

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) Herndon, David R.	2. Court or Organization U.S. District Court Southern District of Illinois	3. Date of Report 05/22/2018
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 01/01/2017 to 12/31/2017
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 52-131
2.	Trustee through 5/12/2017 when Trust terminated	Trust #2, Assets No 133-145
3.	Trustee	Trust #3, Assets No 147-207
4.	Trustee	Trust #4, Assets No 209-220
5.	Trustee	Trust #5 Assets No 221-233
6.	Trustee	Trust #6, Assets No 235-246
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. 2017	Illinois Judges Retirement System	\$22,049.48
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. 2017	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. ProvidioMedical	Jan 17-Jan 20, 2017	Cancun, Mexico	Speaker at CLE	Transportation, Hotel
2. Emory Univ Law School	May 16-May 17, 2017	Atlanta, GA	Speaker at MDL Conference	Transportation, Hotel
3. Emory Univ Law School	Sept 13-Sept 15, 2017	Atlanta, GA	Speaker at MDL Conference	Transportation, Hotel
4. American Conference Institute	December 6-December 8, 2017	New York, NY	Speaker at CLE	Transportation, Hotel
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. Clover Leaf Bank n/k/a First Mid-Illinois Bank Checking account	A	Interest	K	T					
2. Bank of Edwardsville Checking account	A	Interest	J	T					
3. IRA Account Pershing IRA Account (H)									
4. - (IRA) Bristol Myers Squibb Co common	A	Dividend			Sold	01/26/17	J		loss
5. - (IRA) Nielson Holdings PLC Shs NLSN	A	Dividend			Sold (part)	06/20/17	J		loss
6. - (IRA) Nielson Holdings PLC Shs NLSN	A	Dividend			Sold	08/18/17	J		loss
7. - (IRA) PayPal Hldgs Inc Com		None	L	T	Sold (part)	01/11/17	J	D	
8. - (IRA) Alphabet Inc Cap Stk Cl A		None	K	T					
9. - (IRA) American Express Comp	A	Dividend	K	T					
10. - (IRA) Avery Dennison Corp Com	A	Dividend	J	T	Buy	06/20/17	J		
11. - (IRA) Becton Dickinson & Co	A	Dividend	K	T	Buy	05/25/17	J		
12. - (IRA) Becton Dickinson & Co					Buy (add'l)	08/03/17	J		
13. - (IRA) DXC Technology Co Com	A	Dividend	J	T	Buy	08/18/17	J		
14. - (IRA) Intel Corp Com	A	Dividend	J	T	Buy	01/27/17	J		
15. - (IRA) Pepsico Inc Com	A	Dividend	K	T					
16. - (IRA) Schlumberger Ltd Com	A	Dividend			Buy	01/11/17	J		see below for sale in same
17. - (IRA) Schlumberger Ltd Com					Sold	05/25/17	J		period at a loss

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 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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18. - (IRA) Vanguard Whitehall Fds High Div Yield ETF	A	Dividend	K	T	Buy	01/10/17	K		
19. - (IRA) West Pharmaceutical Svcs Inc Com		None			Sold	01/10/17	J	C	
20. - (IRA) Dreyfus Treasury Prime MM	A	Interest	J	T					
21.									
22. IRA Account #2 Cambridge IRA (H)									
23. - (IRA2) Liquid Insured Deposits Cash Money Fund (X)	A	Interest	J	T					
24. - (IRA2) AQR Managed FuturesStrategy HV QMHIX (X)	A	Dividend			Sold	12/19/17	J		loss
25. - (IRA2) AQR Diversified Arbitrage fund ADAIX (X)	A	Dividend			Sold	12/19/17	J		loss
26. -(IRA2) Arbitrage Event Driven Fund AEDNX (X)	A	Dividend			Sold	12/19/17	J		loss
27. - (IRA2) Guggenheim Macro Opportunities Fund GIOIX (X)	A	Dividend			Sold	12/19/17	J	A	
28. - (IRA2) ASG Managed Futures Strategy Fund ASFYX (X)	A	Dividend			Sold	12/19/17	J		loss
29. - (IRA2) Pimco Trend Managed Futures Strategy PQTIX (X)	A	Dividend			Sold	12/19/17	J		loss
30. - (IRA2) Osterweis Strategic Income Fund ORFRX (X)	A	Dividend			Sold	12/19/17	J		loss
31. - (IRA2) T Rowe Price Floating Rate PRFRX (X)	A	Dividend			Sold	12/19/17	J	A	
32. - (IRA2) iShares Tr Core S&P 500 ETF IVV (X)	A	Dividend			Sold	12/19/17	J	B	
33. - (IRA2) iShares Tr Russell 2000 ETF IWM (X)	A	Dividend			Sold	12/19/17	J	A	
34. - (IRA2) SSGA Active ETF Tr SPDR Dobleline Total Return TOTL (X)	A	Dividend			Sold	12/19/17	J		loss

