

United States Court of Appeals
for the Ninth Circuit
Richard H. Chambers Courthouse
125 South Grand Avenue
Pasadena, California 91105

Chambers of
Kim McLane Wardlaw
Circuit Judge

Judge_Wardlaw@ca9.uscourts.gov

August 7, 2018

VIA ELECTRONIC FILING

Hon. Anthony John Trenga, Chair
Committee on Financial Disclosure
Administrative Office of the United States Courts
One Columbus Circle, N.E.
Washington, D.C. 20544

Re: 2017 Financial Disclosure Report

Dear Judge Trenga:

Enclosed is an electronic original of my Financial Disclosure Report for the year ending December 31, 2017.

Please note the following corrections for Financial Disclosure Report for the year ending December 31, 2016:

1. Line 172 from the 2016 Form was incorrect, and should have indicated that Charter Communications was Sold in Part, not Sold.
2. Line 282 from the 2016 Form was incorrect and should have indicated that Illumina Inc. was Sold, not Sold in Part.
3. Line 332 from the 2016 Form was incorrect and should have indicated that Mead Johnson Nutrition Co was Sold, not Sold in Part.

In addition, we did not include in the 2017 Form the trust in lines 682-685 of the 2016 Form because in 2017 that trust came under the control of a non-dependent adult child.

Hon. Anthony John Trenga, Chair
Committee on Financial Disclosure
August 7, 2018
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I request that all previously approved redactions of information from my financial reports remain in effect and are made prior to any public disclosure of this document. Should you have any questions, please do not hesitate to contact me.

Very truly yours,

A large rectangular gray box redacting the signature of Kim McLane Wardlaw.

The Honorable Kim McLane Wardlaw
United States Circuit Judge

KMW/sb
Enclosure

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2017

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) Wardlaw, Kim M.	2. Court or Organization United States Court of Appeals for the Ninth Circuit	3. Date of Report 08/07/2018
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) United States Circuit Judge, Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final	6. Reporting Period 01/01/2017 to 12/31/2017
5b. ☐ Amended Report		
7. Chambers or Office Address United States Court of Appeals for the Ninth Circuit 125 South Grand Avenue, Suite 500 Pasadena, CA 91105		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Board Member	
2. Board Member	
3. Board Member	UCLA Women LEAD Board of Advisors
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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (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.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

☒ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

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

☒ NONE *(No reportable gifts.)*

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

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

☒ NONE *(No reportable liabilities.)*

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. ROTH IRA									
2. STATE STREET INSTITUTIONAL U S GOVERNMENT MONEY MARKET FUND ADM	A	Dividend			Sold	07/10/17	J		
3. STATE STREET INSTL US GOVT MMKT INVESTOR CLASS FUND #5325	A	Dividend	J	T	Buy	07/10/17	J		
4. CAPITAL GROUP CORE BOND FUND	D	Dividend	O	T					
5. CAPITAL WORLD GROWTH & INCOME FD	E	Dividend	O	T					
6.		Distribution	K	T					
7. AMERICAN FUNDS NEW PERSPECTIVE FUND	D	Dividend	P1	T	Sold (part)	01/26/17	J	A	
8.					Sold (part)	04/27/17	J	A	
9.					Sold (part)	07/27/17	J	A	
10.					Sold (part)	10/26/17	J	A	
11. Schwab Pension Acct (IRA)									
12. Abbott Labs Com Stock	A	Dividend	K	T	Sold (part)	10/27/17	J	B	
13. Alphabet Com Stock		None	L	T					
14. Apple Corp Com Stock	A	Dividend	L	T					
15. Berkshire Hathaway		None	K	T	Sold (part)	02/28/17	J	C	
16. Blackrock Inc Com Stock	B	Dividend	L	T	Sold (part)	02/28/17	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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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)
17. Boeing Co.	B	Dividend	L	T					
18. Celgene Corp		None	K	T					
19. Cerner Corp Com Stock		None	K	T					
20. Charles Schwab Com Stock	A	Dividend	L	T	Buy	04/18/17	K		
21. Chevron Corp Com Stock	B	Dividend	L	T					
22. Chubb Ltd	A	Dividend	K	T					
23. Citicorp	A	Dividend	K	T					
24. Colgate-Palmolive Com Stock	B	Dividend	K	T					
25. Conocophillips Com Stock	A	Dividend	K	T					
26. Costco Wholesale Inc	A	Dividend	K	T					
27. Danaher Corp Com Stock	A	Dividend	K	T	Sold (part)	10/27/17	J	D	
28. The Walt Disney Co. Com Stock	A	Dividend	K	T	Sold (part)	02/28/17	J	D	
29. Fortive Corp.	A	Dividend	K	T					
30. GE Com Stock	B	Dividend	K	T					
31. Gilead Sciences Inc.	B	Dividend	K	T					
32. Holly Frontier Corp	A	Dividend			Sold	08/25/17	J		
33. Intel Corp Com Stock	A	Dividend	K	T					

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

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☐ 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)
34. Intuit Inc.	A	Dividend	L	T	Sold (part)	02/28/17	K	D	
35. JP Morgan Chase Com Stock	B	Dividend	L	T	Sold (part)	02/28/17	J	D	
36. Lowes Companies	B	Dividend	L	T					
37. Merck & Co Com Stock	B	Dividend	K	T					
38. Nextera Energy	A	Dividend	K	T	Sold (part)	11/16/17	K	D	
39. Nike Inc Com Stock	A	Dividend	K	T					
40. Novo - Nordisk	A	Dividend	K	T					
41. Oracle Corp	A	Dividend	K	T					
42. Paypal Holdings Inc		None	K	T					
43. Pepsico Inc Com Stock	B	Dividend	L	T					
44. Proctor & Gamble Com Stock	A	Dividend			Sold	08/25/17	K		
45. Qualcomm Inc Com Stock	A	Dividend			Sold	11/16/17	K	D	
46. Raytheon Com Stock	A	Dividend	K	T	Buy	04/18/17	K		
47. Roche Hldg Ltd	B	Dividend	K	T					
48. Schlumberger Ltd	A	Dividend	K	T					
49. Sempra Energy Com Stock	A	Dividend	K	T					
50. Stryker Com Stock	A	Dividend	K	T	Buy	08/25/17	K		

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	

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51.					Sold (part)	10/27/17	J	A	
52. Taiwan Semiconductor Com Stock	B	Dividend	L	T	Buy	01/14/17	K		
53. Target Corp Com Stock	B	Dividend			Sold	08/25/17	K	D	
54. TCP Capital Corp	B	Dividend	J	T					
55. Time Warner Inc	A	Dividend	K	T					
56. TJX Com Stock	A	Dividend	K	T	Buy	08/25/17	K		
57. Union Pacific Corp Com Stock	B	Dividend	L	T					
58. Verizon Com Stock	B	Dividend	K	T					
59. IShares MSCI Index Fund	C	Dividend	M	T					
60. IShares Small Cap Index Fund	B	Dividend	M	T					
61. Vanguard Emerging Market Fund	B	Dividend	L	T					
62. CAPITAL TRUST ACCOUNT									
63. AA PLC	A	Dividend			Buy	06/07/17	K		
64.					Sold (part)	10/06/17	J	A	
65.					Sold (part)	10/12/17	J	A	
66.					Sold (part)	10/17/17	J	A	
67.					Sold	10/18/17	J	A	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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68. ABN AMRO GROUP NV CVA GDR	A	Dividend			Sold	12/08/17	J	C	
69. ADVANCED AUTO PARTS INC	A	Dividend			Buy	07/05/17	J		
70.					Sold	12/08/17	J	B	
71. ACCENTURE PLC US\$	A	Dividend	K	T	Sold (part)	06/07/17	K	E	
72. ACTIVISION BLIZZARD INC	A	Dividend	K	T					
73. AES CORP COM	A	Dividend	K	T	Buy	06/07/17	K		
74.					Buy	12/18/17	J		
75.					Buy	12/19/17	J		
76.					Sold (part)	11/14/17	J	A	
77. AIA GROUP LTD	A	Dividend	M	T	Buy	06/07/17	L		
78. AETNA INC	A	Dividend			Sold	03/10/17	J	C	
79. AIRBUS GROUP SE	B	Dividend	M	T	Buy	01/03/17	K		
80.					Buy	01/04/17	J		
81.					Buy	01/05/17	J		
82.					Buy	01/09/17	J		
83.					Buy	01/11/17	J		
84.					Buy	01/12/17	J		

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85.					Buy	03/15/17	K		
86.					Sold (part)	06/07/17	J	B	
87. ALPHABET INC CL A		None	K	T	Buy	02/23/17	J		
88. ALPHABET INC CL C		None	K	T					
89. AMADEUS IT GROUP SA	A	Dividend	L	T					
90. AMAZON.COM INC		None	L	T	Buy	02/21/17	K		
91.					Sold (part)	06/09/17	K	D	
92. AMERICAN FUNDS DEVELOPING WORLD GROWTH AND INCOME FUND CL F3	E	Dividend	P1	T	Buy	03/24/17	J		
93.					Buy	06/23/17	K		
94.					Buy	09/22/17	J		
95.					Buy	12/22/17	J		
96.					Buy	12/28/17	O		
97. AMERICAN FUNDS EUROPACIFIC GROWTH FUND CL F3	E	Dividend	P1	T	Buy	06/14/17	K		
98.					Buy	12/21/17	K		
99.					Distributed (part)	12/22/17	K	E	
100. AMERICAN FUNDS INFLATION LINKED BOND FUND CL F3	D	Dividend	O	T	Buy	12/22/17	K		

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101. AMERICAN FUNDS HIGH-INCOME MUNICIPAL BOND FUND CL F3	D	Dividend	N	T	Buy	01/31/17	J		
102.					Buy	02/28/17	J		
103.					Buy	03/31/17	J		
104.					Buy	04/28/17	J		
105.					Buy	05/31/17	J		
106.					Buy	06/30/17	J		
107.					Buy	07/31/17	J		
108.					Buy	08/31/17	J		
109.					Buy	09/29/17	J		
110.					Buy	10/31/17	J		
111.					Buy	11/30/17	J		
112.					Buy	12/29/17	J		
113. AMERICAN FUNDS NEW ECONOMY FUND CL F3	D	Dividend	P1	T	Buy	12/22/17	M		
114.					Buy	12/28/17	O		
115.					Distributed (part)	12/26/17	M	G	
116. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F3	D	Dividend	P1	T	Buy	12/21/17	L		
117.					Buy	12/28/17	O		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$500,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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)
118.					Distributed (part)	12/22/17	L	F	
119. AMERICAN FUNDS NEW WORLD FUND CL F3	E	Dividend	P1	T	Buy	12/21/17	K		
120.					Buy	12/28/17	O		
121.					Distributed (part)	12/22/17	J	D	
122. AMERICAN FUNDS SMALLCAP WORLD FUND CL F3		None	P1	T	Buy	12/20/17	L		
123.					Buy	12/28/17	O		
124.					Distributed (part)	12/21/17	L	F	
125. AMERICAN TOWER CORP	B	Dividend	L	T	Buy	06/07/17	J		
126. AMERISOURCEBERGEN CORP	A	Dividend			Sold	06/07/17	K	D	
127. ANALOG DEVICES INC	A	Dividend	J	T					
128. AON PLC	A	Dividend	K	T	Sold (part)	06/07/17	K	E	
129. APPLE INC	B	Dividend	L	T	Sold (part)	06/07/17	J	D	
130.					Sold (part)	09/21/17	K	D	
131. ASAH KASEI CORP	A	Dividend	L	T	Buy	06/07/17	K		
132. ASML HOLDING NV	A	Dividend	M	T	Buy	06/07/17	L		
133. ASSA ABLOY AB CL B	A	Dividend	K	T	Buy	06/07/17	K		
134.					Sold (part)	11/09/17	J	B	

