

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) Schultz, David T.	2. Court or Organization U.S. District Court for the District of Minnesota	3. Date of Report 07/24/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Magistrate Judge (FT)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☒ Initial ☐ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2016 to 06/30/2017
7. Chambers or Office Address United States District Court 9E U.S. Courthouse 300 South Fourth Street Minneapolis, MN 55415		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. 2017	Retirement savings plan with Maslon (former employer)
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. 2015	Self-employed - attorney	\$720,506.00
2. 2016	Self-employed - attorney	\$763,455.00
3. 2017	Self-employed - attorney	\$20,000.00
4.		

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	Fairview Health Systems (salary)
2. 2017	Fairview Health Systems (salary)
3.	
4.	
5.	

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. Exempt				
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.	Exempt		
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. BROKERAGE ACCOUNT #1 (H)					Exempt				
2. UBS CASH FLOW ACCOUNT (CASH ACCOUNT)	A	Interest	J	T					
3. BROKERAGE ACCOUNT #2 (H)									
4. UBS BANK USA DEP ACCT	A	Interest	J	T					
5. BROKERAGE ACCOUNT #3 (H)									
6. UBS BANK USA DEP ACCT	A	Interest	J	T					
7. VANGUARD TOTAL WORLD STK ETF (VT)	A	Dividend	J	T					
8. PIMCO STOCKPLUS INTL FUND (PIHUX)	A	Dividend	J	T					
9. VOYA GLOBAL REAL ESTATE FUND (IGLIX)	A	Dividend	J	T					
10. VOYA SMALLCAP OPPORTUNITIES FUND CLASS (NSPIX)	A	Dividend	J	T					
11. PIMCO ENHANCED SHORT MAT ACTIVE EXCHANGE-TRADED FD (MINT)	A	Dividend	J	T					
12. VANGUARD MORTGAGE BACKED SECURITIES ETF (VMBS)	A	Dividend	J	T					
13. ANGEL OAK MULTI-STRATEGY INCOME FUND CLASS INSTL (ANGIX)	A	Dividend	J	T					
14. LORD ABBETT BOND DEBENTURE FUND (LBDFX)	A	Dividend	J	T					
15. PIMCO DIVERSIFIED INCOME FUND (PDVPX)	A	Dividend	J	T					
16. TEMPLETON GLBAL BOND ADV (TGBAX)	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 = \$250,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
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17. VANGUARD INTERMEDIATE TERM TREASURY FUND ADM (VFIUX)	A	Dividend	J	T					
18. VIRTUS MULTI-SECTOR SHORT TERM BOND FUND (PIMSX)	A	Dividend	J	T					
19. LONGBOARD MANAGED FUTURES STRATEGY FUND (WAVIX)	A	Dividend	J	T					
20. RIVERPARK LONG/SHORT OPPORTUNITY FUND (RLSIX)		None	J	T					
21. AMER FUNDS AMERICAN BALANCED FUND (AMBFX)	A	Dividend	J	T					
22. IRA #1 (H)									
23. UBS BANK USA DEP ACCT	A	Interest	K	T					
24. ADOBE SYSTEMS INC (DELAWARE) (ADBE)		None	J	T					
25. ALPHABET INC CL A (GOOGL)		None	K	T					
26. ALPHABET IN CL C (GOOG)		None	K	T					
27. AMAZON.COM INC (AMZN)		None	K	T					
28. BANK OF AMERICA CORP (BAC)	A	Dividend	J	T					
29. CELGENE CORP (CELG)		None	J	T					
30. FACEBOOK INC CL A (FB)		None	K	T					
31. LOREAL CO ADR FRANCE ADR (LRLCY)	A	Dividend	J	T					
32. MICROSOFT CORP (MSFT)	A	Dividend	J	T					
33. CONSUMER DISCRETIONARY SELECT SECTOR SPDR FUND ETF (XLY)	A	Dividend	K	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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34. ENERGY SELECT SECTOR SPDR FUND (XLE)	A	Dividend	J	T					
35. FINANCIAL SELECT SECTOR SPDR FUND ETF (XLF)	A	Dividend	J	T					
36. HEALTH CARE SELECT SECTOR SPDR FUND ETF (XLV)	A	Dividend	J	T					
37. INDUSTRIAL SELECT SECTOR SPDR FUND ETF (XLI)	A	Dividend	K	T					
38. ISHARES RUSSELL 2000 ETF (IWM)	A	Dividend	J	T					
39. REAL ESTATE SELECT SECT SPDR ETF (XLRE)	A	Dividend	J	T					
40. SPDR S&P PHARMACEUTICALS ETF (XPH)	A	Dividend	J	T					
41. VANGUARD TOTAL STOCK MKT ETF (VTI)	A	Dividend	K	T					
42. VANGUARD S&P 500 ETF (VOO)	A	Dividend							
43. VANGUARD FTSE PAC ETF (VPL)	A	Dividend	J	T					
44. VANGUARD FTSE EUROPE ETF (VGK)	A	Dividend	K	T					
45. VANGUARD FTSE EMERGING MARKETS ETF (VWO)	A	Dividend	J	T					
46. OPPENHEIMER INTERNATIONAL GROWTH FUND (OIGYX)	A	Dividend	J	T					
47. WILLIAM BLAIR EMERGING MARKETS SMALL CAP GROWTH FUND (BESIX)	A	Dividend	K	T					
48. ISHARES TIPS BOND ETF (TIP)	A	Dividend	J	T					
49. AMER FUNDS THE BOND FUND OF AMERICA FUND (ABNFX)	A	Dividend	K	T					