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35. - (IRA2) Vanguard FTSE Developed Markets ETF VEA (X)	A	Dividend			Sold	12/19/17	J	A	
36. - (IRA2) Vanguard Intl Equity Index FDS FTSE Emerg Mkts VWO (X)	A	Dividend			Sold	12/19/17	J	A	
37. - (IRA2) Vanguard Intl Equity Index FDS FTSE Europe VGK (X)	A	Dividend			Sold	12/19/17	J		loss
38. Cambridge Investment Acct (H) (X)									
39. - Liquid Insured Deposits Cash Money Fund (X)	A	Interest	K	T					
40. - Russell Tax-Managed International Equity Fd RTIUX (X)	A	Dividend			Sold	12/19/17	J	A	
41. - Russell Tax-Managed US Mid & Small Cap RTOUX (X)	A	Dividend			Sold	12/19/17	J	A	
42. - Russell Tax-Managed US Large Cap Fd RTMTX (X)	A	Dividend			Sold	12/19/17	J	A	
43. - Russell Global Real Estate Secs Fd RETTX (X)	A	Dividend			Sold	12/19/17	J	A	
44. - Russell Global Infrastructure Fd RGFTX (X)	A	Dividend			Sold	12/19/17	J		loss
45. - Russell Tax-Exempt Bond Fd RBCUX (X)	A	Dividend			Sold	12/19/17	K		loss
46. - Russell Tax-Exempt High Yld Bd Fd RHYTX (X)	A	Dividend			Sold	12/19/17	J	A	
47. - Russell Strategic Bond Fd RSYTX (X)	A	Dividend			Sold	12/19/17	J		loss
48. - The Bond Fund of America Fd #8 American Funds (X)	A	Dividend	J	T					
49. - Capital World Growth & Income Fd #33 American Fd (X)	A	Dividend	J	T					
50. - Growth Fund of America Fd #5 American Funds (X)	A	Dividend	J	T					
51.									

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52.	1. TRUST #1 Pershing Brokerage Account (H)								
53.	- Dreyfus Treasury Prime Inv MM	A	Interest	L	T				
54.	- Connecticut St Ser C 5% 11/1/21 B/E	C	Interest	M	T				
55.	- Indiana Univ Revs Student Fee Ser S 5% 2/21/08	C	Interest	M	T				
56.	- Metropolitan Govt Nashville Davidson 5% 5/15/23 \$20k	A	Interest		Sold	01/31/17	K	A	
57.	- Metropolitan Govt Nashville Davidson 5% 5/15/23 \$80k	A	Interest		Redeemed	05/15/17	L	A	
58.	- Metropolitan Govt Nashville Davidson 5% 1/01/25 \$50k	B	Interest	L	T				
59.	- Conroe Tex Indpt Sch Dist pre-refunded 5% 2/15/24 \$35k	B	Interest	K	T				
60.	- Conroe Tex Indpt Sch Dist unrefunded 5% 2/15/24 \$115k	D	Interest	M	T				
61.	- Tennessee St Rfdg-Ser A 4% 08/1/25	B	Interest	L	T				
62.	- Abilene Tex CTFS Oblig 5% 2/15/26	B	Interest	L	T				
63.	- Victoria Tex Indpt Sch Dist Sch Bldg 5% 6/15/07	A	Interest		Redeemed	02/15/17	M	A	
64.	- Washington St RFDG Var purp Ser R-2015 E 5% 7/1/26	C	Interest	M	T				
65.	- Washington St Var Purp dtd 5% 8/1/26	B	Interest	L	T				
66.	- Keller Tex Indpt Sch Dist Sch Bldg 5% 8/15/26	C	Interest		Redeemed	08/15/17	L	A	
67.	- Gainesville Fla Utils Sys Rev Ser A 5% 10/01/26	B	Interest	L	T				
68.	- Arlington Tex Indpt Sch Sch Dist 5% 8/15/27	D	Interest	M	T				