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	

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Wardlaw, Kim M.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
135. ASTRAZENECA PLC (GBP)	B	Dividend	L	T	Buy	03/14/17	K		
136. ASTRAZENECA PLC ADR	A	Dividend	J	T					
137. AUTOMATIC DATA PROCESSING INC	A	Dividend			Sold (part)	06/07/17	J	B	
138.					Sold	06/23/17	J	C	
139. BAE SYSTEMS PLC	B	Dividend			Sold	06/07/17	J	B	
140. BANK OF NEW YORK MELLON CORP	A	Dividend	L	T	Buy	03/09/17	J		
141.					Buy	07/20/17	J		
142.					Buy	08/09/17	K		
143.					Buy	11/10/17	J		
144. BAY AREA TOLL AUTH 06C2 CA VAR 04/01/45	B	Interest			Sold	02/23/17	M	A	
145. BCA MARKETPLACE PLC	A	Dividend	J	T					
146. BNP PARIBAS	B	Dividend	K	T	Buy	11/10/17	J		
147.					Sold (part)	08/24/17	J	B	
148.					Sold (part)	08/28/17	J	A	
149.					Sold (part)	08/31/17	J	A	
150.					Sold (part)	09/04/17	J	A	
151.					Sold (part)	09/06/17	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	

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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)
152.					Sold (part)	09/11/17	J	A	
153.					Sold (part)	09/12/17	J	A	
154.					Sold (part)	11/13/17	J	A	
155. BOEING CO	B	Dividend	K	T	Sold (part)	06/07/17	J	D	
156.					Sold (part)	07/20/17	J	D	
157. BRENNTAG AG	A	Dividend	J	T					
158. BRITISH AMERICAN TOBACCO PLC	B	Dividend	L	T	Buy	01/31/17	J		
159.					Buy	02/01/17	J		
160.					Buy	08/25/17	J		
161. BROADCOM LTD	B	Dividend	L	T					
162. CH ROBINSON WORLDWIDE INC	A	Dividend	J	T	Buy	01/27/17	J		
163.					Buy	01/30/17	J		
164. CA EDFAC UNIV OF SAN FRANCISCO 5.0% 10/01/21	C	Interest	M	T					
165. CA HLTH FAC CEDAR-SINAI MED 5.0% 8/15/21	D	Interest	M	T					
166. CA HLTH HENRY MAYO NEWHALL MEM HOSP AGM 1	C	Interest	M	T					
167. CA INFRA EDB J. PAUL GETTY 13A-2 FRN (L 0.7 50) (MPT) SF 10/01/47	B	Interest	M	T					
168. CA INFRA EDB J. PAUL GETTY 15B-1 SIFMA +28BP FRN (MPT) SR 10/01/47	B	Interest	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 \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
169. CA PUB WKS LEASE REV 17B5.0% 10/01/22	A	Interest	M	T	Buy	10/26/17	M		
170. CA PUB WKS LEASE REV VAR PROJ 13I 5.0% 11/01/19	D	Interest	M	T					
171. CA PUB WKS REGENTS UNIV CA C1 5.0% 03/01/19	D	Interest	M	T					
172. CA STECON REC 09A 5.0% 07/01/20	C	Interest	M	T					
173. CA ST GO 5.0% 02/01/20	C	Interest	M	T					
174. CA ST GO 5.0% 09/01/24	D	Interest	M	T					
175. CA STWD ADVENTIST HLTH SYSTEMS WEST 15A 5.0% 03/01/26	C	Interest	M	T					
176. CA STWD ST JOSEPHS HLTH FSA 4.5% 07/01/18	C	Interest	K	T	Sold (part)	07/03/17	K	A	
177. CA STWD UCI APT 5.0% 05/15/24	C	Interest	M	T					
178. CANADIAN NATIONAL RAILWAY CO US\$	A	Dividend			Sold (part)	08/22/17	J	B	
179.					Sold	08/29/17	J	B	
180. CARLSBERG A/S B	A	Dividend	L	T	Buy	04/12/17	J		
181.					Buy	04/18/17	J		
182.					Buy	11/27/17	J		
183. CERNER CORP		None	L	T	Buy	06/07/17	J		
184.					Sold (part)	12/15/17	J	B	
185.					Sold (part)	02/20/17	J	B	

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

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Name of Person Reporting

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

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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)
186. CHARTER COMMUNICATIONS INC CL A		None	K	T	Sold (part)	06/07/17	K	D	
187. CHEVRON CORP	C	Dividend	L	T	Sold (part)	06/07/17	J	A	
188. CHUBB LTD	A	Dividend	K	T	Sold (part)	06/07/17	K	D	
189. CLEARWATER FL WTR/SWR B 5.0% 12/01/18	D	Interest	M	T					
190. CME GROUP INC	D	Dividend	M	T	Sold (part)	06/07/17	J	C	
191. COCA-COLA CO	B	Dividend	K	T	Sold (part)	06/07/17	K	B	
192. COMCAST CORP CL A (NEW)	A	Dividend	K	T	Sold (part)	06/07/17	K	E	
193. COMPAGNIE FINANCIERE RICHEMONT SA REG	A	Dividend	K	T					
194. CONOCOPHILLIPS	A	Dividend	J	T	Buy	01/03/17	J		
195. CROWN CASTLE INTERNATIONAL CORP	B	Dividend	L	T	Buy	06/07/17	K		
196. CSX CORP	A	Dividend	L	T	Buy	08/25/17	J		
197.					Buy	08/28/17	J		
198.					Buy	08/29/17	J		
199.					Buy	08/31/17	J		
200.					Buy	11/27/17	J		
201.					Buy	11/28/17	J		
202.					Buy	11/29/17	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
203.					Buy	11/30/17	J		
204.					Buy	12/13/17	J		
205. DANAHER CORP	A	Dividend	K	T					
206. DANONE	A	Dividend	L	T	Buy	03/15/17	J		
207.					Buy	07/27/17	J		
208. DEERE & CO	A	Dividend	L	T	Buy	02/15/17	J		
209.					Buy	03/29/17	J		
210.					Buy	04/19/17	J		
211.					Buy	07/26/17	J		
212.					Buy	07/27/17	J		
213.					Buy	10/23/17	J		
214.					Buy	10/24/17	J		
215. DENSO CORP	A	Dividend	K	T					
216. DEUTSCHE WOHNEN AG (BEARER)	A	Dividend			Sold (part)	03/06/17	J	B	
217.					Sold (part)	12/05/17	J	B	
218.					Sold	12/06/17	J	A	
219. DIAGEO PLC	A	Dividend	K	T					

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

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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)
220. DIAGEO PLC SPONSORED ADR	A	Dividend	J	T					
221. DKSH HOLDING LTD	A	Dividend	J	T	Buy	03/29/17	J		
222. DNB ASA	A	Dividend	K	T	Buy	11/15/17	J		
223.					Buy	11/21/17	J		
224.					Buy	11/23/17	J		
225.					Buy	11/27/17	J		
226. DOLLAR GENERAL CORP	A	Dividend	K	T	Buy	04/12/17	K		
227. DOW CHEMICAL CO	B	Dividend			Distributed	09/01/17	K		
228. DOWDUPONT INC	A	Dividend	K	T	Spinoff (from line 227)	09/01/17	K		
229.					Sold (part)	11/14/17	K	D	
230. EATON CORP PLC	B	Dividend	K	T	Sold (part)	08/29/17	K	D	
231. ENBRIDGE INC C\$	B	Dividend	L	T	Buy	06/07/17	J		
232.					Buy	12/01/17	J		
233.					Buy	12/04/17	J		
234.					Buy	12/05/17	K		
235.					Buy	12/06/17	J		
236. ENBRIDGE INC US\$	A	Dividend	J	T					

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

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☐ 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)
237. ENEL SPA	A	Dividend	K	T	Buy	06/30/17	J		
238.					Buy	07/03/17	J		
239.					Buy	07/07/17	J		
240.					Buy	07/14/17	J		
241.					Buy	07/18/17	J		
242.					Buy	08/14/17	J		
243.					Buy	11/24/17	J		
244. EOG RESOURCES INC	A	Dividend	K	T	Buy	06/07/17	J		
245. EQUIFAX INC	A	Dividend	K	T	Buy	09/25/17	J		
246.					Buy	09/27/17	J		
247.					Buy	09/28/17	J		
248.					Buy	12/13/17	J		
249. ERICSSON (LM) B		None	K	T	Buy	11/15/17	J		
250.					Buy	11/17/17	J		
251.					Buy	11/22/17	J		
252.					Buy	11/24/17	J		
253.					Buy	11/29/17	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
254.					Buy	11/30/17	J		
255. ESSILOR INTL	A	Dividend	K	T	Buy	06/07/17	K		
256. EXPRESS SCRIPTS HOLDING CO		None	K	T					
257. EXXON MOBIL CORP	B	Dividend	K	T	Sold (part)	08/31/17	K	A	
258.					Sold (part)	12/12/17	J	A	
259. FANUC CO	B	Dividend	L	T	Buy	06/07/17	K		
260.					Sold (part)	12/11/17	K	D	
261.					Sold (part)	12/12/17	J	A	
262.					Sold (part)	12/15/17	K	D	
263. GEMALTO NV	A	Dividend			Buy	02/08/17	J		
264.					Buy	02/10/17	J		
265.					Buy	02/15/17	J		
266.					Sold (part)	05/04/17	J	A	
267.					Sold (part)	05/05/17	J	A	
268.					Sold (part)	05/08/17	J	A	
269.					Sold (part)	05/19/17	J	A	
270.					Sold (part)	05/22/17	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 = \$250,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
271.					Sold (part)	06/16/17	J	A	
272.					Sold (part)	10/10/17	J	A	
273.					Sold (part)	10/25/17	J	A	
274.					Sold	10/30/17	J	A	
275. GENERAL ELECTRIC CO (USD)	A	Dividend			Sold	08/25/17	K	A	
276. GILEAD SCIENCES INC	B	Dividend	L	T	Buy	06/07/17	J		
277.					Buy	08/31/17	J		
278.					Buy	09/08/17	K		
279.					Buy	09/11/17	K		
280.					Buy	10/24/17	J		
281. GIVAUDAN	A	Dividend	J	T					
282. GLOBAL PAYMENTS INC	A	Dividend	K	T	Buy	07/14/17	J		
283.					Buy	07/17/17	J		
284. GOLDMAN SACHS GROUP INC	A	Dividend			Sold (part)	02/03/17	K	D	
285.					Sold (part)	06/23/17	K	D	
286.					Sold	08/10/17	K	E	
287. GLENDALE CA REDEV AGY TAX ALLOC BAM 4.0% 12/01/23	C	Interest	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	

