

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2016

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) REINHARDT, STEPHEN R.	2. Court or Organization US COURT OF APPEALS - 9TH CIRCUIT	3. Date of Report 08/10/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US CIRCUIT 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 312 NORTH SPRING STREET ROOM 1747 LOS ANGELES, CA 90012		
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
2.	TRUSTEE	TRUST #2
3.	TRUSTEE	TRUST #3
4.	CO-TRUSTEE	TRUST #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.)*

DATE

SOURCE AND TYPE

INCOME

(yours, not spouse's)

1.

2.

3.

4.

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

DATE

SOURCE AND TYPE

1.

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.)*

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

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

<u>SOURCE</u>	<u>DESCRIPTION</u>	<u>VALUE</u>
1.		
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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Name of Person Reporting

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. CITY NATIONAL BANK (CASH)		None	K	T					4, 126
2. UNION BANK (CASH)		None	K	T					5
3. CHASE (CASH) (Y)									6, 7
4. BANK OF THE WEST (CASH)		None	L	T					223
5. ACLU DEFERRED SALARY PLAN/ TRUST	A	Distribution	N	T					30
6. ACACIA PARTNERS, L.P.	A	Int./Div.	M	U					97
7. POETIC LICENSE PARTNERS, LP	G	Int./Div.	P1	W					98
8. JOHN HANCOCK LIFE INS CO. - GUARANTEED ANNUITY	D	Int./Div.	L	W					8
9. BROKERAGE ACCOUNT #1 (H)									1
10. STONNINGTON FDIC INSURED DEPOSITS MONEY MARKET	A	Interest	J	T					3
11. FEDERATED CLOVER VALUE FD CL C 1 (VFCCX)	A	Interest	J	T					2
12. IRA #1 (formerly 7) (H)									
13. PERSHING GOVT MONEY MARKET FUNDS	A	Interest	J	T					
14. AQR LARGE CAP MOMENTUM STYLE FUND (AMOMX)	A	Dividend	J	T	Buy	04/25/16	J		
15. AC ALTERNATIVES EQUITY MARKET (ALHIX)		None	J	T	Buy	02/16/16	J		
16. BLACKROCK STRATEGIC INCOME OPPT (BSILX)	A	Dividend	J	T	Buy	06/21/16	J		
17. THORNBURG INTERNATIONAL VALUE FUND CLASS 1	A	Dividend	J	T	Buy	04/25/16	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$250,000.01 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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18. VANGUARD BD INDEX TOTAL BD MKT FUND (BND)	A	Dividend	J	T					
19. VANGUARD SPECIALIZED PORT DIV APPREC FUND (VIG)	A	Dividend	J	T	Sold (part)	11/23/16	J	A	
20. RIDGEWORTH SELX FLOATING RATE HIGH YLD FUND (SAMBX)	A	Dividend	J	T					
21. MSIF INC INTERNATIONAL FUND (MSIQX)	A	Dividend	J	T					
22. ISHARES TR 1-3 YR CR BOND ETF FUND (CSJ) (Y)									
23. ISHARES TR TIPS BD ETF (TIPS)	A	Dividend	J	T					
24. ISHARES TR 1-3 YR TREAS BD ETF (SHY)	A	Dividend	J	T	Buy	04/25/16	J		
25. GATEWAY FUND CLASS Y (GTEYX)	A	Dividend	J	T	Sold (part)	11/23/16	J		
26. DRIEHAUS ACTIVE INCOME FUND		None			Sold	06/21/16	J		
27. DRIEHAUS SELECT CREDIT FUND		None			Sold	02/16/16	J		
28. AQR DIVERSIFIED ARBITRAGE FUND		None			Sold	02/16/16	J		
29. PRUDENTIAL JENNISON HEALTH SCIENCES FUND		None			Sold	06/21/16	J		
30. TCW EMERGING MARKETS FUND (TGEIX) (Y)									
31. VIRTUS EMERGING MARKETS FUND		None			Sold	06/21/16	J		
32. AMERICAN CENTURY MID CAP VALUE FUND (ACMVX)	A	Dividend	J	T					
33. SCHWAB FUNDMNTL U.S. LARGE CO FUND (SFLNX)	A	Dividend	J	T	Sold (part)	04/25/16	J	A	
34. AQR MANAGED FUTURES STRATEGY FUND (AQMIX)	A	Dividend	J	T					

