

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

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 9/26/2017
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 01/01/2016 to 12/31/2016
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 NONE 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. 2016*	Morgan Stanley Pension Benefit
2. 2016*	Sonic Corp - various Board & Committee Fees
3. 2016*	Blackstone, Vestar, Harding Services and HighCape - Fee Income
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.	Janet and Ben Cheever	Golf Club (gift to reporting person's spouse)	\$450.00
2.	Janet and Ben Cheever	Earphones (gift to reporting person's spouse) (dollar value estimated)	\$200.00
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	PI
2.	American Express	Credit Card	K
3.	Citibank	Credit Card	J
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	B	Dividend	L	T					
2. MORGAN STANLEY BANK/CASH	A	Interest	K	T					
3. ALLERGAN CMN STK (NOTE 12 IN SECT VIII)		None	J	T	Sold	02/04/16	J	A	
4.					Buy	12/30/16	J		
5. ALPHABET INC COMMON STOCK		None	J	T					
6. AMAZON COM INC COMMON STOCK		None	J	T	Buy	06/24/16	J		
7.					Buy (add'l)	07/14/16	J		
8. AMER INTL GP INC COMMON STOCK	A	Dividend			Sold (part)	07/19/16	J	B	
9.					Sold	07/26/16	J	B	
10. AMGEN INC COMMON STOCK	A	Dividend			Buy (add'l)	02/17/16	J		
11.					Sold	03/15/16	J	A	
12. APPLE INC COMMON STOCK	A	Dividend	K	T					
13. AQR STYLE PREMIA ALT FUND	A	Dividend	J	T	Buy	02/29/16	J		
14.					Buy (add'l)	03/17/16	J		
15.					Buy (add'l)	04/08/16	J		
16.					Sold (part)	06/24/16	J		
17. ARES CAPITAL CORP FUND	A	Dividend	J	T	Buy	07/05/16	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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18.					Buy (add'l)	07/06/16	J		
19. AVENUE INCOME CREDIT FUND	A	Dividend			Sold (part)	01/14/16	J		
20.					Sold	01/15/16	J		
21. BOEING CO COMMON STOCK	A	Dividend			Buy (add'l)	02/19/16	J		
22.					Sold (part)	05/13/16	J		
23.					Sold	06/01/16	J		
24. BUCKEYE PARTNERS LP COMMON STOCK (SEE NOTE 1 IN SECT VIII)	A	Distribution	J	T					
25. CATALENT INC COMMON STOCK (SEE NOTE 21 IN SECT VIII)		None			Sold (part)	02/19/16	J	A	
26.					Sold (part)	03/15/16	J	A	
27.					Sold (part)	03/16/16	J	A	
28.					Sold (part)	03/17/16	J	A	
29.					Sold (part)	03/21/16	J	A	
30. CIT GROUP INC COMMON STOCK	A	Dividend	J	T	Buy	06/24/16	J		
31. CROWN CASTLE INTL CORP COMMONS STOCK	A	Dividend	J	T	Buy	07/29/16	J		
32.					Buy (add'l)	08/15/16	J		
33.					Buy (add'l)	11/02/16	J		
34. ENTERPRISE PROD PARTNERS LP (SEE NOTE 1 IN SECT VIII)		None	J	T	Buy (add'l)	03/04/16	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	
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35. ENVESTNET INC COMMON STOCK		None			Sold (part)	01/11/16	J		
36.					Sold	01/20/16	J		
37. FIDELITY ADV HEALTH CARE INST MUTUAL FUND		None			Buy (add'l)	01/08/16	J		
38.					Buy (add'l)	01/22/16	J		
39.					Sold (part)	03/09/16	J		
40.					Sold	03/15/16	J		
41. FIRST TRUST DORSEY WRIGHT FO FUND		None			Sold (part)	01/20/16	J		
42.					Sold	02/05/16	J	A	
43. FIRST TRUST DW FOCUS 5 INTL FUND		None			Sold (part)	01/20/16	J		
44.					Sold	02/09/16	J		
45. FRESHPET INC COMMON STOCK		None	J	T					
46. GEO GROUP INC COMMON STOCK	A	Dividend			Sold (part)	07/06/16	J	A	
47.					Sold (part)	07/07/16	J	A	
48.					Sold (part)	07/08/16	J	A	
49.					Sold	07/11/16	J	A	
50. GTT COMMUNICATIONS INC COMMON STOCK		None	J	T	Buy	07/08/16	J		
51.					Buy (add'l)	07/29/16	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	L = \$50,001 - \$100,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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52.					Buy (add'l)	08/16/16	J		
53. GULFPORT ENERGY CORP COMMON STOCK		None	J	T	Buy	12/16/16	J		
54. HAIN CELESTIAL GROUP INC COMMON STOCK		None			Buy	08/16/16	J		
55.					Sold	09/20/16	J		
56. HONEYWELL INTERNATIONAL INC COMMON STOCK	A	Dividend	J	T					
57. QUINTILES IMS C/S (FKA IMS HEALTH HOLDINGS INC) COMMON STOCK		None			Sold (part)	03/09/16	J	A	
58.					Sold (part)	03/17/16	J		
59.					Sold (part)	10/31/16	J	A	
60.					Sold	11/01/16	J	A	
61. ISHARES MSCI USA MOMENTUM ETF		None			Sold (part)	02/05/16	J	A	
62.					Sold	02/09/16	J	A	
63. ISHARES NASDAQ BIOTECH ETF	A	Dividend	J	T	Buy	06/28/16	J		
64.					Buy (add'l)	06/29/16	J		
65.					Buy (add'l)	07/07/16	J		
66. ISHARES S&P MID CAP 400 GROWTH ETF	A	Dividend	J	T					
67. ISHARES US OIL & GAS EXP PROD ETF	A	Dividend	J	T	Buy	01/22/16	J		
68.					Buy (add'l)	01/25/16	J		

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69.					Buy (add'l)	01/28/16	J		
70. JPMORGAN INTREPID EURO SEL MUTUAL FUND		None			Buy (add'l)	01/13/16	J		
71.					Sold (part)	02/09/16	J		
72.					Sold	07/19/16	J		
73. KAR AUCTION SVCS INC COMMON STOCK	A	Dividend	J	T	Sold (part)	05/13/16	J	B	
74.					Sold (part)	09/20/16	J	A	
75. MPLX LP CMN NOTE 1 IN SECT VIII)		None			Sold	02/17/16	J		
76.									
77. MATTHEWS CHINA DIVIDEND INV FUND		None			Sold	02/02/16	J		
78. MATTRESS FIRM HOLDING COMMON STOCK		None			Buy	04/18/16	J		
79.					Buy (add'l)	04/19/16	J		
80.					Sold (part)	08/08/16	J	B	
81.					Sold	08/09/16	J	A	
82. MCKESSON CORP COMMON STOCK		None			Buy	02/26/16	J		
83.					Sold	03/17/16	J		
84. NORTHERN TIER ENERGY LP COMMON STK (SEE NOTE 1 IN SECT VIII)		None			Sold (part)	01/06/16	J	B	

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85.					Sold	01/07/16	J	B	
86. OCH-ZIFF CAPITAL LP CMN STK (SEE NOTE 1 IN SECT VIII)		None			Buy (add'l)	03/01/16	J		
87.					Sold	04/12/16	J		
88. POWERSHARES ETF TR DYNA BUYBK	A	Dividend			Sold	06/29/16	J		
89. POWERSHARES INTL BUYBACK FUND	A	Dividend	J	T	Buy	06/06/16	J		
90.					Buy (add'l)	06/09/16	J		
91. PROSHARES TR S&P 500 DV ARIST FUND	A	Dividend	J	T	Buy	06/29/16	J		
92. PRUDENTIAL FINANCIAL INC COMMON STOCK		None			Sold	02/09/16	J		
93. SPDR S&P MIDCAP 400 ETF TRUST	A	Dividend	K	T					
94. SS&C TECHNOLOGIES HLDGS INC COMMON STOCK	A	Dividend			Sold	07/06/16	J		
95. TERRAFORM PWR INC COMMON STOCK (SEE NOTE 21 IN SECT VIII)		None			Buy	03/08/16	J		
96.					Buy (add'l)	03/09/16	J		
97.					Sold (part)	03/16/16	J		
98.					Sold (part)	03/17/16	J		
99. THERMO FISHER SCIENTIFIC COMMON STOCK	A	Dividend	J	T					
100. VANGUARD DIVIDEND APPRECIATION FUND	A	Dividend	K	T					
101. VANGUARD INFO TECH ETF	A	Dividend	K	T	Buy (add'l)	01/13/16	J		

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102. VANGUARD MID-CAP ETF	A	Dividend	J	T					
103. VANGUARD SMALL CAP ETF	A	Dividend	J	T					
104. VIRTUS INSIGHT EMERGING MKTS MUTUAL FUND	A	Dividend	J	T	Buy	01/13/16	J		
105. VISA INC COMMON STOCK	A	Dividend	J	T	Buy (add'l)	02/19/16	J		
106. WALT DISNEY CO HLDG CO COMMON STOCK	A	Dividend	J	T	Buy	04/19/16	J		
107.					Buy (add'l)	04/20/16	J		
108. WELLS FARGO & CO COMMON STOCK	A	Dividend	K	T	Buy (add'l)	09/20/16	J		
109.					Buy (add'l)	11/10/16	J		
110. WISDOMTREE EUROPE HEDGED EQUITY FUND		None			Sold	01/13/16	J		
111. WISDOMTREE EURO SM CAP DIV ETF	A	Dividend	J	T	Buy (add'l)	01/13/16	J		
112.					Buy (add'l)	06/29/16	J		
113. WISDOMTREE SMALL CAP DIV FUND	A	Dividend	J	T					
114. WISDOMTREE TRUST INDIA FUND		None			Sold	01/20/16	J		
115. WISDOMTREE TRUST JAPAN HEDGE EQUITY FUND		None			Sold	02/10/16	J		
116. YUM BRANDS INC COMMON STOCK	A	Dividend	J	T	Buy	03/28/16	J		
117.					Sold (part)	11/28/16	J	A	
118. IRA ACCOUNT #1									

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)
119. IRA #1 - MSSB CASH/MM	A	Interest	K	T					
120. IRA #1 - COMMON STOCKS (LINES 121-187)									
121. ALLERGAN		None			Sold	02/04/16	K		
122. ALPHABET INC		None	L	T	Buy (add'l)	01/08/16	J		
123. AMAZON COM INC		None	K	T	Buy	06/24/16	K		
124. AMER INTL GROUP INC	A	Dividend			Sold (part)	07/19/16	J	C	
125.					Sold	07/26/16	K	D	
126. AMGEN INC	A	Dividend			Sold (part)	03/09/16	J	B	
127.					Sold	03/15/16	K	C	
128. BOEING CO	A	Dividend			Buy	02/17/16	K		
129.					Buy (add'l)	03/18/16	J		
130.					Sold (part)	05/13/16	J	A	
131.					Sold	06/01/16	K	B	
132. CATALENT INC		None			Sold (part)	02/17/16	K	B	
133.					Sold	02/18/16	K		
134. CHEVRON CORP	B	Dividend	K	T					
135. CROWN CASTLE INTL CORP	B	Dividend	L	T	Buy	02/08/16	K		

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

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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.					Buy (add'l)	07/29/16	K		
137.					Buy (add'l)	09/02/16	K		
138.					Buy (add'l)	10/05/16	J		
139.					Buy (add'l)	11/02/16	K		
140.					Sold (part)	12/06/16	J	A	
141. DANAHER CORPORATION	A	Dividend	K	T					
142. FORTIVE CORP		None			Spinoff (from line 141)	07/05/16	J		
143.					Sold	07/06/16	J	C	
144. FRESHPET INC		None	K	T	Buy (add'l)	01/04/16	J		
145. GEO GROUP INC	B	Dividend			Buy (add'l)	02/23/16	J		
146.					Sold (part)	04/07/16	K	B	
147.					Sold	07/12/16	K	D	
148. GTT COMMUNICATIONS INC		None	K	T	Buy	09/01/16	J		
149.					Buy (add'l)	09/12/16	J		
150.					Buy (add'l)	09/13/16	J		
151. HAIN CELESTIAL GROUP INC		None			Buy	08/16/16	K		
152.					Sold	09/20/16	K		

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

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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. HONEYWELL INTERNATIONAL INC	B	Dividend	L	T					
154. QUINTILES IMS HOLDINGS (FKA IMS HEALTH HLDGS INC)		None			Sold (part)	01/14/16	K		
155.					Sold (part)	03/15/16	J		
156.					Sold (part)	03/16/16	J		
157.					Buy (add'l)	05/03/16	J		
158.					Sold (part)	10/31/16	J	A	
159.					Sold	11/01/16	K	A	
160. KAR AUCTION SERVICES INC	B	Dividend	K	T	Sold (part)	09/20/16	J	B	
161. MATTRESS FIRM HOLDING		None			Buy	04/18/16	J		
162.					Buy (add'l)	04/19/16	J		
163.					Buy (add'l)	04/21/16	J		
164.					Buy (add'l)	04/22/16	J		
165.					Sold (part)	08/08/16	K	D	
166.					Sold	08/09/16	J	C	
167. MEDTRONIC PLC	A	Dividend	K	T					
168. NATIONAL STORAGE AFFILIATES		None			Sold	02/19/16	K	D	
169. OCH-ZIFF CAPITAL MGMT (NOTE 1 IN SECT VIII)		None			Sold	04/12/16	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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☐ 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. PRUDENTIAL FINANCIAL		None			Sold (part)	02/03/16	J		
171.					Sold	02/09/16	K		
172. STARWOOD PROPERTY TRUST INC	C	Dividend	K	T	Buy (add'l)	03/18/16	K		
173.					Sold (part)	06/24/16	K		
174. TERRAFORM PWR INC		None			Buy	03/08/16	J		
175.					Buy (add'l)	03/09/16	J		
176.					Sold (part)	03/16/16	K		
177.					Sold (part)	03/17/16	J		
178.					Sold	03/18/16	J		
179. THERMO FISHER SCIENTIFIC	A	Dividend	K	T	Buy	01/12/16	K		
180.					Buy (add'l)	01/22/16	J		
181. VISA INC	A	Dividend	K	T	Buy (add'l)	12/05/16	J		
182. WALT DISNEY CO HLDG CO	A	Dividend	K	T	Buy	04/19/16	K		
183.					Buy (add'l)	04/20/16	K		
184. WELLS FARGO & CO	B	Dividend	L	T	Buy (add'l)	09/30/16	J		
185.					Buy (add'l)	11/10/16	J		
186. YUM BRANDS INC	A	Dividend	K	T	Buy	03/28/16	K		

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

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☐ 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.					Sold (part)	11/28/16	J	B	
188. IRA #1 - ETF AND CLOSED END FUNDS (LINES 189-229)									
189. ARES CAPITAL CORP	C	Dividend	L	T	Buy	06/03/16	K		
190.					Buy (add'l)	06/14/16	K		
191.					Buy (add'l)	11/02/16	K		
192. AVENUE INCOME CREDIT FUND	C	Dividend	K	T					
193. BLACKROCK CORP HIGH YLD FD INC	C	Dividend	K	T	Sold (part)	06/03/16	K	A	
194. FIRST TRUST DORSEY WRIGHT FUND		None			Sold (part)	01/20/16	K		
195.					Sold	02/05/16	K		
196. FIRST TRUST SENIOR LOAN FUND	A	Dividend	K	T	Buy	08/08/16	K		
197.					Buy (add'l)	08/09/16	K		
198. ISHARES MSCI EAFE GROWTH ETF	A	Dividend	K	T	Sold (part)	01/20/16	K		
199. ISHARES MSCI USA MOMENTUM FUND		None			Sold (part)	02/05/16	K	A	
200.					Sold	02/09/16	K	A	
201. ISHARES NASDAQ BIOTECH ETF	A	Dividend	K	T	Buy	06/28/16	K		
202.					Buy (add'l)	06/29/16	K		
203. ISHARES US OIL & GAS EXP PROD	A	Dividend	L	T	Buy	01/22/16	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	
(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.)