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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)
288. GODADDY INC CL A		None	L	T	Buy	10/26/17	J		
289.					Buy	10/30/17	J		
290.					Buy	11/01/17	J		
291.					Buy	11/02/17	J		
292.					Buy	11/03/17	J		
293.					Buy	11/06/17	J		
294.					Buy	11/08/17	J		
295.					Buy	11/09/17	J		
296.					Buy	11/13/17	J		
297.					Buy	11/14/17	J		
298.					Buy	11/15/17	J		
299. GOLDEN ST TOBACCO SEC CORP ST APPROP 13A 5.0% 06/01/21	C	Interest	M	T					
300. GOLDEN ST TOBACCO SEC CORP ST APPROP 13A5.0% 06/01/29	C	Interest	M	T					
301. GUAM BUS PRIVILEGE TAX 11A 5.0% 01/01/18	D	Interest	M	T					
302. HAMAMATSU PHOTONIC KK	A	Dividend	K	T	Buy	06/07/17	K		
303. HDFC BANK LTD	A	Dividend	K	T	Buy	06/07/17	K		
304. HELMERICH & PAYNE	A	Dividend			Sold	09/21/17	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	

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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)
305. HERMES INTERNATIONAL		None	J	T	Buy	06/30/17	J		
306.					Buy	07/03/17	J		
307. HEXCEL CORP	A	Dividend	K	T	Sold (part)	06/07/17	J	B	
308.					Sold (part)	11/02/17	J	C	
309.					Sold (part)	12/08/17	J	B	
310.					Sold (part)	12/12/17	J	B	
311. HILTON WORLDWIDE HOLDINGS INC	A	Dividend	L	T	Buy	08/09/17	J		
312.					Buy	08/10/17	J		
313.					Buy	08/11/17	J		
314.					Buy	08/18/17	J		
315.					Buy	08/31/17	J		
316.					Buy	09/18/17	J		
317.					Buy	10/19/17	J		
318. HOSHIZAKI CORP	A	Dividend	J	T					
319. HP INC	A	Dividend			Sold	06/07/17	K	D	
320. HUMANA INC	A	Dividend	J	T	Buy	03/09/17	J		
321. HUNTINGTON BANCSHARES INC	A	Dividend	K	T	Buy	03/31/17	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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☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
322.					Buy	04/03/17	J		
323.					Buy	12/08/17	J		
324. HYUNDAI MTR CO SP ADR		None	J	T	Buy	11/21/17	J		
325.					Buy	11/24/17	J		
326. IBERDROLA SA		None	K	T	Buy	07/11/17	J		
327.					Buy	07/12/17	J		
328.					Buy	08/04/17	J		
329.					Buy	08/07/17	J		
330.					Buy	08/09/17	J		
331.					Buy	12/05/17	J		
332. IDEX CORP	A	Dividend	K	T	Sold (part)	06/07/17	K	D	
333. IMPERIAL BRANDS PLC	B	Dividend	K	T	Buy	06/07/17	K		
334. INCYTE CORP		None	L	T	Buy	08/30/17	J		
335.					Buy	11/27/17	J		
336. INTEL CORP	A	Dividend	K	T	Buy	09/26/17	J		
337.					Buy	09/27/17	J		
338.					Buy	09/29/17	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
339.					Buy	10/03/17	J		
340.					Buy	10/04/17	J		
341. INTERCONTINENTAL EXCHANGE INC	A	Dividend	K	T	Buy	03/21/17	J		
342.					Buy	06/01/17	K		
343. INVESCO LTD	A	Dividend			Sold	05/10/17	K	C	
344. IRON MOUNTAIN INCORPORATED	A	Dividend			Sold	06/07/17	L	E	
345. IRVINE CA REASSMT DIST 15-2 5.0% 09/02/29	C	Interest	M	T					
346. JABIL INC	A	Dividend			Sold (part)	07/25/17	J	B	
347.					Sold (part)	08/07/17	J	B	
348.					Sold (part)	08/10/17	J	B	~
349.					Sold (part)	08/11/17	J	B	
350.					Sold	08/14/17	J	C	
351. JACK HENRY & ASSOC INC	A	Dividend	K	T	Sold (part)	06/07/17	K	E	
352. JAPAN TOBACCO INC	A	Dividend			Sold	11/06/17	J	A	
353. JARDINE MATHESON HLD (SINGAPORE)	A	Dividend	K	T	Buy	06/07/17	J		
354. JCDECAUX SA	A	Dividend	J	T	Buy	01/17/17	J		
355.					Buy	05/19/17	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
356.					Buy	06/09/17	J		
357.					Buy	08/29/17	J		
358. JOHNSON & JOHNSON	A	Dividend	J	T					
359. JPMORGAN CHASE & CO	B	Dividend	L	T	Sold (part)	06/07/17	K	E	
360. KBC GROEP NV	B	Dividend	L	T	Buy	03/06/17	J		
361.					Buy	03/07/17	J		
362.					Buy	03/22/17	J		
363.					Buy	03/31/17	J		
364.					Buy	04/04/17	J		
365.					Buy	05/30/17	J		
366.					Buy	05/31/17	J		
367.					Buy	11/14/17	J		
368.					Buy	11/15/17	J		
369.					Buy	11/16/17	J		
370.					Buy	11/17/17	J		
371. KEYENCE CORP	A	Dividend	L	T	Sold (part)	11/22/17	K	D	
372.					Sold (part)	12/11/17	J	C	

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

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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
373. KONINKLIJKE KPN NV		None	J	T	Buy	07/31/17	J		
374.					Buy	08/02/17	J		
375.					Buy	08/10/17	J		
376.					Buy	08/18/17	J		
377.					Buy	08/22/17	J		
378.					Buy	08/23/17	J		
379.					Buy	08/25/17	J		
380.					Buy	08/29/17	J		
381. LA CA USD 16A 5.0% 07/01/23	C	Interest	M	T					
382. LA CA USD COPS 12A 5.0% 10/01/22	D	Interest	M	T					
383. LA CO CA MTA SALES TAX REV SR PROP C 13A 5.0% 07/01/20	C	Interest	M	T					
384. L'AIR LIQUIDE (L)	A	Dividend	K	T	Buy	10/04/17	J		
385.					Sold (part)	10/04/17	J	A	
386. LAKE ELSINORE CA PUBLIC FING AUTH LOCAL 5.00% 09/01/2027	C	Interest	L	T					
387. LAS VEGAS SANDS CORP	C	Dividend	M	T	Buy	01/24/17	K		
388.					Buy	01/25/17	J		
389. LIBERTY GLOBAL PLC CL A		None			Sold (part)	05/11/17	J	A	

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	

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
390.					Sold (part)	05/12/17	J	A	
391.					Sold (part)	06/01/17	J	A	
392.					Sold (part)	06/30/17	J	A	
393.					Sold	07/25/17	J	A	
394. LILLY ELI & CO	A	Dividend	J	T	Sold (part)	07/20/17	K	B	
395.					Sold (part)	08/04/17	K	B	
396. LINK REIT (REIT)	A	Dividend	J	T	Buy	12/12/17	J		
397. LLOYDS TSB GROUP PLC	A	Dividend	K	T	Buy	05/18/17	J		
398. L'OREAL	A	Dividend	L	T	Buy	06/07/17	J		
399. LVMH MOET HENNESSY VUITTON SE	A	Dividend	K	T					
400. LYONDELLBASELL INDUSTRIES NV	A	Dividend			Sold	06/07/17	J	A	
401. MARKS & SPENCER GROUP PLC	A	Dividend	K	T					
402. MARSH & MCLENNAN COS INC	B	Dividend	K	T	Sold (part)	06/07/17	M	F	
403. MEDTRONIC PLC	A	Dividend			Sold (part)	04/13/17	J	B	
404.					Sold	08/30/17	J	A	
405. MERCK & CO INC	A	Dividend	J	T	Buy	03/22/17	J		
406.					Buy	08/31/17	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
407. MERCURY GENERAL CORP	A	Dividend			Sold	06/07/17	J	A	
408. MICRO FOCUS INTERNATIONAL PLC	B	Dividend	J	T	Buy	05/19/17	J		
409.					Sold (part)	09/01/17	J	A	
410. MICROSOFT CORP	A	Dividend	K	T	Sold (part)	06/07/17	J	C	
411. MODERN TIMES GROUP B		None	J	T	Buy	06/07/17	J		
412. MONDELEZ INTERNATIONAL INC	A	Dividend	J	T					
413. MONSANTO CO NEW COM	A	Dividend	K	T	Sold (part)	06/07/17	K	D	
414. MOODYS CORP	A	Dividend	L	T					
415. MURATA MANUFACTURING CO LTD	A	Dividend	L	T	Buy	06/07/17	K		
416. NASPERS LTD SPONSORED ADR	A	Dividend	M	T	Sold (part)	08/11/17	J	A	
417. NATIONAL GRIP PLC SP ADR	A	Dividend	K	T					
418. NESTLE NAM SPON ADR	B	Dividend	K	T	Sold (part)	06/07/17	K	C	
419. NESTLE SA REG	A	Dividend	K	T	Sold (part)	06/07/17	K	C	
420. NEW YORK COMMUNITY BANCORP	A	Dividend			Sold (part)	03/31/17	J	A	
421.					Sold (part)	04/03/17	J	A	
422.					Sold (part)	04/04/17	J	A	
423.					Sold (part)	04/05/17	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 = \$250,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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)
424.					Sold (part)	04/06/17	J	A	
425.					Sold	04/07/17	J	A	
426. NEWELL BRANDS INC	A	Dividend	K	T	Sold (part)	02/03/17	K	D	
427. NIELSEN HOLDINGS PLC	A	Dividend	J	T	Buy	06/07/17	J		
428.					Sold (part)	11/02/17	K	C	
429. NIKE INC CL B	A	Dividend	J	T	Buy	08/17/17	J		
430. NO CAL TRANSMISSION (TANC) OR PROJECT 16A 5.0% 05/01/24	D	Interest	M	T					
431. NORFOLK SOUTHERN CORP	A	Dividend			Sold (part)	02/03/17	L	E	
432.					Sold (part)	06/06/17	J	D	
433.					Sold	12/14/17	J	D	
434. NORTHROP GRUMMAN CORP	A	Dividend	J	T	Buy	11/07/17	J		
435. NOVARTIS AG NAMEN	A	Dividend			Sold	06/07/17	K	C	
436. NORWEGIAN CRUISE LINE HOLDINGS LTD		None	K	T	Buy	06/07/17	K		
437. NOVO NORDISK A/S CL B ADR	A	Dividend	K	T	Buy	06/07/17	L		
438. NTT DOCOMO	A	Dividend	J	T					
439. NUCOR CORP	A	Dividend			Sold	06/07/17	K	C	
440. O REILLY AUTOMOTIVE INC		None			Buy	08/02/17	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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☐ 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)
441.					Sold	11/03/17	K	A	
442. OAKLAND USD ALAMEDA CNTY CA 17A 5.0% 08/01/20	A	Interest	M	T	Buy	05/12/17	M		
443. OCCIDENTAL PETROLEUM CORP	B	Dividend	K	T	Buy	06/07/17	K		
444.					Sold (part)	12/11/17	K	A	
445. OR PROVIDENCE HLTH C SIFMA +100 FRN (MPT) 10/01/22-09/15/18	B	Dividend	M	T					
446. ORACLE CORP JAPAN	A	Dividend	K	T					
447. PACWEST BANCORP	A	Dividend			Sold	06/07/17	K	D	
448. PANERA BREAD CO CL A		None			Sold	04/10/17	K	D	
449. PAYCHEX INC	A	Dividend			Sold	06/07/17	K	C	
450. PALM DESERT REDEV CA BAM 17A 5.0% 10/01/26	C	Interest	M	T	Buy	01/19/17	M		
451. PASADENA CA COP AMBAC .0% 02/01/20		None	L	T					
452. PERNOD RICARD SA	A	Dividend	L	T	Buy	06/07/17	K		
453. PFIZER INC	A	Dividend			Sold	09/05/17	K	B	
454. PHILIP MORRIS INTERNATIONAL INC	B	Dividend	K	T	Sold (part)	04/20/17	L	E	
455. PNC FINANCIAL SERVICES GROUP INC	A	Dividend			Sold (part)	08/31/17	J	C	
456.					Sold	10/19/17	K	D	
457. POTASH CORP OF SASKATCHEWAN INC C\$	A	Dividend	K	T	Buy	07/13/17	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
458.					Buy	07/14/17	J		
459.					Buy	07/17/17	J		
460.					Buy	07/18/17	J		
461.					Buy	07/20/17	J		
462.					Buy	07/21/17	J		
463.					Buy	07/24/17	J		
464.					Buy	07/25/17	J		
465. PRAXAIR INC	A	Dividend	K	T	Sold (part)	06/07/17	J	B	
466. PROCTER & GAMBLE CO	B	Dividend	J	T	Sold (part)	06/07/17	M	D	
467. PRUDENTIAL PLC	A	Dividend	K	T					
468. QUALCOMM INC	B	Dividend	L	T	Buy	03/09/17	J		
469.					Buy	03/10/17	K		
470.					Buy	04/11/17	K		
471.					Buy	09/06/17	J		
472. RECKITT BENCKISER GROUP PLC	A	Dividend	K	T	Buy	03/15/17	J		
473.					Buy	03/16/17	J		
474.					Buy	03/17/17	K		

1. Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000 R =Cost (Real Estate Only) V =Other	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000 L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000 S =Assessment W =Estimated	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000 T =Cash Market	E =\$15,001 - \$50,000
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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)
475.					Buy	04/21/17	J		
476.					Buy	07/06/17	J		
477. RIO TINTO PLC REG	A	Dividend	J	T					
478. ROCHE HOLDING AG GENUSSSCHEIN	B	Dividend	L	T	Buy	06/07/17	J		
479. ROYAL CARIBBEAN CRUISES	B	Dividend	K	T	Sold (part)	06/07/17	J	C	
480. ROYAL DUTCH SHELL CL B ADR	C	Dividend	L	T	Buy	06/07/17	K		
481. RYANAIR HOLDINGS PLC SP ADR		None	K	T	Buy	06/07/17	K		
482. SAFRAN SA	A	Dividend	L	T	Buy	06/07/17	K		
483. SAMPO OYJ A SHS	B	Dividend	K	T	Sold (part)	06/07/17	J	B	
484.					Sold (part)	08/14/17	J	A	
485.					Sold (part)	08/16/17	J	A	
486. SAMSONITE INTERNATIONAL SA	A	Dividend	K	T					
487. SAN DIEGO CA REGL AIRPORT A 5.0% 07/01/18	C	Interest	M	T					
488. SAN DIEGO WTR NATL FGIC 5.25% 05/01/17	C	Interest			Matured	05/01/17	L		
489. SAN DIEGO CA USD GO 17H-25.0% 07/01/20		None	M	T	Buy	10/04/17	M		
490. SAN FRAN ARPT 2ND 06F NATL-FGIC 5.25% 05/01/20	D	Interest	M	T					
491. SAN RAMON CA REDEV TAX ALLOC BAM 15A 5.0% 02/01/24	C	Interest	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	

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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)
492. SANTA CRUZ CA REDEV TAX ALLOC 16A5.0% 09/01/25	D	Interest	M	T					
493. SAP SE	A	Dividend	K	T					
494. SCHLUMBERGER LTD	B	Dividend	L	T	Buy	10/23/17	J		
495.					Buy	12/12/17	J		
496.					Sold (part)	06/07/17	K	C	
497. SCRIPPS NETWORKS INTERACTIVE CL A T	A	Dividend			Sold (part)	06/07/17	J	D	
498.					Sold	07/31/17	J	D	
499. SCPPA MAGNOLIA PWR 11-A 5.00% 07/01/20	C	Interest	M	T					
500. SCPPA MEAD-ADELANTO 12A 5.0% 07/01/18	D	Interest	M	T					
501. SEATTLE GENETICS INC		None	K	T	Buy	03/07/17	J		
502.					Buy	03/08/17	J		
503.					Buy	03/10/17	J		
504.					Buy	04/12/17	J		
505.					Buy	09/15/17	J		
506.					Buy	10/03/17	J		
507. SEMPRA ENERGY	A	Dividend	K	T					
508. SES FDR CL A (PARIS)	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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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
509. SEVEN & I HOLDING CO LTD	A	Dividend			Buy	06/07/17	K		
510.					Sold (part)	12/06/17	K	A	
511.					Sold	12/07/17	J	A	
512. SHISEIDO CO	A	Dividend			Buy	06/07/17	K		
513.					Sold (part)	11/09/17	K	C	
514.					Sold	11/10/17	K	C	
515. SIEMENS AG ADR	A	Dividend			Sold	06/07/17	K	D	
516. SIEMENS AG NAMEN	A	Dividend			Sold	06/07/17	K	D	
517. SINGAPORE TELECOMM	C	Dividend			Buy	06/07/17	K		
518.					Sold (part)	08/31/17	J	A	
519.					Sold (part)	10/02/17	J	A	
520.					Sold	11/01/17	L	A	
521. SHIN ETSU CHEM CO LTD		None	K	T	Buy	11/15/17	K		
522. SMC CORP	A	Dividend	L	T	Buy	06/07/17	K		
523. SOFTBANK GROUP CORP	A	Distribution	L	T	Buy	06/07/17	L		
524.					Sold (part)	11/15/17	J	C	
525. STARBUCKS CORP	A	Dividend	K	T	Sold (part)	06/07/17	K	D	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	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	

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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)
526. STATE STREET CORP		None	K	T	Buy	12/14/17	J		
527.					Buy	12/20/17	J		
528. STATE STREET INSTITUTIONAL TREAS MMKT FD PREM	C	Dividend	J	T					
529. STATE STREET INSTL US GOVT MMKT FUND	B	Dividend	N	T					
530. SVENSKA HANDELSBANKEN AB CL A SHS	A	Dividend	J	T					
531. SYDNEY AIRPORT STAPLED SECURITY	A	Dividend			Sold (part)	11/06/17	J	B	
532.					Sold (part)	11/20/17	J	A	
533.					Sold	11/22/17	J	A	
534. SYSMEX CORP	A	Dividend			Sold (part)	07/19/17	J	A	
535.					Sold	07/28/17	J	A	
536. TAIWAN SEMICONDUCTOR SPONS ADR	C	Dividend	M	T	Buy	06/07/17	J		
537.					Buy	10/11/17	J		
538.					Buy	10/12/17	J		
539. TATE & LYLE PLC	A	Dividend			Sold	06/07/17	J	B	
540. TEMPUR SEALY INTERNATIONAL INC		None	J	T					
541. TEXAS INSTRUMENTS INC	B	Dividend	J	T	Sold (part)	03/10/17	L	E	
542.					Sold (part)	11/13/17	K	E	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$500,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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)
543. TORONTO DOMINION BANK	A	Dividend	J	T	Buy	04/17/17	J		
544.					Buy	04/18/17	J		
545. TOTAL SA (FR)	A	Dividend			Sold (part)	10/23/17	J	B	
546.					Sold	11/20/17	J	C	
547. TRANSDIGM GROUP INC	B	Dividend	K	T	Buy	04/06/17	J		
548. TUOLUMNE WIND REV CA TURLOCK IRR DT 5.25% 01/01/24	D	Interest	M	T					
549. TURLOCK CA IRR DIST 5.0% 01/01/19	C	Interest	M	T					
550. UBS GROUP AG	A	Dividend	J	T					
551. UNILEVER PLC	A	Dividend			Sold	04/04/17	J	B	
552. UC REGENTS CA LTD PROJ 12G 5.0% 05/15/22	D	Interest	M	T					
553. UNILEVER PLC ADR AMER SHS SPON	A	Dividend			Sold (part)	02/17/17	J	B	
554.					Sold	03/10/17	J	A	
555. UNITEDHEALTH GROUP INC	A	Dividend	L	T	Buy	10/02/17	K		
556.					Buy	12/08/17	J		
557. VERISIGN INC		None	J	T					
558. VERIZON COMMUNICATIONS	A	Dividend	J	T					
559. VIACOM INC CLASS B	A	Dividend	K	T	Buy	10/17/17	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
560.					Buy	10/18/17	J		
561.					Sold (part)	02/22/17	J	C	
562. VISA INC CL A	A	Dividend	M	T					
563. VODAFONE GROUP PLC	B	Dividend	K	T	Buy	05/17/17	K		
564. VTECH HOLDINGS LTD	C	Dividend	K	T	Buy	06/07/17	K		
565. WASTE CONNECTIONS INC	A	Dividend	K	T	Sold (part)	06/19/17	J	A	
566. WASTE MANAGEMENT INC	A	Dividend	J	T	Sold (part)	06/07/17	K	C	
567. WELLS FARGO & CO	A	Dividend	K	T	Buy	03/13/17	J		
568. XILINX INC	A	Dividend	J	T	Sold (part)	02/03/17	J	A	
569.					Sold (part)	06/07/17	J	C	
570.					Sold (part)	08/25/17	J	C	
571. YUM BRANDS INC	A	Dividend	K	T	Sold (part)	06/07/17	K	C	
572. YUM CHINA HOLDINGS INC	A	Dividend	K	T					
573. ZODIAC AEROSPACE	A	Dividend			Sold	06/07/17	K	C	
574. TRUST #2 (4306)									
575. CAPITOL GROUP GLOBAL EQUITY FUND	E	Dividend	P1	T	Buy	12/28/17	L		
576.					Sold (part)	01/06/17	J	A	

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

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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)
577.					Sold (part)	01/26/17	J	A	
578.					Sold (part)	01/31/17	J	A	
579.					Sold (part)	03/17/17	J	A	
580.					Sold (part)	04/27/17	J	A	
581.					Sold (part)	05/02/17	J	A	
582.					Sold (part)	09/08/17	J	B	
583.					Sold (part)	09/15/17	K	D	
584.					Sold (part)	10/26/17	J	A	
585. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	O	T	Buy	01/30/17	J		
586.					Buy	02/27/17	J		
587.					Buy	03/30/17	J		
588.					Buy	04/27/17	J		
589.					Buy	05/30/17	J		
590.					Buy	06/29/17	J		
591.					Buy	07/28/17	J		
592.					Buy	08/30/17	J		
593.					Buy	09/28/17	J		

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

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

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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)
594.					Buy	10/30/17	J		
595.					Buy	11/29/17	J		
596.					Buy	12/28/17	J		
597. CAPITAL GROUP CA SHORT TERM MUNI FUND	D	Dividend	N	T	Buy	01/30/17	J		
598.					Buy	02/27/17	J		
599.					Buy	03/30/17	J		
600.					Buy	04/27/17	J		
601.					Buy	05/30/17	J		
602.					Buy	06/29/17	J		
603.					Buy	07/28/17	J		
604.					Buy	08/30/17	J		
605.					Buy	09/28/17	J		
606.					Buy	10/30/17	J		
607.					Buy	11/29/17	J		
608.					Buy	12/28/17	J		
609. CAPITAL GROUP ALTERNATIVE STRATEGIES FUND, LP		None	N	T	Distributed (part)	04/28/17	M	A	
610. HARBOURVEST 2015 GLOBAL FUND L.P.		None	M	T	Buy	01/13/17	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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	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
611.					Buy	03/28/17	J		
612.					Buy	05/04/17	J		
613.					Buy	06/29/17	J		
614.					Buy	09/20/17	J		
615.					Buy	12/22/17	J		
616. AMERICAN FUNDS DEVELOPING WORLD GROWTH AND INCOME FUND CL F3	B	Dividend	M	T	Sold (part)	09/08/17	J	A	
617.					Buy	03/24/17	J		
618.					Buy	06/23/17	J		
619.					Buy	09/22/17	J		
620.					Buy	12/22/17	J		
621.					Sold (part)	09/15/17	J	A	
622. CGASF LIQUIDATING PORTFOLIO		None	M	T	Buy	04/28/17	M		
623. HARBOURVEST 2017 GLOBAL FUND LP		None	K	T	Buy	09/21/17	K		
624. STATE STREET INSTL US GOVT MMKT INVESTOR CLASS FUND #5325		None	J	T	Buy	07/10/17	J		
625. STATE STREET INSTITUTIONAL US GOVERNMENT MONEY MARKET FUND ADM	A	Dividend			Sold	07/10/17	J		
626. MS Brokerage Asset Acct.									