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2. Value Codes: (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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35. LEGG MASON BW ABSOLUTE RETURN FUND (LROIX)		None	J	T					
36. RIVERNORTH DOUBLE LINE STRATEGIC INC FUND (RNSIX)	A	Dividend	J	T					
37. NEUBERGER BERMAN LONG SHORT FUND (NLSIX)	A	Dividend	J	T	Buy (add'l)	02/16/16	J		
38. POWERSHARES EXCHANGE TRADED FD TR II (EELV)	A	Dividend	J	T	Buy	06/21/16	J		
39. SPDR GOLD TR GOLD SHS (GLD)		None	J	T	Buy	06/21/16	J		
40. NATIONWIDE ACHIEVER VARIABLE ANNUITY (H)									
41. NW AMFDS NVIT ASST ALLOC II FUND		None	M	T					
42. NW AMFDS NVIT BD II FUND		None	M	T					
43. NW AMFDS NVIT GR INC II FUND		None	M	T					
44. TRUST #1 (H)									
45. STONNINGTON FDIC LIQUID INSURED DEPOSITS	A	Interest	K	T					36, 37
46. NUVEEN LIMITED TERM MUNI BOND (FLTRX)	A	Dividend	K	T	Buy (add'l)	03/29/16	J		
47.					Sold (part)	06/21/16	K	A	
48.					Buy (add'l)	10/14/16	J		
49.					Sold (part)	11/15/16	J		
50. RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND	A	Dividend			Sold	03/29/16	K		
51. TCW EMERGING MARKETS FUND (TGEIX)	B	Dividend	K	T	Buy (add'l)	03/29/16	J		

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52.					Sold (part)	06/10/16	J		
53.					Sold (part)	11/15/16	J		
54. AMERICAN FUNDS, THE TAX EXEMPT BOND FUND OF AMERICA (TEAFX)	C	Dividend	M	T	Buy (add'l)	03/29/16	K		44
55.					Sold (part)	04/12/16	J	A	
56.					Buy (add'l)	04/25/16	K		
57.					Sold (part)	06/10/16	J	A	
58.					Sold (part)	06/21/16	J	A	
59.					Buy (add'l)	10/14/16	J		
60.					Sold (part)	11/15/16	K	A	
61. VANGUARD SPECIALIZED PORT DIV APPREC FUND	B	Dividend	L	T	Sold (part)	03/29/16	L	E	
62.					Sold (part)	04/12/16	J	A	
63.					Buy (add'l)	10/14/16	J		
64.					Sold (part)	11/15/16	K	D	
65. VIRTUS EMERGING MARKETS FUND		None			Sold (part)	03/29/16	J		
66.					Sold	06/21/16	K		
67. SCHWAB FUNDMNTL U.S. LARGE CO FUND (SFLNX)	D	Dividend	M	T	Buy (add'l)	03/29/16	K		
68.					Sold (part)	04/12/16	J	A	

