

FINANCIAL DISCLOSURE REPORT INITIAL FILING

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) Fashing, Laura N.	2. Court or Organization U.S. District Court, District of New Mexico	3. Date of Report 04/20/2016
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Magistrate Judge, full-time	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2014 to 03/31/2016
7. Chambers or Office Address 333 Lomas Blvd. NW, Suite 680 Albuquerque, NM 87102		
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. Assistant U.S. Attorney	U.S. Attorney's Office, District of NM
2. Adjunct Professor	University of New Mexico School of Law
3. Secretary/Treasurer	Undaunted Carnival Foundation
4.	
5.	

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

☒ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1.	
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.)*DATESOURCE AND TYPEINCOME
(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.)*DATESOURCE AND TYPE

1. 2013-2016

self-employed physician

2. 2013-2016

Presbyterian -- salary

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.)*SOURCEDATESLOCATIONPURPOSEITEMS PAID OR PROVIDED

1. _____

2. _____

3. _____

4. _____

5. _____

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

	<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.	Federal Bench and Bar	Contribution toward cost of reception for investiture and cost of videotaping event	\$4,000.00
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.	Ironstone Bank	Mortgage on Commercial Property	M
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. Commercial Property, Albuquerque, NM	E	Rent	N	W					
2. IRA Contributory Acct (H)									
3. - American Beacon Gbl	A	Dividend	J	T	Buy	11/04/14	J		
4. - American Fd Amcap Fund	A	Dividend	J	T					
5. - Artisan Intl Fund Inv	A	Dividend	J	T					
6. - FMI Large Cap Fund	A	Dividend	J	T					
7. - Mainstay Marketfield Fd		None			Sold (part)	11/03/14	J	A	
8. - Mainstay Marketfield Fd		None			Sold	04/01/15	J	A	
9. - Stone Ridge All Asset	A	Dividend	J	T	Buy	04/09/15	J		
10. - Westport Select Cap Fund	A	Dividend	J	T					
11. Investment Acct #1 (H)									
12. - Schwab Money Market Acct	A	Interest	J	T					
13. - American Beacon Gbl	A	Dividend	J	T	Buy	08/18/15	J		
14. - Angel Oak Flexible Incm	A	Dividend	J	T	Buy	04/02/15	J		
15. - Angel Oak Flexible Incm	A	Dividend	J	T	Sold (part)	02/12/16	J		
16. - Doubleline Total Return	A	Dividend	J	T	Buy	03/17/16	J		
17. - AMG Yackman Fd Svc	A	Dividend	J	T	Buy	10/17/14	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 \$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 I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

18. - Artisan Intl Fund Inv	A	Dividend	J	T					
19. - Dodge & Cox Intl Stock Fund		None	J	T	Buy	01/20/16	J		
20. - Eagle Mid Cap Stk Fd Cl A	A	Dividend	J	T					
21. - Fidelity Contra Fund	A	Dividend	J	T	Buy	06/22/15	J		
22. - FMI Large Cap Fund	A	Dividend	J	T	Sold (part)	06/25/14	J	A	
23. - FMI Large Cap Fund	A	Dividend	J	T	Buy (add'l)	01/20/16	J		
24. - Mainstay Marketfield Fd		None			Buy	01/16/14	J		
25. - Mainstay Marketfield Fd		None			Buy (add'l)	11/18/14	J		
26. - Mainstay Marketfield Fd		None			Buy (add'l)	12/31/14	J		
27. - Mainstay Marketfield Fd		None			Sold	04/01/15	J	A	
28. - Oakmark Intl Small Cap Fund	A	Dividend			Buy	03/18/15	J		
29. - Oakmark Intl Small Cap Fund	A	Dividend			Sold	03/15/16	J		
30. - Oberweis Intl Oppty Fd Inst		None	J	T	Buy	03/16/16	J		
31. - Rivernorth Core Opportunity		None			Sold	01/15/14	J	A	
32. - Stone Ridge All Asset Variance Risk Prem Com Cl		None	J	T	Buy	02/16/16	J		
33. - Wasatch Frontier Emrg Sm Countries Inv	A	Dividend	J	T	Buy	01/20/15	J		
34. - Westport Select Cap Fund Class R	A	Dividend	J	T					