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)
627. Alhambra CA Sch Dist 3.0% 08/01/26	C	Interest	M	T					
628. Amazon Inc.		None	J	T					
629. Banning CA Sch Dist 4.75% 08/01/23	B	Interest			Redeemed	08/01/17	K		
630. Banning CA Sch Dist 4.0% 08/01/32	A	Dividend			Sold	03/21/17	M	A	
631. Belmont CA Fing Auth 4.0% 09/01/26	C	Interest	M	T					
632. Brocade Com Systems	A	Dividend			Sold	11/17/17	J	B	
633. Buttonwillow CA Sch Dist 5.5% 11/01/27	C	Interest	L	T					
634. CA St Dept Wtr 5.00% 05/01/21	B	Interest	L	T					
635. CA ST GO 3.00% 03/01/29	C	Interest	M	T					
636. CA ST GO 5.00% 08/01/30	D	Interest	M	T	Buy	12/12/17	M		
637. CA ST GO 5.00% 08/01/33	D	Interest	M	T	Buy	03/25/17	M		
638. CA ST GO 4.00% 09/01/35	D	Interest	M	T	Buy	03/21/17	M		
639. CA ST FOR PREVIOUS ISSUE 4.00% 09/01/34	D	Interest	M	T	Buy	03/21/17	M		
640. CA ST PUB WORKS 5.00% 11/01/34	C	Interest	M	T	Buy	03/21/17	M		
641. CA ST Pub Works 5.25% 12/01/26	D	Interest	M	T					
642. CA ST Pub Works 5.25% 06/01/20	C	Interest	L	T					
643. CA ST Pub Works 4.200% 05/01/19	C	Interest	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 \$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)
644. CA ST Pub Works 5.000% 9/1/29	D	Interest	M	T					
645. CA ST Pub Works 3.00% 12/01/28	C	Dividend	M	T					
646. CA ST Pub Works 3.375% 12/01/32	C	Dividend	L	T					
647. Carmichael CA WTR Dist 5.0% 11/01/25	B	Interest	L	T					
648. Chino Hills CA Tax Rev 4.25% 09/01/24	B	Interest	L	T					
649. Chula Vista CA Sch Dist 4.0% 08/01/26	D	Interest	M	T					
650. Colton CA Sch Dist 3.25% 08/01/26	C	Interest	M	T					
651. Compton CA WTR Rev 5.625% 08/01/27	D	Interest	M	T					
652. Contra Costa CA Community Coll. 4.0% 08/01/28	C	Interest	L	T					
653. Cupertino CA CTFS 3.0% 07/01/26	C	Interest	M	T					
654. Delano CA Sch Dist 4.000% 02/01/25	C	Interest	M	T					
655. Dublin CA Sch Dist 5.0% 08/01/25	A	Interest			Redeemed	08/01/17	L		
656. Desert CA Comm Coll 5.00% 08/01/35	D	Interest	M	T	Buy	03/21/17	M		
657. East Bay CA Wtr Rev 5.00% 06/01/33	D	Interest	M	T	Buy	07/24/17	M		
658. East Side Sch Dist 5.0% 08/01/24	C	Interest	L	T					
659. El Monte CA Sch Dist 5.000% 06/01/22	C	Interest	M	T					
660. Fairfield CA Sch Dist 4.000% 08/01/27	C	Interest	L	T					

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

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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)
661. Fairfield CA Sch Dist 3.0% 08/01/28	C	Interest	M	T					
662. Fontana CA Pub Fing 4.000% 09/01/18	D	Interest	M	T					
663. Fremont CA Sch Dist 5.0% 08/01/25	C	Interest	L	T					
664. Glendora CA Sch Dist 4.000% 08/01/28	C	Interest	M	T					
665. Gilead Sci Inc	D	Dividend	M	T					
666. Hemet CA Sch Dist 4.0% 08/01/23	C	Interest	M	T					
667. Hollister CA Sch Dist 5.00% 09/01/30	C	Interest	L	T	Buy	04/27/17	L		
668. Hollister CA Waste Wtr 5.00% 06/01/35	D	Interest	M	T	Buy	03/21/17	M		
669. Huntington Beach CA Pub Fing 5.0% 09/01/25	C	Interest	M	T					
670. Imperial CNTY CA Trans. 3.25% 06/01/23	B	Interest	L	T					
671. Illumina Inc		None	L	T	Buy	03/02/17	K		
672. Intercept Inc		None	L	T	Buy	12/28/17	M		
673. Incyte Inc		None	M	T	Buy	03/02/17	M		
674.					Buy	10/11/17	L		
675.					Sold (part)	12/18/17	M		
676. Jefferson CA Sch Dist. 5.000% 08/01/26	C	Interest	M	T					
677. Jefferson CA Sch Dist. 5.0% 07/15/26	C	Interest	M	T					

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

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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)
678. Lake Arrowhead CA Dist Wtr 4.500% 10/01/26	C	Interest	L	T					
679. Liberty CA High Sch 4.250% 08/01/26	B	Interest	L	T					
680. Lodi CA Elec Sys 4.5% 07/01/25	C	Interest	L	T					
681. Los Angeles CA Comm College 5.0% 08/01/26	B	Interest	K	T					
682. Los Angeles Comm College 5.00% 08/01/30	C	Interest	M	T	Buy	07/24/17	M		
683. Los Angeles CA DWP 5.0% 07/01/26	D	Interest	M	T					
684. Los Angeles CA Sch Dist 4.5% 07/01/22	B	Interest			Redeemed	07/03/17	L		
685. Los Angeles CA Sch Dist 2.00% 07/01/29		None			Sold	03/21/17	L		
686. Malibu CA CTFS 4.5% 07/01/27	C	Interest	M	T					
687. Newman Crowns Landing Sch Dist 4.00% 08/01/31	C	Interest			Sold	03/21/17	M		
688. Oxnard CA Fing Auth 4.750% 06/01/24	D	Interest	M	T					
689. Palm Desert CTFS 5.00% 04/01/22	A	Interest			Redeemed	04/03/17	L		
690. Palm Springs CA Sch Dist 3.00% 08/01/30	D	Interest	M	T	Buy	02/03/17	M		
691. Palm Springs Sch Dist. 3.0% 08/01/27	C	Interest	M	T					
692. Pasadena CA CTFS 5.0% 02/01/24	C	Interest	M	T					
693. Pasadena CA Elec Rev 4.0% 08/01/24	B	Interest	L	T					
694. Perris CA Sch Dist 5.000% 09/01/28	B	Interest	K	T					

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

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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)
695. Placentia-Yorba Linda CA Sch Dist 2.75% 08/01/26	C	Interest	M	T					
696. Placentia-Yorba Linda CA Sch Dist 5.00% 10/01/31	C	Interest			Sold	03/21/17	M		
697. Port Oakland CA Rev Ref 5.00% 11/01/21	B	Interest			Redeemed	11/01/17	L		
698. Redding CA Elec Sys 5.0% 06/01/27	B	Interest	K	T					
699. Redlands CA Sch Dist 5.000% 07/01/25	D	Interest	M	T					
700. Redondo Beach CA Sch Dist 4.0% 08/01/25	C	Interest	M	T					
701. Riverside CA Sewer Sys 5.000% 08/01/28	D	Interest	M	T					
702. Rosemead CA Sch Dist. 4.00% 08/01/31	C	Interest			Sold	03/21/17	M		
703. Rowland CA Sch Dist 3.000% 08/01/29	C	Interest	M	T					
704. San Bernardino CA Comm College 5.000% 08/01/28	D	Interest	M	T					
705. San Bruno CA Pub Fin 5.00% 07/01/30	D	Interest	M	T	Buy	12/12/17	M		
706. San Diego CA Conv. Cnt 5.0% 04/15/26	D	Interest	M	T					
707. San Diego PFFA 5.0% 10/15/25	D	Interest	N	T					
708. San Diego CA Sch Dist 5.5% 07/01/24	D	Interest	M	T					
709. San Diego CNTY CA Regl Trans 5.0% 04/01/29	D	Interest	M	T					
710. San Francisco Comm College 5.000% 06/15/27	D	Interest	M	T					
711. San Francisco CA Pub Util 5.0% 11/01/25	C	Interest	M	T					

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

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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)
712. San Francisco CA Pub Util 5.0% 11/01/26	C	Interest	L	T					
713. San Francisco CA Sch Dist 3.00% 06/15/29	B	Interest			Sold	03/21/17	M		
714. San Gabriel CA Sch Dist 5.25% 08/01/24	D	Interest	M	T					
715. San Juan CA Sch Dist 5.0% 08/01/25	C	Interest	L	T					
716. San Leandro CA Sch Dist 4.5% 08/01/26	C	Interest	L	T					
717. Santa Clara CA Sch Dist 3.000% 07/01/28	D	Interest	M	T					
718. Santa Rosa CA Wtr Rev 5.0% 09/01/26	D	Interest	M	T					
719. Seattle Genetics		None	K	T	Sold (part)	03/02/17	M	G	
720. Sonoma CA Comm Dev 5.00% 06/01/29	C	Interest	M	T					
721. So Cal Logistics 4.125% 12/01/20	C	Interest	L	T					
722. Stockton CA Sch Dist 5.000% 08/01/27	C	Interest	M	T					
723. Ventura CA Comm. College 3.125% 08/01/31	C	Interest			Sold	03/21/17	M		
724. VBIV Vaccines (formerly SCIVAC Therapeutics)		None	K	T					
725. Yuba CA Comm. College 3.00% 08/01/31		None			Sold	03/21/17	M		
726. Yountville CA Fin Auth 4.375% 10/01/24	B	Interest	L	T					
727. Yosemite CA Comm. College 5.0% 08/01/25	C	Interest	M	T					
728. Yosemite CA Comm. College 5.000% 08/01/29	C	Interest	L	T					

