (add'l)	02/12/18	J		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
153.					Sold	06/20/18	L	A	
154. ONEOK INC	A	Dividend			Distributed (part)	04/02/18	J		
155.					Sold	06/20/18	L	E	
156. IQVIA HLDGS		None			Sold	06/20/18	L	D	
157. STARBUCKS CORP	A	Dividend			Sold	06/20/18	K		
158. STARWOOD PROPERTY TRUST INC	B	Dividend			Sold	06/20/18	K	C	
159. TERRAFORM PWR INC	B	Dividend			Buy (add'l)	02/08/18	J		
160.					Sold	06/20/18	L		
161. THERMO FISHER SCIENTIFIC	A	Dividend			Sold	06/20/18	L	E	
162. TORONTO DOM BK NEW	A	Dividend			Sold	03/26/18	L	D	
163. VERIZON COMMUNICATIONS	B	Dividend			Sold	06/20/18	L	D	
164. VISA INC	A	Dividend			Sold	06/20/18	L	E	
165. WALT DISNEY CO HLDG CO	A	Dividend			Buy (add'l)	05/10/18	K		
166.					Sold	06/20/18	L	C	
167. WELLS FARGO & CO	A	Dividend			Sold (part)	03/26/18	K	D	
168.					Sold	06/20/18	K	D	
169. IRA #1 - MORGN STNLY ETF/ CLSD END FNDS (LINES 170-194) (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	

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☐ 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. ARES CAPITAL CORP	C	Dividend			Sold	06/20/18	L	D	
171. FIRST TRUST NASDAQ-100-TECH ETF	A	Dividend			Buy	02/12/18	K		
172.					Buy (add'l)	03/09/18	K		
173.					Sold	06/20/18	K	B	
174. FIRST TRUST SENIOR LOAN FUND	A	Dividend			Sold (part)	02/08/18	J		
175.					Sold	06/20/18	K		
176. ISHARES EDGE MSCI US MOMENTUM FUND		None			Buy	04/04/18	K		
177.					Sold	06/20/18	L	D	
178. ISHARES MSCI EAFE GROWTH ETF	A	Dividend			Sold	06/20/18	K	C	
179. PENNANTPARK FLTGT RT CAP LTD	B	Dividend			Sold	06/20/18	K	D	
180. PENNANTPARK INVESTMENT CORP	B	Dividend			Sold	06/20/18	K	A	
181. INVESCO BUYBACK (FKA POWERSHARES INTL BUYBACK)	A	Dividend			Sold	06/20/18	K	D	
182. PROSHARES TR S&P 500 DV ARIST FUND	B	Dividend			Sold	06/20/18	L	D	
183. SOLAR CAPITAL LTD FUND	B	Dividend			Sold	06/20/18	K	C	
184. SPDR S&P MIDCAP 400 ETF TRUST	A	Dividend			Sold	06/20/18	L	E	
185. THE FINANCIAL SEL SEC SPDR FUND	A	Dividend			Buy	03/26/18	L		
186.					Sold	06/20/18	L		

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)
187. VANGUARD INFO TECH ETF	A	Dividend			Sold	06/20/18	L	E	
188. VANGUARD MIDCAP ETF	A	Dividend			Sold	06/20/18	K	D	
189. WISDOMTREE CBOE S&P 500 ETF		None			Sold (part)	03/09/18	J	A	
190.					Sold	06/20/18	L	D	
191. WISDOMTREE EURO SM CAP DIV ETF	A	Dividend			Sold (part)	03/09/18	K	D	
192.					Sold	06/20/18	L	D	
193. WISDOMTREE SMALL CAP DIV FUND	A	Dividend			Sold	06/20/18	K	E	
194. WISDOMTREE TRUST MDCP EARN FUND	A	Dividend			Sold	06/20/18	L	E	
195. IRA #1 - MORGAN STANLEY MUTUAL FUND(S) (LINES 196-204) (H)									
196. AQR LONG-SHORT EQUITY		None			Sold	06/21/18	L	B	
197. AQR STYLE PREMIA ALTERNATIVE		None			Sold	06/21/18	K		
198. GQG PARTNERS MERG MKTS EQ INS FUND		None			Buy	03/12/18	K		
199.					Buy (add'l)	04/05/18	K		
200.					Sold	06/21/18	L		
201. JPMORGAN HEDGED EQUITY		None			Sold	02/12/18	K	A	
202. OAKMARK INTERNATIONAL		None			Sold (part)	03/09/18	K	C	
203.					Sold	06/21/18	L	D	

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

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
204. VIRTUS VONTOBEL EMRG MKT (FKA VIRTUS INSIGHT EMERG MKTS)		None			Sold	06/21/18	K	D	
205. BIF MONEY FUND/CASH	C	Dividend			Buy (add'l)	01/03/18	J		
206.					Buy (add'l)	01/11/18	J		
207.					Buy (add'l)	02/02/18	J		
208.					Buy (add'l)	02/15/18	J		
209.					Sold (part)	02/21/18	J		
210.					Sold (part)	02/22/18	J		
211.					Buy (add'l)	03/02/18	J		
212.					Buy (add'l)	03/15/18	J		
213.					Sold (part)	03/28/18	J		
214.					Sold (part)	04/02/18	J		
215.					Buy (add'l)	04/03/18	J		
216.					Sold (part)	04/25/18	K		
217.					Buy (add'l)	05/02/18	J		
218.					Buy (add'l)	05/10/18	J		
219.					Sold (part)	05/23/18	K		
220.					Sold (part)	05/24/18	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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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)
221.					Buy (add'l)	06/04/18	J		
222.					Buy (add'l)	06/06/18	L		
223.					Sold (part)	06/07/18	J		
224.					Buy (add'l)	06/14/18	J		
225.					Sold (part)	06/27/18	J		
226.					Buy (add'l)	07/03/18	J		
227.					Buy (add'l)	07/12/18	J		
228.					Buy (add'l)	08/02/18	J		
229.					Buy (add'l)	08/09/18	J		
230.					Sold (part)	08/20/18	J		
231.					Sold (part)	08/29/18	K		
232.					Buy (add'l)	09/04/18	J		
233.					Sold (part)	09/11/18	J		
234.					Buy (add'l)	09/13/18	J		
235.					Sold (part)	09/19/18	L		
236.					Sold (part)	09/26/18	K		
237.					Buy (add'l)	09/27/18	J		