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

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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)

35. Investment Acct #2 (H)									
36. - American Beacon Gbl	A	Dividend	J	T	Buy	11/04/14	J		
37. - Angel Oak Flexible Incm	A	Dividend	J	T	Buy	02/03/15	J		
38. - Angel Oak Flexible Incm	A	Dividend	J	T	Sold (part)	02/12/16	J		
39. - Angel Oak Multi Strategy	A	Dividend	J	T					
40. - Doubleline Total Return	A	Dividend	J	T					
41. - AMG Yacktmn Fd Svc		None			Sold	10/08/15	J	A	
42. - American Beacon Bridgeway Lg Cap Value Y	A	Dividend	J	T	Buy	10/09/15	J		
43. - Artisan Intl Fund Inv	A	Dividend	J	T	Buy (add'l)	03/11/15	J		
44. - Aston River Road Independent Val Fd I		None			Sold	02/02/15	J		
45. - Center Coast MLP Focus Fd Inst	A	Dividend			Sold	04/01/15	J	A	
46. - Dodge & Cox Intl Stock Fund	A	Dividend	J	T	Buy (add'l)	03/11/15	J		
47. - Fidelity Contra Fund	A	Dividend	J	T					
48. - FMI Large Cap Fund	A	Dividend	J	T					
49. - JPMorgan Mid Cap Value Inst	A	Dividend	J	T					
50. - Loomis Sayles Small Cap Growth Fd C1 I		None			Sold	03/10/15	J	B	
51. - Mainstay Marketfield Fd C1 I		None			Sold (part)	11/03/14	J	A	

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52. - Mainstay Marketfield Fd Cl 1		None			Sold (part)	02/02/15	J	A	
53. - Mainstay Marketfield Fd Cl 1		None			Sold	04/01/15	J	A	
54. - Oakmark Intl Small Cap Fund	A	Dividend			Sold	03/15/16	J	A	
55. - Oberweiss Intl Oppty Fd Inst		None	J	T	Buy	03/16/16	J		
56. - Stone Ridge All Asset Variance Risk Prem Com Cl	A	Dividend	J	T	Buy	04/09/15	J		
57. - Stone Ridge All Asset Variance Risk Prem Com Cl	A	Dividend	J	T	Buy (add'l)	02/16/16	J		
58. - Stone Ridge Reinsurance Risk Prem Interval	A	Dividend	J	T					
59. - Voya Midcap Oppty Fd I	A	Dividend	J	T					
60. - Wasatch Frontier Emrg Sm Countries Inv	A	Dividend	J	T					
61. IRA Rollover Acct (H)									
62. - Schwab Govt Money Fund		None	J	T					
63. - American Beacon Gbl	A	Dividend	J	T	Buy	11/04/14	J		
64. - Angel Oak Flexible Incm Inst	A	Dividend	J	T	Buy	02/18/15	J		
65. - Angel Oak Flexible Incm Inst	A	Dividend	J	T	Sold (part)	02/12/16	J		
66. - Doubleline Total Return Bd Fd Cl 1	A	Dividend	J	T					
67. - Pimco Total Return Fund Instl Cl	A	Dividend	J	T					
68. - American Beacon Bridgeway Lg Cap Value Y	A	Dividend	J	T	Buy	10/09/15	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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69. - AMG Yackman Fd Svc		None			Sold	10/08/15	J	A	
70. - Artisan Intl Fund Inv	A	Dividend	J	T					
71. - Aston River Road Independent Val Fd I		None			Sold	02/17/15	J		
72. - Dodge & Cox Intl Stock Fund	A	Dividend	J	T					
73. - Fidelity Contra Fund	A	Dividend	J	T					
74. - FMI Large Cap Fund	A	Dividend	J	T					
75. - JPMorgan Mid Cap Value Inst	A	Dividend	J	T					
76. - Longleaf Partners Small Cap Fund	A	Dividend	J	T					
77. - Mainstay Marketfield Fd C1 I		None			Sold (part)	11/03/14	J	A	
78. - Mainstay Marketfield Fd C1 I		None			Sold (part)	02/17/15	J	A	
79. - Mainstay Marketfield Fd C1 I		None			Sold	04/01/15	J	A	
80. - Oakmark Intl Small Cap Fund	A	Dividend			Sold	03/15/16	J	A	
81. - Oberweis Intl Oppty Fd Inst		None	J	T	Buy	03/16/16	J		
82. - Stone Ridge All Asset Variance Risk Prem Com C1	A	Dividend	J	T	Buy	04/09/15	J		
83. - Stone Ridge All Asset Variance Risk Prem Com C1	A	Distribution	J	T	Buy (add'l)	02/16/16	J		
84. - Stone Ridge Reinsurance Risk Prem Interval	A	Dividend	J	T					
85. - Voya Midcap Oppty Fd I	A	Dividend	J	T					