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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)
204.					Buy (add'l)	01/25/16	K		
205.					Buy (add'l)	01/28/16	K		
206. PENNANTPARK FLTGT RT CAP LTD	C	Dividend	K	T	Buy (add'l)	01/29/16	J		
207. PENNANTPARK INVESTMENT CORP	C	Dividend	K	T	Buy (add'l)	11/23/16	J		
208. POWERSHARES INTL BUYBACK	B	Dividend	K	T	Buy	06/06/16	K		
209.					Buy (add'l)	06/08/16	J		
210.					Buy (add'l)	06/09/16	J		
211. POWERSHARES ETF TR DYNA BUYBACK	A	Dividend			Sold	04/01/16	L	D	
212. PROSHARES TR S&P 500 DV ARIST FUND	B	Dividend	L	T	Buy (add'l)	04/01/16	L		
213. SOLAR SENIOR CAPITAL LTD FUND	A	Dividend			Sold (part)	07/12/16	J	A	
214.					Sold (part)	07/13/16	J	A	
215.					Sold	07/14/16	J	A	
216. SOLAR CAPITAL LTD FUND	C	Dividend	K	T					
217. SPDR S&P MIDCAP 400 ETF TRUST	A	Dividend	L	T	Sold (part)	04/07/16	K	C	
218. TORTOISE ENERGY INFRA FUND		None			Sold	02/17/16	K		
219. VANGUARD INFO TECH ETF	A	Dividend	L	T	Buy (add'l)	01/14/16	J		
220. VANGUARD MIDCAP ETF	A	Dividend	K	T	Sold (part)	04/07/16	K	A	

1. Income Gain Codes:	A = \$1,000 or less	B = \$1,001 - \$2,500	C = \$2,501 - \$5,000	D = \$5,001 - \$15,000	E = \$15,001 - \$50,000
(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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221. VANGUARD SMALL CAP ETF	A	Dividend	L	T					
222. WISDOMTREE CBOE S&P 500 ETF		None	L	T	Buy	12/06/16	L		
223. WISDOMTREE EUROPE HEDGED EQUITY		None			Sold	01/14/16	K		
224. WISDOMTREE EURO SM CAP DIV ETF	B	Dividend	L	T	Buy	01/14/16	K		
225.					Buy (add'l)	06/29/16	K		
226. WISDOMTREE MID CAP DIV	B	Dividend	L	T	Buy	04/07/16	L		
227. WISDOMTREE SMALL CAP DIV FUND	B	Dividend	K	T					
228. WISDOMTREE TRUST JAPAN HEDGE EQUITY FUND		None			Sold	02/10/16	K		
229. WISDOMTREE TRUST MDCP EARN FUND	A	Dividend	K	T					
230. IRA #1 - MUTUAL FUND(S) (LINES 231-250)									
231. AQR LONG-SHORT EQUITY	B	Dividend	L	T	Buy	03/22/16	K		
232.					Buy (add'l)	09/01/16	K		
233. AQR MANAGED FUTURES STRATEGY	A	Dividend	K	T	Buy	08/08/16	K		
234. AQR STYLE PREMIA ALTERNATIVE	A	Dividend	K	T	Buy	02/08/16	K		
235.					Buy (add'l)	02/29/16	K		
236.					Buy (add'l)	03/17/16	K		
237.					Sold (part)	06/24/16	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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	(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.					Sold (part)	06/29/16	K		
239.					Sold (part)	12/06/16	J		
240. FIDELITY ADV HEALTH CARE INST MUTUAL FUND		None			Buy (add'l)	01/08/16	K		
241.					Sold	03/15/16	K		
242. GOTHAM ENHANCED RETURN INSTL		None			Sold	01/13/16	K		
243. GOTHAM NEUTRAL FUND		None			Sold	01/13/16	K		
244. JPMORGAN INTREPID EURO SEL MUTUAL FUND		None			Buy (add'l)	01/08/16	J		
245.					Buy (add'l)	01/14/16	K		
246.					Sold (part)	02/09/16	K		
247.					Sold	07/19/16	K		
248. LOCORR MARKET TREND FUND		None			Sold	11/23/16	K		
249. MATTHEWS CHINA DIVIDEND INV		None			Sold	02/02/16	K		
250. VIRTUS INSIGHT EMERG MKTS	A	Dividend	K	T	Buy (add'l)	01/08/16	J		
251. BIF TAX-EXEMPT FUND/CASH	A	Dividend			Closed	07/08/16	M		
252. BIF MONEY FUND/CASH	A	Dividend	K	T	Open	07/08/16	M		
253. ADDITIONAL COMMON STOCKS AND FUNDS (NON-IRA)(LINES 254-433)									
254. ABBVIE COMMON STOCK	D	Dividend	N	T	Buy	01/25/16	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 \$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. CHUBB (FKA AS ACE LTD) COMMON STOCK	D	Dividend	N	T					
256. ALLERGAN COMMON STOCK		None			Buy	03/18/16	M		
257.					Sold	03/31/16	M		
258. AMAZON.COM COMMON STOCK		None	N	T	Buy	05/16/16	N		
259.					Buy (add'l)	07/22/16	M		
260. AMGEN COMMON STOCK	E	Dividend	O	T					
261. APPLE INC COMMON STOCK	C	Dividend	M	T					
262. APPLIED MATERIALS COMMON STOCK	B	Dividend	M	T	Buy (add'l)	03/10/16	J		
263. AT&T COMMON STOCK	A	Dividend	L	T	Buy	08/04/16	L		
264. AUTOZONE COMMON STOCK		None	N	T	Buy	07/14/16	N		
265. FLY LEASING COMMON STOCK		None			Sold	01/14/16	J	A	
266. BERKSHIRE HATHAWAY COMMON STOCK		None	O	T					
267. BLACKROCK INC COMMON STOCK	E	Dividend	P1	T					
268. BOEING COMMON STOCK	D	Dividend			Sold (part)	08/04/16	M		
269.					Sold	10/27/16	M	F	
270. CABOT OIL & GAS COMMON STOCK	A	Dividend	M	T					
271. CDK GLOBAL INC COMMON STOCK	C	Dividend	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 \$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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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)

272. CME GROUP COMMON STOCK	D	Dividend	M	T					
273. COGNIZANT TECH SOLUTIONS COMMON STOCK		None	N	T					
274. COMCAST COMMON STOCK	B	Dividend	M	T					
275. CONOCOPHILLIPS COMMON STOCK		None			Sold	01/26/16	L		
276. CONS DISCRET SEL SECT SPDR FUND	A	Dividend	K	T	Buy (add'l)	07/06/16	J		
277.					Sold (part)	07/06/16	J	A	
278.					Buy (add'l)	07/12/16	J		
279.					Buy (add'l)	07/18/16	J		
280.					Buy (add'l)	07/25/16	J		
281.					Buy (add'l)	08/01/16	J		
282.					Buy (add'l)	08/08/16	J		
283.					Buy (add'l)	08/15/16	J		
284.					Buy (add'l)	08/23/16	J		
285.					Buy (add'l)	09/12/16	J		
286. CROWN CASTLE COMMON STOCK	C	Dividend	M	T	Buy (add'l)	08/04/16	J		
287. ELI LILLY COMMON STOCK	B	Dividend			Sold	06/16/16	M		
288. ENERGY SEL SECT SPDR FUND (SEE NOTE 12 IN SECT VIII)	A	Dividend	J	T	Sold	02/29/16	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

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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)
289.					Buy	07/06/16	J		
290.					Buy (add'l)	07/12/16	J		
291. FINANCIAL SEL SCT SPDR FUND	A	Dividend			Buy (add'l)	07/06/16	J		
292.					Buy (add'l)	08/08/16	J		
293.					Buy (add'l)	08/23/16	J		
294.					Sold	10/24/16	K	A	
295. FIRST TRUST CONSUMER STAPLES ETF	A	Dividend			Buy (add'l)	07/06/16	J		
296.					Buy (add'l)	07/12/16	J		
297.					Sold	10/24/16	J		
298. FIRST TRUST DORSEY WRIGHT FUND		None			Sold	02/05/16	J		
299. FIRST TRUST INDS/PRODS ETF	A	Dividend			Buy (add'l)	07/06/16	J		
300.					Buy (add'l)	07/12/16	J		
301.					Buy (add'l)	07/18/16	J		
302.					Buy (add'l)	07/25/16	J		
303.					Buy (add'l)	08/01/16	J		
304.					Buy (add'l)	08/08/16	J		
305.					Buy (add'l)	08/15/16	J		

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

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
306.					Sold	10/24/16	K	A	
307. GENERAL MOTORS COMMON STOCK	D	Dividend	M	T					
308. GUGGENHEIM S&P 500 EQUITY WEIGHT FUND	A	Dividend	L	T	Buy (add'l)	07/06/16	J		
309.					Buy (add'l)	07/12/16	J		
310.					Buy (add'l)	07/18/16	J		
311.					Buy (add'l)	07/25/16	J		
312.					Buy (add'l)	08/01/16	J		
313.					Buy (add'l)	08/08/16	J		
314.					Buy (add'l)	08/15/16	J		
315.					Buy (add'l)	08/23/16	J		
316.					Buy (add'l)	08/29/16	J		
317. HEALTH CARE SEL SECT SPDR FUND	A	Dividend			Buy (add'l)	03/22/16	J		
318.					Buy (add'l)	07/06/16	J		
319.					Sold (part)	07/06/16	J	A	
320.					Buy (add'l)	07/12/16	J		
321.					Buy (add'l)	07/18/16	J		
322.					Buy (add'l)	07/25/16	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)
323.					Buy (add'l)	08/01/16	J		
324.					Buy (add'l)	08/08/16	J		
325.					Buy (add'l)	08/15/16	J		
326.					Buy (add'l)	08/23/16	J		
327.					Sold	10/24/16	K		
328. HOME DEPOT COMMON STOCK	C	Dividend	M	T					
329. INTERNATIONAL PAPER CO COMMON STOCK		None			Sold	01/14/16	L	E	
330. INVESCO COMMON STOCK	B	Dividend			Sold	07/13/16	L		
331. ISHARES EDGE MSCI MIN VOL USA ETF	A	Dividend	K	T	Buy	10/24/16	K		
332. ISHARES MSCI EAFE SM CAP ETF	A	Dividend	K	T	Buy (add'l)	07/06/16	J		
333.					Buy (add'l)	07/12/16	J		
334.					Buy (add'l)	07/18/16	J		
335.					Buy (add'l)	07/25/16	J		
336.					Buy (add'l)	08/01/16	J		
337.					Buy (add'l)	08/08/16	J		
338.					Buy (add'l)	08/15/16	J		
339.					Buy (add'l)	08/23/16	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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340.					Buy (add'l)	08/29/16	J		
341. ISHARES MSCI EAFE GROWTH ETF	A	Dividend	K	T	Buy (add'l)	07/06/16	J		
342.					Buy (add'l)	07/12/16	J		
343.					Buy (add'l)	07/18/16	J		
344.					Buy (add'l)	07/25/16	J		
345.					Buy (add'l)	08/01/16	J		
346.					Buy (add'l)	08/08/16	J		
347.					Buy (add'l)	08/15/16	J		
348.					Buy (add'l)	08/23/16	J		
349.					Buy (add'l)	08/29/16	J		
350. ISHARES MSCI USA MOMENTUM ETF		None			Sold (part)	02/05/16	J	A	
351.					Sold	02/09/16	J	A	
352. ISHARES NASDAQ BIOTECH ETF	A	Dividend	K	T	Buy	07/06/16	J		
353.					Buy (add'l)	07/18/16	J		
354.					Buy (add'l)	07/25/16	J		
355.					Buy (add'l)	08/23/16	J		
356.					Buy (add'l)	08/26/16	J		

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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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357. ISHARES S&P 500 VAL ETF	A	Dividend	L	T	Buy	02/17/16	J		
358.					Buy (add'l)	07/06/16	J		
359.					Buy (add'l)	07/12/16	J		
360.					Buy (add'l)	07/18/16	J		
361.					Buy (add'l)	07/25/16	J		
362.					Buy (add'l)	08/01/16	J		
363.					Buy (add'l)	08/08/16	J		
364.					Buy (add'l)	08/15/16	J		
365.					Buy (add'l)	08/23/16	J		
366.					Buy (add'l)	08/29/16	J		
367.					Buy (add'l)	09/12/16	J		
368. ISHARES US TECHNOLOGY ETF	A	Dividend	K	T	Sold (part)	02/29/16	J	A	
369.					Buy (add'l)	07/06/16	J		
370.					Buy (add'l)	07/12/16	J		
371.					Buy (add'l)	07/18/16	J		
372.					Buy (add'l)	07/25/16	J		
373.					Buy (add'l)	08/01/16	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)
374.					Buy (add'l)	08/08/16	J		
375.					Buy (add'l)	08/15/16	J		
376. JOHNSON & JOHNSON COMMON STOCK	E	Dividend	P1	T					
377. JPMORGAN CHASE COMMON STOCK	C	Dividend	M	T					
378. JPMORGAN INTREPID EURO SEL MUTUAL FUND		None			Buy (add'l)	07/06/16	J		
379.					Buy (add'l)	07/12/16	J		
380.					Buy (add'l)	07/18/16	J		
381.					Sold (part)	07/19/16	K		
382.					Sold	07/20/16	J		
383. LAS VEGAS SANDS COMMON STOCK		None			Sold	01/26/16	L		
384. MATERIALS SEL SECT SPDR FUND	A	Dividend			Sold	07/06/16	J	A	
385. MEDTRONIC PLC COMMON STOCK	C	Dividend	M	T	Sold (part)	01/26/16	K	B	
386.					Sold (part)	06/01/16	K	C	
387. MICROSOFT COMMON STOCK	D	Dividend	N	T	Buy (add'l)	12/19/16	L		
388. NOVO-NORDISK COMMON STOCK	D	Dividend			Buy (add'l)	08/11/16	L		
389.					Sold	11/22/16	N		
390. OAKTREE CAPITAL GROUP COMMON STOCK (NOTE 1 IN SEC VIII)	E	Distribution			Sold	12/29/16	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	