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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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)

238.					Buy (add'l)	10/02/18	J		
239.					Sold (part)	10/09/18	J		
240.					Buy (add'l)	10/11/18	J		
241.					Sold (part)	10/24/18	K		
242.					Sold (part)	10/31/18	J		
243.					Buy (add'l)	11/02/18	J		
244.					Buy (add'l)	11/15/18	J		
245.					Sold (part)	11/28/18	J		
246.					Sold (part)	11/29/18	J		
247.					Sold	11/30/18	M		
248. MERRILL LYNCH BANK DEPOSIT MM/ CASH (ML EDGE)	A	Interest	M	T	Open	11/30/18	M		
249. US BANK #3 - (LINES 250-264) (NOTE 20 SECT VIII) (12-MAIN)		None			Open	01/29/18	J		
250. DEUTSCHE ICT TREASURY PORT INST MMF/CASH (NOTE 14 SECT VIII)	A	Interest			Buy	05/17/18	L		
251.					Buy (add'l)	05/29/18	K		
252.					Sold (part)	06/11/18	P1		
253.					Buy (add'l)	06/11/18	P1		
254.					Sold	09/03/18	J		

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

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

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

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

255. FIRST AMERICAN GOVT OBLIGATIONS FUND/CASH (NOTE 14 SEC VIII)	A	Interest	J	T	Buy	09/03/18	J		
256.					Buy (add'l)	12/17/18	P1		
257.					Sold (part)	12/20/18	O		
258.					Sold (part)	12/21/18	O		
259.					Sold (part)	12/24/18	O		
260.					Sold (part)	12/27/18	O		
261. NYC NY ADJ FISCAL BOND		None	O	T	Buy	12/20/18	O		
262. NYC NY MUNI WATER BOND		None	O	T	Buy	12/20/18	O		
263. NYC NY SUBSER BOND		None	O	T	Buy	12/20/18	O		
264. NY NY ST HSG FN AGY BOND		None	O	T	Buy	12/20/18	O		
265. US BANK #4 (MUNI) (NOTE 20 SECT VIII) (LINES 266-400)		None			Open	01/29/18	J		
266. FIRST AMERICAN GOVT OBLIG MMF/ CSH (SEE NOTE 14 IN SECT VIII)	A	Dividend	P2	T	Buy	09/19/18	K		
267.					Buy (add'l)	09/27/18	N		
268.					Sold (part)	09/28/18	M		
269.					Buy (add'l)	10/01/18	J		
270.					Sold (part)	10/02/18	L		

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)

271.					Sold (part)	10/04/18	L		
272.					Buy (add'l)	10/11/18	N		
273.					Sold (part)	10/12/18	M		
274.					Sold (part)	10/18/18	L		
275.					Buy (add'l)	10/23/18	M		
276.					Sold (part)	10/23/18	M		
277.					Buy (add'l)	11/01/18	M		
278.					Sold (part)	11/01/18	M		
279.					Buy (add'l)	11/14/18	L		
280.					Sold (part)	11/14/18	L		
281.					Buy (add'l)	11/15/18	J		
282.					Buy (add'l)	12/03/18	J		
283.					Buy (add'l)	12/13/18	M		
284.					Buy (add'l)	12/17/18	J		
285.					Buy (add'l)	12/20/18	P2		
286.					Sold (part)	12/20/18	M		
287.					Buy (add'l)	12/21/18	L		

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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☐ 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)

288.					Sold (part)	12/26/18	N		
289.					Sold (part)	12/27/18	N		
290.					Sold (part)	12/31/18	O		
291. DEUTSCHE ICT TREASURY PORT INST MMF/CASH (NOTE 14 SECT VIII)	C	Dividend			Buy	06/11/18	P1		
292.					Sold (part)	06/14/18	L		
293.					Sold (part)	06/18/18	M		
294.					Sold (part)	06/19/18	M		
295.					Sold (part)	06/20/18	L		
296.					Sold (part)	06/21/18	L		
297.					Sold (part)	06/27/18	M		
298.					Sold (part)	06/28/18	L		
299.					Sold (part)	06/29/18	M		
300.					Sold (part)	06/29/18	P1		
301.					Buy (add'l)	07/02/18	J		
302.					Buy (add'l)	07/10/18	N		
303.					Sold (part)	07/10/18	L		
304.					Sold (part)	07/11/18	N		

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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☐ 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)
305.					Buy (add'l)	07/11/18	M		
306.					Sold (part)	07/12/18	L		
307.					Sold (part)	07/13/18	M		
308.					Buy (add'l)	07/13/18	M		
309.					Sold (part)	07/16/18	L		
310.					Sold (part)	07/17/18	L		
311.					Buy (add'l)	07/18/18	M		
312.					Buy (add'l)	07/19/18	O		
313.					Sold (part)	07/19/18	L		
314.					Sold (part)	07/20/18	M		
315.					Sold (part)	07/23/18	L		
316.					Sold (part)	07/26/18	M		
317.					Sold (part)	07/27/18	L		
318.					Buy (add'l)	08/01/18	J		
319.					Sold (part)	08/02/18	M		
320.					Sold (part)	08/08/18	M		
321.					Sold (part)	08/09/18	M		

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
322.					Sold (part)	08/14/18	M		
323.					Buy (add'l)	08/15/18	J		
324.					Sold (part)	08/16/18	M		
325.					Buy (add'l)	08/20/18	N		
326.					Sold (part)	08/20/18	M		
327.					Sold (part)	08/21/18	M		
328.					Buy (add'l)	09/04/18	J		
329.					Sold (part)	09/11/18	L		
330.					Sold (part)	09/18/18	L		
331.					Sold	09/19/18	K		
332. ALLEN CNTY OH HOSPITAL BOND	A	Interest	L	T	Buy	07/19/18	L		
333. BALTIMORE COUNTY MD BOND	A	Interest	L	T	Buy	06/15/18	L		
334. CHANDLER AZ INDL DEV BOND		None	M	T	Buy	08/14/18	M		
335. CLARK COUNTY NV PARKS IMPRV BOND		None	N	T	Buy	12/31/18	N		
336. CLARK COUNTY NV SCH BOND		None	M	T	Buy	10/18/18	M		
337. CONROE TX INDEP SCH DIST REF BOND	A	Interest			Buy	06/19/18	L		
338.					Sold	10/23/18	L		