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69. - North Carolina St Pub Impt Ser A 5% 4/14/10	C	Interest	L	T					
70. - Jackson Tenn Energy Auth Elec Sys Rfdg 5% 5/1/27	C	Interest	L	T	Buy	05/18/17	L		
71. - Germantown Team RFDG & Impt-Ser A 5% 06/01/27	C	Interest	M	T					
72. - Metropolitan Govt Nashville & Davidson 5% 7/1/27	C	Interest	M	T					
73. - Houston Tex Util Sys Rev Rfdg Comb first lien Ser D5%	B	Interest	L	T	Buy	03/20/17	L		
74. - Indiana St Fin Auth Rev RFDG-St Revolving Green 5%	C	Interest	M	T					
75. - Clear Creek Tex Indpt Sch Dist 5% 02/15/28	C	Interest	L	T					
76. - Washington St RFDG-Various purp ser R 2015E 5%07/01/28 dtd 2/4/15	B	Interest	K	T					
77. - Denton Tex Indpt Sch Dist RFDG 5% 8/15/282/15/25	C	Interest	L	T					
78. - HCA Inc Sr Note 8.0% 10/01/18	B	Interest			Redeemed	07/10/17	K	A	
79. - Knox Cnty Tenn 5% 6/01/20 dtd 5/01/17	B	Interest	L	T	Buy	08/22/17	L		
80. - MGM Resorts Intl Sr Nt 6.75% 10/01/20	B	Interest	K	T					
81. - Nielsen Fin LLC 4.5% 10/01/20	B	Interest	K	T					
82. - H C A Inc HCA Inc Gtd Sr Nt 7.5% 02/15/22	B	Interest	K	T	Buy	07/17/17	K		
83. - PVH Corp Sr Nt 4.5% 12/15/22 dtd 12/20/12	B	Interest	K	T	Buy	03/21/17	K		
84. - Wells Fargo & Co new Medium Term Sr Nts 4.125%	A	Interest	K	T	Buy	10/18/17	K		
85. - AON PLC shs C1 A	A	Dividend	K	T					