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69.					Buy (add'l)	04/25/16	K		
70.					Sold (part)	06/10/16	J	B	
71.					Buy (add'l)	10/14/16	K		
72.					Sold (part)	11/15/16	K	D	
73. AQR MANAGED FUTURES STRATEGY FUND (AQMIX)	A	Dividend	L	T	Buy (add'l)	03/29/16	K		
74.					Sold (part)	04/12/16	J		
75.					Buy (add'l)	06/10/16	J		
76.					Sold (part)	06/21/16	J		
77.					Buy (add'l)	10/14/16	J		
78.					Sold (part)	11/15/16	J		
79. LEGG MASON BW ABSOLUTE RETURN FUND (LROIX)		None	K	T	Buy (add'l)	03/29/16	J		
80.					Sold (part)	11/15/16	J		
81. RIVERNORTH DOUBLE LINE STRATEGIC INC FUND (RNSIX)	C	Dividend	K	T	Buy (add'l)	03/29/16	J		
82.					Sold (part)	06/10/16	J		
83.					Buy (add'l)	10/14/16	J		
84.					Sold (part)	11/15/16	J		
85. ASTON FAIRPOINTE MID CAP FUND		None			Sold	03/29/16	M		

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86. AQR MOMENTUM FUND CLASS L (AMOMX)	C	Dividend	M	T	Buy (add'l)	03/29/16	K		
87.					Sold (part)	04/12/16	J		
88.					Sold (part)	04/25/16	K		
89.					Sold (part)	06/10/16	J		
90.					Buy (add'l)	10/14/16	J		
91.					Sold (part)	11/15/16	K		
92. BERWYN FUND		None			Sold	03/29/16	K		
93. EAGLE SMALL CAP GROWTH FUND CLASS I	A	Dividend	L	T	Buy	03/29/16	L		
94.					Sold (part)	04/25/16	J	A	
95.					Sold (part)	06/10/16	J	A	
96.					Buy (add'l)	06/21/16	J		
97.					Buy (add'l)	10/14/16	J		
98.					Sold (part)	11/15/16	K	C	
99. INVESCO DEVELOPING MARKETS FUND (GTDYX)	A	Dividend	L	T	Sold (part)	03/29/16	K		
100.					Sold (part)	04/12/16	J		
101.					Sold (part)	04/25/16	K		
102.					Sold (part)	06/10/16	J		

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103.					Sold (part)	11/15/16	J		
104. ISHARES TR TIPS BD ETF (TIP)	A	Dividend	K	T	Buy	06/21/16	K		
105.					Sold (part)	06/21/16	J		
106.					Buy (add'l)	10/14/16	J		
107. HARBOR INT'L FUND (HAINX)	B	Dividend	L	T	Buy (add'l)	03/29/16	K		
108.					Sold (part)	04/25/16	K		
109.					Buy (add'l)	06/21/16	J		
110.					Buy (add'l)	10/14/16	J		
111.					Sold (part)	11/15/16	J		
112. HARBOR HIGH YIELD BOND FUND (HYFAX)	B	Dividend	K	T	Buy (add'l)	03/29/16	J		
113.					Sold (part)	06/21/16	J		
114.					Sold (part)	11/15/16	J		
115. INVESCO INTL SMALL COMPANY		None			Sold	03/29/16	L		
116. JOHN HANCOCK DISCIPLINED VALUE (JVMIX)	A	Dividend	L	T	Buy	03/29/16	L		
117.					Sold (part)	04/25/16	J	A	
118.					Sold (part)	06/10/16	J	A	
119.					Buy (add'l)	10/14/16	J		

1. Income Gain Codes: (See Columns B1 and D4)	A ~\$1,000 or less F ~\$50,001 - \$100,000	B ~\$1,001 - \$2,500 G ~\$100,001 - \$1,000,000	C ~\$2,501 - \$5,000 H1 ~\$1,000,001 - \$5,000,000	D ~\$5,001 - \$15,000 H2 ~More than \$5,000,000	E ~\$15,001 - \$50,000
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

REINHARDT, STEPHEN R.