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86. - Wasatch Frontier Emrg SM Countries Inv	A	Dividend	J	T					
87. - UBS AG Jersey E Tracs Etn Due 04/02/40	A	Dividend			Sold	04/01/15	J	B	
88. Inherited IRA (H)									
89. - Angel Oak Flexible Incm Inst	A	Dividend	J	T	Buy	02/18/15	J		
90. - Doubleline Total Return Fd Fd Cl 1	A	Dividend	J	T					
91. - American Fd Amcap Fund F1	A	Dividend	J	T	Sold (part)	11/21/14	J	A	
92. - Artisan Intl Fund Inv	A	Dividend	J	T	Sold (part)	09/17/15	J	A	
93. - Dodge & Cox Intl Stock Fund	A	Dividend	J	T					
94. - FMI Large Cap Fund	A	Dividend	J	T					
95. - Mainstay Marketfield Fd Cl 1		None			Sold (part)	11/03/14	J	A	
96. - Mainstay Marketfield Fd Cl 1		None			Sold (part)	02/17/15	J	A	
97. - Mainstay Marketfield Fd Cl 1		None			Sold	04/01/15	J	A	
98. - Stone Ridge All Asset Variance Risk Prem Com Cl	A	Dividend	J	T	Buy	04/09/15	J		
99. - Touchstone Small Cap Fd Cl Y	A	Dividend	J	T					
100. - Voya Midcap Oppty Fd 1	A	Dividend	J	T					
101. - UBS AG Jersey 2040F E Tracs ETN Due 04/20/40	A	Dividend			Sold	04/01/15	J	A	
102. Simple IRA (H)									

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103. - Schwab Govt Money Fund		None	J	T					
104. - American Beacon Gbl	A	Dividend			Buy	11/04/14	J		
105. - American Beacon Gbl	A	Dividend			Buy (add'l)	03/02/15	J		
106. - American Beacon Gbl	A	Dividend			Sold	12/11/15	J		
107. - Angel Oak Flexible Incm Inst	A	Dividend	J	T	Buy	02/18/15	J		
108. - Angel Oak Flexible Incm Inst	A	Dividend	J	T	Buy (add'l)	03/02/15	J		
109. - Angel Oak Flexible Incm Inst	A	Dividend	J	T	Sold (part)	02/12/16	J		
110. - Angel Oak Multi Strategy Incm Fd Instl	A	Dividend	J	T					
111. - Calvert Bond Port Cl A	A	Dividend	J	T					
112. - Domini Social Bond Fund Inv Cl	A	Dividend	J	T					
113. - Doubleline Total Return Bd Fd Cl 1	A	Dividend	J	T	Buy	02/09/16	J		
114. - Doubleline Total Return Bd Fd Cl 1	A	Dividend	J	T	Buy (add'l)	03/23/16	J		
115. - Legg Mason BW Alt Credit Fd Inst	A	Dividend	J	T	Buy	03/02/15	J		
116. -American Beacon Bridgeway Lg Cap Value Y	A	Dividend	J	T	Buy	10/09/15	J		
117. - American Beacon Bridgeway Lg Cap Value Y	A	Dividend	J	T	Buy (add'l)	03/23/16	J		
118. - Artisan Intl Fund Inv	A	Dividend	J	T	Buy (add'l)	03/02/15	J		
119. - Ashmore Emrg Mkts Frontier Eqty Inst	A	Dividend	J	T	Buy	08/06/15	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)