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86. - Accenture PLC Ireland Shs Cl A ACN	A	Dividend	K	T	Sold (part)	09/27/17	J	D	
87. - Alibaba Group Hldg Ltd Spons ADS		None	K	T	Buy	05/18/17	J		
88. - American Tower REIT com	A	Dividend	K	T					
89. - Altria Group Inc Com	B	Dividend	K	T					
90. - Amazon Com INC		None	K	T					
91. - Apple Inc	B	Dividend	L	T					
92. - Boeing Co Com	B	Dividend	L	T					
93. - Booz Allen Hamilton Hldg Corp Cl A	A	Dividend			Sold (part)	05/18/17	K	C	
94. - Booz Allen Hamilton Hldg Corp Cl A					Sold	08/30/17	K	C	
95. - CBS Corp CL B Com	A	Dividend			Sold	01/03/17	K	B	
96. - Colgate Palmolive Co		None			Sold	01/03/17	K	E	
97. - Disney Walt Co Disney Com	A	Dividend	K	T	Buy	09/27/17	J		
98. - Dow Chem Co Com n/k/a DowDuPont Inc Com	A	Dividend	K	T	Buy	01/11/17	K		
99. - Energy Transfer Equity L.P.	B	Distribution	K	T					
100. - Enterprise Products Partners L.P.	B	Distribution	K	T					
101. - Equifax Inc	A	Dividend			Sold	09/08/17	K	C	
102. - Exxon Mobil Corp	B	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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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. - Flir Systems Inc	A	Dividend	K	T	Buy	08/30/17	J		
104. - Flir Systems Inc					Buy (add'l)	10/25/17	J		
105. - General Electric Co Com	A	Dividend			Sold	05/12/17	K		loss
106. - Goldman Sachs Group Inc Com	A	Dividend			Sold	03/27/17	K	B	
107. - Honeywell Intl Inc	B	Dividend	L	T					
108. - Intel Corp Com	A	Dividend	J	T	Buy	02/16/17	J		
109. - Intercontinental Exchange Inc	A	Dividend	K	T	Buy	01/04/17	K		
110. - Johnson & Johnson Corp	A	Dividend			Buy	01/04/17	K		see below for sale in same
111. - Johnson & Johnson Corp					Sold	03/20/17	K	B	period
112. - JP Morgan Chase & Co Com	A	Dividend	J	T	Buy	03/27/17	J		
113. - Kinder Morgan Inc Del Com	A	Dividend			Buy	02/08/17	J		see below for sale in same
114. - Kinder Morgan Inc Del Com					Sold	12/19/17	J		period at a loss
115. - Las Vegas Sands Corp Com	B	Dividend	K	T					
116. - Las Vegas Sands Corp Com					Buy (add'l)	03/01/17	J		
117. - Microsoft Corp Com	B	Dividend	L	T					
118. - Newell Brands Inc Com	B	Dividend	K	T					
119. - Paychex Inc Common	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 \$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. - Plains All American Pipeline L.P.	B	Distribution			Sold	08/08/17	J	A	
121. - Raytheon Co Common New	A	Dividend	K	T					
122. - Thermo Fisher Scientific Inc Com TMO	A	Dividend	K	T					
123. - Verizon Communications Com	A	Dividend			Sold (part)	04/20/17	K	D	
124. - Verizon Communications Com					Sold	04/28/17	K	C	
125. - Waste Management Inc Del Com	A	Dividend	J	T	Buy	10/04/17	J		
126. - Wells Fargo & Co New Com	A	Dividend	K	T	Buy	06/05/17	K		
127. - West Pharmaceutical Svcs Inc Com	A	Dividend			Sold	01/13/17	J	B	
128. - Williams Cos Inc Com	A	Dividend	J	T	Buy	12/19/17	J		
129. - KKR Finl Hldgs LLC PFD Ser A LLC	A	Distribution	J	T					
130. - Starwood Ppty Tr Inc Com	C	Dividend	K	T					
131. - Alps ETF Tr Alerian MLP Etf	A	Dividend	J	T					
132. 2. TRUST #2 Pershing Brokerage Account (H)									
133. -Drefus Treasury Prime MM	A	Interest			Distributed	05/12/17	K		
134. -Accenture PLC Ireland Sh Cl A	A	Dividend			Distributed	05/12/17	J		
135. -Alphabet Inc Cap Stk Cl A		None			Distributed	05/12/17	J		
136. -American Express Company	A	Dividend			Distributed	05/12/17	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)
137. -Apple Inc	A	Dividend			Distributed	05/12/17	J		
138. -Colgate Palmolive Co Com		None			Sold	01/03/17	J	C	
139. -Exxon Mobil Corp Com	A	Dividend			Distributed	05/12/17	J		
140. -Honeywell Intl Inc	A	Dividend			Distributed	05/12/17	J		
141. -Newell Brands Inc Com	A	Dividend			Distributed	05/12/17	J		
142. -PayPal Hldgs Inc Com		None			Distributed	05/12/17	J		
143. -Verizon Communications Com	A	Dividend			Sold (part)	04/20/17	J	A	
144. -Verizon Communications Com					Sold	04/28/17	J	A	
145. -Starwood Ppty Tr Inc com	A	Dividend			Distributed	05/12/17	J		
146. 3. TRUST #3 Pershing Brokerage Account (H)									
147. -Dreyfus Treasury Prime Money Market	A	Interest	L	T					
148. -Accenture PLC Ireland Shs Cl A	A	Dividend	K	T					
149. -American Tower REIT	A	Dividend	K	T					
150. -AON PLC Com Shs	A	Dividend	J	T					
151. -Alibaba Group Hldg Ltd Spons ADS		None	J	T	Buy	05/18/17	J		
152. -Alphabet Inc Cap Stk Cl A		None	J	T					
153. -Altria Group Inc Com	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. -Amazon Com Inc		None	J	T					
155. -American Express Company	A	Dividend	J	T					
156. -Apple Inc	A	Dividend	J	T					
157. -Avery Dennison Corp Com	A	Dividend	J	T	Buy	06/20/17	J		
158. -Becton Dickinson & Co	A	Dividend	J	T	Buy	05/25/17	J		
159. -Becton Dickinson & Co					Buy (add'l)	08/03/17	J		
160. -Boeing Co com	A	Dividend	K	T					
161. -Booz Allen Hamilton Hldg Corp Cl A	A	Dividend			Sold (part)	05/18/17	J	A	
162. -Booz Allen Hamilton Hldg Corp Cl A					Sold	08/30/17	J	A	
163. -Bristol Myers Squibb Co Com	A	Dividend			Sold	01/26/17	J		loss
164. -CBS Corp CL B Com	A	Dividend			Sold	01/03/17	J	A	
165. -Colgate Palmolive Co		None			Sold	01/03/17	J	C	
166. -DXC Technology Co Com	A	Dividend	J	T	Buy	08/18/17	J		
167. -Disney Walt Co Disney Com	A	Dividend	J	T	Buy	05/24/17	J		
168. -Dow Chem Co Com n/k/a DowDuPont Inc Com	A	Dividend	J	T	Buy	01/11/17	J		
169. -Equifax Inc	A	Dividend			Sold	09/08/17	J	A	
170. -Exxon Mobil Corp Com	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)
171. -Flir Systems Inc	A	Dividend	J	T	Buy	08/30/17	J		
172. -Flir Systems Inc					Buy (add'l)	10/25/17	J		
173. -Goldman Sachs Group Inc Com	A	Dividend			Sold	03/27/17	J	A	
174. -Honeywell Intl Inc	A	Dividend	J	T					
175. -Intel Corp Com	A	Dividend	J	T	Buy	01/27/17	J		
176. -Intel Corp Com					Buy (add'l)	02/16/17	J		
177. -Intercontinental Exchange Inc Com	A	Dividend	J	T	Buy	01/04/17	J		
178. -Johnson & Johnson Com	A	Dividend			Buy	01/04/17	J		see below for sale in
179. -Johnson & Johnson Com					Sold	03/20/17	J	A	period
180. -JP Morgan Chase & Co Com	A	Dividend	J	T	Buy	03/27/17	J		
181. -Kimberly Clark Corp Com	A	Dividend			Sold	08/07/17	J		loss
182. -Kinder Morgan Inc Del Com	A	Dividend	J	T	Buy	02/08/17	J		
183. -Las Vegas Sands Corp Com	A	Dividend	J	T					
184. -Las Vegas Sands Corp Com					Buy (add'l)	03/01/17	J		
185. -Nielson Holdings PLC Shs	A	Dividend			Sold (part)	06/20/17	J		loss
186. -Nielson Holdings PLC Shs					Sold	08/18/17	J		loss
187. -Newell Brands Inc Com	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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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. -PayPal Hldgs Inc Com		None	K	T					
189. -Pepsico Inc Com	A	Dividend	J	T					
190. -Philip Morris Intl Inc Com	A	Dividend	J	T					
191. -Proctor & Gamble Co Com	A	Dividend	J	T	Buy	08/07/17	J		
192. -Raytheon Co Com New	A	Dividend	J	T					
193. -Raytheon Co Com New					Buy (add'l)	01/13/17	J		
194. -Schlumberger Ltd Com	A	Dividend			Buy	01/11/17	J		see below for sale in same
195. -Schlumberger Ltd Com		None			Sold	05/25/17	J		period at a loss
196. -Thermo Fisher Scientific Inc com	A	Dividend	J	T					
197. -Verizon Communications Com	A	Dividend			Sold (part)	04/20/17	J	B	
198. -Verizon Communications Com					Sold	04/28/17	J	B	
199. -Waste Mgmt Inc Del Com	A	Dividend	J	T	Buy	10/04/17	J		
200. -Wells Fargo & Co New Com	A	Dividend	J	T	Buy	06/05/17	J		
201. -West Pharmaceutical Svcs Inc Com	A	Dividend			Sold	02/03/17	J	B	
202. -Starwood Ppty Tr Inc Com	A	Dividend	J	T					
203. -iShares Tr Core S&P Mid-Cap ETF	A	Dividend	K	T					
204. -iShares Tr S&P Midcap 400 Value Index Fd	B	Dividend	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)
205. -JPMorgan Chase & Co Alerian MLP Index	C	Dividend			Sold	10/26/17	K		loss
206. -Pimco ETF Tr Enhanced Short Mat	A	Dividend			Sold	07/06/17	K	A	
207. -WisdomTreeTr Emerging Mkts Small Cap AVG	A	Dividend	J	T					
208. 4. TRUST #4 Pershing Brokerage Account (H)									
209. -Dreyfus Treasury Prime Inv Sh MM	A	Interest	K	T					
210. -iShares Tr S&P Midcap 400 Value Index	A	Dividend	L	T					
211. -iShares Inc MSCI Japan ETF New	A	Dividend	J	T	Buy	11/09/17	J		
212. -JPMorgan Chase & Co Alerian MLP Index	B	Dividend							
213. -JPMorgan Chase & Co Alerian MLP Index					Buy (add'l)	05/16/17	J		
214. -JPMorgan Chase & Co Alerian MLP Index					Sold	10/26/17	K		loss
215. -Powershares QQQ Tr Unit Ser 1	A	Dividend	K	T					
216. -SPDR S&P Midcap 400 ETF Tr Unit Ser 1	A	Dividend			Sold	04/06/17	K	D	
217. -Vanguard Whitehall Fds High Div	A	Dividend	K	T					
218. -Vanguard Index Fds S&P 500 ETF VOO	B	Dividend	L	T					
219. -Vanguard Index Fds S&P 500 ETF VOO					Buy (add'l)	04/06/17	K		
220. -WisdomTree Emerging Mkts Small Cap Avg	A	Dividend	K	T					
221. 5. TRUST #5 Pershing Brokerage Account (H)									

