

FINANCIAL DISCLOSURE REPORT
FOR CALENDAR YEAR 2016Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Herndon, David R.	2. Court or Organization U.S. District Court Southern District of Illinois	3. Date of Report 05/16/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 12/31/2016
7. Chambers or Office Address United States Courthouse 750 Missouri Avenue East St. Louis, IL		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)☐ NONE (No reportable positions.)

	<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1.	Trustee	Trust #1, Assets No 22-112
2.	Trustee	Trust #2, Assets No 113-179
3.	Trustee	Trust #3, Assets No 180-238
4.	Trustee	Trust #4, Assets No 239-249
5.	Trustee	Trust #5 Assets No 250-260
6.	Trustee	Trust #6, Assets No 261-271
7.	Director	Federal Judges Association

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
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. 2016	Illinois Judges Retirement System	\$21,387.84
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. 2016	Seeger Weiss; Independent contracting paralegal earnings
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. Federal Judges Association	May 17-May 18, 2016	Washington DC	Board of Directors Meeting	Transportation, Meals, Hotel
2. Harris Martin Publishing	January 27, 2016	Coral Gables, FL	Speaker at CLE	Transportation, Meals, Hotel
3. Duke School of Law	October 27-October 28, 2016	Washington DC	Speaker at CLE	Transportation, Meals, Hotel
4. Northwestern University School of Law	November 16-November 17, 2016	Chicago, IL	Speaker at CLE	Transportation, Meals, Hotel
5. University of Miami School of Law	December 2, 2016	Miami, FL	Speaker at CLE	Transportation, Meals, Hotel

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

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.)*CREDITORDESCRIPTIONVALUE CODE

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. First Clover Leaf Bank Checking account	A	Interest	L	T					
2. Bank of Edwardsville Checking account	A	Interest	J	T					
3. IRA Account Pershing IRA Account (H)									
4. - (IRA) Allergan PLC		None			Sold (part)	05/06/16	J		loss
5. - (IRA) Allergan PLC					Sold	10/27/16	J		loss
6. - (IRA) Bristol Myers Squibb Co common	A	Dividend	K	T	Buy	10/27/16	J		
7. - (IRA) Perrigo Co PLC shs	A	Dividend			Sold	11/08/16	J		loss
8. - (IRA) Nielson Holdings PLC Shs NLSN	A	Dividend	K	T					
9. - (IRA) PayPal Hldgs Inc Com		None	K	T					
10. - (IRA) Alphabet Inc Cap Stk Cl A		None	K	T					
11. - (IRA) Alphabet Inc Cap Stk Cl A		None	J	T	Buy (add'l)	01/15/16	J		
12. - (IRA) American Express Comp	A	Dividend	J	T	Buy	10/20/16	J		
13. - (IRA) American Express Comp	A	Dividend	J	T	Buy (add'l)	10/21/16	J		
14. - (IRA) American Express Comp	A	Dividend	K	T	Buy (add'l)	11/10/16	K		
15. - (IRA) Bank of New York Mellon Corp Com	A	Dividend			Sold (part)	03/23/16	J		loss
16. - (IRA) Bank of New York Mellon Corp Com	A	Dividend			Sold	06/27/16	J		loss
17. - (IRA) Moody's Corp Com	A	Dividend			Sold	09/30/16	J	B	