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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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)
339. DALLAS FORT WORTH TX BOND	B	Interest	L	T	Buy	07/17/18	L		
340. EDINBURG TX CONSOL BOND		None	M	T	Buy	08/20/18	M		
341. FLORIDA ST MUN BOND	B	Interest			Buy	07/12/18	L		
342.					Redeemed	12/26/18	L		
343. GEORGIA ST ROAD TOLLWAY AUTH BOND	B	Interest			Buy	06/12/18	L		
344.					Sold	10/23/18	L		
345. GOLDEN ST TABACCO SECURITIZATION BOND	B	Interest	L	T	Buy	06/21/18	L		
346. HARRIS CNTY HOUSTON TX BOND	B	Interest	M	T	Buy	08/21/18	M		
347. HOUSTON TX ARPT SYS BOND		None	L	T	Buy	07/18/18	L		
348. HOUSTON TX HOTEL BOND	A	Interest	L	T	Buy	10/04/18	L		
349. ILLINOIS ST FIN AUTH BOND		None	L	T	Buy	10/30/18	L		
350. INDIANA ST FIN AUTH 5/1/24 BOND	A	Interest	L	T	Buy	07/11/18	L		
351.					Sold (part)	08/17/18	J		
352. INDIANA ST FIN AUTH 5/1/22 BOND	A	Interest	J	T	Buy	08/17/18	J		
353. JACKSONVILLE FL CAPITAL IMPT BOND	B	Interest	L	T	Buy	06/14/18	L		
354. KENTUCKY ST ASSET LIAB COMM GEN FUND BOND		None	N	T	Buy	12/27/18	N		
355. KENTUCKY ST PPTY BLDGS BOND		None	L	T	Buy	09/11/18	L		

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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☐ 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)
356. LOUISIANA PUB FACS AUTH REV BOND	B	Interest	L	T	Buy	06/25/18	L		
357. MARICOPA CNTY AZ BOND		None	L	T	Buy	09/28/18	L		
358. MARYLAND ST HEALTH - 7/1/24 BOND		None	L	T	Buy	07/12/18	L		
359. MARYLAND ST HEALTH -7/1/30 BOND		None	L	T	Buy	10/18/18	L		
360. MASSACHUSETTS ST FEDERAL HWY BOND	B	Interest			Buy	06/14/18	L		
361.					Sold	10/23/18	L		
362. MET TRANSPORTATION NY - 11/15/20 BOND	A	Interest	M	T	Buy	10/23/18	M		
363. MET TRANSPORTATION NY - 11/15/33 BOND		None	N	T	Buy	12/27/18	N		
364. MIAMI DADE CNTY FL AVIATION REV (10/1/2030) BOND	A	Interest	M	T	Buy	07/24/18	M		
365. MIAMI DAD CNTY FL AVIATION REV (10/1/2020) BOND		None	N	T	Buy	12/26/18	N		
366. MICHIGAN ST BOND		None	M	T	Buy	08/16/18	M		
367. MISSOURI ST ENVR ENERGY 2 (12/1/22) BOND	A	Interest	L	T	Buy	07/11/18	L		
368. MISSOURI ST ENVR ENERGY 3 (9/1/33) BOND		None	M	T	Buy	12/20/18	M		
369. MISSOURI ST HLTH BOND	B	Interest			Buy	07/10/18	L		
370.					Sold	11/14/18	L		
371. NASSAU CNTY NY INDL DEV AGY REF BOND	B	Interest			Buy	06/29/18	P1		
372.					Sold (part)	07/10/18	N		

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)
373.					Sold (part)	07/11/18	M		
374.					Sold (part)	07/13/18	M		
375.					Sold (part)	07/18/18	M		
376.					Sold (part)	08/20/18	N		
377.					Sold	09/27/18	N		
378. NEW YORK CITY NY TRANSITIONAL FIN 5/1/2022 BOND	A	Interest	M	T	Buy	10/12/18	M		
379. NEW YORK CITY NY TRANSITIONAL FIN BOND	B	Interest			Buy	06/29/18	N		
380.					Sold	10/11/18	N		
381. NEW YORK STATE DORM AUTH BOND	A	Interest	L	T	Buy	07/18/18	L		
382. NEW YORK ST THRUWAY BOND		None	L	T	Buy	07/13/18	L		
383. NEW YORK ST URBAN BOND		None	M	T	Buy	09/28/18	M		
384. NORTH CAROLINA ST BOND	A	Interest	L	T	Buy	09/18/18	L		
385. PENNSYLVANIA ST TURNPIKE COMM BOND	B	Interest	L	T	Buy	07/09/18	L		
386. PHILADELPHIA PA REF SER A BOND	A	Interest	L	T	Buy	06/15/18	L		
387. PORT OF CORPUS CHRISTI TX AUTH BOND	B	Interest	M	T	Buy	07/25/18	M		
388. SAINT MARYS KS BOND	A	Interest			Buy	11/14/18	L		
389.					Redeemed	12/13/18	L		

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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Name of Person Reporting

Wood, Kimba M.