120. - Aston River Road Independent Val Fd 1	A	Distribution			Sold (part)	11/03/14	J		
121. - Aston River Road Independent Val Fd 1	A	Distribution			Sold	02/17/15	J		
122. - Calvert Equity Portfolio C1 A	C	Dividend	J	T	Buy (add'l)	03/02/15	J		
123. - Dodge & Cox Intl Stock Fund	A	Dividend	J	T	Buy (add'l)	03/02/15	J		
124. - Dodge & Cox Intl Stock Fund	A	Dividend	J	T	Buy (add'l)	03/23/16	J		
125. - FMI Large Cap Fund	A	Dividend	J	T					
126. - Mainstay Marketfield Fd C1 1		None			Sold (part)	02/17/15	J	A	
127. - Mainstay Marketfield Fd C1 1		None			Sold	04/01/15	J	A	
128. - Oakmark Intl Small Cap Fund	A	Dividend			Sold	03/15/16	J	A	
129. - Oberweis Intl Oppty Fd Inst		None	J	T	Buy	03/16/16	J		
130. - Oberweis Intl Oppty Fd Inst		None	J	T	Buy (add'l)	03/23/16	J		
131. - PAX Growth Indvl Inv C1	A	Dividend	J	T	Buy (add'l)	03/02/15	J		
132. - RS Emrg Mkts Fd C1 Y		None			Sold	01/14/14	J		
133. - Schooner Hedged Alt Incm Inst	A	Dividend	J	T	Buy	12/14/15	J		
134. - Sentinel Sustainable Core Oppty A	A	Dividend	J	T					
135. - Sentinel Sustainable Mid Cap Oppty Fd A	A	Dividend			Merged (with line 134)	03/30/16	J		
136. - Stone Ridge All Asset Variance Risk Prem Com C1	A	Dividend	J	T	Buy	04/09/15	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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Name of Person Reporting

Fashing, Laura N.

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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. - Stone Ridge All Asset Variance Risk Prem Com Cl	A	Dividend	J	T	Buy (add'l)	02/16/16	J		
138. - Stone Ridge Reinsurance Risk Prem Interval	A	Dividend	J	T	Buy (add'l)	03/23/16	J		
139. - Wasatch Emrg Mkt Small Cap Fd Inv		None			Buy (add'l)	03/02/15	J		
140. - Wasatch Emrg Mkt Small Cap Fd Inv		None			Sold	08/05/15	J		
141. - Wasatch Frontier Emrg Sm Countries Inv	A	Dividend	J	T	Buy	01/15/14	J		
142. - Wasatch Frontier Emrg Sm Countries Inv	A	Dividend	J	T	Buy (add'l)	03/23/16	J		
143. - UBS AG Jersey 2040F E Tracs Etn Due 04/02/40	A	Dividend			Buy (add'l)	03/02/15	J		
144. - UBS AG Jersey 2040F E Tracs Etn Due 04/02/40	A	Dividend			Sold	04/01/15	J	B	
145. Investment Acct (H)									
146. - Schwab Markettrack All Equity	A	Int./Div.	J	T	Sold (part)	03/31/15	J	A	
147. Rollover IRA (H)									
148. - Schwab Govt Money Fund		None	J	T					
149. - American Beacon Gbl	A	Dividend			Buy	11/04/14	J		
150. - American Beacon Gbl	A	Dividend			Sold	12/11/15	J		
151. - Angel Oak Flexible Incm Inst	A	Dividend	J	T	Buy	02/18/15	J		
152. - Angel Oak Flexible Incm Inst	A	Dividend	J	T	Sold (part)	02/12/16	J		
153. - Angel Oak Multi Strategy Incm Fd Instl	A	Dividend	J	T					