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

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18. - (IRA) Pepsico Inc Com	A	Dividend	J	T	Buy	10/05/16	K		
19. - (IRA) West Pharmaceutical Svcs Inc Com	A	Dividend	J	T	Sold (part)	04/26/16	J	B	
20. - (IRA) Vanguard Intl Equity Index Fds FTSE Europe ETF	A	Dividend			Sold	07/19/16	K		loss
21. - (IRA) Dreyfus Treasury Prime MM	A	Interest	J	T					
22. 1. TRUST #1 Pershing Brokerage Account (H)									
23. - Dreyfus Treasury Prime Inv MM	A	Interest	J	T					
24. - Deschutes Cnty Ore Sch Dist 5.25%	C	Interest			Redeemed	06/15/16	L	A	
25. - State Pub Sch Bldg Auth PA Sch Rev 5.25%	C	Interest			Redeemed	03/15/16	L	A	
26. - Connecticut St Ser C 5% 11/1/21 B/E	C	Interest	M	T					
27. - Indiana Univ Revs Student Fee Ser S 5% 2/21/08	C	Interest	M	T					
28. - Metropolitan Govt Nashville Davidson 5% 5/15/23 \$20k	A	Interest	K	T					
29. - Metropolitan Govt Nashville Davidson 5% 5/15/23 \$80k	C	Interest	L	T					
30. - Metropolitan Govt Nashville Davidson 5% 1/01/25 \$50k	B	Interest	L	T					
31. - Conroe Tex Indpt Sch Dist RFDG 5% 2/15/24 \$35k	B	Interest	K	T	Redeemed (part)	12/23/16	K		partially pre-refunded
32. - Conroe Tex Indpt Sch Dist RFDG 5% 2/15/24 \$115k	D	Interest	M	T	Open	12/27/16	M		CUSIP changed; No Sale
33. - Humble Tex Indpt Sch Dist Sch Bldg 5% 2/1/06	C	Interest			Redeemed	02/16/16	M	A	
34. - Tennessee St Rfdg-Ser A 4% 08/1/25	B	Interest	L	T					

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35. - Abilene Tex CTFS Oblig 5% 2/15/26	B	Interest	L	T					
36. - Victoria Tex Indpt Sch Dist Sch Bldg 5% 6/15/07	D	Interest	M	T					
37. - Washington St RFDG Var purp Ser R-2015 E 5% 7/1/26	B	Interest	M	T	Buy	03/26/16	M		
38. - Washington St Var Purp dtd 5% 8/1/26	B	Interest	L	T					
39. - Keller Tex Indpt Sch Dist Sch Bldg 5% 8/15/26	C	Interest	M	T					
40. - Gainesville Fla Utils Sys Rev Ser A 5% 10/01/26	B	Interest	L	T					
41. - Arlington Tex Indpt Sch Sch Dist 5% 8/15/27	D	Interest	M	T					
42. - Missouri St Brd Pub Bldgs Spl Oblg 4.5%	B	Interest			Redeemed	10/03/16	K		Bond Called loss
43. - North Carolina St Pub Impt Ser A 5% 4/14/10	C	Interest	L	T					
44. - Germantown Tenn RFDG & Impt-Ser A 5% 06/01/27	C	Interest	M	T	Buy	02/25/16	M		
45. - Metropolitan Govt Nashville & Davidson 5% 7/1/27	C	Interest	M	T	Buy	03/17/16	M		
46. - Indiana St Fin Auth Rev RFDG-St Revolving Green 5%	A	Interest	M	T	Buy	06/22/16	M		
47. - Clear Creek Tex Indpt Sch Dist 5% 02/15/28	C	Interest	L	T					
48. - Washington St RFDG-Various purp ser R 2015E 5%07/01/28 dtd 2/4/15	A	Interest	K	T	Buy	10/03/16	K		
49. - Denton Tex Indpt Sch Dist RFDG 5% 8/15/282/15/25	A	Interest	L	T	Buy	05/11/16	L		
50. - HanesBrands Inc Gtd Sr Nt 6.375% 12/15/20	B	Interest			Redeemed	06/02/16	K		Bond Called at a loss
51. - HCA Inc Sr Note 8.0% 10/01/18	B	Interest	K	T					