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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)
390. SEATTLE WA MUNI LIGHT PWR REV BOND		None	L	T	Buy	07/06/18	L		
391. SOUTH DAKOTA ST EDU BOND	B	Interest	L	T	Buy	07/25/18	L		
392. SYRACUSE NY INDL DEV AGY CIVIC FAC BOND	B	Interest	L	T	Buy	06/27/18	L		
393. TOBACCO SETTLEMENT AUTH WA BOND	B	Interest	L	T	Buy	06/13/18	L		
394. TOBACCO SETTLEMENT FINANCING CORP LA BOND	B	Interest	L	T	Buy	06/27/18	L		
395. WAMEGO KS POLL BOND	B	Interest			Buy	07/31/18	L		
396.					Redeemed	12/13/18	L		
397. WASHINGTON ST CONVENTION CENTER BOND		None	M	T	Buy	08/08/18	M		
398. WAXAHACHIE TX INDEP SCH DIST REF BOND	A	Interest	L	T	Buy	06/25/18	L		
399. WINNEBAGO CNTY IL REF SER C BOND	B	Interest	L	T	Buy	07/09/18	L		
400. YORKTOWN NY CENTRAL SCH DISTR BOND	A	Interest	L	T	Buy	06/27/18	L		
401. ADDL COMMON STOCKS AND FUNDS (NON-IRA)(LINES 402-573) (H)									
402. ACCENTURE COMMON STOCK	B	Dividend	L	T	Sold (part)	06/27/18	J	C	
403.					Buy (add'l)	12/21/18	J		
404.					Buy (add'l)	12/24/18	J		
405. CHUBB (FKA AS ACE LTD) COMMON STOCK	D	Dividend	N	T					
406. AIR PRODS & CHEMS COMMON STOCK	B	Dividend	L	T	Sold (part)	05/15/18	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
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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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Wood, Kimba M.

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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)
407.					Buy (add'l)	12/21/18	J		
408.					Buy (add'l)	12/24/18	J		
409. ALPHABET COMMON STOCK		None	O	T	Buy (add'l)	01/25/18	M		
410. AMAZON.COM COMMON STOCK		None	P1	T					
411. AMGEN COMMON STOCK	E	Dividend	M	T	Sold (part)	06/05/18	J	B	
412.					Sold	10/12/18	O	G	
413.					Buy	12/21/18	J		
414.					Buy (add'l)	12/24/18	J		
415. ANALOG DEVICES COMMON STOCK	C	Dividend	L	T	Buy (add'l)	06/05/18	M		
416.					Sold	09/12/18	L		
417.					Buy	12/21/18	J		
418.					Buy (add'l)	12/24/18	J		
419. APPLE INC COMMON STOCK	C	Dividend	M	T	Sold (part)	02/07/18	K	D	
420.					Sold (part)	06/27/18	K	D	
421.					Buy (add'l)	11/02/18	N		
422.					Sold (part)	11/12/18	J	D	
423.					Sold (part)	11/20/18	N		

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 (See Columns C1 and D3)	F = \$50,001 - \$100,000 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)
424.					Buy (add'l)	12/21/18	K		
425.					Buy (add'l)	12/24/18	J		
426. APPLIED MATERIALS COMMON STOCK	A	Dividend			Sold	03/26/18	L	E	
427. AT&T COMMON STOCK	C	Dividend	M	T	Buy	01/08/18	L		
428.					Buy (add'l)	05/15/18	J		
429.					Buy (add'l)	09/05/18	J		
430.					Buy (add'l)	12/21/18	J		
431.					Buy (add'l)	12/24/18	J		
432.					Buy (add'l)	12/28/18	J		
433. BERKSHIRE HATHAWAY COMMON STOCK		None	P1	T	Buy (add'l)	02/26/18	N		
434. BLACKROCK INC COMMON STOCK	E	Dividend	P1	T	Buy (add'l)	03/27/18	J		
435.					Buy (add'l)	12/21/18	J		
436.					Buy (add'l)	12/24/18	J		
437. BOEING COMMON STOCK	B	Dividend	L	T	Sold (part)	01/17/18	K	D	
438.					Sold (part)	02/07/18	J	C	
439.					Sold (part)	06/27/18	J	C	
440.					Buy (add'l)	12/13/18	J		

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.)
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441.					Buy (add'l)	12/21/18	J		
442.					Buy (add'l)	12/24/18	J		
443.					Buy (add'l)	12/28/18	J		
444. BRISTOL MYERS SQUIBB COMMON STOCK	A	Dividend			Buy	09/05/18	K		
445.					Sold	11/12/18	K		
446. CABOT OIL & GAS COMMON STOCK	B	Dividend			Sold	05/22/18	M	G	
447. CDK GLOBAL INC COMMON STOCK	A	Dividend			Sold	05/16/18	M	G	
448. CHEVRON COMMON STOCK	C	Dividend	M	T	Buy (add'l)	02/07/18	J		
449.					Buy (add'l)	12/21/18	J		
450.					Buy (add'l)	12/24/18	J		
451. CISCO SYS COMMON STOCK	C	Dividend	M	T	Sold (part)	05/15/18	J	C	
452.					Buy (add'l)	12/21/18	J		
453.					Buy (add'l)	12/24/18	J		
454. CME GROUP COMMON STOCK	C	Dividend	M	T	Sold (part)	12/10/18	J	D	
455.					Buy (add'l)	12/21/18	J		
456.					Buy (add'l)	12/24/18	J		
457. CMS ENERGY COMMON STOCK	A	Dividend	L	T	Buy	03/26/18	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
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458.					Buy (add'l)	11/12/18	J		
459.					Buy (add'l)	12/10/18	J		
460.					Buy (add'l)	12/21/18	J		
461.					Buy (add'l)	12/24/18	J		
462. COGNIZANT TECH SOLUTIONS COMMON STOCK	C	Dividend			Sold	09/12/18	O	G	
463. COMCAST COMMON STOCK	B	Dividend	L	T	Buy (add'l)	04/25/18	J		
464.					Buy (add'l)	07/30/18	J		
465.					Buy (add'l)	12/21/18	J		
466.					Buy (add'l)	12/24/18	J		
467. CONS DISCRET SEL SECT SPDR FUND	A	Dividend			Sold	06/07/18	K	D	
468. CONSTELLATION BRANDS	C	Dividend	M	T					
469. CROWN CASTLE COMMON STOCK	C	Dividend	L	T	Sold (part)	06/07/18	L	C	
470.					Buy (add'l)	11/12/18	J		
471.					Buy (add'l)	12/21/18	J		
472.					Buy (add'l)	12/24/18	J		
473. DOWDUPONT COMMON STOCK	B	Dividend	L	T	Buy (add'l)	01/17/18	K		
474.					Buy (add'l)	02/07/18	J		