Date of Report

08/10/2017

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)
120.					Sold (part)	11/15/16	K	B	
121. T. ROWE PRICE INTERNATIONAL (PRIDX)	A	Dividend	L	T	Buy	03/29/16	K		
122.					Sold (part)	06/10/16	J	A	
123.					Buy (add'l)	10/14/16	J		
124.					Sold (part)	11/15/16	J	A	
125. SPDR GOLD TR GOLD SHS (GLD)		None	K	T	Buy	06/21/16	K		
126.					Buy (add'l)	10/14/16	J		
127.					Sold (part)	11/15/16	J		
128. VIRTUS FOREIGN OPP FUND		None			Sold (part)	04/12/16	J	A	
129.					Sold (part)	04/25/16	K	B	
130.					Sold (part)	06/10/16	J	A	
131.					Sold	06/21/16	L	B	
132. KEELEY SMALL CAP VALUE FUND		None			Sold	03/19/16	L		
133. AMERICAN CENTURY INTMDT TAX FREE BOND FUND (TWTIX)	C	Dividend	M	T	Buy (add'l)	03/29/16	K		
134.					Sold (part)	04/12/16	J	A	
135.					Buy (add'l)	04/25/16	K		
136.					Sold (part)	06/21/16	J	A	

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

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Name of Person Reporting

REINHARDT, STEPHEN R.

Date of Report

08/10/2017

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)
137.					Buy (add'l)	10/14/16	J		
138.					Sold (part)	11/15/16	K		
139. AQR INTERNATIONAL EQUITY FUND CLASS i	B	Dividend	L	T	Buy	06/21/16	L		
140.					Buy (add'l)	10/14/16	J		
141.					Sold (part)	11/15/16	J	A	
142. VANGUARD INTL EQUITY INDEX FDS FTSE (VGK)	B	Dividend	L	T	Buy	04/25/16	L		
143.					Buy (add'l)	06/21/16	J		
144.					Buy (add'l)	10/14/16	J		
145.					Sold (part)	11/15/16	J		
146. VANGUARD SCOTTSDALE FDS	A	Dividend			Sold	04/25/16	L	B	
147. TRUST #2 (H)									
148. STONNINGTON FDIC LIQUID INSURED DEPOSITS (Y)									100
149. AMERICAN FUNDS, GLOBAL BALANCED (GBLCX)	B	Dividend	M	T					
150. TRUST #3 (H)									
151. STONNINGTON FDIC LIQUID INSURED DEPOSITS	A	Interest	J	T					103, 104
152. AQR LARGE CAP MOMENTUM STYLE FUND (AMOMX)	A	Dividend	J	T	Buy	04/25/16	J		
153. AQR DIVERSIFIED ARBITRAGE FUND		None			Sold	02/16/16	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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REINHARDT, STEPHEN R.

Date of Report

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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. AQR MANAGED FUTURES STRATEGY FUND (AQMIX)	A	Dividend	K	T	Sold (part)	01/21/16	J		
155.					Buy (add'l)	02/16/16	J		
156. AC ALTERNATIVES EQUITY MARKET (ALHIX)		None	J	T	Buy	02/16/16	J		
157.					Buy (add'l)	04/25/16	J		
158. BLACKROCK STRATEGIC INCOME OPPT (BSIIX)	A	Dividend	K	T	Buy	06/21/16	K		
159. DRIEHAUS SELECT CREDIT FUND		None			Sold	02/16/16	K		
160. DRIEHAUS ACTIVE INCOME FUND	A	Dividend			Sold	06/21/16	K		
161. GATEWAY FUND CLASS Y (GTEYX)	A	Dividend	K	T	Sold (part)	01/21/16	J	A	
162.					Sold (part)	04/14/16	J	A	
163. ISHARES TR TIPS BD FD (TIP)	A	Dividend	J	T	Sold (part)	04/14/16	J	A	
164. ISHARES TR BARCLAYS 1-3 YR TSTRY BOND FUND	A	Dividend			Sold	04/25/16	J		
165. LEGG MASON BW ABSOLUTE RETURN FUND (LROIX)		None	J	T	Sold (part)	04/14/16	J		
166. MSIF INC INTERNATIONAL FUND (MSIQX)	A	Dividend	J	T	Sold (part)	04/14/16	J	A	
167.					Sold (part)	04/25/16	J	A	
168. NUVEEN LIMITED TERM MUNI BOND CLASS A (FLTRX)	A	Dividend	K	T	Sold (part)	04/14/16	J		
169.					Buy (add'l)	04/25/16	J		
170. PRUDENTIAL JENNISON HEALTH SCIENCES FUND		None			Sold (part)	04/14/16	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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REINHARDT, STEPHEN R.