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50. ANGEL OAK FLEXIBLE INCOME FUND (ANFIX)	A	Dividend	J	T					
51. DREYFUS/STANDISH GLOBAL FIXED INCOME FUND (SDGIX)	A	Dividend	K	T					
52. EATON VANCE FLOATING RATE ADVANTAGE (EIFAX)	A	Dividend	J	T					
53. EV MULTISECTOR INCOME FUND (EVBIX)	A	Dividend	J	T					
54. PRUDENTIAL TOTAL RETURN BOND FUND (PDBZX)	A	Dividend	K	T					
55. GOLDMAN SACHS MULTI-MANAGER ALTS FUND (GSMXX)	A	Dividend	J	T					
56. LONGBOARD MANAGED FUTURES STRATEGY FUND (WAVIX)		None	K	T					
57. PRINCIPAL FDS INC HI YLD FD (FBOID)		None							
58. IRA #2 (H)									
59. UBS BANK USA DEP ACCT	A	Interest	J	T					
60. SKYBRIDGE MULTI-ADVISER HEDGE FD PORTFOLIOS LLC SER A/O		None	L	T					
61. ABBEY CAPITAL MULTI-MANAGER FUND LTD		None	K	T					
62. IRA #3 (H)									
63. UBS BANK USA DEP ACCT	A	Interest	J	T					
64. ACCENTURE PLC IRELAND CL A (ACN)	A	Dividend	J	T					
65. ALPHABET INC CL A (GOOGL)		None	K	T					
66. AMERICA TOWER CORP REIT (AMT)	A	Dividend	J	T					