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475.					Buy (add'l)	05/15/18	J		
476.					Buy (add'l)	11/12/18	J		
477.					Buy (add'l)	12/21/18	J		
478.					Buy (add'l)	12/24/18	J		
479. FIRST TRUST NASDAQ-100-TECH	A	Dividend			Buy	02/12/18	J		
480.					Sold	06/07/18	K	B	
481. GENERAL DYNAMICS COMMON STOCK	A	Dividend	L	T	Buy (add'l)	01/17/18	J		
482.					Buy (add'l)	07/30/18	J		
483.					Buy (add'l)	10/30/18	J		
484.					Buy (add'l)	11/12/18	J		
485.					Buy (add'l)	12/21/18	J		
486.					Buy (add'l)	12/24/18	J		
487. INVESCO S&P 500 EQU WT (FKA GUGENHEIM S&P 500 EQ WGHT FND	A	Dividend			Sold	06/07/18	L	E	
488. THE HERSHEY CO COMMON STOCK	A	Dividend			Sold	05/15/18	L		
489. HOME DEPOT COMMON STOCK	B	Dividend	L	T	Sold (part)	01/17/18	J	C	
490.					Buy (add'l)	12/21/18	J		
491.					Buy (add'l)	12/24/18	J		

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492. HONEYWELL COMMON STOCK	B	Dividend	L	T	Buy (add'l)	01/17/18	J		
493.					Buy (add'l)	12/21/18	J		
494.					Buy (add'l)	12/24/18	J		
495. ISHARES EDGE MSCI MIN VOL USA ETF	A	Dividend			Sold	06/07/18	L	D	
496. ISHARES MSCI EAFE SM CAP ETF		None			Sold	06/07/18	K	D	
497. ISHARES MSCI EAFE GROWTH ETF		None			Sold	06/07/18	K	D	
498. ISHARES S&P 500 VAL ETF	A	Dividend			Sold	06/07/18	L	D	
499. ISHARES US BASIC MATERIALS	A	Dividend			Sold	06/07/18	J	A	
500. ISHARES US TECHNOLOGY ETF	A	Dividend			Sold	06/07/18	K	E	
501. JOHNSON & JOHNSON COMMON STOCK	F	Dividend	P1	T					
502. JPMORGAN CHASE COMMON STOCK	C	Dividend	M	T	Buy (add'l)	03/27/18	J		
503.					Buy (add'l)	12/21/18	K		
504.					Buy (add'l)	12/24/18	J		
505. MCDONALDS INC COMMON STOCK	B	Dividend	L	T	Buy	02/07/18	K		
506.					Buy (add'l)	02/09/18	J		
507.					Buy (add'l)	03/26/18	J		
508.					Buy (add'l)	06/27/18	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)

509.					Buy (add'l)	07/30/18	J		
510.					Buy (add'l)	12/10/18	J		
511.					Buy (add'l)	12/21/18	J		
512.					Buy (add'l)	12/24/18	J		
513. MEDTRONIC PLC COMMON STOCK	B	Dividend	M	T	Buy (add'l)	01/17/18	J		
514.					Buy (add'l)	03/26/18	J		
515.					Sold (part)	09/05/18	J	C	
516.					Buy (add'l)	12/21/18	J		
517.					Buy (add'l)	12/24/18	J		
518. MERCK & CO COMMON STOCK	B	Dividend	M	T	Buy (add'l)	01/08/18	L		
519.					Buy (add'l)	02/07/18	J		
520.					Sold (part)	09/05/18	J	B	
521.					Sold (part)	11/12/18	K	C	
522.					Buy (add'l)	12/21/18	J		
523.					Buy (add'l)	12/24/18	J		
524. MICROSOFT COMMON STOCK	D	Dividend	O	T	Sold (part)	02/07/18	K	D	
525.					Buy (add'l)	12/21/18	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 = \$250,001 - \$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	

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)
526.					Buy (add'l)	12/24/18	J		
527. MONDELEZ INTL COMMON STOCK	A	Dividend	M	T	Buy	05/15/18	L		
528.					Buy (add'l)	06/05/18	J		
529.					Buy (add'l)	10/30/18	J		
530.					Buy (add'l)	11/12/18	J		
531.					Buy (add'l)	12/21/18	J		
532.					Buy (add'l)	12/24/18	J		
533.					Buy (add'l)	12/28/18	J		
534. MONGODB INC COMMON STOCK		None	N	T	Buy	11/29/18	N		
535. NASPERS LTD COMMON STOCK		None			Buy	01/03/18	N		
536.					Sold (part)	04/02/18	M		
537.					Sold	04/03/18	L		
538. NEWELL BRANDS COMMON STOCK	B	Dividend	L	T	Buy	01/08/18	L		
539.					Buy (add'l)	05/15/18	J		
540.					Buy (add'l)	12/21/18	J		
541.					Buy (add'l)	12/24/18	J		
542. OAKMARK INTERNATIONAL		None			Sold	06/08/18	K	D	

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				

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)

543. OCCIDENTAL PETE CORP COMMON STOCK	C	Dividend	M	T	Buy (add'l)	03/26/18	J		
544.					Buy (add'l)	08/13/18	J		
545.					Buy (add'l)	09/05/18	J		
546.					Buy (add'l)	12/10/18	K		
547.					Buy (add'l)	12/21/18	J		
548.					Buy (add'l)	12/24/18	J		
549. PAYPAL HOLDINGS COMMON STOCK		None	O	T	Buy	06/26/18	N		
550. PEPSICO COMMON STOCK	B	Dividend	M	T	Buy (add'l)	03/26/18	J		
551.					Buy (add'l)	06/27/18	J		
552.					Buy (add'l)	12/21/18	J		
553.					Buy (add'l)	12/24/18	J		
554. PFIZER INC COMMON STOCK	C	Dividend	M	T	Buy (add'l)	01/08/18	L		
555.					Buy (add'l)	02/07/18	J		
556.					Sold (part)	12/10/18	J	B	
557.					Buy (add'l)	12/21/18	J		
558.					Buy (add'l)	12/24/18	J		
559. PIONEER NATURAL RESOURCES COMMON STOCK	A	Dividend	M	T					