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08/10/2017

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)
171.					Sold	06/21/16	J	A	
172. RIDGEWORTH SELX FLOATING RATE HIGH YLD FUND (SAMBX)	A	Dividend	J	T					
173. TCW EMERGING MARKETS FUND (TGEIX)	A	Dividend	J	T					
174. AMERICAN FUNDS, THE TAX EXEMPT BOND FUND OF AMERICA (TEAFX)	A	Dividend	J	T	Sold (part)	01/21/16	J	A	118
175.					Sold (part)	04/14/16	J	A	
176. THORNBURG INTERNATIONAL VALUE FUND CLASS I (TGVIX)	A	Dividend	J	T	Buy	04/25/16	J		
177. VANGUARD SPECIALIZED PORT DIV APPREC FUND (VIG)	A	Dividend	K	T	Buy (add'l)	01/21/16	J		
178.					Sold (part)	02/14/16	J	A	
179.					Sold (part)	02/16/16	J	B	
180. VANGUARD INTMDT TERM TAX EXEMPT BOND FUND (VWIUX)	A	Dividend	J	T	Sold (part)	01/21/16	J	A	
181.					Sold (part)	04/14/16	J	A	
182. VIRTUS EMERGING MARKETS FUND		None			Sold	06/21/16	J		
183. AMERICAN CENTURY MID CAP VALUE FUND (ACMVX)	A	Dividend	J	T	Sold (part)	04/14/16	J	A	
184. RIVERNORTH DOUBLE LINE STRATEGIC INC FUND (RNSIX)	A	Dividend	J	T	Sold (part)	04/14/16	J		
185. SCHWAB FUNDMNTL U.S. LARGE CO FUND (SFLNX)	A	Dividend	J	T	Sold (part)	04/14/16	J	A	
186.					Sold (part)	04/25/16	J	B	
187. NEUBERGER BERMAN LONG SHORT FUND (NLSIX)	A	Dividend	J	T	Buy (add'l)	02/16/16	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 \$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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REINHARDT, STEPHEN 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)
188.					Sold (part)	04/14/16	J		
189.					Sold (part)	04/25/16	J		
190. POWERSHARES EXCHANGE TRADED FD TR II (EELV)	A	Dividend	J	T	Buy	06/21/16	J		
191. SPDR GOLD TR GOLD SHS (GLD)		None	J	T	Buy	06/21/16	J		
192. TRUST #4 (H)									
193. STONNINGTON FDIC LIQUID INSURED DEPOSITS	A	Interest	J	T					128, 129
194. AQR LARGE CAP MOMENTUM STYLE FUND CLASS I (AMOMX)	A	Dividend	J	T	Buy	04/26/16	J		
195.					Sold (part)	06/21/16	J		
196. AQR MANAGED FUTURES STRATEGY FUND (AQMIX)	A	Dividend	K	T	Sold (part)	01/21/16	J	A	
197.					Buy (add'l)	02/16/16	J		
198.					Buy (add'l)	04/21/16	J		
199. AC ALTERNATIVES EQUITY MARKET NEUTRAL FUND INVESTOR CLASS (ALHIX)		None	J	T	Buy	02/16/16	J		
200.					Buy (add'l)	04/26/16	J		
201. BLACKROCK STRATEGIC INCOME OPPT PORTFOLIO FUND CL I (BSIIX)	A	Dividend	K	T	Buy	06/21/16	K		
202. PRUDENTIAL JENNISON HEALTH SCIENCES FUND		None			Sold	06/21/16	J		
203. SCHWAB FUNDMNTL U.S. LARGE CO FUND (SFLNX)	A	Dividend	J	T	Sold (part)	04/26/16	J	B	