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)
391. OCCIDENTAL PETE CORP COMMON STOCK	D	Dividend			Sold	06/16/16	M	E	
392. ORACLE CORP COMMON STOCK	B	Dividend			Sold	12/29/16	L	E	
393. PACKAGING CORP COMMON STOCK	D	Dividend			Donated				
394. PEPSICO COMMON STOCK	C	Dividend	M	T					
395. PFIZER INC COMMON STOCK (SEE NOTE 12 IN SECT VIII)	C	Dividend	M	T	Sold	04/28/16	M	F	
396.					Buy	07/13/16	L		
397.					Buy (add'l)	08/04/16	K		
398. PIONEER NATURAL RESOURCES COMMON STOCK	A	Dividend	N	T					
399. POWERSHARES ETF TR DYNA BUYBK	A	Dividend			Sold	06/29/16	J		
400. POWERSHARES INTL BUYBACK	A	Dividend	K	T	Buy	04/01/16	J		
401.					Buy (add'l)	04/05/16	J		
402.					Buy (add'l)	07/06/16	J		
403.					Buy (add'l)	07/12/16	J		
404.					Buy (add'l)	07/18/16	J		
405.					Buy (add'l)	07/25/16	J		
406.					Buy (add'l)	08/01/16	J		
407.					Buy (add'l)	08/08/16	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)
408.					Buy (add'l)	08/15/16	J		
409.					Buy (add'l)	08/23/16	J		
410.					Buy (add'l)	08/29/16	J		
411. POWERSHARES S&P 500 LOW VOLA ETF	A	Dividend	L	T	Buy (add'l)	07/06/16	J		
412.					Buy (add'l)	07/12/16	J		
413.					Buy (add'l)	07/18/16	J		
414.					Buy (add'l)	07/25/16	J		
415.					Buy (add'l)	08/01/16	J		
416.					Buy (add'l)	08/08/16	J		
417.					Buy (add'l)	08/15/16	J		
418.					Buy (add'l)	08/23/16	J		
419.					Buy (add'l)	08/29/16	J		
420.					Buy (add'l)	09/12/16	J		
421. PROSHARES TR S&P 500 DV ARIST FUND	B	Dividend	L	T	Buy (add'l)	07/06/16	K		
422.					Buy (add'l)	07/12/16	J		
423.					Buy (add'l)	07/18/16	J		
424.					Buy (add'l)	07/25/16	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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Name of Person Reporting

Wood, Kimba M.

Date of Report

9/26/2017

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)
425.					Buy (add'l)	08/01/16	J		
426.					Buy (add'l)	08/08/16	J		
427.					Buy (add'l)	08/15/16	J		
428.					Buy (add'l)	08/23/16	J		
429.					Buy (add'l)	08/29/16	J		
430.					Buy (add'l)	09/12/16	J		
431. QUALCOMM COMMON STOCK	B	Dividend			Sold	07/19/16	M		
432. RAYTHEON COMMON STOCK	A	Dividend	M	T	Buy	07/19/16	L		
433.					Buy (add'l)	08/04/16	K		
434. IRA ACCOUNT #2 (LINES 435-564)									
435. ALLERGAN COMMON STOCK		None			Sold	02/04/16	J		
436. ALPHABET INC COMMON STOCK		None	K	T	Buy (add'l)	01/08/16	J		
437. AMAZON COM INC COMMON STOCK		None	J	T	Buy	06/24/16	J		
438. AMERICAN INTERNATIONAL GROUP COMMON STOCK	A	Dividend			Sold (part)	07/19/16	J	B	
439.					Sold	07/26/16	J	B	
440. AMGEN INC COMMON STOCK	A	Dividend			Sold (part)	03/09/16	J	A	
441.					Sold	03/15/16	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	

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 I (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)

442. AQR LONG-SHORT EQ INST MUTUAL FUND	A	Dividend	K	T	Buy	03/22/16	J		
443.					Buy (add'l)	04/08/16	J		
444.					Sold (part)	06/29/16	J		
445.					Buy (add'l)	09/01/16	J		
446. AQR MANAGED FUTURES STRATEGY MUTUAL FUND	A	Dividend	J	T	Buy	08/08/16	J		
447. AQR STYLE PREMIA ALTERNATIVE MUTUAL FUND	A	Dividend	J	T	Buy	02/08/16	J		
448.					Buy (add'l)	02/29/16	J		
449.					Buy (add'l)	03/17/16	J		
450.					Buy (add'l)	04/08/16	J		
451.					Sold (part)	06/24/16	J		
452.					Sold (part)	06/29/16	J		
453.					Sold (part)	12/06/16	J		
454. ARES CAPITAL CORP FUND	B	Dividend	K	T	Buy	06/03/16	J		
455.					Buy (add'l)	06/14/16	J		
456.					Buy (add'l)	11/02/16	J		
457. AVENUE INCOME CREDIT FUND	A	Dividend	J	T	Buy (add'l)	07/13/16	J		
458. BLACKROCK CORP HIGH YLD FD INC	B	Dividend	J	T	Sold (part)	06/03/16	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 \$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)

459. BOEING CO COMMON STOCK	A	Dividend			Buy	02/17/16	J		
460.					Buy (add'l)	03/18/16	J		
461.					Sold (part)	05/13/16	J	A	
462.					Sold	06/01/16	J	A	
463. CATALENT INC COMMON STOCK		None			Sold (part)	02/17/16	J	A	
464.					Sold	02/18/16	J		
465. CHEVRON CORP COMMON STOCK	A	Dividend	J	T					
466. CROWN CASTLE INTL CORP COMMON STOCK	A	Dividend	K	T	Buy	02/08/16	J		
467.					Buy (add'l)	07/29/16	J		
468.					Buy (add'l)	09/02/16	J		
469.					Buy (add'l)	10/05/16	J		
470.					Buy (add'l)	11/02/16	J		
471.					Sold (part)	12/06/16	J	A	
472. DANAHER CORP COMMON STOCK	A	Dividend	J	T					
473. FIDELITY ADV HEALTH CARE INST MUTUAL FUND		None			Buy (add'l)	01/08/16	J		
474.					Sold	03/15/16	J		
475. FIRST TRUST DORSEY WRIGHT FUND		None			Sold (part)	01/20/16	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				
	(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)

476.					Sold	02/05/16	J		
477. FIRST TRUST SENIOR LOAN FUND	A	Dividend	J	T	Buy	08/08/16	J		
478.					Buy (add'l)	08/09/16	J		
479. FORTIVE CORP COMMON STOCK		None			Spinoff (from line 472)	07/05/16	J		
480.					Sold	07/06/16	J	B	
481. FRESHPET INC COMMON STOCK		None	J	T	Buy (add'l)	01/04/16	J		
482. GEO GROUP INC COMMON STOCK	A	Dividend			Buy (add'l)	02/23/16	J		
483.					Sold (part)	04/07/16	J	A	
484.					Sold	07/12/16	J	B	
485. GOTHAM ENHANCED RETURN INSTL FUND		None			Sold	01/13/16	J		
486. GOTHAM NEUTRAL FUND		None			Sold	01/13/16	J		
487. GTT COMMUNICATIONS INC COMMON STOCK		None	J	T	Buy	09/01/16	J		
488.					Buy (add'l)	09/13/16	J		
489. HAIN CELESTIAL GROUP INC COMMON STOCK		None			Buy	08/16/16	J		
490.					Sold	09/20/16	J		
491. HONEYWELL INTERNATIONAL INC COMMON STOCK	A	Dividend	K	T					
492. QUINTILES IMS HOLDINGS (FKA IMS HEALTH HLDGS) COMMON STOCK		None			Sold (part)	01/14/16	J		

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

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)
493.					Sold (part)	03/16/16	J		
494.					Buy (add'l)	05/03/16	J		
495.					Sold (part)	10/31/16	J	A	
496.					Sold	11/01/16	J	A	
497. ISHARES MSCI GROWTH ETF	A	Dividend	J	T	Sold (part)	01/20/16	J	A	
498. ISHARES MSCI USA MOMENTUM FUND		None			Sold (part)	02/05/16	J	A	
499.					Sold	02/09/16	J	A	
500. ISHARES NASDAQ BIOTECH ETF	A	Dividend	J	T	Buy	06/28/16	J		
501.					Buy (add'l)	06/29/16	J		
502. ISHARES US OIL & GAS EXP PROD ETF	A	Dividend	K	T	Buy	01/22/16	J		
503.					Buy (add'l)	01/25/16	J		
504.					Buy (add'l)	01/28/16	J		
505. JP MORGAN INTREPID EURO SEL MUTUAL FUND		None			Buy (add'l)	01/14/16	J		
506.					Sold (part)	02/09/16	J		
507.					Buy (add'l)	07/13/16	J		
508.					Sold	07/19/16	J		
509. KAR AUCTION SVCS INC COMMON STOCK	A	Dividend	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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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)

510. LOCORR MARKET TREND MUTUAL FUND		None			Sold	11/23/16	J		
511. MATTHEWS CHINA DIVIDEND INV MUTUAL FUND		None			Sold	02/02/16	J		
512. MATTRESS FIRM HOLDING COMMON STOCK		None			Buy	04/18/16	J		
513.					Buy (add'l)	04/19/16	J		
514.					Buy (add'l)	04/21/16	J		
515.					Buy (add'l)	04/22/16	J		
516.					Sold (part)	08/08/16	J	C	
517.					Sold	08/09/16	J	B	
518. MEDTRONIC PLC COMMON STOCK	A	Dividend	J	T					
519. NATIONAL STORAGE AFFILIATES COMMON STOCK		None			Sold	02/19/16	J	B	
520. OCH-ZIFF CAPITAL MANAGEMENT CMN (NOTE 1 IN SECT VIII)		None			Sold	04/12/16	J		
521. PENNANTPARK FLTG RT CAP LTD FUND	B	Dividend	J	T	Buy (add'l)	01/29/16	J		
522. PENNANTPARK INVESTMENT CORP FUND	B	Dividend	J	T	Buy (add'l)	11/23/16	J		
523. POWERSHRES ETF TR DYNA BUYBK FUND	A	Dividend			Sold	04/01/16	K	C	
524. POWERSHARES INTL BUYBACK FUND	A	Dividend	J	T	Buy	06/06/16	J		
525.					Buy (add'l)	06/08/16	J		
526.					Buy (add'l)	06/09/16	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)

527. PROSHARES TR S&P 500 DV ARIST FUND	A	Dividend	K	T	Buy (add'l)	04/01/16	K		
528. PRUDENTIAL FINANCIAL INC COMMON STOCK		None			Sold (part)	02/03/16	J		
529.					Sold	02/09/16	J		
530. SOLAR SENIOR CAPITAL LTD FUND	A	Dividend			Sold (part)	07/12/16	J	A	
531.					Sold (part)	07/13/16	J	A	
532.					Sold	07/14/16	J	A	
533. SOLAR CAPITAL LTD FUND	A	Dividend	J	T					
534. SPDR S&P MIDCAP 400 ETF TRUST	A	Dividend	K	T	Sold (part)	04/07/16	J	B	
535. STARWOOD PROPERTY TRUST CMN STOCK	B	Dividend	J	T	Buy (add'l)	03/18/16	J		
536.					Sold (part)	06/24/16	J		
537. TERRAFORM PWR INC COMMON STOCK (SEE NOTE 21 IN SECT VIII)		None			Buy	03/08/16	J		
538.					Buy (add'l)	03/09/16	J		
539.					Sold (part)	03/16/16	J		
540.					Sold (part)	03/17/16	J		
541. THERMO FISHER SCIENTIFIC COMMON STOCK	A	Dividend	J	T	Buy	01/12/16	J		
542.					Buy (add'l)	01/22/16	J		
543. TORTOISE ENERGY INFRA FUND		None			Sold	02/17/16	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				
	(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)

544. VANGUARD INFO TECH ETF	A	Dividend	K	T	Buy (add'l)	01/14/16	J		
545. VANGUARD MID-CAP ETF	A	Dividend	J	T	Sold (part)	04/07/16	J	A	
546. VANGUARD SMALL CAP ETF	A	Dividend	K	T					
547. VIRTUS INSIGHT EMERGING MKTS MUTUAL FUND	A	Dividend	J	T					
548. VISA INC COMMON STOCK	A	Dividend	J	T	Buy (add'l)	12/05/16	J		
549. WALT DISNEY CO HLDG CO COMMON STOCK	A	Dividend	J	T	Buy	04/19/16	J		
550.					Buy (add'l)	04/20/16	J		
551. WELLS FARGO & CO COMMON STOCK	A	Dividend	K	T	Buy (add'l)	07/13/16	J		
552.					Buy (add'l)	08/09/16	J		
553.					Buy (add'l)	09/30/16	J		
554.					Buy (add'l)	11/10/16	J		
555. WISDOMTREE CBOE S&P 500 ETF		None	K	T	Buy	12/06/16	K		
556. WISDOMTREE EUROPE HEDGED EQUITY FUND		None			Sold	01/14/16	J		
557. WISDOMTREE EURO SM CAP DIV ETF	A	Dividend	K	T	Buy	01/14/16	J		
558.					Buy (add'l)	06/29/16	J		
559. WISDOMTREE SMALL CAP DIV FUND	A	Dividend	J	T					
560. WISDOMTREE TRUST JAPAN HEDGE EQUITY FUND		None			Sold	02/10/16	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)
561. WISDOMTREE MID CAP DIV	A	Dividend	K	T	Buy	04/07/16	K		
562. WISDOMTREE TRUST MIDCAP EARN FUND	A	Dividend	J	T					
563. YUM BRANDS INC COMMON STOCK	A	Dividend	J	T	Buy	03/28/16	J		
564.					Sold (part)	11/28/16	J	A	
565. ADDITIONAL COMMON STOCKS/ FUNDS (NON-IRA) (LINES 566-687)									
566. SCHLUMBERGER COMMON STOCK	B	Dividend	M	T	Buy	01/26/16	L		
567.					Buy (add'l)	06/01/16	K		
568.					Buy (add'l)	07/13/16	J		
569. SELECT SECTOR SPDR TD ETF		None			Buy	09/12/16	J		
570.					Spinoff (from line 291)	09/16/16	J		
571.					Sold	10/24/16	J	A	
572. SEMPRA ENERGY COMMON STOCK	C	Dividend	L	T	Buy (add'l)	07/13/16	J		
573. SPDR S&P MIDCP 400 ETF TRUST	A	Dividend	L	T	Buy (add'l)	07/06/16	K		
574.					Buy (add'l)	07/12/16	J		
575.					Buy (add'l)	07/18/16	J		
576.					Buy (add'l)	07/25/16	J		
577.					Buy (add'l)	08/01/16	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				
	(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)
578.					Buy (add'l)	08/08/16	J		
579.					Buy (add'l)	08/15/16	J		
580.					Buy (add'l)	08/23/16	J		
581.					Buy (add'l)	08/29/16	J		
582.					Buy (add'l)	09/12/16	J		
583. SONIC CORP COMMON STOCK	G	Dividend	P3	T	Buy (add'l)	01/14/16	M		
584.					Sold (part)	01/14/16	M	G	
585.					Sold (part)	01/15/16	M	F	
586.					Buy (add'l)	01/21/16	M		
587.					Sold (part)	01/21/16	M	F	
588.					Sold (part)	01/22/16	M	F	
589.					Sold (part)	04/15/16	O	G	
590.					Sold (part)	04/18/16	P1	H1	
591.					Sold (part)	04/19/16	K	E	
592.					Sold (part)	04/20/16	M	G	
593.					Sold (part)	04/25/16	P1	H1	
594. STARBUCKS COMMON STOCK	B	Dividend	M	T	Buy	04/22/16	M		