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

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)
560. INVESCO INTL BUYBACK (FKA PWRSH INTL BUYBK)	A	Dividend			Sold	06/07/18	K	D	
561. INVESCO S&P 500 LOW VOLA ETF (FKA POWRSH S&P 500 LOW VOLA)	A	Dividend			Sold	06/07/18	L	D	
562. PROCTER & GAMBLE COMMON STOCK	C	Dividend	M	T	Buy (add'l)	06/27/18	J		
563.					Buy (add'l)	12/21/18	J		
564.					Buy (add'l)	12/24/18	J		
565. PROSHARES TR S&P 500 DV ARIST FUND	A	Dividend			Sold	06/07/18	L	D	
566. RAYTHEON COMMON STOCK	B	Dividend	L	T	Sold (part)	04/27/18	J	C	
567.					Buy (add'l)	07/30/18	J		
568.					Buy (add'l)	11/12/18	J		
569.					Buy (add'l)	12/13/18	J		
570.					Buy (add'l)	12/21/18	J		
571.					Buy (add'l)	12/24/18	J		
572. RESIDIO TECH COMMON STOCK		None			Spinoff (from line 492)	10/01/18	J		
573.					Sold	11/12/18	J		
574. IRA ACCOUNT #2 (LINES 575-679) (H)									
575. ADIENT PLC	A	Dividend			Sold	04/04/18	J		
576. AIMMUNE THERAPEUTICS INC COMMON STOCK		None	J	T	Buy	06/11/18	J		

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

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

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	(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)
577.					Buy (add'l)	06/12/18	J		
578. ALPHABET INC COMMON STOCK		None	K	T					
579. AMAZON COM INC COMMON STOCK		None	K	T					
580. AQR LONG-SHORT EQ INST MUTUAL FUND	A	Dividend	J	T	Sold (part)	11/15/18	J		
581.					Sold (part)	12/07/18	J		
582. AQR STYLE PREMIA ALTERNATIVE MUTUAL FUND	A	Dividend	J	T	Sold (part)	12/07/18	J		
583. ARES CAPITAL CORP FUND (SEE NOTE 24 IN SECT VIII)	A	Dividend	J	T	Sold	06/04/18	K	C	
584.					Buy	12/19/18	J		
585. CISCO SYS INC	A	Dividend			Buy (add'l)	02/12/18	J		
586.					Sold	06/21/18	J	B	
587. COMCAST CORP	A	Dividend	K	T	Buy (add'l)	02/27/18	J		
588.					Buy (add'l)	10/25/18	J		
589. CORBUS PHARMACEUTICALS HLDGS		None	J	T	Buy (add'l)	06/21/18	J		
590. CROWN CASTLE INTL CORP COMMON STOCK	A	Dividend	J	T	Sold (part)	02/08/18	J	A	
591.					Sold (part)	02/12/18	J	A	
592. DANAHER CORP COMMON STOCK	A	Dividend	J	T					
593. DOWDUPONT INC	A	Dividend			Buy (add'l)	01/08/18	J		

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

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.)

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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)
594.					Sold	10/24/18	J		
595. EATON VANCE FLOATING RATE	A	Dividend			Buy	06/22/18	K		
596.					Sold	12/07/18	K		
597. EATON VANCE SHORT DURATION GOVT INC		None	J	T	Buy	12/07/18	J		
598. FACEBOOK INC COMMON STOCK		None	K	T	Buy	07/26/18	J		
599.					Buy (add'l)	10/11/18	J		
600.					Buy (add'l)	12/06/18	J		
601. FIRST TRUST NASDAQ-100-TECH	A	Dividend			Buy	02/12/18	J		
602.					Buy (add'l)	03/09/18	J		
603.					Buy (add'l)	10/11/18	J		
604.					Sold	10/24/18	K		
605. FIRST TRUST SENIOR LOAN FUND	A	Dividend	J	T	Sold (part)	02/08/18	J		
606. FRESHPET INC COMMON STOCK (SEE NOTE 21 IN SECT VIII)		None			Sold (part)	05/03/18	J	A	
607.					Sold (part)	05/07/18	J	B	
608.					Sold (part)	07/26/18	J	B	
609.					Sold (part)	07/30/18	J	B	
610.					Sold (part)	08/02/18	J	B	

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

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)
611.					Sold (part)	08/03/18	J	B	
612. GQG PARTNERS EMRG MKTS EQ INS	A	Dividend	K	T	Buy	03/12/18	J		
613.					Buy (add'l)	04/05/18	J		
614.					Sold (part)	06/21/18	J		
615.					Buy (add'l)	08/20/18	J		
616.					Buy (add'l)	11/15/18	J		
617. GREENSKY INC CL A COMMON STOCK		None	J	T	Buy	12/07/18	J		
618.					Buy (add'l)	12/10/18	J		
619.					Buy (add'l)	12/20/18	J		
620.					Buy (add'l)	12/21/18	J		
621. HONEYWELL INTERNATIONAL INC COMMON STOCK	A	Dividend	J	T					
622. INVESCO PREMIER INST	A	Dividend			Buy	06/25/18	L		
623.					Sold (part)	07/26/18	J		
624.					Sold (part)	08/21/18	J		
625.					Sold (part)	08/22/18	K		
626.					Sold	10/11/18	J		
627. IQVIA HOLDINGS INC COMMON		None	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	