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
729. MS Bank Deposit	A	Interest	J	T					
730. FS Equity Partners IV									
731. Sur La Table		None	M	U					
732. FS Equity Partners V									
733. H.H. Gregg Inc common stock		None			Sold	12/06/17	J		
734. El Pollo Loco Inc common stock		None	N	T	Sold (part)	12/06/17	J	C	
735. FS Equity Partners VI									
736. Floor and Decor common stock	G	Dividend	P1	T	Sold (part)	07/26/17	P1	H1	
737.					Sold (part)	11/21/17	P1	H1	
738. Boot Barn common stock	G	None	P1	T					
739. First Watch common stock		None			Sold	08/23/17	P1	H1	
740. MicroStar common stock	G	Dividend	O	U					
741. Arhaus common stock		None	O	U					
742. totes Isotoner Holdings Corp. common stock		None	O	U					
743. FS Equity Partners VII									
744. totes Isotoner Holdings Corp. common stock		None	M	U					
745. Plantation Products, LLC		None	O	U					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000 J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000 K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000 R = Cost (Real Estate Only) V = Other	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000 L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000 S = Assessment W = Estimated	D = \$5,001 - \$15,000 H2 = More than \$5,000,000 M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000 T = Cash Market	E = \$15,001 - \$50,000
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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)
746. Regent Holding Company		None	N	U					
747. Osprey Packs, Inc.		None	N	U					
748. ISN Holding Corp		None	O	U					
749. City Barbeque, Inc.		None	M	U					
750. BPB Holdings Corp		None	O	U					
751. Cafe Rio comm stock		None	O	U	Buy	09/01/17	O		
752. PF Baseline Fitness common stock		None	M	U	Buy	09/22/17	M		
753. Riordan Venture Association									
754. TW Holdings common stock		None	J	U	Buy	08/31/17	K		
755. Avella, Inc. preferred stock		None	J	U					
756. Mondo (formerly Bluewolf Group LLC)		None	K	U					
757. Siteworx		None	J	U					
758. Chartis Group		None	J	U					
759. RGM Group		None	J	U					
760. Patient Care America (formerly DCRX Infusion)		None	J	U					
761. Clarity Solution Group		None	L	U					
762. Inspirage LLC		None	K	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	

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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)
763. Utegration		None	J	T					
764. Clearview Corp		None	K	V	Buy	04/14/17	K		
765. Illuminate Holdings		None	J	V	Buy	09/05/17	J		
766. Bistro 45 common stock	A	Dividend	J	U					
767. MS Retire Accts (401k-profit)									
768. Invesco Pacific Growth Fund		None	M	T					
769. MSDW LIquid Asset Account Trust Fund	A	Dividend	K	T					
770. HP Inc (formerly Hewlett Packard) common stock	A	Dividend	J	T					
771. Proctor & Gamble common stock	D	Dividend	M	T					
772. Altria Group common stock	B	Dividend	K	T					
773. Cisco Sys common stock	B	Dividend	L	T					
774. Kraft Foods Inc common stock	A	Dividend	J	T					
775. Mondelez Int'l common stock	A	Dividend	K	T					
776. Philip Morris	B	Dividend	L	T					
777. Gilead Science	C	Dividend	M	T					
778. Hewlett Packard Enterprise	A	Dividend	J	T					
779. Invesco Div. Growth Fund	C	Dividend	M	T	Sold (part)	12/18/17	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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Wardlaw, Kim M.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
780. American Funds New World Fund	D	Dividend	O	T	Buy	02/14/17	L		
781. Trust #4 (IR-W)									
782. AMERICAN FUNDS GROWTH FUND OF AMERICA CL F3	C	Dividend	O	T	Buy	12/20/17	K		
783.					Sold (part)	01/10/17	J	A	
784.					Sold (part)	01/26/17	J	A	
785.					Sold (part)	01/31/17	J	A	
786.					Sold (part)	03/17/17	J	A	
787.					Sold (part)	04/27/17	J	A	
788.					Sold (part)	05/03/17	J	A	
789.					Sold (part)	05/18/17	K	C	
790.					Sold (part)	09/12/17	J	A	
791.					Sold (part)	09/15/17	J	A	
792.					Distributed (part)	12/21/17	K	E	
793. AMERICAN FUNDS FUNDAMENTAL INVESTORS CL F3	D	Dividend	O	T	Buy	03/15/17	J		
794.					Buy	06/14/17	J		
795.					Buy	09/15/17	J		
796.					Buy	12/20/17	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

Wardlaw, Kim M.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
797.					Sold (part)	01/10/17	J	A	
798.					Sold (part)	03/17/17	J	A	
799.					Sold (part)	05/03/17	J	A	
800.					Sold (part)	05/18/17	K	D	
801.					Distributed (part)	06/15/17	J	D	
802.					Sold (part)	09/12/17	J	A	
803.					Sold (part)	09/15/17	J	A	
804.					Sold (part)	10/26/17	J	A	
805.					Distributed (part)	12/21/17	K	E	
806. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	O	T	Buy	01/30/17	J		
807.					Buy	02/27/17	J		
808.					Buy	03/30/17	J		
809.					Buy	04/27/17	J		
810.					Buy	05/18/17	L		
811.					Buy	05/30/17	J		
812.					Buy	06/29/17	J		
813.					Buy	07/28/17	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
814.					Buy	08/30/17	J		
815.					Buy	09/28/17	J		
816.					Buy	10/30/17	J		
817.					Buy	11/29/17	J		
818.					Buy	12/20/17	J		
819.					Buy	12/28/17	J		
820. CAPITAL GROUP ALTERNATIVE STRATEGIES FUND, LP		None	N	T	Sold (part)	04/28/17	M	A	
821. AMERICAN FUNDS CAPITAL WORLD GROWTH AND INCOME FUND CL F3	D	Dividend	N	T	Buy	03/15/17	J		
822.					Buy	06/14/17	J		
823.					Buy	09/13/17	J		
824.					Buy	12/20/17	K		
825.					Sold (part)	01/10/17	J	A	
826.					Sold (part)	03/17/17	J	A	
827.					Sold (part)	05/03/17	J	A	
828.					Sold (part)	05/18/17	J	A	
829.					Sold (part)	09/12/17	J	A	
830.					Sold (part)	09/15/17	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	

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Name of Person Reporting

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
831.					Distributed (part)	12/21/17	K	E	
832. AMERICAN FUNDS NEW WORLD FUND CL F3	E	Dividend	N	T	Buy	05/18/17	K		
833.					Buy	12/21/17	J		
834.					Sold (part)	09/12/17	J	A	
835.					Sold (part)	09/15/17	J	A	
836.					Distributed (part)	12/22/17	J	C	
837. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F3	C	Dividend	N	T	Buy	12/21/17	K		
838. CAPITAL GROUP CORE MUNICIPAL FUND	C	Dividend	M	T	Buy	01/30/17	J		
839.					Sold (part)	01/10/17	J	A	
840.					Sold (part)	03/17/17	J	A	
841.					Sold (part)	05/03/17	J	A	
842.					Sold (part)	05/18/17	K	B	
843.					Sold (part)	09/12/17	J	A	
844.					Sold (part)	09/15/17	J	A	
845.					Distributed (part)	12/22/17	K	E	
846.					Buy	02/27/17	J		
847.					Buy	03/30/17	J		

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

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Name of Person Reporting

Wardlaw, Kim M.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
848.					Buy	04/27/17	J		
849.					Buy	05/18/17	K		
850.					Buy	05/30/17	J		
851.					Buy	06/29/17	J		
852.					Buy	07/28/17	J		
853.					Buy	08/30/17	J		
854.					Buy	09/28/17	J		
855.					Buy	10/30/17	J		
856.					Buy	11/29/17	J		
857.					Buy	12/20/17	J		
858.					Buy	12/28/17	J		
859.					Distributed (part)	12/29/17	J	A	
860. HARBOURVEST 2015 GLOBAL FUND L.P.		None	M	T	Buy	01/13/17	J		
861.					Buy	03/28/17	J		
862.					Buy	05/04/17	J		
863.					Buy	09/20/17	J		
864.					Buy	12/22/17	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
865. AMERICAN FUNDS SMALL CAP WORLD FUND CL F3		None	M	T	Buy	12/20/17	J		
866.					Sold (part)	01/10/17	J	A	
867.					Sold (part)	03/17/17	J	A	
868.					Sold (part)	05/03/17	J	A	
869.					Sold (part)	05/18/17	J	B	
870.					Sold (part)	09/12/17	J	A	
871.					Sold (part)	09/15/17	J	A	
872.					Distributed (part)	12/22/17	J	D	
873. AMERICAN FUNDS EUROPACIFIC GROWTH FUND CL F3	C	Dividend	M	T	Buy	05/18/17	J		
874.					Buy	06/14/17	J		
875.					Buy	12/21/17	J		
876.					Distributed (part)	06/15/17	J	B	
877.					Sold (part)	09/12/17	J	A	
878.					Sold (part)	09/15/17	J	A	
879.					Distributed (part)	12/22/17	J	C	
880. AMERICAN FUND CAPITAL INCOME BUILDER CL F3	C	Dividend	M	T	Buy	03/15/17	J		
881.					Buy	06/14/17	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000,001 - \$500,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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)
882.					Buy	09/13/17	J		
883.					Buy	12/20/17	J		
884.					Buy	12/22/17	J		
885.					Sold (part)	01/10/17	J	A	
886.					Sold (part)	03/17/17	J	A	
887.					Sold (part)	05/03/17	J	A	
888.					Sold (part)	05/18/17	K	A	
889.					Distributed (part)	12/26/17	J	B	
890. CGASF LIQUIDATING PORTFOLIO		None	M	T	Buy	04/28/17	M		
891. HARBOURVEST 2017 GLOBAL FUND LP		None	K	T	Buy	09/21/17	K		
892. STATE STREET INSTL US GOVT MMKT INVESTOR CLASS FUND #5325	A	Dividend	J	T	Buy	07/10/17	J		
893. STATE STREET INSTITUTIONAL US GOVERNMENT MONEY MARKET FUND ADM	A	Dividend			Sold	07/10/17	J		
894. Trust #5 (IR-K)									
895. AMERICAN FUNDS GROWTH FUND OF AMERICA CL F3	C	Dividend	O	T	Buy	12/20/17	K		
896.					Sold (part)	01/10/17	J	A	
897.					Sold (part)	01/26/17	J	A	

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	

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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)
898.					Sold (part)	01/31/17	J	A	
899.					Sold (part)	03/17/17	J	A	
900.					Sold (part)	04/27/17	J	A	
901.					Sold (part)	05/03/17	J	A	
902.					Sold (part)	05/18/17	K	C	
903.					Sold (part)	09/12/17	J	A	
904.					Sold (part)	09/15/17	J	A	
905.					Distributed (part)	12/21/17	K	E	
906. AMERICAN FUNDS FUNDAMENTAL INVESTORS CL F3	D	Dividend	O	T	Buy	03/15/17	J		
907.					Buy	06/14/17	J		
908.					Buy	09/15/17	J		
909.					Buy	12/20/17	K		
910.					Sold (part)	01/10/17	J	A	
911.					Sold (part)	03/17/17	J	A	
912.					Sold (part)	05/03/17	J	A	
913.					Sold (part)	05/18/17	K	D	
914.					Distributed (part)	06/15/17	J	D	

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

Wardlaw, Kim M.