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

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)
595.					Buy (add'l)	07/22/16	M		
596. TEXTRON COMMON STOCK	A	Dividend			Sold	01/25/16	M	D	
597. UNITED CONTINENTAL COMMON STOCK		None			Sold	05/02/16	M	D	
598. UNITED HEALTH GROUP COMMON STOCK	B	Dividend	M	T	Buy	01/26/16	M		
599. UNUM GROUP COMMON STOCK		None			Sold	01/25/16	M	F	
600. UTILITIES SEL SECT SPDR FUND	A	Dividend			Buy (add'l)	02/29/16	J		
601.					Buy (add'l)	07/06/16	J		
602.					Buy (add'l)	07/12/16	J		
603.					Sold	10/24/16	J		
604. VANGUARD FTSE EMERGING MARKETS FUND	A	Dividend	K	T	Buy	08/15/16	K		
605. VANGUARD INDEX FUNDS S&P 500 ETF	B	Dividend	M	T	Buy (add'l)	07/06/16	K		
606.					Buy (add'l)	07/12/16	J		
607.					Buy (add'l)	07/18/16	J		
608.					Buy (add'l)	07/25/16	J		
609.					Buy (add'l)	08/01/16	J		
610.					Buy (add'l)	08/08/16	J		
611.					Buy (add'l)	08/15/16	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)
612.					Buy (add'l)	08/23/16	J		
613.					Buy (add'l)	08/29/16	J		
614.					Buy (add'l)	10/27/16	K		
615. VANGUARD SMALL CAP ETF	B	Dividend	M	T	Buy (add'l)	01/08/16	J		
616.					Buy (add'l)	07/06/16	K		
617.					Buy (add'l)	07/12/16	K		
618.					Buy (add'l)	07/18/16	J		
619.					Buy (add'l)	07/25/16	J		
620.					Buy (add'l)	08/01/16	J		
621.					Buy (add'l)	08/08/16	J		
622.					Buy (add'l)	08/15/16	J		
623.					Buy (add'l)	08/23/16	J		
624.					Buy (add'l)	08/29/16	J		
625.					Buy (add'l)	09/12/16	J		
626. VANGUARD TELE SVCS ETF INDEX	A	Dividend			Buy	07/06/16	J		
627.					Buy (add'l)	07/12/16	J		
628.					Sold	10/24/16	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.)
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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)
629. VIRTUS INSIGHT EMERG MKTS MUTUTAL FUND	A	Dividend	L	T	Buy (add'l)	07/06/16	J		
630.					Buy (add'l)	07/12/16	J		
631.					Buy (add'l)	07/18/16	J		
632.					Buy (add'l)	07/25/16	J		
633.					Buy (add'l)	08/01/16	J		
634.					Buy (add'l)	08/08/16	J		
635.					Buy (add'l)	08/15/16	J		
636.					Buy (add'l)	08/23/16	J		
637.					Buy (add'l)	08/29/16	J		
638. WALGREEN COMMON STOCK	E	Dividend	P1	T					
639. WISDOMTREE EUROPE HEDGED EQUITY FUND	A	Dividend	K	T	Sold (part)	01/13/16	J		
640.					Buy (add'l)	07/06/16	J		
641.					Buy (add'l)	07/12/16	J		
642.					Buy (add'l)	07/18/16	J		
643.					Buy (add'l)	07/25/16	J		
644.					Buy (add'l)	08/01/16	J		
645.					Buy (add'l)	08/08/16	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	
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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)
646.					Buy (add'l)	08/15/16	J		
647.					Buy (add'l)	08/23/16	J		
648.					Buy (add'l)	08/29/16	J		
649. WISDOMTREE EURO SM CAP DIV FUND	A	Dividend	K	T	Buy (add'l)	07/06/16	J		
650.					Buy (add'l)	07/12/16	J		
651.					Buy (add'l)	07/18/16	J		
652.					Buy (add'l)	07/25/16	J		
653.					Buy (add'l)	08/01/16	J		
654.					Buy (add'l)	08/08/16	J		
655.					Buy (add'l)	08/15/16	J		
656.					Buy (add'l)	08/23/16	J		
657.					Buy (add'l)	10/27/16	J		
658. WISDOMTREE MID CAP DIV FUND	A	Dividend	L	T	Buy	03/23/16	J		
659.					Buy (add'l)	07/06/16	J		
660.					Buy (add'l)	07/12/16	J		
661.					Buy (add'l)	07/18/16	J		
662.					Buy (add'l)	07/25/16	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	P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	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	

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 I (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)
663.					Buy (add'l)	08/01/16	J		
664.					Buy (add'l)	08/08/16	J		
665.					Buy (add'l)	08/15/16	J		
666.					Buy (add'l)	08/23/16	J		
667.					Buy (add'l)	08/29/16	J		
668.					Buy (add'l)	10/24/16	K		
669. WISDOMTREE TRUST INDIA FUND	A	Dividend			Sold	03/28/16	J		
670. WISDOMTREE TRUST JAPAN HEDGE EQUITY FUND	A	Dividend			Buy (add'l)	07/06/16	J		
671.					Buy (add'l)	07/18/16	J		
672.					Buy (add'l)	07/25/16	J		
673.					Buy (add'l)	08/01/16	J		
674.					Sold	08/05/16	J		
675. WISDOMTREE TRUST MDCP EARN FUND	A	Dividend	L	T	Buy (add'l)	07/06/16	K		
676.					Buy (add'l)	07/12/16	J		
677.					Buy (add'l)	07/18/16	J		
678.					Buy (add'l)	07/25/16	J		
679.					Buy (add'l)	08/01/16	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				
	(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)
680.					Buy (add'l)	08/08/16	J		
681.					Buy (add'l)	08/15/16	J		
682.					Buy (add'l)	08/23/16	J		
683.					Buy (add'l)	08/29/16	J		
684. WISDOMTREE TRUST US QTLY DIV GRT FUND	A	Dividend	L	T	Buy	10/24/16	K		
685.					Buy (add'l)	10/27/16	J		
686. ZAYO GROUP HOLDINGS COMMON STOCK		None	M	T	Buy	11/01/16	L		
687.					Buy (add'l)	11/02/16	L		
688. MLPS (LINES 689-700) EXCEPT WHERE NOTED									
689. BLACKSTONE GROUP (SEE NOTES 1 AND 7 IN SECT VIII)	E	Distribution	M	T					
690. BUCKEYE PARTNERS (SEE NOTE 1 IN SECT VIII)	E	Distribution	N	T					
691. CHIMERA INVESTMENT CORP COMMON STOCK	E	Dividend			Sold	07/06/16	M	D	
692. ENERGY TRANS EQTY LP (SEE NOTE 1 IN SECT VIII)	D	Distribution	N	T					
693. ENERGY TRANSFER LP (SEE NOTE 1 IN SECT VIII)	C	Distribution	L	T					
694. ENTERPRISE GP/AKA ENTERPRISE PRODS LP (NOTE 1 IN SECT VIII)	D	Distribution	M	T					
695. MAGELLAN MIDSTREAM PARTNERS LP (SEE NOTE 1 IN SECT VIII)	C	Distribution	L	T					
696. MPLX (SEE NOTE 1 IN SECT VIII)	C	Distribution	M	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)
697. NORTHERN TIER (SEE NOTE 1 SECT VIII)	D	Distribution			Merged (with line 700)	06/23/16	M	E	
698. PJT PARTNERS INC CMN STK	A	Dividend	J	T					
699. WESTERN GAS PARTNERS (SEE NOTE 1 IN SECT VIII)	B	Distribution	L	T					
700. WESTERN REFINING (RECVD FROM NORTHERN TIER MERGER (LINE 698))	C	Dividend	M	T					
701. GS PUT ACCT (LINES 702-752) (NOTE 3 IN SECT VIII)									
702. XSP PUT - CONTRACT CLOSED (EXPIRED 1/15/16)		None			Buy	01/13/16	J		
703. XSP PUT - CONTRACT CLOSED (EXPIRED 3/18/16)		None			Expired	03/18/16		C	
704. XSP PUT - CONTRACT CLOSED (EXPIRED 2/19/16)		None			Buy	02/18/16	J		
705. XSP PUT - CONTRACT OPENED (EXPIRES 2/12/16)		None			Sold	01/05/16	J		
706. CONTRACT CLOSED					Expired	02/12/16		B	
707. XSP PUT - CONTRACT OPENED (EXPIRES 2/19/2016)		None			Sold	01/05/16	J		
708. CONTRACT CLOSED					Buy	02/18/16	J	B	
709. XSP PUT - CONTRACT OPENED (EXPIRES 3/31/2016)		None			Sold	01/05/16	J		
710. CONTRACT CLOSED					Buy	03/29/16	J	C	
711. XSP PUT - CONTRACT OPENED (EXPIRES 4/15/2016)		None			Sold	02/18/16	J		
712. CONTRACT CLOSED					Expired	04/15/16		B	
713. XSP PUT - CONTRACT OPENED (EXPIRES 5/20/2016)		None			Sold	02/18/16	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 - \$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)

714. CONTRACT CLOSED					Expired	05/20/16		C	
715. XSP PUT - CONTRACT OPENED (EXPIRES 4/8/2016)		None			Sold	03/02/16	J		
716. CONTRACT CLOSED					Buy	04/06/16	J	B	
717. XSP PUT - CONTRACT OPENED (EXPIRES 4/29/2016)		None			Sold	03/22/16	J		
718. CONTRACT CLOSED					Expired	04/29/16		B	
719. XSP PUT - CONTRACT OPENED (EXPIRES 6/17/2016)		None			Sold	03/29/16	J		
720. CONTRACT CLOSED					Buy	06/16/16	J	B	
721. XSP PUT - CONTRACT OPENED (EXPIRES 5/20/2106)		None			Sold	04/06/16	J		
722. CONTRACT CLOSED					Buy	05/12/16	J	B	
723. XSP PUT - CONTRACT OPENED (EXPIRES 6/30/2016)		None			Sold	04/21/16	J		
724. CONTRACT CLOSED					Buy	06/16/16	J	B	
725. XSP PUT - CONTRACT OPENED (EXPIRES 7/15/2016)		None			Sold	05/03/16	J		
726. CONTRACT CLOSED					Buy	07/12/16	J	B	
727. XSP PUT - CONTRACT OPENED (EXPIRES 6/24/2016)		None			Sold	05/12/16	J		
728. CONTRACT CLOSED					Buy	06/16/16	J	B	
729. XSP PUT - CONTRACT OPENED (EXPIRES 8/19/2016)		None			Sold	06/01/16	J		
730. CONTRACT CLOSED					Expired	08/19/16		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 \$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)
731. XSP PUT - CONTRACT OPENED (EXPIRES 7/29/2016)		None			Sold	06/16/16	J		
732. CONTRACT CLOSED					Buy	07/28/16	J	B	
733. XSP PUT - CONTRACT OPENED (EXPIRES 8/5/2016)		None			Sold	06/16/16	J		
734. CONTRACT CLOSED					Expired	08/05/16		B	
735. XSP PUT - CONTRACT OPENED (EXPIRES 9/16/2016)		None			Sold	07/06/16	J		
736. CONTRACT CLOSED					Expired	09/16/16		B	
737. XSP PUT - CONTRACT OPENED (EXPIRES 9/30/2016)		None			Sold	07/12/16	J		
738. CONTRACT CLOSED					Expired	09/30/16		B	
739. XSP PUT - CONTRACT OPENED (EXPIRES 10/21/2016)		None			Sold	07/28/16	J		
740. CONTRACT CLOSED					Expired	10/21/16		C	
741. XSP PUT - CONTRACT OPENED (EXPIRES 11/18/2016)		None			Sold	08/16/16	J		
742. CONTRACT CLOSED					Expired	11/18/16		C	
743. XSP PUT - CONTRACT OPENED (EXPIRES 10/7/2016)		None			Sold	08/31/16	J		
744. CONTRACT CLOSED					Expired	10/07/16		B	
745. XSP PUT - CONTRACT OPENED (EXPIRES 12/16/2016)		None			Sold	09/29/16	J		
746. CONTRACT CLOSED					Buy	12/07/16	J	C	
747. XSP PUT - CONTRACT OPENED (EXPIRES 12/16/2016)		None			Sold	10/06/16	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)
748. CONTRACT CLOSED					Expired	12/16/16		B	
749. XSP PUT - CONTRACT OPENED (EXPIRES 1/20/2017)		None			Sold	11/04/16	J		
750. XSP PUT - CONTRACT OPENED (EXPIRES 1/20/2017)		None			Sold	11/11/16	J		
751. XSP PUT - CONTRACT OPENED (EXPIRES 2/17/2017)		None			Sold	11/22/16	J		
752. XSP PUT - CONTRACT OPENED (EXPIRES 3/17/2017)		None			Sold	12/07/16	J		
753. CASH/S/T INVESTS/MM ACCTS (LINES 754-769)									
754. GOLDMAN SACHS FINANCIAL SQUARE MM/CASH	C	Interest	O	T					
755. GOLDMAN SACHS FINANCIAL SQUARE MM/CASH (PUT)	A	Interest	L	T					
756. GOLDMAN SACHS BANK DEPOSIT/ CASH #2 (FDN) (NOTE 8 SECT VIII)	A	Interest	J	T					
757. CITIBANK CHECKING ACCOUNT - FOUNDATION		None	M	T					
758. CITIBANK INTEREST CHECKING ACCOUNT #1 (FERP)	A	Interest	K	T					
759. CITIBANK CHECKING ACCOUNT (HH)		None	K	T					
760. CITIBANK AGENCY TRUST CASH ACCOUNT	A	Interest	M	T					
761. CITIBANK ASSET ACCOUNT		None	M	T					
762. CITIBANK MONEY MARKET PLUS	D	Interest	P1	T					
763. CITIBANK INTEREST CHECKING ACCOUNT #2 (KATNH)	A	Interest	J	T					
764. CASH A/C (FKA JPMORGAN MM/ CASH)		None			Closed	01/07/16	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				
	(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)
765. UBS BANK USA DEPOSIT ACCOUNT (SEE NOTE 8 IN SECT VIII)		None	J	T					
766. CGMI BANK DEPOSIT PROGRAM	A	Interest	N	T					
767. MORGAN STANLEY BANK/TRUST DEPOSITS #2	A	Interest	L	T					
768. MORGAN STANLEY BANK/TRUST DEPOSITS #2A (5161)	A	Interest	K	T					
769. MORGAN STANLEY BANK/TRUST DEPOSITS #3 (ROTH IRA)	A	Interest	J	T					
770. FDN BROKERAGE #1 (NOTE 16 IN SECT VIII)									
771. PACKAGING CORP OF AMERICA COMMON STK (X)		None			Sold	11/17/16	N	G	
772. FDN BRKG ACCT #2 (LINES 773 -912) (SEE NOTE 16 SECT VIII)									
773. MORGAN STANLEY BANK/TRUST #1 (CASH/MM) (NOTE 8 IN SECT VIII)		None	J	T					
774. MORGAN STANLEY BANK/TRUST #2 (CASH/MM)	A	Interest	N	T					
775. COMMON STOCKS AND FUNDS (LINES 776- 912)									
776. ALLERGAN CMN STK		None			Sold	02/04/16	K		
777. ALPHABET INC COMMON STOCK		None	M	T	Buy (add'l)	01/08/16	J		
778. AMAZON COM INC		None	L	T	Buy	06/24/16	L		
779. AMER INTL GP INC COMMON STOCK	A	Dividend			Sold (part)	02/03/16	J	A	
780.					Sold (part)	07/19/16	K	D	
781.					Sold	07/26/16	K	D	