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)
628. ISHARES EDGE MSCI US MOMENTUM	A	Dividend	K	T	Buy	04/04/18	J		
629.					Buy (add'l)	11/15/18	J		
630. ISHARES FACTOR SELECT MSCI	A	Dividend	K	T	Buy	08/23/18	J		
631.					Buy (add'l)	11/15/18	J		
632. ISHARES MSCI GROWTH ETF	A	Dividend	J	T					
633. ISHARES S&P MIDCAP 400 INDEX	A	Dividend	K	T	Buy	11/27/18	K		
634. JPMORGAN HEDGED EQUITY MUTUAL FUND		None			Sold	02/12/18	J	A	
635. KINDER MORGAN INCORP COMMON STOCK	A	Dividend	K	T	Buy (add'l)	02/12/18	J		
636. LOOMIS SR FLTNG RT & FX INC	A	Dividend			Buy	06/22/18	K		
637.					Sold (part)	12/07/18	J		
638.					Sold	12/19/18	J		
639. OAKMARK INTERNATIONAL MUTUAL FUND	A	Dividend	J	T	Sold (part)	03/09/18	J	B	
640.					Sold (part)	06/21/18	J	A	
641. ONEOK INC COMMON STOCK	A	Dividend	J	T	Sold (part)	06/21/18	J	A	
642. PENNANTPARK FLTG RT CAP LTD FUND	B	Dividend	J	T					
643. PENNANTPARK INVESTMENT CORP FUND	B	Dividend	J	T					
644. PLAINS GP HOLDINGS LP		None	J	T	Buy	09/28/18	J		

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)
645.					Buy (add'l)	10/01/18	J		
646.					Buy (add'l)	10/02/18	J		
647. INVESCO BUYBACK ACH (FKA POWERSHARES INTL BUYBACK FUND)	A	Dividend	J	T					
648. PROSHARES TR S&P 500 DV ARIST FUND	A	Dividend	K	T					
649. SALESFORCE.COM INC COMMON STOCK		None	J	T	Buy	12/13/18	J		
650. SOLAR CAPITAL LTD FUND	A	Dividend	J	T					
651. SPDR S&P 500 ETF TRUST		None	J	T	Buy	11/15/18	J		
652. SPDR S&P MIDCAP 400 ETF TRUST	A	Dividend			Sold	11/27/18	K	D	
653. STARBUCKS CORP COMMON STOCK	A	Dividend			Sold	06/25/18	J		
654. STARWOOD PROPERTY TRUST CMN STOCK	B	Dividend	J	T					
655. TERRAFORM PWR INC	B	Dividend	K	T	Buy (add'l)	02/08/18	J		
656. THE FINANCIAL SEL SECT SPDR FUND	A	Dividend			Buy	03/26/18	K		
657.					Sold (part)	06/21/18	J		
658.					Sold	10/24/18	J		
659. THERMO FISHER SCIENTIFIC COMMON STOCK	A	Dividend	K	T	Sold (part)	06/21/18	J	A	
660. TORONTO DOM BK COMMON STOCK	A	Dividend			Sold	03/26/18	K	C	

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)
661. VANGUARD INFO TECH ETF	A	Dividend	K	T					
662. VANGUARD MID-CAP ETF	A	Dividend	J	T					
663. VERIZON COMMUNICATIONS COMMON STOCK	A	Dividend	K	T	Buy (add'l)	06/19/18	J		
664. VIRTUS VONTOBEL EMG (FKA VIRTU INSIGHT EMG MKTS) MUTUAL FUND		None			Sold	06/21/18	J	B	
665. VISA INC COMMON STOCK	A	Dividend	K	T					
666. WALT DISNEY CO HLDG CO COMMON STOCK	A	Dividend	K	T	Buy (add'l)	05/10/18	J		
667. WELLS FARGO & CO COMMON STOCK	A	Dividend			Sold (part)	03/26/18	J	B	
668.					Sold	06/21/18	J	B	
669. WISDOMTREE CBOE S&P 500 ETF	B	Dividend	K	T	Sold (part)	03/09/18	J	A	
670.					Sold (part)	07/20/18	J	A	
671.					Buy (add'l)	10/11/18	J		
672.					Buy (add'l)	10/25/18	J		
673. WISDOMTREE EURO SM CAP DIV ETF	A	Dividend	J	T	Sold (part)	03/09/18	J	B	
674.					Sold (part)	06/21/18	J	A	
675. WISDOMTREE SMALL CAP DIV FUND	A	Dividend	J	T					
676. WISDOMTREE TRUST MIDCAP EARN FUND	A	Dividend	K	T	Sold (part)	06/21/18	J	A	
677. WISDOMTREE TRUST CHINA DIV EX	A	Dividend	J	T	Buy	08/16/18	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 \$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				
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678.					Buy (add'l)	08/22/18	J		
679.					Buy (add'l)	11/15/18	J		
680. ADDITIONAL COMMN STOCKS/FUNDS (NON-IRA) (LINES 681-734) (H)									
681. SCHLUMBERGER COMMON STOCK	B	Dividend			Buy	01/08/18	L		
682.					Buy (add'l)	02/07/18	J		
683.					Sold (part)	09/05/18	J		
684.					Sold	12/10/18	K		
685. SEMPRA ENERGY COMMON STOCK	B	Dividend	L	T	Buy (add'l)	12/21/18	J		
686.					Buy (add'l)	12/24/18	J		
687. SPDR S&P 500 ETF	B	Dividend			Sold	01/18/18	N	D	
688. SPDR S&P BANK ETF	A	Dividend			Sold	06/07/18	K	D	
689. SPDR S&P MIDCP 400 ETF TRUST	A	Dividend			Sold	06/07/18	M	E	
690. SPDR S&P REGIONAL BANKING\	A	Dividend			Sold	06/07/18	J	C	
691. SONIC CORP COMMON STOCK	G	Dividend			Sold (part)	04/24/18	O	G	
692.					Sold (part)	06/21/18	O	G	
693.					Sold (part)	06/22/18	P1	H1	
694.					Sold	12/10/18	P3	H2	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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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695. STARBUCKS COMMON STOCK	B	Dividend			Sold	05/22/18	M		
696. TE CONNECTIVITY COMMON STOCK	B	Dividend	L	T	Buy (add'l)	12/21/18	J		
697.					Buy (add'l)	12/24/18	J		
698. THE TRAVELLERS COMMON STOCK	A	Dividend			Buy (add'l)	02/07/18	J		
699.					Sold	07/30/18	L	C	
700. UBIQUITI NETWORKS COMMON STOCK		None			Sold	01/03/18	M	F	
701. UNITED HEALTH GROUP COMMON STOCK	B	Dividend	M	T	Sold (part)	01/17/18	J	D	
702.					Buy (add'l)	12/21/18	J		
703.					Buy (add'l)	12/24/18	J		
704. US BANCORP COMMON STOCK	A	Dividend			Sold (part)	01/17/18	J	B	
705.					Sold (part)	02/07/18	J	A	
706.					Sold	03/26/18	J		
707. UNITED TECHNOLOGIES COMMON STOCK	C	Dividend			Buy	02/26/18	N		
708.					Sold	12/20/18	M		
709. VANGUARD FTSE EMERGING MARKETS FUND	A	Dividend			Sold	06/07/18	K	C	
710. VANGUARD INDEX FUNDS S&P 500 ETF	A	Dividend			Sold	06/07/18	M	E	
711. VANGUARD SMALL CAP ETF	A	Dividend			Sold	06/07/18	M	E	