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52. - Southwestern Energy Co Med Term Notes 7.125%	A	Interest			Sold	06/08/16	K		loss
53. - MGM Resorts Intl Sr Nt 6.75% 10/01/20	B	Interest	K	T					
54. - Nielsen Fin LLC 4.5% 10/01/20	B	Interest	K	T					
55. - Allergan Plc Com Shs		None			Sold (part)	05/06/16	J		loss
56. - Allergan Plc Com Shs		None			Sold	09/01/16	J		loss
57. - AON PLC shs Cl A	A	Dividend	J	T	Buy	06/28/16	J		
58. - AON PLC shs Cl A	A	Dividend	J	T	Buy (add'l)	07/29/16	J		
59. - Accenture PLC Ireland Shs Cl A ACN	A	Dividend	K	T	Sold (part)	12/02/16	K	D	
60. - American Tower REIT com	A	Dividend	K	T	Sold (part)	11/14/16	K	E	
61. - Perrigo Co PLC Shs	A	Dividend			Sold	11/08/16	K		loss
62. - Altria Group Inc Com	A	Dividend	K	T	Buy	02/05/16	K		
63. - Amazon Com INC		None	K	T	Buy	11/14/16	K		
64. - Apple Inc	A	Dividend	K	T	Sold (part)	04/27/16	K	E	
65. - Bank of America Corp	A	Dividend			Sold	08/02/16	K		loss
66. - Bank of New York Mellon Corp	A	Dividend			Buy	01/04/16	J		buy & sell in same period
67. - Bank of New York Mellon Corp	A	Dividend			Sold (part)	03/23/16	J		loss
68. - Bank of New York Mellon Corp	A	Dividend			Sold	06/27/16	J		loss

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69. - Boeing Co Com	B	Dividend	K	T					
70. - Booz Allen Hamilton Hldg Corp Cl A	A	Dividend	J	T	Buy	01/12/16	J		
71. - Booz Allen Hamilton Hldg Corp Cl A	A	Dividend	J	T	Buy (add'l)	01/13/16	J		
72. - Booz Allen Hamilton Hldg Corp Cl A	A	Dividend	J	T	Buy (add'l)	01/27/16	J		
73. - Booz Allen Hamilton Hldg Corp Cl A	A	Dividend	J	T	Buy (add'l)	05/10/16	J		
74. - CBS Corp CL B Com	A	Dividend	K	T	Sold (part)	07/29/16	J		loss
75. - Colgate Palmolive Co	A	Dividend	K	T	Sold (part)	01/29/16	K	E	
76. - Energy Transfer Equity L.P.	B	Distribution	K	T					
77. - Enterprise Products Partners L.P.	B	Distribution	K	T					
78. - Equifax Inc	A	Dividend	K	T	Buy	01/15/16	K		
79. - Exxon Mobil Corp	A	Dividend	K	T	Buy	11/21/16	J		
80. - Exxon Mobil Corp	A	Dividend	J	T	Buy (add'l)	12/01/16	J		
81. - General Electric Co Com	A	Dividend	K	T					
82. - Goldman Sachs Group Inc Com	A	Dividend	K	T	Buy	11/10/16	K		
83. - Honeywell Intl Inc	B	Dividend	L	T					
84. - AdvanSix Inc Com		None			Spinoff (from line 83)	10/06/16	J		Spinoff from Honeywell
85. - AdvanSix Inc Com					Sold	10/07/16	J	A	