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

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)
782. AMGEN INC COMMON STOCK	A	Dividend			Sold (part)	03/09/16	J	A	
783.					Sold	03/15/16	L	D	
784. AQR LONG SHORT EQ INST FUND	C	Dividend	M	T	Buy	03/22/16	L		
785.					Sold (part)	06/29/16	J		
786.					Buy (add'l)	09/01/16	K		
787. AQR MANAGED FUTURES STRATEGY FUND	A	Dividend	L	T	Buy	08/08/16	L		
788. AQR STYLE PREMIA ALTERNATIVE FUND	B	Dividend	L	T	Buy	02/08/16	L		
789.					Buy (add'l)	02/29/16	L		
790.					Buy (add'l)	03/17/16	K		
791.					Buy (add'l)	04/08/16	K		
792.					Sold (part)	06/24/16	L		
793.					Sold (part)	06/29/16	K		
794.					Sold (part)	12/06/16	K		
795. ARES CAPITAL CORP FUND	D	Dividend	M	T	Buy	06/03/16	L		
796.					Buy (add'l)	06/14/16	J		
797.					Buy (add'l)	11/02/16	L		
798. AVENUE INCOME CREDIT FUND	C	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	

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)
799. BLACKROCK CORP HIGH YIELD FD INC	D	Dividend	L	T	Sold (part)	06/03/16	K	A	
800. BOEING CO COMMON STOCK	A	Dividend			Buy	02/17/16	L		
801.					Buy (add'l)	03/18/16	K		
802.					Sold (part)	05/13/16	J	B	
803.					Sold	06/01/16	L	C	
804. CATALENT INC COMMON STOCK		None			Sold (part)	02/17/16	K	C	
805.					Sold	02/18/16	K		
806. CHEVRON CORP COMMON STOCK	C	Dividend	L	T					
807. CROWN CASTLE INTL CORP COMMON STOCK	C	Dividend	M	T	Buy	02/08/16	L		
808.					Buy (add'l)	07/29/16	K		
809.					Buy (add'l)	09/02/16	K		
810.					Buy (add'l)	10/05/16	J		
811.					Buy (add'l)	11/02/16	K		
812.					Sold (part)	12/06/16	K	A	
813. DANAHER CORP COMON STOCK	A	Dividend	L	T					
814. FIDELITY ADV HEALTH CARE INST MUTUAL FUND		None			Sold (part)	03/09/16	J		
815.					Sold	03/15/16	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	

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)
816. FIRST TRUST DORSEY WRIGHT FO FUND		None			Sold (part)	01/20/16	K		
817.					Sold	02/05/16	K		
818. FIRST TRUST SENIOR LOAN FUND	B	Dividend	L	T	Buy	08/08/16	K		
819.					Buy (add'l)	08/09/16	K		
820. FORTIVE CORP COMMON STOCK		None			Spinoff (from line 813)	07/01/16	K		
821.					Sold	07/06/16	K	D	
822. FRESHPET INC COMMON STOCK		None	K	T	Buy (add'l)	01/04/16	J		
823. GEO GROUP INC COMMON STOCK	C	Dividend			Buy (add'l)	02/23/16	J		
824.					Sold (part)	04/07/16	K	C	
825.					Sold	07/12/16	L	D	
826. GOTHAM ENHANCED RETURN INSTL MUTUAL FUND		None			Sold	01/13/16	L		
827. GOTHAM NEUTRAL MUTUAL FUND		None			Sold	01/13/16	L		
828. GTT COMMUNICATIONS INC COMMON STOCK		None	K	T	Buy	09/01/16	J		
829.					Buy (add'l)	09/12/16	J		
830.					Buy (add'l)	09/13/16	J		
831. HAIN CELESTIAL GROUP INC COMMON STOCK		None			Buy	08/16/16	K		
832.					Sold	09/20/16	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	
(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)
833. HONEYWELL INTERNATIONAL INC COMMON STOCK	B	Dividend	L	T	Sold (part)	06/21/16	K	D	
834. QUINTILES IMS HOLDINGS (FKA IMS HEALTH) COMMON STOCK		None			Sold (part)	03/15/16	J		
835.					Sold (part)	03/16/16	J		
836.					Buy (add'l)	05/03/16	K		
837.					Sold (part)	10/31/16	K	A	
838.					Sold	11/01/16	L	C	
839. ISHARES MSCI GROWTH INDX FD	A	Dividend	K	T	Sold (part)	01/20/16	K	A	
840. ISHARES MSCI USA MOMENTUM FUND		None			Sold (part)	02/05/16	K	A	
841.					Sold	02/09/16	K		
842. ISHARES NASDAQ BIOTECH ETF	A	Dividend	L	T	Buy	06/28/16	K		
843.					Buy (add'l)	06/29/16	K		
844. ISHARES US OIL & GAS EXP PROD FUND	B	Dividend	M	T	Buy	01/22/16	K		
845.					Buy (add'l)	01/25/16	K		
846.					Buy (add'l)	01/28/16	K		
847. JP MORGAN INTREPID EURO SEL MUTUAL FUND		None			Buy (add'l)	01/08/16	K		
848.					Buy (add'l)	01/14/16	K		
849.					Sold (part)	02/09/16	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	

FINANCIAL DISCLOSURE REPORT

Name of Person Reporting

Date of Report

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)
850.					Sold	07/19/16	L		
851. KAR AUCTION SERVICES INC COMMON STOCK	B	Dividend	L	T	Sold (part)	09/20/16	K	D	
852. LOCORR MARKET TREND MUTUAL FUND		None			Sold	11/23/16	L		
853. MATTHEWS CHINA DIVIDEND MUTUAL FUND		None			Sold	02/02/16	L		
854. MATTRESS FIRM HOLDING COMMON STOCK		None			Buy	04/18/16	J		
855.					Buy (add'l)	04/19/16	K		
856.					Buy (add'l)	04/21/16	J		
857.					Buy (add'l)	04/22/16	J		
858.					Sold (part)	08/08/16	L	E	
859.					Sold	08/09/16	K	D	
860. MEDTRONIC PLC COMMON STOCK	B	Dividend	L	T					
861. NATIONAL STORAGE AFFILIATES COMMON STOCK		None			Sold	02/19/16	K	D	
862. OCH-ZIFF CAPITAL MGMT CMN STK (SEE NOTE 1 IN SECT VIII)		None			Sold	04/12/16	J		
863. PENNANTPARK FLTG RATE CAP LTD FUND	D	Dividend	L	T	Buy (add'l)	01/29/16	J		
864. PENNANTPARK INVESTMENT CORP FUND	D	Dividend	L	T	Buy (add'l)	11/23/16	J		
865. POWERSHARES ETF TR DYNA BUYBK FUND	A	Dividend			Sold	04/01/16	L	E	
866. POWERSHARES INTL BUYBACK FUND	B	Dividend	L	T	Buy	06/06/16	K		

1. Income Gain Codes:	A ~\$1,000 or less (See Columns B1 and D4)	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
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 \$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)
867.					Buy (add'l)	06/08/16	J		
868.					Buy (add'l)	06/09/16	K		
869. PROSHARES TR S&P 500 DV ARIST FUND	C	Dividend	M	T	Buy (add'l)	04/01/16	L		
870. PRUDENTIAL FINANCIAL COMMON STOCK		None			Sold (part)	02/03/16	K		
871.					Sold	02/09/16	L		
872. SOLAR CAPITAL LTD FUND	C	Dividend	K	T					
873. SOLAR SENIOR CAPITAL LTD FUND	B	Dividend			Sold (part)	07/12/16	K	B	
874.					Sold (part)	07/13/16	J	A	
875.					Sold	07/14/16	J	A	
876. SONIC CORP COMMON STOCK (X)		None			Sold (part)	12/13/16	M	G	
877.					Sold (part)	12/14/16	N	G	
878.					Sold (part)	12/15/16	M	G	
879.					Sold	12/21/16	N	G	
880. SPDR S&P MIDCAP 400 ETF TRUST	B	Dividend	M	T	Sold (part)	04/07/16	J	C	
881. STARWOOD PROPERTY TRUST INC COMMON STOCK	D	Dividend	L	T	Buy (add'l)	03/18/16	L		
882.					Sold (part)	06/21/16	J	A	
883.					Sold (part)	06/24/16	K	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 \$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)
884. TERRAFORM PWR INC COMMON STOCK		None			Buy	03/08/16	K		
885.					Buy (add'l)	03/09/16	K		
886.					Sold (part)	03/16/16	K		
887.					Sold (part)	03/17/16	J		
888.					Sold	03/18/16	J		
889. THERMO FISHER SCIENTIFIC COMMON STOCK	A	Dividend	L	T	Buy	01/12/16	K		
890.					Buy (add'l)	01/22/16	J		
891. TORTOISE ENERGY INFRA FUND		None			Sold	02/17/16	K		
892. VANGUARD INFO TECH ETF	B	Dividend	M	T	Buy (add'l)	01/14/16	J		
893. VANGUARD MID-CAP ETF	B	Dividend	L	T	Sold (part)	04/07/16	L	A	
894. VANGUARD SMALL CAP ETF	B	Dividend	M	T	Sold (part)	06/21/16	K	A	
895. VIRTUS INSIGHT EMERGING MKTS MUTUAL FUND	A	Dividend	L	T	Sold (part)	06/21/16	J		
896. VISA INC COMMON STOCK	A	Dividend	L	T	Sold (part)	06/21/16	J	B	
897.					Buy (add'l)	12/05/16	K		
898. WALT DISNEY CO HLDG CO COMMON STOCK	A	Dividend	L	T	Buy	04/19/16	K		
899.					Buy (add'l)	04/20/16	K		
900. WELLS FARGO & CO COMMON STOCK	C	Dividend	M	T	Buy (add'l)	08/09/16	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

Name of Person Reporting	Date of Report
Wood, Kimba M.	9/26/2017

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)
901.					Buy (add'l)	09/30/16	J		
902.					Buy (add'l)	11/10/16	J		
903. WISDOMTREE CBOE S&P 500 ETF		None	M	T	Buy	12/06/16	M		
904. WISDOMTREE EUROPE HEDGED EQUITY FUND		None			Sold	01/14/16	L		
905. WISDOMTREE EUROPE SMALL CAP DIV ETF	C	Dividend	L	T	Buy	01/14/16	L		
906.					Buy (add'l)	06/29/16	J		
907. WISDOMTREE MID CAP DIV	B	Dividend	M	T	Buy	04/07/16	M		
908. WISDOMTREE SMALL CAP DIV FUND	C	Dividend	L	T					
909. WISDOMTREE TRUST JAPAN HEDGE EQUITY FUND		None			Sold	02/10/16	L		
910. WISDOMTREE TRUST MDCP EARN FUND	B	Dividend	L	T					
911. YUM BRANDS COMMON STOCK	B	Dividend	L	T	Buy	03/29/16	L		
912.					Sold (part)	11/28/16	K	C	
913. NON-PUBLICS (SEE NOTES 5 & 7 IN SECT VIII) (LINES 914-1045)									
914. ARIZONA SNOWBOWL (SEE NOTE 1 IN SECT VIII)		None			Distributed (part)	02/29/16	J		
915.					Distributed (part)	03/24/16	J		
916.					Distributed (part)	04/18/16	J		
917.					Distributed (part)	05/06/16	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				
	(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)
918.					Distributed (part)	06/10/16	J		
919.					Distributed (part)	07/19/16	J		
920.					Sold (part)	08/11/16	N	G	
921.					Sold (part)	08/16/16	L	F	
922.					Sold	12/23/16	K	E	
923. ELGIN CAPITAL (SEE NOTES 1 & 22 IN SECT VIII)	G	Distribution	P1	W	Distributed (part)	10/17/16	M		
924. CENTERBRIDGE CREDIT PARTNERS (SEE NOTE 1 IN SECT VIII)	F	Distribution	P1	U					
925. TAMPA BAY RAYS (SEE NOTE 1 IN SECT VIII)	F	Distribution	N	W					
926. HARDING SERVICE, LLC (SEE NOTES 1 & 6 IN SECT VIII)	E	Distribution	J	V					
927. OFFIT CAPITAL ADVISORS (SEE NOTE 1 IN SECTION VIII)	F	Distribution	N	W	Distributed (part)	02/05/16	L		
928. UNIVERSAL HOSPITAL SERVICES HOLDING CO (NOTE 1 SECT VIII)		None	M	W					
929. WHOLESOME FOODS (SEE NOTES 1 & 22 IN SECTION VIII)		None	O	W					
930. GOLUB CAPITAL PARTNERS (SEE NOTE 9 IN SECTION VIII)	G	Distribution	P1	W	Distributed (part)	01/26/16	K		
931.					Distributed (part)	04/26/16	K		
932.					Distributed (part)	07/27/16	K		
933.					Distributed (part)	10/25/16	K		
934. GOLUB CAPITAL VIII (SEE NOTE 9 IN SECT VIII)	G	Distribution	P1	W	Distributed (part)	01/26/16	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