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2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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712. VIRTUS VONTOBEL (FKA VIRTUS INSIGHT)		None			Sold	06/08/18	K	D	
713. VISA COMMON STOCK	C	Dividend	O	T					
714. WALGREENS COMMON STOCK	E	Dividend	O	T					
715. WALMART CORP COMMON STOCK	A	Dividend	L	T	Buy	06/27/18	J		
716.					Buy (add'l)	07/30/18	J		
717.					Buy (add'l)	10/30/18	J		
718.					Buy (add'l)	11/12/18	J		
719.					Buy (add'l)	12/10/18	J		
720.					Buy (add'l)	12/21/18	J		
721.					Buy (add'l)	12/24/18	J		
722.					Buy (add'l)	12/28/18	K		
723. WELLS FARGO COMMON STOCK	B	Dividend	L	T	Buy (add'l)	01/17/18	J		
724.					Sold (part)	02/07/18	K	A	
725.					Buy (add'l)	07/30/18	J		
726.					Buy (add'l)	12/21/18	J		
727.					Buy (add'l)	12/24/18	J		
728. WISDOMTREE EUROPE HEDGED EQUITY FUND	A	Dividend			Sold	06/07/18	J	C	

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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729. WISDOMTREE EURO SM CAP DIV FUND	A	Dividend			Sold	06/07/18	K	D	
730. WISDOMTREE MID CAP DIV FUND	A	Dividend			Sold	06/07/18	L	D	
731. WISDOMTREE TRUST MDCP EARN FUND	A	Dividend			Sold	06/07/18	L	E	
732. WISDOMTREE TRUST US QTLY DIV GRT FUND	A	Dividend			Sold	06/07/18	L	E	
733. WISDOMTREE TRUST US SM CAP DIV	A	Dividend			Sold	06/07/18	K	B	
734. ZAYO GROUP HOLDINGS COMMON STOCK		None			Sold	09/12/18	M	D	
735. MLP ACCOUNT (LINES 736-745) (H)									
736. BLACKSTONE GROUP COMMON STOCK (SEE NOTE 1 IN SECT VIII)	D	Distribution			Sold	06/07/18	M		
737. BUCKEYE PARTNERS (SEE NOTE 1 IN SECT VIII)	D	Distribution			Sold	06/07/18	M		
738. ENERGY TRANS EQTY LP (SEE NOTE 1 IN SECT VIII)	D	Distribution			Sold	06/07/18	N	G	
739. ENERGY TRANSFER LP (SEE NOTE 1 IN SECT VIII)	D	Distribution			Sold	06/07/18	L		
740. ENTERPRISE GP/AKA ENTERPRISE PRODS LP (NOTE 1 IN SECT VIII)	D	Distribution			Sold	06/07/18	M	F	
741. MAGELLAN MIDSTREAM PARTNERS LP (SEE NOTE 1 IN SECT VIII)	B	Distribution			Sold	06/07/18	L	E	
742. MPLX (SEE NOTE 1 IN SECT VIII)	D	Dividend			Sold	06/07/18	M		
743. PJT PARTNERS INC CMN STK	A	Dividend			Sold	06/07/18	J	D	
744. WESTERN GAS PARTNERS (SEE NOTE 1 IN SECT VIII)	B	Distribution			Sold	06/07/18	L	E	

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745. ANDEAVOR (FKA TESORO AND WESTERN REFINING) (NOTE 1 SECT VIII)	B	Dividend			Sold	06/07/18	M	G	
746. GS PUT ACCT (LINES 747-814) (NOTES 3 & 12 IN SECT VIII) (H)									
747. XSP PUT - CONTRACT OPENED (EXP 3/16/18)		None			Sold	01/09/18	J		
748. CONTRACT CLOSED					Buy	03/13/18	J	B	
749. XSP PUT - CONTRACT CLOSED (EXPIRED 1/19/18) OPENED IN 2017		None			Buy	01/18/18	J	B	
750. XSP PUT - CONTRACT OPENED (EXPIRES - 3/2/18)		None			Sold	01/18/18	J		
751. CONTRACT CLOSED					Buy	03/01/18	J		
752. XSP PUT - CONTRACT CLOSED (EXPIRED 2/16/18) OPENED IN 2017		None			Buy	02/14/18	J	B	
753. XSP PUT - CONTRACT OPENED (EXPIRES 4/20/2018)		None			Sold	02/14/18	J		
754. CONTRACT CLOSED					Buy	04/20/18	J	B	
755. XSP PUT - CONTRACT CLOSED (EXPIRED 2/16/18) (OPENED IN 2017)		None			Expired	02/16/18	J	C	
756. XSP PUT - CONTRACT OPENED (EXPIRES 5/18/18)		None			Sold	02/22/18	J		
757. CONTRACT CLOSED					Buy	05/15/18	J	C	
758. XSP PUT - CONTRACT OPENED (EXPIRES 4/20/2018)		None			Sold	03/01/18	J		
759. CONTRACT CLOSED					Buy	04/17/18	J	C	
760. XSP PUT - CONTRACT OPENED (EXPIRES 3/29/18)		None			Sold	03/01/18	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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