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)
222. -Dreyfus Treasury Prime Inv MM	A	Interest	K	T					
223. -iShares Tr S&P Midcap 400 Value	A	Dividend	K	T					
224. -iShares Inc MSCI Japan ETF New EWJ	A	Dividend	J	T	Buy	11/09/17	J		
225. -JPMorgan Chase & Co Alerian MLP Index	A	Dividend							
226. -JPMorgan Chase & Co Alerian MLP Index					Buy (add'l)	05/06/17	J		
227. -JPMorgan Chase & Co Alerian MLP Index					Sold	10/26/17	K		loss
228. -Powershares QQQ Tr Unit Ser 1	A	Dividend	K	T					
229. -SPDR S&P Midcap 400 ETF Tr Unit Ser 1	A	Dividend	J	T	Sold (part)	04/06/17	J	D	
230. -Vanguard Whithall Fds High Div	A	Dividend	J	T					
231. -Vanguard Index Fds S&P 500 ETF	A	Dividend	L	T					
232. -Vanguard Index Fds S&P 500 ETF					Buy (add'l)	04/06/17	J		
233. -WisdomTree Tr Emerging Mkts Small Cap Avg DGS	A	Dividend	J	T					
234. 6. Trust #6 Pershing Brokerage Account (H)									
235. -Dreyfus Treasury Prime Inv MM	A	Interest	K	T					
236. -iShares Tr S&P MidCap 400 Value	A	Dividend	K	T					
237. -iShares Inc MSCI Japan ETF New	A	Dividend	J	T	Buy	11/09/17	J		
238. -JPMorgan Chase & Co Alerian MLP Index	A	Dividend							