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

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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)
154. - Calvert Bond Port Cl A	A	Dividend	J	T					
155. - Domini Social Bond Fund Inv Cl	A	Dividend	J	T					
156. - AMG Yacktmán Fd Svc		None			Sold	10/08/15	J	A	
157. - American Beacon Bridgeway Lg Cap Value Y	A	Dividend	J	T	Buy	10/09/15	J		
158. - Artisan Intl Fund Inv	A	Dividend	J	T					
159. - Ashmore Emrg Mkts Frontier Eqty Inst	A	Dividend	J	T	Buy	08/06/15	J		
160. - Aston River Road Independent Val Fd I	A	Distribution			Sold (part)	11/03/14	J	A	
161. - Aston River Road Independent Val Fd I	A	Distribution			Sold	02/17/15	J		
162. - Calvert Equity Portfolio Cl A	C	Dividend	K	T					
163. - Dodge & Cox Intl Stock Fund	A	Dividend	J	T	Sold (part)	01/06/14	J	A	
164. - FMI Large Cap Fund	A	Dividend	J	T	Sold (part)	03/31/15	J	A	
165. - JPMorgan Mid Cap Value Inst	A	Dividend	J	T					
166. - Mainstay Marketfield Fd Cl I		None			Sold (part)	10/03/14	J	A	
167. - Mainstay Marketfield Fd Cl I		None			Sold (part)	02/17/15	J	A	
168. - Mainstay Marketfield Fd Cl I		None			Sold	04/01/15	J	A	
169. - Oakmark Intl Small Cap Fund	A	Dividend			Sold	03/15/16	J		
170. - Oberweis Intl Oppty Fd Inst		None	J	T	Buy	03/16/16	J		

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

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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. - PAX Growth Indvl Inv Cl	A	Dividend	J	T					
172. - Schooner Hedged Alt Incm Inst	A	Dividend	J	T	Buy	12/14/15	J		
173. - Sentinel Sustainable Core Oppty A	A	Dividend	K	T					
174. - Sentinel Sustainable Mid Cap Oppty Fd A	A	Dividend			Merged (with line 173)	03/30/16	J		
175. - Stone Ridge All Asset Variance Risk Prem Com Cl	A	Dividend	J	T	Buy	04/09/15	J		
176. - Stone Ridge All Asset Variance Risk Prem Com Cl	A	Dividend	J	T	Buy (add'l)	02/16/16	J		
177. - Stone Ridge Reinsurance Risk Prem Interval	A	Dividend	J	T					
178. - Touchstone Small Cap Fd Cl Y	A	Dividend	J	T	Sold (part)	03/31/16	J	A	
179. - Wasatch emrg Mkt Small Cap Fd Inv		None			Sold	08/05/15	J	A	
180. - Wasatch Frontier Emrg Sm Countries Inv	A	Dividend	J	T					
181. - UBS AG Jersey 2040F E Tracs Etn Due 04/02/40	A	Dividend			Sold	04/01/15	J	B	
182. USAA Bank Accts	A	Interest	J	T					
183. Bank of the West Bank Accts	A	Interest	L	T					
184. USAA Precious Metals Investmt Fund	A	Dividend	J	T					
185. USAA Precious Metals Investmt Fund	A	Dividend	J	T					
186. The Education Plan, Index Age Based Portfolio 80		None			Closed	08/03/15	K		
187. The Education Plan, Index Age Based Portfolio 60		None	K	T	Open	08/03/15	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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Name of Person Reporting

Fashing, Laura N.

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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)
188. The Education Plan, Index Age Based Portfolio 10	A	Int./Div.	J	T	Sold (part)	01/16/14	J	A	
189. The Education Plan, Index Age Based Portfolio 10	A	Int./Div.	J	T	Sold (part)	09/18/15	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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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Name of Person Reporting

Fashing, Laura N.

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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/ Laura N. Fashing**

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

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