Date of Report

08/07/2018

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)
915.					Sold (part)	09/12/17	J	A	
916.					Sold (part)	09/15/17	J	A	
917.					Sold (part)	10/26/17	J	A	
918.					Distributed (part)	12/21/17	K	E	
919. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	O	T	Buy	01/30/17	J		
920.					Buy	02/27/17	J		
921.					Buy	03/30/17	J		
922.					Buy	04/27/17	J		
923.					Buy	05/18/17	L		
924.					Buy	05/30/17	J		
925.					Buy	06/29/17	J		
926.					Buy	07/28/17	J		
927.					Buy	08/30/17	J		
928.					Buy	09/28/17	J		
929.					Buy	10/30/17	J		
930.					Buy	11/29/17	J		
931.					Buy	12/20/17	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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Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/07/2018

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)
932.					Buy	12/28/17	J		
933. CAPITAL GROUP ALTERNATIVE STRATEGIES FUND, LP		None	N	T	Sold (part)	04/28/17	M	A	
934. AMERICAN FUNDS CAPITAL WORLD GROWTH AND INCOME FUND CL F3	D	Dividend	N	T	Buy	03/15/17	J		
935.					Buy	06/14/17	J		
936.					Buy	09/13/17	J		
937.					Buy	12/20/17	K		
938.					Sold (part)	01/10/17	J	A	
939.					Sold (part)	03/17/17	J	A	
940.					Sold (part)	05/03/17	J	A	
941.					Sold (part)	05/18/17	J	A	
942.					Sold (part)	09/12/17	J	A	
943.					Sold (part)	09/15/17	J	A	
944.					Distributed (part)	12/21/17	K	E	
945. AMERICAN FUNDS NEW WORLD FUND CL F3	E	Dividend	N	T	Buy	05/18/17	K		
946.					Buy	12/21/17	J		
947.					Sold (part)	09/12/17	J	A	
948.					Sold (part)	09/15/17	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 = \$250,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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

Wardlaw, Kim M.

Date of Report

08/07/2018

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)
949.					Distributed (part)	12/22/17	J	C	
950. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F3	C	Dividend	N	T	Buy	12/21/17	K		
951. CAPITAL GROUP CORE MUNICIPAL FUND	C	Dividend	M	T	Buy	01/30/17	J		
952.					Sold (part)	01/10/17	J	A	
953.					Sold (part)	03/17/17	J	A	
954.					Sold (part)	05/03/17	J	A	
955.					Sold (part)	05/18/17	K	B	
956.					Sold (part)	09/12/17	J	A	
957.					Sold (part)	09/15/17	J	A	
958.					Distributed (part)	12/22/17	K	E	
959.					Buy	02/27/17	J		
960.					Buy	03/30/17	J		
961.					Buy	04/27/17	J		
962.					Buy	05/18/17	K		
963.					Buy	05/30/17	J		
964.					Buy	06/29/17	J		
965.					Buy	07/28/17	J		

1. Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000 J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$250,000,001 - \$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	

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Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/07/2018

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)
966.					Buy	08/30/17	J		
967.					Buy	09/28/17	J		
968.					Buy	10/30/17	J		
969.					Buy	11/29/17	J		
970.					Buy	12/20/17	J		
971.					Buy	12/28/17	J		
972.					Distributed (part)	12/29/17	J	A	
973. HARBOURVEST 2015 GLOBAL FUND L.P.		None	M	T	Buy	01/13/17	J		
974.					Buy	03/28/17	J		
975.					Buy	05/04/17	J		
976.					Buy	09/20/17	J		
977.					Buy	12/22/17	J		
978. AMERICAN FUNDS SMALLCAP WORLD FUND CL F3		None	M	T	Buy	12/20/17	J		
979.					Sold (part)	01/10/17	J	A	
980.					Sold (part)	03/17/17	J	A	
981.					Sold (part)	05/03/17	J	A	
982.					Sold (part)	05/18/17	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 = \$250,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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Name of Person Reporting

Wardlaw, Kim M.

Date of Report

08/07/2018

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)
983.					Sold (part)	09/12/17	J	A	
984.					Sold (part)	09/15/17	J	A	
985.					Distributed (part)	12/22/17	J	D	
986. AMERICAN FUNDS EUROPACIFIC GROWTH FUND CL F3	C	Dividend	M	T	Buy	05/18/17	J		
987.					Buy	06/14/17	J		
988.					Buy	12/21/17	J		
989.					Distributed (part)	06/15/17	J	B	
990.					Sold (part)	09/12/17	J	A	
991.					Sold (part)	09/15/17	J	A	
992.					Distributed (part)	12/22/17	J	C	
993. AMERICAN FUNDS CAPITAL INCOME BUILDER CL F3	C	Dividend	M	T	Buy	03/15/17	J		
994.					Buy	06/14/17	J		
995.					Buy	09/13/17	J		
996.					Buy	12/20/17	J		
997.					Buy	12/22/17	J		
998.					Sold (part)	01/10/17	J	A	
999.					Sold (part)	03/17/17	J	A	

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

Wardlaw, Kim M.

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08/07/2018

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)
1000.					Sold (part)	05/03/17	J	A	
1001.					Sold (part)	05/18/17	K	A	
1002.					Distributed (part)	12/26/17	J	B	
1003. CGASF LIQUIDATING PORTFOLIO		None	M	T	Buy	04/28/17	M		
1004. HARBOURVEST 2017 GLOBAL FUND LP		None	K	T	Buy	09/21/17	K		
1005. STATE STREET INSTL US GOVT MMKT INVESTOR CLASS FUND #5325	A	Dividend	J	T	Buy	07/10/17	J		
1006. STATE STREET INSTITUTIONAL US GOVERNMENT MONEY MARKET FUND ADM	A	Dividend			Sold	07/10/17	J		
1007.									
1008. Trust #6 (98-W)									
1009. Invesco Dividend Growth	A	Dividend	K	T					
1010. American Funds New World Fund	C	Dividend	N	T					
1011. Incyte Corp		None	K	T					
1012. Seattle Genetics Inc		None	K	T					
1013. MSDW Active Money Trust	A	Dividend	J	T					
1014. HH Gregg Inc common stock		None			Sold	12/06/17	J		
1015. El Pollo Loco common stock		None	J	T	Sold (part)	12/06/17	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	

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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)
1016. AMERICAN FUNDS FUNDAMENTAL INVESTORS CL F3	D	Dividend	O	T	Buy	03/15/17	J		
1017.					Buy	06/14/17	J		
1018.					Buy	09/15/17	J		
1019.					Buy	12/20/17	K		
1020.					Sold (part)	01/06/17	J	A	
1021.					Sold (part)	01/26/17	J	A	
1022.					Sold (part)	01/31/17	J	A	
1023.					Sold (part)	03/17/17	J	A	
1024.					Sold (part)	04/27/17	J	A	
1025.					Sold (part)	05/03/17	J	A	
1026.					Sold (part)	05/18/17	J	B	
1027.					Distributed (part)	06/15/17	J	D	
1028.					Sold (part)	09/12/17	J	A	
1029.					Sold (part)	09/15/17	J	A	
1030.					Sold (part)	10/26/17	J	A	
1031.					Distributed (part)	12/21/17	K	E	
1032. AMERICAN FUNDS GROWTH FUND OF AMERICA CL F3	D	Dividend	O	T	Buy	12/20/17	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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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)
1033.					Sold (part)	01/06/17	J	A	
1034.					Sold (part)	03/17/17	J	A	
1035.					Sold (part)	05/03/17	J	A	
1036.					Sold (part)	05/18/17	K	C	
1037.					Sold (part)	09/12/17	J	A	
1038.					Sold (part)	09/15/17	J	A	
1039.					Distributed (part)	12/21/17	K	E	
1040. AMERICAN FUNDS NEW WORLD FUND CL F3	D	Dividend	O	T	Buy	12/21/17	J		
1041.					Sold (part)	01/06/17	J	A	
1042.					Sold (part)	03/17/17	J	A	
1043.					Sold (part)	05/03/17	J	A	
1044.					Sold (part)	05/18/17	K	B	
1045.					Sold (part)	09/12/17	J	A	
1046.					Sold (part)	09/15/17	J	B	
1047.					Distributed (part)	12/22/17	J	D	
1048. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F3	C	Dividend	O	T	Buy	12/21/17	K		
1049.					Sold (part)	03/17/17	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	

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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)
1050.					Sold (part)	05/03/17	J	A	
1051.					Sold (part)	05/18/17	K	B	
1052.					Sold (part)	09/12/17	J	A	
1053.					Sold (part)	09/15/17	J	A	
1054.					Distributed (part)	12/22/17	K	D	
1055. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	N	T	Buy	05/18/17	L		
1056.					Buy	01/30/17	J		
1057.					Buy	02/27/17	J		
1058.					Buy	03/30/17	J		
1059.					Buy	04/27/17	J		
1060.					Buy	05/30/17	J		
1061.					Buy	06/29/17	J		
1062.					Buy	07/28/17	J		
1063.					Buy	08/30/17	J		
1064.					Buy	09/28/17	J		
1065.					Buy	10/30/17	J		
1066.					Buy	11/29/17	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 M = \$100,001 - \$250,000
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	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)
1067.					Buy	12/28/17	J	A	
1068.					Distributed (part)	12/29/17	J	A	
1069. CAPITAL GROUP ALTERNATIVE STRATEGIES FUND, LP		None	N	T	Distributed (part)	04/28/17	M	A	
1070. AMERICAN FUNDS CAPITAL INCOME BUILDER CL F3	D	Dividend	N	T	Buy	03/15/17	J		
1071.					Buy	05/18/17	K		
1072.					Buy	06/14/17	J		
1073.					Buy	09/13/17	J		
1074.					Buy	12/22/17	J		
1075.					Distributed (part)	12/26/17	J	C	
1076. AMERICAN FUNDS INVESTMENT COMPANY OF AMERICA CL F3	D	Dividend	N	T	Buy	03/17/17	J		
1077.					Buy	06/16/17	J		
1078.					Buy	09/15/17	J		
1079.					Buy	12/18/17	K		
1080.					Sold (part)	01/06/17	J	A	
1081.					Sold (part)	03/17/17	J	A	
1082.					Sold (part)	05/03/17	J	A	
1083.					Sold (part)	05/18/17	J	A	

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	

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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)
1084.					Sold (part)	09/15/17	J	A	
1085.					Distributed (part)	12/22/17	K	E	
1086. AMERICAN FUNDS EUROPACIFIC GROWTH FUND CL F3	C	Dividend	N	T	Buy	06/14/17	J		
1087.					Buy	12/21/17	J		
1088.					Sold (part)	03/17/17	J	A	
1089.					Sold (part)	05/03/17	J	A	
1090.					Sold (part)	05/18/17	J	A	
1091.					Sold (part)	09/12/17	J	C	
1092.					Sold (part)	09/15/17	J	A	
1093.					Distributed (part)	12/22/17	J	D	
1094. CAPITAL GROUP CORE MUNICIPAL FUND	C	Dividend	M	T	Buy	01/30/17	J		
1095.					Buy	02/27/17	J		
1096.					Buy	03/30/17	J		
1097.					Buy	04/27/17	J		
1098.					Buy	05/18/17	K		
1099.					Buy	05/30/17	J		
1100.					Buy	06/29/17	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1101.					Buy	07/28/17	J		
1102.					Buy	08/30/17	J		
1103.					Buy	09/28/17	J		
1104.					Buy	10/30/17	J		
1105.					Buy	11/29/17	J		
1106.					Buy	12/28/17	J		
1107.					Distributed (part)	12/29/17	J	A	
1108. HARBORVEST 2015 GLOBAL FUND L.P.		None	M	T	Buy	01/13/17	J		
1109.					Buy	03/28/17	J		
1110.					Buy	05/04/17	J		
1111.					Buy	06/29/17	J		
1112.					Buy	09/20/17	K		
1113.					Buy	12/22/17	J		
1114. CGAS LIQUIDATING PORTFOLIO		None	M	T	Buy	04/28/17	M		
1115. AMERICAN FUNDS SMALLCAP WORLD FUND CL F3		None	M	T	Buy	12/20/17	J		
1116.					Sold (part)	01/06/17	J	A	
1117.					Sold (part)	03/17/17	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	