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

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REINHARDT, STEPHEN 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)
204. VANGUARD SPECIALIZED PORT DIV APPREC FUND (VIG)	A	Dividend	K	T	Sold (part)	04/21/16	J	A	
205.					Sold (part)	07/21/16	J	A	
206. DRIEHAUS SELECT CREDIT FUND		None			Sold	02/16/16	J		
207. MSIF INC INTERNATIONAL FUND (MSIQX)	A	Dividend	J	T	Buy (add'l)	01/21/16	J		
208.					Sold (part)	04/26/16	J	A	
209. VIRTUS EMERGING MARKETS FUND		None			Sold	06/21/16	J		
210. AQR DIVERSIFIED ARBITRAGE FUND		None			Sold	02/16/16	J		
211. AMERICAN CENTURY MID CAP VALUE FUND (ACMVX)	A	Dividend	J	T					
212. DRIEHAUS ACTIVE INCOME FUND		None			Sold (part)	02/16/16	J	A	
213.					Sold	06/21/16	K		
214. GATEWAY FUND CLASS Y (GTEYX)	A	Dividend	K	T	Sold (part)	11/22/16	J	A	
215. LEGG MASON BW ABSOLUTE RETURN FUND (LROIX)		None	J	T					
216. NEUBERGER BERMAN LONG SHORT FUND (NLSIX)	A	Dividend	J	T	Buy (add'l)	02/16/16	J		
217.					Sold (part)	04/26/16	J	A	
218. NUVEEN LIMITED TERM MUNI BOND CLASS A (FLTRX)	A	Dividend			Buy (add'l)	04/26/16	J		
219.					Sold	06/21/16	J	B	
220. RIDGEWORTH SEIX FLOATING RATE HIGH YLD FUND (SAMBX)	A	Dividend	J	T					

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

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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)
221. RIVERNORTH DOUBLE LINE STRATEGIC INC FUND (RNSIX)	A	Dividend	J	T					
222. TCW EMERGING MARKETS FUND (TGEIX)	A	Dividend	J	T					
223. AMERICAN FUNDS, THE TAX EXEMPT BOND FUND OF AMERICA (TEAFX)	A	Dividend	J	T					206
224. THORNBURG INTERNATIONAL VALUE FUND CLASS I (TGVIX)	A	Dividend	J	T	Buy	04/26/16	J		
225. VANGUARD INTMDT TERM TAX EXEMPT BOND FUND (VWIUX)	A	Dividend	J	T					
226. ISHARES TR TIPS BD FD (TIP)	A	Dividend	J	T					
227. ISHARES TR BARCLAYS 1-3 YR TSTRY BOND FUND		None			Sold	04/26/16	J	A	
228. POWERSHARES EXCHANGE TRADED FD TR II (EELV)	A	Dividend	J	T	Buy	06/21/16	J		
229. SPDR GOLD TR GOLD SHS (GLD)		None	J	T	Buy	06/21/16	J		

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

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

REINHARDT, STEPHEN R.

Date of Report

08/10/2017

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

In Part VII, assets are now reported by account. Account numbers have been removed from the descriptions in Column A, and other identifying information, such as mutual fund families and financial institutions for cash accounts have been added. These minor adjustments do not reflect changes in assets. In some instances, references to line numbers in the prior report have been included in Column D(5) to assist with the transition to this revised format.

Part VII, line 8: No underlying investments.

FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

REINHARDT, STEPHEN R.

Date of Report

08/10/2017

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/ STEPHEN R. REINHARDT

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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One Columbus Circle, N.E.
Washington, D.C. 20544