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67. CELGENE CORP (CELG)		None	J	T					
68. CHEVRON CORP (CVX)	A	Dividend	J	T					
69. COLGATE PALMOLIVE CO (CL)	A	Dividend	J	T					
70. EDWARDS LIFESCIENCES CORP (EW)		None	J	T					
71. EXXON MOBIL CORP (XOM)	A	Dividend	J	T					
72. FACEBOOK INC CL A (FB)		None	J	T					
73. FEDEX CORP (FDX)	A	Dividend	J	T					
74. FORD MOTOR CO COM NEW (F)	A	Dividend	J	T					
75. GENL ELECTRIC CO (GE)	A	Dividend	J	T					
76. GILEAD SCIENCES INC (GILD)	A	Dividend	J	T					
77. INTEL CORP (INTC)	A	Dividend	J	T					
78. INTERCONTINENTALEXCHANGE GROUP (ICE)	A	Dividend	J	T					
79. JPMORGAN CHASE & CO (JPM)	A	Dividend	J	T					
80. LULULEMON ATHLETICA INC (LULU)		None	J	T					
81. MICROSOFT CORP (MSFT)	A	Dividend	J	T					
82. O REILLY AUTOMOTIVE INC (ORLY)		None	J	T					
83. PALO ALTO NETWORKS INC (PANW)		None	J	T					

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84. PAYPAL HOLDINGS INC (PYPL)		None	J	T					
85. PEPSICO INC (PEP)	A	Dividend	J	T					
86. SCHLUMBERGER LTD NETHERLANDS ANTILLES (SLB)	A	Dividend	J	T					
87. THERMO FISHER SCIENTIFIC INC (TMO)	A	Dividend	J	T					
88. TJX COS INC NEW (TJX)	A	Dividend	J	T					
89. UNTD TECHNOLOGIES CORP (UTX)	A	Dividend	J	T					
90. US BANCORP DEL (NEW) (USB)	A	Dividend	J	T					
91. WALT DISNEY CO HOLDING CO (DIS)	A	Dividend	J	T					
92. 3M CO (MMM)	A	Dividend	J	T					
93. ISHARES RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	J	T					
94. VANECK VECTORS MORNINGSTAR WIDE MOAT ETF (MOAT)	A	Dividend	J	T					
95. VANGUARD S&P 500 ETF (VOO)	A	Dividend	J	T					
96. AMETEK INC (NEW) DE	A	Dividend							
97. WORKDAY INC CL A DE		None							
98. LONGBOARD MANAGED FUTURES STRATEGY FUND CLASS I (FB0ID)		None							
99. IRA #4 (H)									
100. UBS BANK USA DEP ACCT	A	Dividend	J	T					

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101. ALIBABA GROUP HLDG LTD SPON ADR (BABA)		None	J	T					
102. AKAMAI TECHNOLOGIES INC DE (AKAM)		None	J	T					
103. AMAZON.COM INC (AMZN)		None	J	T					
104. AMERIPRISE FINANCIAL INC (AMP)	A	Dividend	J	T					
105. BROADCOM LTD (AVGO)	A	Dividend	J	T					
106. CELGENE CORP (CELG)		None	J	T					
107. CITIGROUP INC (C)	A	Dividend							
108. CTRIP.COM INTL LTD ADS (CTRP)		None	J	T					
109. DANAHER CORP (DHR)	A	Dividend	J	T					
110. DENTSPLY SIRONA INC (XRAY)	A	Dividend	J	T					
111. ELECTRONIC ARTS (EA)		None	J	T					
112. EXPEDIA INC (EXPE)	A	Dividend	J	T					
113. EXPRESS SCRIPTS HLDG CO (ERSX)		None	J	T					
114. FORTIVE CORP (FTV)	A	Dividend	J	T					
115. HANESBRANDS INC (HBI)	A	Dividend	J	T					
116. INCYTE CORP (INCY)		None	J	T					
117. INTERCONTINENTALEXCHANGE GROUP (ICE)	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)
118. LEAR CORP COM NEW (LEA)	A	Dividend	J	T					
119. MCKESSON CORP (MCK)	A	Dividend	J	T					
120. NVIDIA CORP (NVDA)	A	Dividend	J	T					
121. PVH CORP COM (PVH)	A	Dividend	J	T					
122. ROBO GLOBAL ROBOTICS & AUT INDEX ETF DE (ROBO)		None	J	T					
123. SERVICE CORP INTL (SCI)	A	Dividend	J	T					
124. SERVICEMASTER GLOBAL HLDGS INC (SERV)		None							
125. TESORO CORP (TSO)	A	Dividend	J	T					
126. TJX COS INC NEW (TJX)	A	Dividend	J	T					
127. UNDER ARMOUR INC CL A (UAA)		None							
128. UNDER ARMOUR INC CL C (UA)		None	J	T					
129. UNTD TECHNOLOGIES CORP (UTX)	A	Dividend	J	T					
130. VISTEON CORP COM NEW (VC)		None	J	T					
131. ISHARES RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	J	T					
132. ISHARES NASDAQ BIOTECHNOLOGY ETF (IBB)	A	Dividend	J	T					
133. ISHARES US AEROSPACE & DEFENSE ETF (ITA)	A	Dividend	J	T					
134. IRA #5 (H)									