Name of Person Reporting	Date of Report
Wood, Kimba M.	9/26/2017

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)
935.					Distributed (part)	04/26/16	K		
936.					Distributed (part)	07/25/16	K		
937.					Distributed (part)	10/25/16	K		
938. IRVING PLACE CAPITAL II (SEE NOTE 9 IN SECT VIII)		None	K	W					
939. BLACKSTONE REAL ESTATE VI AND VIII (NOTES 9 & 22 SECT VIII)	G	Distribution	P1	W	Buy (add'l)	01/19/16	N		
940.					Buy (add'l)	01/22/16	K		
941.					Distributed (part)	03/14/16	M		
942.					Distributed (part)	03/22/16	J		
943.					Buy (add'l)	05/06/16	M		
944.					Buy (add'l)	05/25/16	J		
945.					Distributed (part)	05/31/16	M		
946.					Distributed (part)	06/02/16	J		
947.					Distributed (part)	06/21/16	J		
948.					Buy (add'l)	06/28/16	L		
949.					Distributed (part)	07/18/16	M		
950.					Buy (add'l)	07/20/16	J		
951.					Buy (add'l)	07/27/16	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)
952.					Distributed (part)	08/04/16	L		
953.					Buy (add'l)	08/24/16	K		
954.					Distributed (part)	08/25/16	J		
955.					Distributed (part)	08/29/16	N		
956.					Distributed (part)	09/23/16	L		
957.					Distributed (part)	10/14/16	L		
958.					Distributed (part)	10/27/16	M		
959.					Buy (add'l)	11/23/16	M		
960.					Distributed (part)	11/25/16	M		
961.					Distributed (part)	12/01/16	K		
962.					Distributed (part)	12/22/16	M		
963. BLENHEIM ELGIN NATL RESOURCES FUND (SEE NOTE 9 IN SECT VIII)	H1	Distribution	O	W	Distributed (part)	10/12/16	P1		
964. CENTERVIEW CAPITAL (SEE NOTE 10 IN SECT VIII)	D	Distribution							
965. ADVANTAGE SALES MARKETING (SEE NOTE 15 IN SECT VIII)		None	N	W					
966. OLE SMOKEY TENNESSEE MOONSHINE (SEE NOTE 15 IN SECT VIII)		None	M	W					
967. RICHELIEU FOODS, INC (SEE NOTE 15 IN SECT VIII)		None	O	W					

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)
968. DGNL VENTURES (SEE NOTE 9 IN SECT VIII)	A	Distribution	L	W	Buy	12/16/16	L		
969. HIGHCAPE PARTNERS (SEE NOTE 10 IN SECT VIII)	B	Distribution							
970. CHEETAH MEDICAL (SEE NOTE 15 IN SECT VIII)		None	M	W	Buy (add'l)	04/01/16	J		
971. TELABIO (SEE NOTE 15 IN SECT VIII)		None	M	W	Buy (add'l)	12/16/16	K		
972. AZIYO (SEE NOTE 15 IN SECT VIII)		None	N	W					
973. KAYNE ANDERSON (SEE NOTE 9 IN SECT VIII)	D	Distribution	P1	W	Buy (add'l)	03/01/16	N		
974.					Distributed (part)	04/04/16	K		
975.					Distributed (part)	07/05/16	K		
976.					Buy (add'l)	08/30/16	M		
977.					Distributed (part)	10/07/16	L		
978. VESTAR CAPL PRTRNS/ASSC IV/AIV (SEE NOTE 9 IN SECT VIII)		None	N	W					
979. VESTAR CAP/ASSOC V (SEE NOTE 9 & 22 IN SECT VIII)	H1	Distribution	O	W	Distributed (part)	07/29/16	K		
980.					Distributed (part)	09/07/16	O		
981.					Distributed (part)	09/14/16	J		
982.					Distributed (part)	10/26/16	O		
983.					Distributed (part)	12/09/16	J		
984. VESTAR ASSOCIATES, VI (SEE NOTES 18 & 22 IN SECT VIII)	E	Distribution							

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	

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 I (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)
985. RAZOR'S EDGE FUND (SEE NOTE 9 IN SECT VIII)	C	Distribution	P1	W	Buy (add'l)	04/15/16	K		
986.					Buy (add'l)	12/09/16	K		
987. RAZOR'S EDGE FUND II (SEE NOTE 9 IN SECT VIII)	A	Distribution	M	W	Buy	10/31/16	M		
988. RED ABBEY (SEE NOTE 9 IN SECT VIII)	B	Distribution	K	W	Distributed (part)	01/04/16	J		
989. SENTINEL CAPITAL III (SEE NOTE 10 IN SECT VIII)	F	Distribution							
990. SENTINEL CAPITAL IV (SEE NOTES 10 & 22 IN SECT VIII)	G	Distribution							
991. SENTINEL CAPITAL V (SEE NOTES 10 & 22 IN SECT VIII)		None	J	W	Buy (add'l)	09/30/16	J		
992. CHASE DOORS - (SEE NOTES 11 & 15 IN SECT VIII)		None			Distributed (part)	06/30/16	J	B	
993.					Distributed	10/11/16	K	E	
994. CHECKERS & RALLY'S (SEE NOTE 15 IN SECTION VIII)		None	P1	W					
995. COLSON GROUP HOLDINGS (SEE NOTE 15 IN SECTION VIII)		None	O	W					
996. CORPORATE VISIONS (SEE NOTE 15 IN SECT VIII)		None	M	W					
997. CREDIT INFONET HOLDINGS (SEE NOTE 15 IN SECT VIII)		None	M	W					
998. CRITICAL SOLUTIONS (SEE NOTE 15 IN SECTION VIII)		None	K	W	Distributed (part)	01/07/16	J		
999.					Distributed (part)	02/16/16	J		
1000.					Distributed (part)	06/30/16	K		
1001.					Distributed (part)	12/21/16	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				
	(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)
1002. DRIVEN PERFORMANCE BRANDS (SEE NOTE 15 IN SECT VIII)		None	N	W					
1003. ENGINEERED CONTROLS (NOTES 11 & 15 IN SECT VIII)		None			Distributed (part)	02/12/16	J	B	
1004.					Distributed	02/16/16	J	B	
1005. FAZOLI GROUP (SEE NOTE 15 IN SECT VIII)		None	N	W					
1006. HOLLANDER SLEEP PRODUCTS (SEE NOTE 15 IN SECT VIII)		None	N	W					
1007. HUDDLE HOUSE (SEE NOTE 15 IN SECT VIII)	F	Dividend	N	W	Distributed (part)	02/16/16	L		
1008. IEP TECHNOLOGIES (SEE NOTES 11 & 15 IN SECT VIII)		None			Distributed	10/11/16	J	D	
1009. LUMINARIES GROUP (SEE NOTE 15 IN SECT VIII)		None	N	W	Buy	08/30/16	N		
1010. MARKETPLACE EVENTS (SEE NOTE 15 IN SECT VIII)		None	N	W	Buy	02/16/16	M		
1011. NATIONAL SPINE AND PAIN CENTERS (SEE NOTE 15 IN SECT VIII)		None	O	W					
1012. NEWK'S HOLDINGS (SEE NOTE 15 IN SECT VIII)		None	N	W					
1013. NORTH AMERICAN RESCUE (SEE NOTES 11 & 15 IN SECT VIII)		None			Distributed	06/30/16	J	C	
1014. NORTHEAST DENTAL MANAGEMENT (SEE NOTE 15 IN SECT VIII)		None			Sold	01/07/16	P1	G	Dental Care Alliance
1015.					Distributed	06/30/16	J	D	
1016. PCH HOLDINGS (SEE NOTE 15 IN SECT VIII)		None	P1	W					
1017. POWER PRODUCT (SEE NOTE 15 IN SECT VIII)		None			Distributed (part)	10/11/16	L		
1018.					Sold	12/21/16	P1	H1	GenStar Capital

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)
1019. PRECISION PIPELINE (NOTES 11 & 15 IN SECT VIII)		None			Distributed	02/16/16	J	D	
1020. QUICK WEIGHT LOSS CENTERS (SEE NOTE 15 IN SECT VIII)		None	N	W	Buy	08/30/16	N		
1021. REVENUE INTERNATIONAL (SEE NOTE 15 IN SECT VIII)		None	N	W	Buy	08/30/16	N		
1022. ROBOMETRICS (SEE NOTE 15 IN SECT VIII)		None	O	W					
1023. TGI FRIDAYS (SEE NOTE 15 IN SECT VIII)		None	O	W					
1024. TOTAL MILITARY MANAGEMENT (SEE NOTE 15 IN SECT VIII)		None	N	W					
1025. VINTAGE HOLDINGS (SEE NOTES 11 & 15 IN SECT VIII)		None			Distributed (part)	02/12/16	K	E	
1026.					Distributed	10/07/16	L	F	
1027. WELLSPRING PHARMACEUTICALS (SEE NOTE 15 IN SECTION VIII)	C	Interest	M	W					
1028. SCIENS CAPITAL (AKA ZILKHA) (NOTES 6 & 9 IN SECT VIII)	E	Distribution	J	V	Distributed (part)	09/30/16	K		
1029. SCP SHARE EXCHANGE CO (X) (SEE NOTE 17 IN SECT VIII)	A	Distribution							
1030. NORTHERN HELLENIC HOLDINGS (Y)									
1031. QUINTANA ENERGY PARTNERS (SEE NOTES 9 & 22 IN SECT VIII)		None	N	W					
1032. TINICUM LP (SEE NOTES 9 & 22 IN SECT VIII)		None	P1	W	Buy (add'l)	02/02/16	L		
1033. 3G KRAFT HEINZ (FKA 3G SPECL SIT FND III) (NOTE 9 SECT VIII)	E	Distribution	P2	W	Distributed (part)	01/22/16	K		
1034.					Distributed (part)	04/22/16	K		
1035.					Distributed (part)	07/13/16	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	

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)
1036.					Distributed (part)	10/13/16	K		
1037.					Distributed (part)	12/22/16	K		
1038. 3G FUND IV (SEE NOTE 9 IN SECT VIII)	E	Distribution	P1	W	Distributed (part)	01/22/16	K		
1039.					Distributed (part)	04/20/16	K		
1040.					Distributed (part)	07/18/16	K		
1041.					Distributed (part)	10/14/16	K		
1042.					Distributed (part)	12/21/16	K		
1043. VALINOR LP (SEE NOTE 9 IN SECT VIII)	A	Distribution	N	W	Buy	03/11/16	M		
1044.					Distributed (part)	03/11/16	J		
1045.					Buy (add'l)	06/15/16	L		
1046.					Buy (add'l)	12/01/16	K		
1047. OTHER INVESTMENTS/NOTES RECEIVABLES (LINES 1047-1080)									
1048. AMBULNZ LLC (SEE NOTE 1 IN SECT VIII)		None	N	W	Buy	11/17/16	N		
1049. ATLANTA VININGS (SEE NOTE 1 IN SECT VIII)	A	Distribution	O	W	Buy	12/09/16	O		
1050. BLUE LOTUS INVESTMENT FUND (SEE NOTE 1 IN SECT VIII)	D	Distribution	N	U					
1051. CEDAR ROCK CAPITAL PARTNERS (SEE NOTE 1 IN SECT VIII)	G	Distribution	P1	T					
1052. CHEETAH MEDICAL DIRECT (SEE NOTE 14 IN SECT VIII)		None	L	U					

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)
1053. CHESAPEAKE PARTNERS (SEE NOTE 1 IN SECT VIII)	E	Distribution			Distributed (part)	08/01/16	P1	H1	
1054.					Distributed (part)	09/07/16	O	G	
1055.					Distributed	12/01/16	K	E	
1056. GOLD BULLION		None	N	T					
1057. F. E. RICHARDSON & CO (SEE NOTES 1 & 13 IN SECT VIII)		None	K	V	Buy (add'l)	01/15/16	K		
1058.					Buy (add'l)	01/22/16	L		
1059.					Buy (add'l)	02/12/16	K		
1060.					Buy (add'l)	03/11/16	K		
1061.					Buy (add'l)	04/08/16	K		
1062.					Buy (add'l)	04/22/16	K		
1063.					Buy (add'l)	05/19/16	K		
1064.					Buy (add'l)	05/25/16	M		
1065.					Buy (add'l)	06/10/16	K		
1066.					Buy (add'l)	07/06/16	K		
1067.					Buy (add'l)	07/13/16	L		
1068.					Buy (add'l)	08/17/16	K		
1069.					Buy (add'l)	09/15/16	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	

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)
1070.					Buy (add'l)	10/07/16	K		
1071.					Buy (add'l)	11/04/16	K		
1072.					Buy (add'l)	12/01/16	K		
1073. HITCHWOOD CAPITAL (SEE NOTE 1 IN SECT VIII)		None	O	U					
1074. ORBIMED (SEE NOTE 1 IN SECT VIII)		None	O	U					
1075. OVERLOOK PARTNERS (SEE NOTE 1 IN SECT VIII)		None	P1	U	Buy (add'l)	01/20/16	N		
1076. OVERLOOK 3G PARTNERS (SEE NOTE 1 IN SECT VIII)	D	Distribution	N	U	Spinoff (from line 1075)	02/01/16	N		
1077. RYFT (AKA RE SIDECAR 2) (SEE NOTES 1 & 14 IN SECT VIII)		None	O	U	Buy (add'l)	11/21/16	N		
1078. ZOOM DATA DIRECT (AKA RE SIDECAR 5) (NOTE 1 IN SECT VIII)		None	K	U	Buy	01/15/16	K		
1079. ELIZABETH REILLY, PERSONAL LOAN - NOTE RECEIVABLE		None	K	U					
1080. SHIRLEY NAVARETTE, PERSONAL LOAN - NOTE RECEIVABLE		None	J	U					
1081. SARA LAJOIE, PERSONAL LOAN - NOTE RECEIVABLE		None	K	U	Open	12/12/16	K		
1082. TRUST #1 (LINES 1082-1100) (SEE NOTE 2 IN SECT VIII)									
1083. ---GOLDMAN SACHS BANK DEPOSIT/ CASH #4	A	Interest	J	T					
1084. ---ABBOTT LABORATORIES COMMON STOCK	A	Dividend			Sold	04/04/16	K	E	
1085. ---ABB-VIE INC. COMMON STOCK	D	Dividend	M	T					
1086. ---ALLERGAN PLC CMN STK		None			Sold	05/27/16	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	
(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)
1087. --AMAZON.COM INC COMMON STOCK		None	M	T	Buy	05/17/16	M		
1088. ---BLACKROCK INC COMMON STOCK	C	Dividend	M	T	Sold (part)	05/16/16	K	E	
1089. --CHUBB LTD COMMON	B	Dividend	M	T	Buy	01/26/16	L		
1090.					Buy (add'l)	05/02/16	K		
1091. ---FACEBOOK INC COMMON STOCK		None	L	T					
1092. ---JOHNSON & JOHNSON COMMON STOCK	B	Dividend	L	T					
1093. ---LINKEDIN CORP COMMON STOCK		None			Sold	05/27/16	K		
1094. ---SALESFORCE.COM, INC COMMON STOCK		None			Sold	04/29/16	K	A	
1095. ---SONIC CORP COMMON STOCK	B	Dividend	L	T					
1096. --STARBUCKS CORP COMMON STOCK	B	Dividend	M	T	Buy	05/02/16	L		
1097.					Buy (add'l)	05/27/16	K		
1098.					Buy (add'l)	06/02/16	K		
1099. ---UNITED CONTINENTAL HOLDING INC COMMON STOCK		None			Sold	05/16/16	L		
1100. ---WALGREEN BOOTS ALLIANCE, INC CO CMN STOCK	C	Dividend	M	T	Buy (add'l)	04/04/16	K		
1101.					Buy (add'l)	05/27/16	K		
1102. TRUST #1A (LINES 1102-1145) (NOTES 1, 2 & 7 IN SECT VIII)									
1103. ---GOLDMAN SACHS BANK DEPOSITS/ CASH #4A	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.)