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86. - Jarden Corp Com		None			Sold (part)	01/14/16	K	E	
87. - Jarden Corp Com		None			Sold (part)	01/15/16	K	E	
88. - Jarden Corp Com	D	Distribution			Merged (with line 98)	04/18/16	J	D	Jarden merged to Newell Br
89. - Las Vegas Sands Corp Com	A	Dividend	J	T					
90. - Lowes Companies Inc	A	Dividend			Sold	02/05/16	K	E	
91. - Microsoft Corp Com	B	Dividend	K	T	Buy	05/25/16	K		
92. - MPLX LP Com Unit Repstg Ltd Partner	A	Distribution							
93. - MPLX LP Com Unit Repstg Ltd Partner	A	Distribution			Buy (add'l)	02/03/16	J		loss
94. - MPLX LP Com Unit Repstg Ltd Partner					Sold	02/05/16	K		loss
95. - Moodys Corp Com	A	Dividend			Sold (part)	09/30/16	J	B	
96. - Moodys Corp Com					Sold	12/05/16	J	A	
97. - Newell Rubbermaid Inc Com	A	Dividend			Closed	04/18/16	L		name changed after merger
98. - Newell Brands Inc Com	A	Dividend	L	T	Open	04/18/16	J		Jarden merged to Newell B
99. - Newell Brands Inc Com					Sold (part)	05/25/16	K	E	
100. - Paychex Inc Common	A	Dividend	K	T	Buy	02/12/16	K		
101. - Plains All American Pipeline L.P.	B	Distribution	K	T					
102. - Raytheon Co Common New	A	Dividend	K	T	Buy	07/29/16	J		

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05/16/2017

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
103. - Thermo Fisher Scientific Inc Com TMO	A	Dividend	K	T					
104. - Verizon Communications Com	B	Dividend	K	T					
105. - West Pharmaceutical Svcs Inc Com	A	Dividend	J	T	Sold (part)	04/26/16	J	B	
106. - Williams Partners L.P. New Com Unit Ltd		None			Sold	01/14/16	J		loss
107. - KKR Finl Hldgs LLC PFD Ser A LLC	A	Distribution	J	T					
108. - Starwood Ppty Tr Inc Com	C	Dividend	K	T					
109. - Starwood Ppty Tr Inc Com	A	Dividend	J	T	Buy (add'l)	02/25/16	J		
110. - Alps ETF Tr Alerian MLP Etf	B	Dividend	J	T					
111. - Vanguard Intl Equity Index Fds FTSE Europe ETF	A	Dividend			Sold	07/19/16	K		loss
112. - Wisdom Tree Tr Europe Hedged Equity Fd		None			Sold	02/12/16	K		loss
113. 2. TRUST #2 Pershing Brokerage Account (H)									
114. -Drefus Treasury Prime MM	A	Interest	J	T					
115. -Allergan Plc Com Shs		None			Sold (part)	05/06/16	J		loss
116. -Allergan Plc Com Shs					Sold	10/24/16	J		loss
117. -AON Plc Shs C1 A	A	Dividend			Buy	06/28/16	J		buy & sell in same period
118. -AON Plc Shs C1 A	A	Dividend			Buy (add'l)	07/29/16	J		buy & sell in same period
119. -AON Plc Shs C1 A					Sold	11/29/16	J	A	

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

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Herndon, David R.

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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)
120. -Accenture PLC Ireland Sh Cl A	A	Dividend	J	T	Sold (part)	11/23/16	J	B	
121. -American Tower REIT com	A	Dividend			Sold	11/29/16	J	D	
122. -Perrigo Co PLC shs	A	Dividend			Sold	11/08/16	J		loss
123. -Alphabet Inc Cap Stk Cl A		None	J	T					
124. -Altria Group Inc Com	A	Dividend			Buy	02/05/16	J		buy & sell in same period
125. -Altria Group Inc Com					Sold	11/29/16	J	A	buy & sell in same period
126. -Amazon Com Inc		None			Buy	11/23/16	J		buy & sell in same period
127. -Amazon Com Inc					Sold	11/29/16	J		loss
128. -American Express Company	A	Dividend	J	T	Buy	10/20/16	J		
129. -American Express Company	A	Dividend	J	T	Buy (add'l)	10/21/16	J		
130. -American Express Company	A	Dividend	J	T	Buy (add'l)	11/10/16	J		
131. -Apple Inc	A	Dividend	J	T	Sold (part)	04/27/16	J	C	
132. -Bank of America Corp	A	Dividend			Sold	08/02/16	J		loss
133. -Bank of New York Mellon Corp Com	A	Dividend			Buy (add'l)	01/04/16	J		
134. -Bank of New York Mellon Corp Com	A	Dividend			Sold (part)	03/23/16	J		loss
135. -Bank of New York Mellon Corp Com					Sold	06/27/16	J		loss
136. -Boeing Co com	A	Dividend			Sold	11/29/16	J	B	