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)
135. UBS BANK USA DEP ACCT	A	Interest	K	T					
136. ASTRAZENECA PLC SPON ADR (AZN)	A	Dividend	K	T					
137. BRITISH AMER TABACCO PLC GB SPON ADR (BTI)	A	Dividend	J	T					
138. CME GROUP INC (CME)	A	Dividend	J	T					
139. COCA COLA CO COM (KO)	A	Dividend	J	T					
140. CVS HEALTH CORP (CVS)	A	Dividend	J	T					
141. GENL MILLS INC (GIS)	A	Dividend	J	T					
142. HOME DEPOT INC (HD)	A	Dividend	J	T					
143. HONEYWELL INTL INC (HON)	A	Dividend	K	T					
144. ILLNOIS TOOL WORKS INC (ITW)	A	Dividend	J	T					
145. INTEL CORP (INTC)	A	Dividend	J	T					
146. JOHNSON CTLS INTL PLC (JCI)	A	Dividend	J	T					
147. JOHNSON & JOHNSON COM (JNJ)	A	Dividend	J	T					
148. LOCKHEED MARTIN CORP (LMT)	A	Dividend	J	T					
149. NEXTERA ENERGY INC COM	A	Dividend	K	T					
150. PEPSICO INC (PEP)	A	Dividend	J	T					
151. STARBUCKS CORP (SBUX)	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)
152. TAIWAN SEMICONDUCTOR MFG CO LTD ADR (TSM)	A	Dividend	J	T					
153. TEXAS INSTRUMENTS (TXN)	A	Dividend	J	T					
154. 3M CO (MMM)	A	Dividend	J	T					
155. SPDR S&P DIVIDEND ETF (SDY)	A	Dividend	J	T					
156. VANGUARD VALUE ETF (VTV)	A	Dividend	J	T					
157. VANGUARD REIT ETF (VNQ)	A	Dividend	J	T					
158. GOLDMAN SACHS US EQUITY DIVIDEND AND PREMIUM FUND (GSPKX)	A	Dividend	J	T					
159. GOLDMAN SACHS MLP ENERGY INFRAS FUND (GMLPX)	A	Dividend	J	T					
160. IRA #6 (H)									
161. ADOBE SYSTEMS INC (DELAWARE) (ADBE)		None	J	T					
162. ALPHABET INC CL A (GOOGL)		None	J	T					
163. ALPHABET INC CL C (GOOG)		None	J	T					
164. AMAZON.COM INC (AMZN)		None	J	T					
165. BANK OF AMER CORP (BAC)		None	J	T					
166. CELGENE CORP (CELG)		None	J	T					
167. FACEBOOK INC CL A (FB)		None	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	
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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)
168. LOREAL CO ADR FRANCE ADR DE		None	J	T					
169. MICROSOFT CORP (MSFT)	A	Dividend	J	T					
170. CONSUMER DCRESTIONARY SELECT SECTOR SPDR FUND ETF (XLY)	A	Dividend	J	T					
171. ENERGY SELECT SECTOR SPDR FUND ETF (XLE)	A	Dividend	J	T					
172. FINANCIAL SELECT SECTOR SPDR FUND ETF (XLF)	A	Dividend	J	T					
173. HEALTH CARE SELECT SECTOR SPDR FUND ETF (XLV)	A	Dividend	J	T					
174. INDUSTRIAL SELECT SECTOR SPDR FUND ETF (XLI)	A	Dividend	J	T					
175. ISHARES RUSSELL 2000 ETF (IWM)	A	Dividend	J	T					
176. SPDR S&P PHARMACEUTICALS ETF (XPH)	A	Dividend	J	T					
177. VANGUARD TOTAL STOCK MKT ETF (VTI)	A	Dividend	J	T					
178. VANGUARD S&P 500 ETF (VOO)	A	Dividend	J	T					
179. OPPENHEIMER INTERNATIONAL GROWTH FUND Y CLASS (OIGYX)	A	Dividend	J	T					