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. -JPMorgan Chase & Co Alerian MLP Index					Buy (add'l)	05/16/17	J		
240. -JPMorgan Chase & Co Alerian MLP Index					Sold	10/26/17	J		loss
241. -PowerShares QQQ Tr Unit Ser 1	A	Dividend	J	T					
242. -SPDR S&P MidCap 400 ETF Tr Unit Ser 1	A	Dividend	J	T	Sold (part)	04/06/17	J	C	
243. -Vanguard Whitehall Fds High Div	A	Dividend	J	T					
244. -Vanguard Index Fds S&P 500 ETF	A	Dividend	K	T					
245. -Vanguard Index Fds S&P 500 ETF					Buy (add'l)	04/06/17	J		
246. -WisdomTree Emerging Mkts Small Cap Avg DGS	A	Dividend	J	T					
247.									
248.									
249.									
250.									
251.									
252.									
253.									
254.									

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 20

Trust #1 on line 53

Trust #2 on line 133

Trust #3 on line 147

Trust #4 on line 209

Trust #5 on line 222

Trust #6 on line 235

Lines 20, 53, 133, 147, 209, 222 and 235 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 22-50 were inherited in 2017.

Lines 23 & 39 Liquid Insured Deposits Cash Money Fund 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 98 and 168 Dow Chemical Co changed its name to DowDuPont Inc on 09/01/2017

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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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