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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)
1118.					Sold (part)	05/03/17	J	A	
1119.					Sold (part)	05/18/17	J	A	
1120.					Sold (part)	09/12/17	J	A	
1121.					Sold (part)	09/15/17	J	A	
1122.					Distributed (part)	12/21/17	J	C	
1123. HARBOURVEST 2017 GLOBAL FUND LP		None	K	T	Buy	09/21/17	K		
1124. STATE STREET INSTITUTIONAL US GOVERNMENT MONEY MARKET FUND ADM	A	Dividend			Sold	07/10/17	J		
1125. STATE STREET INSTL US GOVT MMKT INVESTOR CLASS FUND #5325	A	Dividend	J	T	Buy	07/10/17	J		
1126. Trust #7 (98-K)									
1127. Invesco Divident Growth	A	Dividend	K	T					
1128. American Funds New World Fund	C	Dividend	N	T					
1129. Incyte Corp		None	K	T					
1130. Seattle Genetics		None	K	T					
1131. MSDW Active Money Trust	A	Dividend	J	T					
1132. HH Gregg Inc common stock		None			Sold	12/04/17	J		
1133. El Pollo Loco common stock		None	J	T	Sold (part)	12/06/17	J	A	

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	

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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)
1134. AMERICAN FUNDS FUNDAMENTAL INVESTORS CL F3	D	Dividend	O	T	Buy	03/15/17	J		
1135.					Buy	06/14/17	J		
1136.					Buy	09/15/17	J		
1137.					Buy	12/20/17	K		
1138.					Sold (part)	01/06/17	J	A	
1139.					Sold (part)	01/26/17	J	A	
1140.					Sold (part)	01/31/17	J	A	
1141.					Sold (part)	03/17/17	J	A	
1142.					Sold (part)	04/27/17	J	A	
1143.					Sold (part)	05/03/17	J	A	
1144.					Sold (part)	05/18/17	J	B	
1145.					Distributed (part)	06/15/17	J	D	
1146.					Sold (part)	09/12/17	J	A	
1147.					Sold (part)	09/15/17	J	A	
1148.					Sold (part)	10/26/17	J	A	
1149.					Distributed (part)	12/21/17	K	E	
1150. AMERICAN FUNDS GROWTH FUND OF AMERICA CL F3	D	Dividend	O	T	Buy	12/20/17	L		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1151.					Sold (part)	01/06/17	J	A	
1152.					Sold (part)	03/17/17	J	A	
1153.					Sold (part)	05/03/17	J	A	
1154.					Sold (part)	05/18/17	K	C	
1155.					Sold (part)	09/12/17	J	A	
1156.					Sold (part)	09/15/17	J	A	
1157.					Distributed (part)	12/21/17	K	E	
1158. AMERICAN FUNDS NEW WORLD FUND CL F3	D	Dividend	O	T	Buy	12/21/17	J		
1159.					Sold (part)	01/06/17	J	A	
1160.					Sold (part)	03/17/17	J	A	
1161.					Sold (part)	05/03/17	J	A	
1162.					Sold (part)	05/18/17	K	B	
1163.					Sold (part)	09/12/17	J	A	
1164.					Sold (part)	09/15/17	J	B	
1165.					Distributed (part)	12/22/17	J	D	
1166. AMERICAN FUNDS NEW PERSPECTIVE FUND CL F3	C	Dividend	O	T	Buy	12/21/17	K		
1167.					Sold (part)	03/17/17	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	

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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)
1168.					Sold (part)	05/03/17	J	A	
1169.					Sold (part)	05/18/17	K	B	
1170.					Sold (part)	09/12/17	J	A	
1171.					Sold (part)	09/15/17	J	A	
1172.					Distributed (part)	12/22/17	K	D	
1173. CAPITAL GROUP CA CORE MUNICIPAL FUND	D	Dividend	N	T	Buy	05/18/17	L		
1174.					Buy	01/30/17	J		
1175.					Buy	02/27/17	J		
1176.					Buy	03/30/17	J		
1177.					Buy	04/27/17	J		
1178.					Buy	05/30/17	J		
1179.					Buy	06/29/17	J		
1180.					Buy	07/28/17	J		
1181.					Buy	08/30/17	J		
1182.					Buy	09/28/17	J		
1183.					Buy	10/30/17	J		
1184.					Buy	11/29/17	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)
1185.					Buy	12/28/17	J		
1186.					Distributed (part)	12/29/17	J	A	
1187.					Sold (part)	09/15/17	J	A	
1188. CAPITAL GROUP ALTERNATIVE STRATEGIES FUND, LP		None	N	T	Distributed (part)	04/28/17	M	A	
1189. AMERICAN FUNDS CAPITAL INCOME BUILDER CL F3	D	Dividend	N	T	Buy	03/15/17	J		
1190.					Buy	05/18/17	K		
1191.					Buy	06/14/17	J		
1192.					Buy	09/13/17	J		
1193.					Buy	12/22/17	J		
1194.					Distributed (part)	12/26/17	J	C	
1195. AMERICAN FUNDS INVESTMENT COMPANY OF AMERICA CL F3	D	Dividend	N	T	Buy	03/17/17	J		
1196.					Buy	06/16/17	J		
1197.					Buy	09/15/17	J		
1198.					Buy	12/18/17	K		
1199.					Sold (part)	01/06/17	J	A	
1200.					Sold (part)	03/17/17	J	A	
1201.					Sold (part)	05/03/17	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	

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Wardlaw, Kim M.

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1202.					Sold (part)	05/18/17	J	A	
1203.					Sold (part)	09/15/17	J	A	
1204.					Distributed (part)	12/22/17	K	E	
1205. AMERICAN FUNDS EUROPACIFIC GROWTH FUND CL F3	C	Dividend	N	T	Buy	06/14/17	J		
1206.					Buy	12/21/17	J		
1207.					Sold (part)	03/17/17	J	A	
1208.					Sold (part)	05/03/17	J	A	
1209.					Sold (part)	05/18/17	J	A	
1210.					Sold (part)	09/12/17	J	C	
1211.					Sold (part)	09/15/17	J	A	
1212.					Distributed (part)	12/22/17	J	D	
1213. CAPITAL GROUP CORE MUNICIPAL FUND	C	Dividend	M	T	Buy	01/30/17	J		
1214.					Buy	02/27/17	J		
1215.					Buy	03/30/17	J		
1216.					Buy	04/27/17	J		
1217.					Buy	05/18/17	K		
1218.					Buy	05/30/17	J		

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1219.					Buy	06/29/17	J		
1220.					Buy	07/28/17	J		
1221.					Buy	08/30/17	J		
1222.					Buy	09/28/17	J		
1223.					Buy	10/30/17	J		
1224.					Buy	11/29/17	J		
1225.					Buy	12/28/17	J		
1226.					Distributed (part)	12/29/17	J	A	
1227. HARBOURVEST 2015 GLOBAL FUND L.P.		None	M	T	Buy	01/13/17	J		
1228.					Buy	03/28/17	J		
1229.					Buy	05/04/17	J		
1230.					Buy	06/29/17	J		
1231.					Buy	09/20/17	K		
1232.					Buy	12/22/17	J		
1233. CGASF LIQUIDATING PORTFOLIO		None	M	T	Buy	04/28/17	M		
1234. AMERICAN FUNDS SMALLCAP WORLD FUND CL F3		None	M	T	Buy	12/20/17	J		
1235.					Sold (part)	01/06/17	J	A	

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

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Name of Person Reporting

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1236.					Sold (part)	03/17/17	J	A	
1237.					Sold (part)	05/03/17	J	A	
1238.					Sold (part)	05/18/17	J	A	
1239.					Sold (part)	09/12/17	J	A	
1240.					Sold (part)	09/15/17	J	A	
1241.					Distributed (part)	12/21/17	J	C	
1242. HARBOURVEST 2017 GLOBAL FUND LP		None	K	T	Buy	09/21/17	K		
1243. STATE STREET INSTITUTIONAL US GOVERNMENT MONEY MARKET FUND ADM	A	Dividend			Sold	07/10/17	J		
1244. STATE STREET INSTL US GOVT MMKT INVESTOR CLASS FUND #5325	A	Dividend	J	T	Buy	07/10/17	J		
1245. Real Estate Partnership - Lau	H1	Distribution	M	U	Sold (part)	11/21/17	M	G	
1246.					Sold (part)	12/11/17	N	G	
1247.					Sold (part)	12/13/17	N	G	
1248. Real Estate Partnership - Lau W		None			Sold	05/24/17	M	G	
1249. Real Estate Partnership Silverlake		None	L	U	Buy	07/06/17	J		
1250. Real Estate Partnership Garfield		None	M	U	Buy	04/27/17	J		
1251.					Buy	08/08/17	J		

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

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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)
1252.					Buy	08/30/17	L		
1253.					Buy	11/07/17	K		
1254. Citibank Money Market Fund	C	Interest	O	T					
1255. Citibank Checking	A	Interest	L	T					
1256. Citibank Checking	A	Interest	L	T					
1257. Fargo Investment Partnership		None	M	U					
1258. JRK Multifamily LP	E	Distribution	O	U	Buy	08/01/17	L		
1259. Urban Housing Investment Fund		None			Sold	07/12/17	K	C	
1260. Citi acct									
1261. Alvord CA Sch Dist 5.0% 08/01/27	D	Interest	N	T					
1262. Cal Health FACS 5.00% 11/15/29	C	Interest	M	T					
1263. Cal ST GO 4.5% 08/01/26	A	Interest	J	T	Redeemed (part)	05/19/17	N		
1264. Cal ST GO 4.00% 12/01/23	C	Interest	M	T	Buy	06/04/17	M		
1265. Cal ST GO 5.00% 11/01/26	C	Interest	M	T	Buy	08/30/17	M		
1266. Cal ST Univ 5.00% 11/01/30	C	Interest	M	T	Buy	04/20/17	M		
1267. Cal ST GO 5.000% 08/01/28	C	Interest	M	T	Buy	07/27/17	M		
1268. Cat ST Pub Works 4.0% 06/01/27	D	Interest	N	T					

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

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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)
1269. Fresno CA Sch Dist 5.25% 08/01/27	D	Interest	M	T					
1270. Fresno CA Sch Dist 3.5% 08/01/26	C	Interest	M	T					
1271. Gilroy CA Fing Auth 4.0% 11/01/24	D	Interest	M	T					
1272. Kern Cnty CA Wtr Dist. 5.0% 05/01/28	D	Interest	M	T					
1273. Los Angeles CA DWP 5.00% 07/01/33	C	Interest	M	T	Buy	03/13/17	M		
1274. Oceanside CA Sch Dist 4.5% 08/01/28	D	Interest	M	T					
1275. Redwood City CA Sch Dist 3.0% 08/01/26	C	Interest	M	T					
1276. San Jose CA Arpt 5.00% 03/01/29	C	Interest	M	T	Buy	04/20/17	M		
1277. San Luis Obispo CA CAP IMPR 4.0% 12/01/27	D	Interest	M	T					
1278. Santa Clara CA Sch Dist 3.5% 07/01/24	D	Interest	M	T					
1279. Stockton CA Sch Dist 5.0% 08/01/24	C	Interest			Redeemed	08/01/17	L		

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

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

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IX. CERTIFICATION.

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

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

Signature: s/ **Kim M. Wardlaw**

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

Committee on Financial Disclosure
Administrative Office of the United States Courts
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