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$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)
137. -Booz Allen Hamilton Hldg Corp Cl A	A	Dividend			Buy	01/12/16	J		buy & sell in same period
138. -Booz Allen Hamilton Hldg Corp Cl A	A	Dividend			Buy (add'l)	01/13/16	J		buy & sell in same period
139. -Booz Allen Hamilton Hldg Corp Cl A	A	Dividend			Buy (add'l)	01/27/16	J		buy & sell in same period
140. -Booz Allen Hamilton Hldg Corp Cl A	A	Dividend			Buy (add'l)	05/10/16	J		buy & sell in same period
141. -Booz Allen Hamilton Hldg Corp Cl A					Sold	11/29/16	J	B	buy & sell in same period
142. -CBS Corp CL: B Com	A	Dividend			Sold (part)	07/29/16	J		loss
143. -CBS Corp CL: B Com					Sold	11/29/16	J		loss
144. -Colgate Palmolive Co Com	A	Dividend	J	T	Sold (part)	01/29/16	J	C	
145. -Equifax Inc	A	Dividend			Buy	01/15/16	J		buy & sell in same period
146. -Equifax Inc					Sold	11/29/16	J	A	buy & sell in same period
147. -Exxon Mobil Corp Com	A	Dividend	J	T	Buy	11/23/16	J		
148. -Goldman Sachs Group Inc Com		None			Buy	11/10/16	J		buy & sell in same period
149. -Goldman Sachs Group Inc Com					Sold	11/29/16	J	A	buy & sell in same period
150. -Honeywell Intl Inc	A	Dividend	J	T					
151. -Honeywell Intl Inc	A	Dividend			Sold (part)	11/23/16	J	B	
152. -Honeywell Intl Inc	A	Dividend			Sold (part)	11/29/16	J	C	
153. -AdvanSix Inc Com		None			Spinoff (from line 150)	10/06/16	J		spinoff from Honeywell

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

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
154. -AdvanSix Inc Com					Sold	10/07/16	J	A	
155. -Jarden Corp Com		None			Sold (part)	01/15/16	J	D	
156. -Jarden Corp Com	B	Distribution			Merged (with line 163)	04/18/16	J	A	Jarden merged to Newell Br
157. -Kimberly Clark Corp Com		None			Buy	09/09/16	J		buy & sell in same period
158. -Kimberly Clark Corp Com					Sold	11/29/16	J		loss
159. -Las Vegas Sands Corp Com	A	Dividend			Sold	11/29/16	J	A	
160. -Lowes Companies Inc	A	Dividend			Sold	02/05/16	J	C	
161. -Moodys Corp com	A	Dividend			Sold	09/30/16	J	A	
162. -Newell Rubbermaid Inc Com	A	Dividend			Closed	04/18/16	J		name changed after merger
163. -Newell Brands Inc Com	A	Dividend	J	T	Open	04/18/16	J		Jarden merged to Newell Br
164. -Newell Brands Inc Com					Sold (part)	11/23/16	J	B	
165. -Newell Brands Inc Com					Sold (part)	11/29/16	J	D	
166. -Nielson Holdings PLC Shs	A	Dividend			Sold	11/29/16	J		loss
167. -PayPal Hldgs Inc Com		None	J	T					
168. -Pepsico Inc Com		None			Buy	10/05/16	J		buy & sell in same period
169. -Pepsico Inc Com					Sold	11/29/16	J		loss
170. -Philip Morris Intl Inc Com	A	Dividend			Buy	09/09/16	J		buy & sell in same period