180. ISHARES TIPS BOND ETF (TIP)	A	Dividend	J	T					
181. AMER FUNDS THE BOND FUND OF AMERICA FUND CLASS F2 (ABNFX)	A	Dividend	J	T					
182. ANGEL OAK FLEXIBLE INCOME FUND CLASS I (ANFIX)	A	Dividend	J	T					
183. DREYFUS/STANDISH GLOBAL FIXED INCOME FUND CLASS I (SDGIC)		None	J	T					
184. EATON VANCE FLOATING RATE ADVANTAGE CL I (EIFAX)	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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185. EV MULTISECTOR INCOME FUND CLASS I (EVBIX)	A	Dividend	J	T					
186. PRUDENTIAL TOTAL RETURN BOND FUND CLASS Z (PDBZX)	A	Dividend	J	T					
187. GOLDMAN SACHS MULTI-MANAGER ALTS FUND CLASS I (GSMMX)	A	Dividend	J	T					
188. LONGBOARD MANAGED FUTURES STRATEGY FUND (WAVIX)		None	J	T					
189. PRINCIPAL FDS INC HI YLD FD CL P	A	Dividend							
190. VANGUARD FTSE PAC ETF DE (VPL)		None	J	T					
191. VANGUARD FTSE EUROPE ETF DE (VGK)		None	J	T					
192. VANGUARD FTSE EMERGING MARKETS ETF		None	J	T					
193. WILLIAM BLAIR EMERGING MARKETS SMALL CAP GROWTH FUND (BESIX)		None	J	T					
194. BROKERAGE ACCOUNT #4 (H)									
195. UBS BANK USA DEP ACCT	A	Interest	K	T					
196. BLACKROCK CAP & INCOME STRATEGIES FUND INC (CII)	A	Dividend	J	T					
197. BLACKROCK ENHANCED EQUITY DIVID TR (BDJ)	A	Dividend	J	T					
198. EATON VANCE TAX MANAGED BUY-WRITE INC FUND	A	Dividend	J	T					
199. HEALTH CARE SELECT SECTOR SPDR FUND ETF (XLV)	A	Dividend	J	T					
200. NUVEEN S&P 500 BUY-WRITE INCOME FUND (BXXMX)	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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	(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)
201. ROYCE VALUE TRUST INC (RVT)	A	Dividend	J	T					
202. SPDR S&P DIVIDEND ETF (SDY)	A	Dividend	J	T					
203. SPDR S&P INTL DIVI F (DWX)	A	Dividend	J	T					
204. TELKA HEALTHCARE INVS (HQB)	A	Dividend	J	T					
205. VANGUARD SMALL-CAP VALUE ETF (VBR)	A	Dividend	J	T					
206. BLACKROCK LTD DURATION INCOME TRUST (BLW)	A	Dividend	J	T					
207. BLACKROCK CREDIT ALLOCATION INCOME TRUST (BTZ)	A	Dividend	J	T					
208. EATON VANCE LTD DURATION INCOME FUND (EVV)	A	Dividend	J	T					
209. GUGGENHEIM BULLETSHARES 2019 HIGH YIELD CORP BOND ETF (BSJJ)	A	Dividend	J	T					
210. NUVEEN PFD SECURITIES INCOME FUND (JPS)	A	Dividend	J	T					
211. NUVEEN QUALITY MUNICIPAL INCOME FUND (NAD)	A	Dividend	J	T					
212. PIONEER DIVERSIFIED HIGH INCOME TRUST (HNW)	A	Dividend	J	T					
213. PROSHARES HIGH YIELD INT RATE HEDGED ETF (HYHG)	A	Dividend	J	T					
214. SPDR DOUBLELINE SHORT DURATION TOTAL RETURN TACTICAL ETF (STOT)	A	Dividend	J	T					
215. VANGUARD INTER TERM GOVERNMENT BOND ETF (VGIT)	A	Dividend	J	T					
216. WESTERN ASSET HIGH INCOME FUND II INC (HIX)	A	Dividend	J	T					