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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)

1104. ---WILLIAMS PARTNERS	B	Distribution	K	T	Sold (part)	08/11/16	J	A	
1105.					Sold (part)	09/14/16	J	A	
1106. ---ANTERO MIDSTREAM PARTNERS	A	Distribution	K	T	Buy (add'l)	04/11/16	J		
1107.					Sold (part)	07/08/16	J		
1108. ---BUCKEYE PARTNERS LP	A	Distribution	J	T					
1109. ---COLUMBIA PIPELINE PARTNERS LP (SEE NOTE 21 IN SECT VIII)	A	Distribution			Sold (part)	05/31/16	J		
1110. ---DCP MIDSTREAM PARTNERS LP	A	Distribution	J	T	Buy (add'l)	04/13/16	J		
1111.					Sold (part)	11/10/16	J		
1112. ---ENBRIDGE INC COMMON	A	Dividend	J	T	Buy	09/13/16	J		
1113.					Buy (add'l)	10/04/16	J		
1114. ---ENERGY TRANSFER EQUITY LP	A	Distribution			Sold	02/08/16	J		
1115. --ENERGY TRANSFER PARTNERS, LP	A	Distribution	K	T	Buy	02/23/16	J		
1116.					Buy (add'l)	07/06/16	K		
1117.					Sold (part)	09/13/16	J	A	
1118. ---ENTERPRISE PRODUCTS PART LP	A	Distribution	K	T	Buy (add'l)	02/18/16	J		
1119.					Buy (add'l)	07/07/16	J		
1120.					Sold (part)	09/15/16	J	A	

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

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(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)

1121. ---EQT GP HOLDINGS COMMON		None	J	T					
1122. ---EQT MIDSTREAM PARTNERS LP COMMON		None	K	T	Sold (part)	07/08/16	J	A	
1123. ---GENESIS ENERGY, LP		None	J	T	Sold (part)	05/02/16	J		
1124.					Sold (part)	09/13/16	J	A	
1125.					Sold (part)	11/10/16	J	A	
1126. ---MAGELLAN MIDSTREAM PARTNERS LP	B	Distribution	K	T	Sold (part)	03/30/16	K	D	
1127. ---MPLX LP	A	Distribution	K	T	Buy (add'l)	02/19/16	J		
1128.					Buy (add'l)	04/21/16	J		
1129.					Sold (part)	07/06/16	J		
1130. ---ONEOK INC CMN	A	Dividend	J	T	Sold (part)	03/23/16	J		
1131.					Sold	03/24/16	J		
1132.					Buy	11/22/16	J		
1133. ---ONEOK PARTNERS, LP		None	J	T					
1134. ---PHILLIPS 66 PARTNERS LP		None	J	T	Buy (add'l)	05/04/16	J		
1135. ---PLAINS ALL AMERICAN PIPELINE LP		None	K	T	Buy (add'l)	04/21/16	J		
1136.					Buy (add'l)	09/19/16	J		
1137. ---TARGA RESOURCES CORP COMMON	B	Dividend	K	T	Buy (add'l)	02/18/16	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 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = \$15,001 - \$50,000	E = \$15,001 - \$50,000 J = \$50,001 - \$100,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P = \$500,001 - \$1,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 Q = \$1,000,001 - \$5,000,000	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

Name of Person Reporting	Date of Report
Wood, Kimba M.	9/26/2017

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)
1138.					Buy (add'l)	04/18/16	J		
1139.					Buy (add'l)	04/22/16	J		
1140. ---TESORO LOGISTICS LP COMMON		None	J	T					
1141. ---VALERO ENERGY PARTNERS LP		None	J	T					
1142. ---WESTERN GAS EQUITY PARTNERS LP (SEE NOTE 21 IN SECT VIII)		None			Sold (part)	01/20/16	J		
1143. ---WESTERN GAS PARTNERS, LP		None	J	T	Sold (part)	11/10/16	J		
1144. ---THE WILLIAMS COMPANIES, INC (SEE NOTE 12 IN SECT VIII)	A	Dividend	J	T	Sold	02/08/16	J		
1145.					Buy	11/10/16	J		
1146.					Buy (add'l)	11/21/16	J		
1147. TRUST #1B (LINES 1147-1197) (NOTES 2 & 5 IN SECT VIII)									
1148. ---CITI TRUST CHECKING ACCOUNT		None	J	T					
1149. ---FARALLON CAPITAL (SEE NOTE 9 IN SECT VIII)		None	O	W	Distributed (part)	08/11/16	J		
1150.					Distributed (part)	11/03/16	J		
1151. ---VESTAR III (SEE NOTE 9 IN SECT VIII)		None	L	W	Distributed (part)	12/29/16	J		
1152. ---VANGUARD PRIME MM FUND	A	Dividend	J	T					
1153. ---VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	M	T	Open	08/08/16	L		
1154. ---ABBVIE INC COMMON STOCK		None	K	T	Buy	12/22/16	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

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Name of Person Reporting

Wood, Kimba M.

Date of Report

9/26/2017

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)
1155. ---ALLERGAN PLC COMMON STOCK		None			Buy (add'l)	05/09/16	K		
1156.					Buy (add'l)	05/31/16	K		
1157.					Sold (part)	07/11/16	K		
1158.					Buy (add'l)	09/29/16	K		
1159.					Sold	12/22/16	M		
1160. ---AMAZON.COM INC COMMON STOCK		None	L	T	Buy	06/17/16	K		
1161.					Buy (add'l)	07/22/16	K		
1162. ---BERKSHIRE HATHAWAY INC CL B COMMON STOCK		None	M	T	Buy	05/27/16	L		
1163.					Buy (add'l)	12/08/16	L		
1164. ---CABOT OIL & GAS CORP COMMON STOCK	A	Dividend	L	T	Sold (part)	05/02/16	J	C	
1165.					Sold (part)	05/27/16	J	C	
1166.					Sold (part)	08/08/16	J	B	
1167. ---CHUBB LTD COMMON STOCK	A	Dividend	L	T	Buy	08/02/16	K		
1168.					Buy (add'l)	09/09/16	K		
1169. ---ENDO INTL PLC		None			Sold (part)	05/11/16	J		
1170.					Sold	05/31/16	J		
1171. ---EOG RESOURCES INC COMMON STOCK	A	Dividend			Sold	05/27/16	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	

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)
1172. ---HONEYWELL INTL INC COMMON STOCK	A	Dividend	M	T	Buy	10/07/16	M		
1173.					Buy (add'l)	10/14/16	K		
1174. ---ISHARES NASDAQ BIOTECHNOLOGY ETF	A	Dividend	K	T	Sold (part)	12/22/16	K		
1175. ---JOHNSON & JOHNSON COMMON STOCK	A	Dividend	K	T	Buy	10/18/16	K		
1176. ---LINKEDIN CORP COMMON STOCK		None			Buy (add'l)	02/03/16	K		
1177.					Sold	06/14/16	M		
1178. ---MCKESSON CORP COMMON STOCK	A	Dividend			Sold (part)	07/11/16	K		
1179.					Sold	12/22/16	L		
1180. ---PALO ALTO NETWORKS INC		None			Buy (add'l)	02/04/16	K		
1181.					Sold (part)	05/02/16	K	A	
1182.					Sold (part)	08/23/16	K	A	
1183.					Sold	08/31/16	L		
1184. ---PIONEER NATURAL RESOURCES COMPANY COMMON STOCK	A	Dividend	L	T	Sold (part)	04/29/16	K	C	
1185.					Sold (part)	05/27/16	J	B	
1186.					Sold (part)	08/08/16	J	A	
1187.					Sold (part)	09/29/16	J	A	
1188. ---POWERSHARES DYNAMIC BUYBACK ACHIEVERS ETF	A	Dividend			Sold	05/24/16	L	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 = \$5,001 - \$5,000,000 H2 = More than \$5,000,000	D = \$5,001 - \$15,000 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)	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		
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)
1189. ---PRIME CAP ODYSSEY AGGRESSIVE GROWTH MUTUAL FUND	E	Dividend	N	T					
1190. ---SALESFORCE.COM INC COMMON STOCK		None			Sold	05/27/16	M	E	
1191. ---SPDR SERIES TRUST S&P BIOTECH ETF	A	Dividend	K	T					
1192. ---STARBUCKS CORP COMMON STOCK	A	Dividend	K	T	Buy	09/09/16	K		
1193. ---VANGUARD CONSUMER DISCRETIONARY ETF	B	Dividend	M	T					
1194. ---VANGUARD DIVIDEND APPRECIATION FUND	D	Dividend	N	T					
1195. ---VANGUARD HEALTH CARE ETF	A	Dividend			Sold	05/31/16	K	A	
1196. ---VANGUARD INFORMATION TECHNOLOGY ETF	B	Dividend	N	T	Buy (add'l)	05/31/16	L		
1197.					Buy (add'l)	12/08/16	L		
1198. ---VANGUARD TOTAL STOCK MARKET ETF	B	Dividend	M	T	Buy	05/27/16	M		
1199. TRUST #2 (LINES 1199-1212) (SEE NOTE 19 IN SECT VIII)									
1200. ---BLACKROCK LIQUIDITY FUNDS	A	Dividend			Sold	02/29/16	J		
1201. ---TD AMERITRADE INSURED DEPOSIT/CASH ACCOUNT	A	Interest	J	T					
1202. ---PRIMECAP ODYSSEY GR FD	C	Dividend	L	T	Buy	03/24/16	L		
1203.					Buy (add'l)	12/19/16	J		
1204. ---PRUDENTIAL JENNISON 20/20 FOCUS FUND (MUTUAL FUND)		None			Sold	03/24/16	L		
1205. ---BLACKROCK EQUITY DIVIDEND INST CLASS FUND		None			Sold	03/24/16	K	D	

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

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Name of Person Reporting

Wood, Kimba M.

Date of Report

9/26/2017

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)
1206. ---EAGLE SMALL CAP GROWTH FUND		None			Sold	03/24/16	J	C	
1207. ---ISHARES CORE S&P MID-CAP ETF	A	Dividend	K	T	Buy	04/04/16	K		
1208.					Buy (add'l)	12/08/16	K		
1209. ---ISHARES TIPS BOND ETF	A	Dividend	K	T	Buy (add'l)	04/04/16	J		
1210.					Buy (add'l)	11/10/16	K		
1211. ---ISHARES NATL MUNI BND ETF	A	Dividend	K	T	Sold (part)	11/10/16	K	A	
1212. ---VANGUARD CRSP US SM CAP GROWTH IND ETF	A	Dividend	K	T	Buy	03/24/16	J		
1213. ---VANGUARD DIVIDEND APPRECIATION ETF	B	Dividend	L	T	Buy	03/24/16	L		
1214. TRUST #3 (LINES 1214-1266) (SEE NOTE 19 IN SECT VIII)									
1215. ---TD AMERITRADE CASH ACCOUNT	A	Interest	L	T					
1216. ---BLACKROCK LIQUIDITY FUNDS	A	Dividend			Sold	02/29/16	J		
1217. ---ALLERGAN INC COMMON STOCK		None			Buy (add'l)	04/12/16	K		
1218.					Sold (part)	05/27/16	J		
1219.					Sold	12/22/16	J		
1220. ---AMAZON.COM INC COMMON STOCK		None	K	T	Buy	06/17/16	J		
1221.					Buy (add'l)	07/22/16	J		
1222. ---AMERICAN EXPRESS CO COMMON STOCK	A	Dividend			Sold	01/19/16	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	
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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)
1223. ---AMERISOURCEBERGEN CORP COMMON STOCK	A	Dividend	J	T					
1224. ---AMERIPRISE FINANCIAL INC COMMON STOCK		None			Sold	01/28/16	J	B	
1225. ---AMGEN INC COMMON STOCK	A	Dividend	J	T	Buy (add'l)	04/04/16	J		
1226.					Buy (add'l)	05/31/16	J		
1227.					Buy (add'l)	10/14/16	J		
1228.					Sold (part)	12/22/16	J		
1229. ---APPLE INC COMMON STOCK	A	Dividend	K	T					
1230. ---CAPITAL ONE FINANCIAL CORP COMMON STOCK		None			Sold	01/28/16	J	A	
1231. ---CELANESE CORP COMMON STOCK		None			Sold	01/19/16	J	B	
1232. ---CHUBB CORP COMMON STOCK (SEE NOTE 12 IN SECT VIII)	A	Dividend	K	T	Sold	01/15/16	J	B	
1233.					Buy	01/28/16	J		
1234.					Buy (add'l)	10/03/16	J		
1235. ---DOLLAR TREE INC COMMON STOCK		None	J	T	Buy (add'l)	04/19/16	J		
1236. ---EAGLE SMALL CAP GROWTH MUTUAL FUND	A	Dividend	J	T					
1237. ---EBAY INC COMMON STOCK		None			Sold	01/28/16	J	A	
1238. ---EOG RESOURCES INC COMMON STOCK	A	Dividend	J	T	Buy	04/04/16	J		
1239. ---FIDELITY SPARTAN PA MUNI INCOME FUND	B	Dividend			Sold	12/01/16	K		

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

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Name of Person Reporting

Wood, Kimba M.