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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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)
171. -Philip Morris Intl Inc Com					Sold	11/29/16	J		loss
172. -Raytheon Co Com New	A	Dividend			Buy	07/29/16	J		buy & sell in same period
173. -Raytheon Co Com New					Sold	11/29/16	J	A	buy & sell in same period
174. -Thermo Fisher Scientific Inc Com	A	Dividend			Sold	11/29/16	J	B	
175. -Verizon Communications Com	B	Dividend	L	T					
176. -West Pharmaceutical Svcs Inc Com	A	Dividend			Sold (part)	04/26/16	J	A	
177. -West Pharmaceutical Svcs Inc Com					Sold	11/29/16	J	A	
178. -Starwood Ppty Tr Inc com	A	Dividend	J	T					
179. -JPMorgan Chase & Co Alerian MLP Index	A	Dividend			Sold	11/29/16	J	A	
180. 3. TRUST #3 Pershing Brokerage Account (H)									
181. -Dreyfus Treasury Prime Money Market	A	Interest	L	T					
182. -Accenture PLC Ireland Shs C1 A	A	Dividend	K	T					
183. -Allergan PLC Com Shs		None			Sold (part)	05/06/16	J		loss
184. -Allergan PLC Com Shs					Sold	10/27/16	J		loss
185. -American Tower REIT	A	Dividend	K	T					
186. -AON PLC Com Shs	A	Dividend	J	T	Buy	06/28/16	J		
187. -AON PLC Com Shs	A	Dividend			Buy (add'l)	07/29/16	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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)
188. -Alphabet Inc Cap Stk Cl A		None	J	T					
189. -Altria Group Inc Com	A	Dividend	J	T	Buy	02/05/16	J		
190. -Amazon Com Inc		None	J	T	Buy	11/14/16	J		
191. -American Express Company	A	Dividend	J	T	Buy	10/20/16	J		
192. -American Express Company	A	Dividend	J	T	Buy (add'l)	10/21/16	J		
193. -American Express Company	A	Dividend	J	T	Buy (add'l)	11/10/16	J		
194. -Apple Inc	A	Dividend	J	T	Sold (part)	04/27/16	J	D	
195. -Perrigo Co PLC shs	A	Dividend			Sold	11/08/16	J		loss
196. -Bank of America Corp	A	Dividend			Sold	08/02/16	J		loss
197. -Bank of New York Mellon Corp Com	A	Dividend			Buy (add'l)	01/04/16	J		
198. -Bank of New York Mellon Corp Com	A	Dividend			Sold (part)	03/23/16	J		loss
199. -Bank of New York Mellon Corp Com					Sold	06/27/16	J		loss
200. -Boeing Co com	A	Dividend	J	T					
201. -Booz Allen Hamilton Hldg Corp Cl A	A	Dividend	J	T	Buy	01/12/16	J		
202. -Booz Allen Hamilton Hldg Corp Cl A	A	Dividend	J	T	Buy (add'l)	01/13/16	J		
203. -Booz Allen Hamilton Hldg Corp Cl A	A	Dividend	J	T	Buy (add'l)	01/27/16	J		
204. -Booz Allen Hamilton Hldg Corp Cl A	A	Dividend	J	T	Buy (add'l)	05/10/16	J		