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

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217. NUVEEN AMT-FREE QUALITY MUNICIPAL INCOME FUND DE	A	Dividend							
218. BLACKROCK CORE BOND TRUST DE		None							
219. CBRE CLARION GLOBAL REAL ESTATE DE	A	Dividend							
220. LAZARD GLOBAL TOTAL RETURN & INCOME FUND INC DE		None							
221. EATON VANCE SENIOR FLOATING RATE TRUST DE	A	Dividend							
222. BROKERAGE ACCOUNT #5(H)									
223. JPMORGAN CHASE FINANCIAL CT-SS RTY	C	Dividend	K	T					
224. CREDIT SUISSE AG CB-GEARS SPX	B	Dividend	K	T					
225. UBS AG BUFFERED ROS SPY	B	Dividend	K	T					
226. HSBC USA INC CT-GEARS EEM	B	Dividend	K	T					
227. CREDIT SUISSE AG L/O TA-CYN SPX SXSE	A	Dividend	K	T					
228. BROKERAGE ACCOUNT #6 (H)									
229. UBS BANK USA DEP ACCT	A	Interest	J	T					
230. ACCENTURE PLC IRELAND CL A (ACN)	A	Dividend	J	T					
231. APLPHABET INC CL A (GOOGL)		None	J	T					
232. AMERICAN TOWER CORP REIT (AMT)	A	Dividend	J	T					
233. CEGENE CORP (CELG)		None	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
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234. CHEVRON CORP (CVX)	A	Dividend	J	T					
235. COLGATE PALMOLIVE CO (CL)	A	Dividend	J	T					
236. EDWARDS LIFESCIENCES CORP (EW)		None	J	T					
237. EXXON MOBIL CORP (XOM)	A	Dividend	J	T					
238. FACEBOOK INC CL A (FB)		None	J	T					
239. FEDEX CORP (FDX)	A	Dividend	J	T					
240. FORD MOTOR CO COM NEW (F)	A	Dividend	J	T					
241. GEN ELECTRIC CO (GE)	A	Dividend	J	T					
242. GILEAD SCIENCES INC (GILD)	A	Dividend	J	T					
243. INTEL CORP (INTC)	A	Dividend	J	T					
244. INTERCONTINENTIALEXCHANGE GROUP (ICE)	A	Dividend	J	T					
245. JPMORGAN CHASE & CO (JPM)	A	Dividend	J	T					
246. LULULEMON ATHLETICA INC (LULU)		None	J	T					
247. MICROSOFT CORP (MSFT)	A	Dividend	J	T					
248. O REILLY AUTOMOTIVE INC (ORLY)		None	J	T					
249. PALO ALTO NETWORKS INC (PANW)		None	J	T					
250. PAYPAL HOLDINGS INC (PYPL)		None	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)