Date of Report

9/26/2017

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)
1240. ---FIRST TRUST DJ INTERNET COMMON STOCK		None	J	T	Buy	06/07/16	J		
1241. ---GENERAL MILLS INC COMMON STOCK	A	Dividend			Sold	05/13/16	J	B	
1242. ---ALPHABET INC (FKA GOOGLE INC) COMMON STOCK		None	K	T					
1243. ---HOME DEPOT INC COMMON STOCK	A	Dividend	J	T	Buy (add'l)	04/04/16	J		
1244.					Buy (add'l)	05/31/16	J		
1245. ---ISHARES TIPS BOND ETF	A	Dividend	J	T					
1246. ---ISHARES S&P MID-CAP ETF	A	Dividend	K	T	Buy (add'l)	04/04/16	J		
1247. ---ISHARES S&P NATL AMT-FREE MUNI BND FUND (FKA S&P)	A	Dividend	K	T					
1248. ---JP MORGAN CHASE & CO COMMON STOCK	A	Dividend	J	T					
1249. ---LAUDER ESTEE COS INC COMMON STOCK	A	Dividend			Buy (add'l)	04/19/16	J		
1250.					Sold	10/03/16	J	B	
1251. ---MICROSOFT CORP COMMON STOCK	A	Dividend	K	T	Buy (add'l)	01/28/16	J		
1252.					Buy (add'l)	02/18/16	J		
1253. ---ORACLE CORP COMMON STOCK	A	Dividend	J	T	Buy (add'l)	04/04/16	J		
1254. ---PAYPAL HOLDINGS COMMON STOCK		None			Sold	01/28/16	J	B	
1255. ---PEPSICO INC COMMON STOCK	A	Dividend	J	T					
1256. ---PFIZER INC COMMON STOCK	A	Dividend	J	T					

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

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Name of Person Reporting Wood, Kimba M.	Date of Report 9/26/2017
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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)
1257. ---PIONEER NATURAL RESOURCES CO COMMON STOCK	A	Dividend	J	T	Buy	04/04/16	J		
1258. ---ROCKWELL AUTOMATION INC COMMON STOCK		None			Sold	01/19/16	J	B	
1259. ---ROSS STORES INC COMMON STOCK	A	Dividend	J	T					
1260. ---JM SMUCKER CO COMMON STOCK	A	Dividend			Sold	04/04/16	J	B	
1261. ---3M COMPANY COMMON STOCK	A	Dividend	J	T					
1262. ---TWENTY-FIRST CENTURY COMMON STOCK	A	Dividend	J	T	Buy (add'l)	08/04/16	J		
1263. ---US BANCORP DEL COMMON STOCK	A	Dividend			Sold	08/08/16	J	B	
1264. ---UNITEDHEALTH GROUP INC COMMON STOCK	A	Dividend	J	T					
1265. ---WELLS FARGO & CO COMMON STOCK	A	Dividend	J	T	Buy (add'l)	04/04/16	J		
1266. ---WILLIAMS COMPANIES INC COMMON STOCK		None			Sold	01/19/16	J		
1267. ---WEC ENERGY GROUP INC COMMON	A	Dividend	J	T					
1268. TRUST #4 (SEE NOTES 2, 5 & 7 IN SECT VIII) (LINES 1268-1269)									
1269. --VANGUARD PRIME MONEY MARKET FUND ACCOUNT #1 (Y)									
1270. ---PARK AVENUE EQUITY LP (SEE NOTES 6 9 IN SECT VIII)	C	Distribution	K	V					
1271. TRUST #5 (SEE NOTES 2, 5 & 7 IN SECT VIII) (LINES 1271-1285)									
1272. ---VANGUARD PRIME MONEY MARKET FUND ACCOUNT #2	A	Dividend	K	T					
1273. ---STAR FUND	E	Dividend	N	T	Sold (part)	04/04/16	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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Name of Person Reporting

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

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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)
1274.					Sold (part)	07/27/16	L	D	
1275. ---VANGUARD FEDERAL MONEY MARKET FUND	A	Dividend	K	T	Open	09/08/16	J		
1276. ---PARK AVENUE EQUITY LP (SEE NOTES 6 & 9 IN SECT VIII)	C	Distribution	K	V					
1277. ---SONIC CORP COMMON STOCK	C	Dividend	M	T					
1278. ---VANGUARD DIVIDEND APPRECIATION ETF	B	Dividend	L	T	Buy	04/04/16	L		
1279.					Buy (add'l)	04/06/16	K		
1280.					Buy (add'l)	07/27/16	K		
1281.					Sold (part)	12/08/16	K	A	
1282. ---VANGUARD TOTAL BOND MARKET ETF	B	Dividend	L	T	Buy	04/04/16	K		
1283.					Buy (add'l)	04/06/16	J		
1284.					Buy (add'l)	07/28/16	K		
1285.					Sold (part)	12/08/16	J		
1286. --- VANGUARD TOTAL STOCK MARKET ETF	A	Dividend	L	T	Buy	12/08/16	L		
1287. TRUST #6 (SEE NOTES 2, 5 & 7 IN SECT VIII)(LINES 1287-1308)									
1288. ---VANGUARD PRIME MONEY MARKET FUND ACCOUNT #3	A	Dividend	K	T					
1289. ---STAR FUND	E	Dividend	N	T	Sold (part)	04/04/16	L		
1290.					Sold (part)	07/27/16	L	D	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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)

1291. ---VANGUARD FEDERAL MONEY MARKET FUND ACCOUNT #3	A	Dividend	K	T	Open	08/19/16	J		
1292. ---VANGUARD DIVIDEND APPRECIATION ETF	B	Dividend	M	T	Buy	04/04/16	L		
1293.					Buy (add'l)	04/06/16	K		
1294.					Buy (add'l)	07/27/16	K		
1295.					Sold (part)	12/08/16	K	A	
1296. ----VANGUARD TOTAL BOND MARKET ETF	B	Dividend	L	T	Buy	04/04/16	K		
1297.					Buy (add'l)	04/06/16	K		
1298.					Buy (add'l)	07/28/16	K		
1299.					Sold (part)	12/08/16	K		
1300. ---VANGUARD TOTAL STOCK MARKET ETF	A	Dividend	L	T	Buy	12/08/16	L		
1301. ---PARK AVENUE EQUITY LP (SEE NOTES 6 & 9 IN SECT VIII)	C	Distribution	K	V					
1302. ---SONIC CORP COMMON STOCK	C	Dividend	M	T					
1303. ---VANGUARD PRIME MONEY MARKET FUND ACCOUNT #3A	A	Dividend	J	T	Open	01/20/16	N		
1304. ---ULTRA SHORT TERM BOND INV		None	L	T	Buy	12/23/16	L		
1305. ---VANGUARD FEDERAL MONEY MARKET FUND ACCOUNT #3A	A	Dividend	J	T	Open	09/08/16	J		
1306. ---ISHARES NEW YORK MUNI BOND ETF	B	Dividend			Buy	04/04/16	L		
1307.					Sold	12/12/16	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.

Date of Report

9/26/2017

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 I (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)

1308. ---PRIME CAP ODYSSEY GROWTH	A	Dividend	M	T	Buy	04/04/16	L		
1309. ---VANGUARD DIVIDEND APPRECIATION ETF	B	Dividend	M	T	Buy	04/04/16	L		
1310. TRUST #7 (SEE NOTE 4 IN SECT VIII)									
1311. ---CITIBANK CHECKING ACCOUNT		None	J	T					
1312.									

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	

Name of Person Reporting Wood, Kimba M.	Date of Report 9/26/2017
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

ALL FOOTNOTES RELATE TO SECTION VII

NOTE 1:

If a 2016 K-1 is issued for this entity, it is a non-traded entity, and there is an investment remaining at year-end, all activity (interest, dividends, capital gains, ordinary income, etc.) was netted together, and, if that net figure was larger than the required income threshold, it was included in Column B.(1) with Column B.(2) noting "Distribution." If the K-1 activity netted to a loss, then Column B.(1) was left blank and "None" was included in Column B.(2).

If the interest was either sold or fully withdrawn from during the reporting year, the capital gain amount is included in Column D along with other transaction details. The remaining K-1 figures were netted together, and if larger than the required income threshold, included in Column B.(1) with Column B.(2) noting "Distribution."

Both of the above approaches were obtained from Mr. George Reynolds, former Financial Disclosure Report Examiner.

If a 2016 K-1 is issued for this investment, and it is traded, all K-1 information is summed and if it meets the required income threshold, reported in Column B.(1) with Column B.(2) noting "Distribution." If the K-1 netted to a loss, then "NONE" is included in Column B.(2). If there was a book capital gain on the sale of the traded security, it is included in Column D.(4). If the traded partnership made distributions throughout the year, the sum total of all the distributions was added to the K-1 total to arrive at the amount reported in Column B.(1).

NOTE 2:

Reporting person's spouse is either the Trustee or the Investment Trustee of this Trust and the Trust was formed by the reporting person and/or her spouse. Therefore, its assets are deemed reportable.

NOTE 3:

For the contracts that were opened (sold short), any related gains that occur will be included on the FDR when the options either expire or require action. When closing a contract requires the purchase of shares, the transaction may produce a gain if the amount received when the option was sold is more than the amount required to purchase the shares at the closing of the contract. There is no year end value reported because the contracts had no value at the end of 2016. Please note that if a contract is opened and closed in the same year, the two transactions are included on successive lines and refer to the same contract.

NOTE 4:

The trust holds two term life insurance policies and a non-interest bearing checking account. The term life policies are not reportable because they are not investment assets and they have no value. Sue Issa, Financial Disclosure Report Examiner, confirmed that the term life insurance policies are not reportable. The trust and the checking account are included on this report as Trust #7.

NOTE 5:

There are many investments in non-public companies. The estimated market values used for all such investments, unless otherwise noted, are based upon the current knowledge of the worth of such companies, discussions with the companies' management and available company issued reports.

NOTE 6:

Either the Ending Capital Account value from the entity's 2016 K-1, or an estimate of the same, was used to determine the year-end value code for Column C.(1).

NOTE 7:

For those entities which issued K-1s, if the K-1 netted to a loss but there was another source of income from the entity, the source of the other income and the related income are included. If there was K-1 income and an additional source of income, both amounts were summed to determine the code for Columns B.(1) and "Distribution" is noted in Column B.(2).

NOTE 8:

Neither the income nor the cash balance at year end met the threshold for reporting. However, since the cash account is associated with a reportable investment that is listed separately on this report, the account is deemed reportable.

NOTE 9:

There is a limited partnership interest in this entity. The Financial Disclosure Report instructions no longer offer specific guidance on this type of investment. Per Sue Issa, Financial Disclosure Examiner, this partnership should be presented the same way as it has been in the past. Since neither the filer nor her spouse can direct, influence or in any other manner affect the purchase, exchange, sale or disposition of the entity or property owned by the entity, the assets held by the partnership are not reportable (in accordance with previous Financial Disclosure Instructions).

If the partnership had a capital call for an investment in a specific company, either "Buy" or "Buy (add'l)" is noted. The name of the underlying company is not listed. Further, if the partnership distributed funds for any reason (sale of underlying asset, return of capital, current income, etc), "Distributed (part)" is listed in Column D.(1).

The entity's K-1 is considered the source document for all income from this investment (including capital gains/losses). All K-1 activity was netted together and if greater than the required income threshold, included in Column B.(1) with Column B.(2) noting "Distribution." If the K-1 activity netted to a loss, then Column B.(1) was left blank and "None" was included in Column B.(2).

NOTE 10:

There are several Sentinel Partnerships, a Centerview Capital Partnership and a HighCape Partnership. The Financial Disclosure Report instructions no longer offer specific guidance on this type of investment. Per Sue Issa, Financial Disclosure Examiner, these Partnerships should be presented the same way as they have been

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

in the past. For previous reports, portfolio companies were listed separately because the filer's spouse could potentially direct, influence or in any other manner affect the purchase, exchange, sale or disposition of the entity or property owned by the entity (in accordance with previous Financial Disclosure Instructions).

For Sentinel, there are both limited partner and general partner interests. For this report, the K-1 information for both interests is combined and included on one line. This approach matches the way the Funds' portfolio companies are included on this report.

Each year, there is a K-1 from each of the partnerships. The K-1s summarize all of the ordinary income (loss), portfolio income, capital gains/losses, etc., for all of the underlying companies. To avoid double counting, if an underlying company was sold, the capital gain/loss is included on the line where the actual company is listed and is excluded from the K-1 income reported in Column B.(1) for each of the partnerships.

The remaining K-1 items were netted together. If the net amount was larger than the required income threshold, that amount was included in Column B.(1) with Column B.(2) noting "Distribution." If the K-1 activity netted to a loss, then "None" is included in Column B.(2). As a result, since all K-1 activity is accounted for at the partnership level, the underlying companies which are listed separately do not show any income in Column B.(1) (unless there is an item that is not included on the K-1).

Generally, there are no year-end market values listed for the Partnerships because the portfolio companies are listed separately. If a market value code is shown, it is most likely due to an unclassified investment piece.

NOTE 11:

This investment was sold in a prior year. So, although the reporting family received distributions (e.g. escrow, dividends, etc) and/or a K-1, there is no year-end value to report. If the entity was issued a K-1, any income was summed and included in Column B.(1) with Column B.(2) noting "Distribution."

NOTE 12:

The total stock position that was held at the end of the prior year was sold during the current reporting year. So, "Sold" is noted in Column D.(1). Then, further along in the current reporting year, a new position in this stock was purchased, so "Buy" was noted in Column D.(1). This stock was not owned during the interim period.

NOTE 13:

The filer's spouse is the sole shareholder of this S Corporation. The company's assets are limited to office furniture, office equipment, a checking account and a money market account. The value used to determine the year-end valuation code was the checking/money market account balances, A/R and the office furniture and equipment balance (less accumulated depreciation).

NOTE 14:

This investment was made in a prior year. It was included in the market value of a Limited Partnership not as a portfolio company but as a direct investment. To better reflect the nature of this direct investment, it is now shown separately as an investment not as part of the LP's portfolio.

NOTE 15:

This investment is made through either a Sentinel, Centerview or HighCape Partnership. Per Sue Issa, Financial Disclosure Examiner, the aforementioned Partnerships' holdings should be listed individually on this report as they have been in the past. Therefore, this portfolio company is deemed reportable. See Note 10 for further information.

All transactions (investments, sales and related gain/(loss), distributions, etc.) are reported for the company. Any K-1 income (excluding gain/(loss) on sales) attributable to the company, however, is included in the partnership's line. If income was received separate from the K-1, it is recorded on the portfolio company's line in Column B. If the reporting person carries no year end value for a portfolio company, there is no year end value included in Column C of this report. But, the company is still noted on this report because it is a portfolio company of a reportable limited partnership. See Note 10 for more information.

For purposes of this report, deemed contributions/distributions that occurred in 2016, are dated as of the end of the quarter in which they were deemed to have occurred.

NOTE 16: Gains/Losses on Foundation activity are included on a tax basis.

NOTE 17: There is no value for this investment on the reporting person's books and the K-1 confirms that there is no value. As such, there is no year-end value included in Column C. There was, however, a small amount of K-1 income that is over the reporting threshold. Therefore, the income is included in Column B.

NOTE 18: The reporting person's spouse received a 2016 estimated K-1 from this entity. The estimated K-1 is for a carried interest allocation due to a relationship with the original Vestar funds not because the reporting family made an investment in the entity. Since the entity issues an estimated K-1, all the income lines were summed and if that total was over the reporting threshold, it is included on this report. Since there is no investment in this partnership, there is no year-end value to report.

NOTE 19: The reporting person's spouse has a beneficial interest in this trust. Therefore, its assets are deemed reportable.

NOTE 20: Not used.

NOTE 21: There is no year-end value to report because this asset was completely sold on various dates in 2016. The final piece was sold in a transaction that did not meet the \$1,000 reporting requirement.

Name of Person Reporting	Date of Report
Wood, Kimba M.	9/26/2017

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

NOTE 22: This company's 2016 K-1 was not received by the time this report was filed. Therefore, the company's income was estimated. Once the actual K-1 is received, if the income code based on the actual K-1 differs from the code noted in this report, an amended report will be filed to reflect the change.

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/ Kimba M. Wood**

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

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