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

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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)
205. -Bristol Myers Squibb Co Com	A	Dividend	J	T	Buy	10/27/16	J		
206. -CBS Corp CL B Com	A	Dividend	J	T	Sold (part)	07/29/16	J		loss
207. -Colgate Palmolive Co	A	Dividend	J	T	Sold (part)	01/29/16	J	C	
208. -ConocoPhillips com		None			Sold	02/04/16	J		loss
209. -Equifax Inc	A	Dividend	J	T	Buy	01/15/16	J		
210. -Exxon Mobil Corp Com	A	Dividend	J	T	Buy	11/21/16	J		
211. -Exxon Mobil Corp Com	A	Dividend	J	T	Buy (add'l)	12/01/16	J		
212. -Goldman Sachs Group Inc Com	A	Dividend	J	T	Buy	11/10/16	J		
213. -Honeywell Intl Inc	A	Dividend	J	T					
214. -AdvanSix Inc Com		None			Spinoff (from line 213)	10/06/16	J		Spinoff from Honeywell
215. -AdvanSix Inc Com					Sold	10/07/16	J	A	
216. -Jarden Corp Com		None			Sold (part)	01/15/16	K	E	
217. -Jarden Corp Com	B	Distribution			Merged (with line 224)	04/18/16	J	B	Jarden merged to Newell Br
218. -Kimberly Clark Corp Com	A	Dividend	J	T	Buy	09/09/16	J		
219. -Las Vegas Sands Corp Com	A	Dividend	J	T					
220. -Lowes Companies Inc	A	Dividend			Sold	02/05/16	J	D	
221. -Moody's Corp Inc com	A	Dividend			Sold	09/30/16	J	B	

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

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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)
222. -Nielson Holdings PLC Shs	A	Dividend	J	T					
223. -Newell Rubbermaid Inc Com	A	Dividend			Closed	04/18/16	K		name changed after merger
224. -Newell Brands Inc Com	A	Dividend	K	T	Open	04/18/16	J		Jarden merged to Newell Br
225. -PayPal Hldgs Inc Com		None	J	T					
226. -Pepsico Inc Com	A	Dividend	J	T	Buy	10/05/16	J		
227. -Philip Morris Intl Inc Com	A	Dividend	J	T	Buy	09/09/16	J		
228. -Raytheon Co Com New	A	Dividend	J	T	Buy	07/29/16	J		
229. -Thermo Fisher Scientific Inc com	A	Dividend	J	T					
230. -Verizon Communications Com	A	Dividend	J	T					
231. -West Pharmaceutical Svcs Inc Com	A	Dividend	J	T	Sold (part)	04/26/16	J	A	
232. -Starwood Ppty Tr Inc Com	A	Dividend	J	T					
233. -iShares Tr Core S&P Mid-Cap ETF	A	Dividend	K	T	Buy	04/04/16	K		
234. -iShares Tr S&P Midcap 400 Value Index Fd	B	Dividend	L	T					
235. -JPMorgan Chase & Co Alerian MLP Index	C	Distribution	K	T					
236. -Pimco ETF Tr Enhanced Short Mat	A	Dividend	K	T	Buy	04/04/16	K		
237. -Vanguard Intl Equity Index Fds FTSE Europe ETF	A	Dividend			Sold	07/19/16	J		loss
238. -WisdomTreeTr Emerging Mkts Small Cap AVG	A	Dividend	J	T					

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

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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)

239. 4. TRUST #4 Pershing Brokerage Account (H)									
240. -Dreyfus Treasury Prime Inv Sh MM	A	Interest	K	T					
241. -iShares Inc MSCI Japan ETF	A	Dividend			Sold	06/14/16	J		loss
242. -iShares Tr S&P Midcap 400 Value Index	A	Dividend	L	T					
243. -JPMorgan Chase & Co Alerian MLP Index	B	Dividend	K	T					
244. -Powershares QQQ Tr Unit Ser I	A	Dividend	K	T	Buy	09/07/16	K		
245. -SPDR S&P Midcap 400 ETF Tr Unit Ser I	A	Dividend	K	T	Sold (part)	09/07/16	K	D	
246. -Vanguard Whitehall Fds High Div	A	Dividend	K	T	Buy	09/22/16	K		
247. -Vanguard Index Fds S&P 500 ETF VOO	B	Dividend	L	T					
248. -Vanguard INTL Equity Index Fds FTSE Europe ETF VGK	A	Dividend			Sold	07/12/16	K		loss
249. -WisdomTree Emerging Mkts Small Cap Avg	A	Dividend	K	T					
250. 5. TRUST #5 Pershing Brokerage Account (H)									
251. -Dreyfus Treasury Prime Inv MM	A	Interest	K	T					
252. -iShares Inc MSCI Japan ETF	A	Dividend			Sold	06/14/16	J		loss
253. -iShares Tr S&P Midcap 400 Value	A	Dividend	K	T					
254. -JPMorgan Chase & Co Alerian MLP Index	B	Dividend	K	T					
255. -Powershares QQQ Tr Unit Ser I	A	Dividend	K	T	Buy	09/07/16	K		