251. PEPSICO INC (PEP)	A	Dividend	J	T					
252. SCHLUMBERGER LTD NETHERLANDS ANTILLES (SLB)	A	Dividend	J	T					
253. THERMO FISHER SCIENTIFIC INC (TMO)	A	Dividend	J	T					
254. TJX COS INC NEW (TJX)	A	Dividend	J	T					
255. UNTD TECHNOLOGIES CORP (UTX)	A	Dividend	J	T					
256. US BANCORP DEL (NEW) (USB)	A	Dividend	J	T					
257. WALT DISNEY CO (HOLDING CO) DISNEY COME (DIS)	A	Dividend	J	T					
258. 3M CO (MMM)	A	Dividend	J	T					
259. ISHARES RUSSELL 2000 GROWTH ETF (IWO)	A	Dividend	J	T					
260. VANECK VECTORS MORNINGSTAR WIDE MOAT ETF (MOAT)	A	Dividend	J	T					
261. VANGUARD S&P 500 ETF (VOO)	A	Dividend	J	T					
262. LONGBOARD MANAGED FUTURES STRATEGY FUND CLASS I (FBOID)		None							
263. AMETEK INC (NEW) DE	A	Dividend							
264. WORKDAY INC CL A DE		None							
265. EDUCATION ACCOUNT #1 (H)									
266. LEGG MASON SCHOLARS CHOICE 529 AGE BASED 7-9 C		None	M	T					
267. EDUCATION ACCOUNT #2 (H)									

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)

268. LEGG MASON SCHOLARS CHOICE 529 AGE BASED 13-15 C		None	M	T					
269. EDUCATION ACCOUNT #3 (H)									
270. LEGG MASON SCHOLARS CHOICE 529 AGE BASED 10-12 C		None	M	T					
271. EDUCATION ACCOUNT #4 (H)									
272. COLLEGE AMERICA 529 CAPITAL INCOME BUILDER CIB A		None	J	T					
273. COLLEGE AMERICA 529 THE GROWTH FUND OF AMERICA - GFA A		None	J	T					
274. COLLEGE AMERICA 529 NEW PERSPECTIVE FUND NPF A		None	J	T					
275. EDUCATION ACCOUNT #5 (H)									
276. COLLEGE AMERICA 529 CAPITAL INCOME BUILDER CIB A		None	J	T					
277. COLLEGE AMERICA 529 THE GROWTH FUND OF AMERICA - GFA A		None	J	T					
278. COLLEGE AMERICA 529 NEW PERSPECTIVE FUND NPF A		None	J	T					
279. EDUCATION ACCOUNT #6 (H)									
280. COLLEGE AMERICA 529 CAPITAL INCOME BUILDER CIB A		None	J	T					
281. COLLEGE AMERICA 529 THE GROWTH FUND OF AMERICA - GFA A		None	J	T					
282. COLLEGE AMERICA 529 NEW PERSPECTIVE FUND NPF A		None	J	T					
283. RETIREMENT SAVINGS PLAN #1 (H)									
284. MASLON CASH BALANCE PENSION PLAN (NO CONTROL)		None	M	T					

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

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

285. MFS INTERNATIONAL VALUE R4	B	Dividend	L	T					
286. OPPENHEIMER DEVELOPING MARKETS I	A	Dividend	L	T					
287. OPPENHEIMER GLOBAL OPPORTUNITIES I	D	Dividend	M	T					
288. VANGUARD EXPLORER ADM	A	Dividend	L	T					
289. T. ROWE PRICE MID CAP GROWTH	D	Dividend	M	T					
290. PARNASSUS CORE EQUITY INST	D	Dividend	M	T					
291. VANGUARD EQUITY-INCOME ADM	C	Dividend	L	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, lines 265-282: The assets withing these Education Savings Accounts are reported exclusively in unit value and do not generate income attributable to the individual holdings, therefore the income is reported as "None," per page 40 of the filing instructions.

Part VII, line 284: This asset is structured in a manner that does not generate income.

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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 T. Schultz

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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