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

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

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

A. Description of Assets (including trust assets) Place "X" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
256. -SPDR S&P Midcap 400 ETF Tr Unit Ser 1	A	Dividend	K	T	Sold (part)	09/07/16	K	D	
257. - Vanguard Whithall Fds High Div	A	Dividend	J	T	Buy	09/22/16	J		
258. -Vanguard Intl Equity Index Fds FTSE Europe ETF VGK	A	Dividend			Sold	07/12/16	J		loss
259. -Vanguard Index Fds S&P 500 ETF	A	Dividend	K	T					
260. -WisdomTree Tr Emerging Mkts Small Cap Avg DGS	A	Dividend	J	T					
261. 6. Trust #6 Pershing Brokerage Account (H)									
262. -Dreyfus Treasury Prime Inv MM	A	Interest	J	T					
263. -iShares Tr S&P MidCap 400 Value	A	Dividend	K	T					
264. -iShares Inc MSCI Japan ETF	A	Dividend			Sold	06/14/16	J		loss
265. -JPMorgan Chase & Co Alerian MLP Index	A	Dividend	J	T					
266. -PowerShares QQQ Tr Unit Ser 1	A	Dividend	J	T	Buy	09/07/16	J		
267. -SPDR S&P MidCap 400 ETF Tr Unit Ser 1	A	Dividend	J	T	Sold (part)	09/07/16	J	C	
268. -Vanguard Whitehall Fds High Div	A	Dividend	J	T	Buy	09/22/16	J		
269. -Vanguard Intl Equity Index Fds FTSE Europe ETF	A	Dividend			Sold	07/12/16	J		loss
270. -Vanguard Index Fds S&P 500 ETF	A	Dividend	K	T					
271. -WisdomTree Emerging Mkts Small Cap Avg DGS	B	Dividend	L	T					
272.									

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.)*

Dreyfus Treasury Prime Inv Money Market Account

IRA Dreyfus MM reported on line 21

Trust #1 on line 23

Trust #2 on line 114

Trust #3 on line 181

Trust #4 on line 241

Trust #5 on line 251

Trust #6 on line 262

Lines 21, 23, 114, 181, 241, 251, 262 Dreyfus Treasury Prime Inv Money Market Account was used as a vehicle to hold cash equivalent assets for purchase of other investments and to place sale proceeds pending other investments. Consequently, money moved in and out of these accounts with great frequency and no attempt was made to distinguish each transaction unless specifically requested.

Lines 31 & 32 Conroe Tex School Dist Bond: This bond was originally purchased in January 2013 and was partially pre-refunded on 12/23/16 which resulted in a change in CUSIP. No Sale took place.

Original CUSIP 208418NT6	\$150,000
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New Pre-refunded CUSIP 208418C50 \$ 35,000

New Un-refunded CUSIP 208418D26 \$115,000

Lines 83-85; line 153; line 214 There was one spinoff dividend during 2016. One share of AdvanSix for every 25 shares of Honeywell. Honeywell spun-off AdvanSix on October 6, 2016 and Advansix stock was sold on October 7, 2016.

Lines 88 and 98; Lines 156 and 163; lines 217 and 224: Jarden Corp merged with Newell Rubbermaid Inc on 4/18/2016 and the combined company was renamed Newell Brands Inc. Stock in both Jarden and Newell Rubbermaid were owned prior to merger. After the merger only Newell Brands Inc exists.

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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/ David R. Herndon**

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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