

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) Jackson, Richard B.	2. Court or Organization UNITED STATES DISTRICT COURT FOR THE DISTRICT OF COLORADO	3. Date of Report 07/26/2017
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) DISTRICT JUDGE	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 US Courthouse 901 19th St Denver CO 80294		
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.	
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2016	PERA STATE OF COLORADO	\$70,779.12
2.		
3.		
4.		

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2016	SELF-EMPLOYED TRAVEL AGENT
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.				
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.)*

SOURCE	DESCRIPTION	VALUE
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.)*

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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

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

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. IRA #1									
2. -ASG GLOBAL ALTERNATIVES FUND		None			Sold	06/27/16	J	A	
3. -ASG MANAGED FUTURES STRATEGY FUND	A	Dividend	J	T					
4. -VANGUARD VALUE VIPERS	B	Dividend	L	T					
5. -DREYFUS BASIC S AND P 500	A	Dividend	L	T					
6. -VANGUARD EXTENDED MKT VIPERS	A	Dividend	K	T					
7. -VANGUARD GROWTH VIPERS	A	Dividend	L	T					
8. -BNY MELLON MUNICIPAL OPPORTUNITIES FUND	A	Dividend	J	T					
9. -BNYMELLON NATIONAL INTERMEDIATE MUNICIPAL BOND FUND	B	Dividend	L	T					
10. -BNY MELLON SMALL MID CAP FUND		None			Sold	06/27/16	J	A	
11. -DREYFUS HIGH YIELD FUND	A	Dividend	J	T					
12. -DREYFUS FLOATING RATE INC	A	Dividend	J	T					
13. -DREYFUS GLOBAL RETURN	A	Dividend	J	T					
14. -DREYFUS DIVERSIFIED EMR MKTS	A	Dividend	K	T					
15. -DREYFUS MIDCAP INDEX FUND	A	Dividend	K	T	Buy	07/08/16	K		
16. -ISHARES MSCI EAFE INDEX FD	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 I (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)

17. -ADVANTAGE GLO DYNAMIC TOTAL RETURN FUND		None	J	T					
18. -US TREASURY NOTE 0.875% 1/31/17	A	Interest	K	T					
19. -US TREASURY NOTE 0.875% 1/15/18	A	Interest	K	T					
20. BROKERAGE ACCOUNT #1									
21. -FED HOME LN MTG CORP	A	Dividend	L	T					
22. -FEDERAL HOME LNMTG CORP	A	Dividend	K	T					
23. -FED HOME LOAN BANKS	B	Dividend	L	T					
24. -US TREASURY NOTE 6/2016		None			Sold	06/30/16	L	A	
25. -US TREASURY NOTE 12/16	A	Interest			Sold	12/30/16	L	A	
26. -US TREASURY NOTE 7/17	A	Interest	L	T					
27. -US TREASURY NOTE 2% 11/21	A	Interest	L	T					
28. -U.S.TREASURY NOTE 2.25% 4/30/21	B	Interest	L	T					
29. -U.S.TREASURY NOTE 2% 2/15/22	A	Interest	L	T					
30. -U.S.TREASURY NOTE 2% 7/31/20	A	Interest	L	T					
31. -US TREASURY NOTE 2% 2/23	A	Interest	K	T					
32. -BERKSHIRE HATHAWAY INC 2/11/23	A	Interest	K	T					
33. -GEN ELECT CAP CPR 9/17	A	Interest	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	
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34. -INTEL CORP 12/15/22	A	Interest	K	T					
35. -AT & T INC 2/1/2018	A	Interest	K	T					
36. -AIM STIT TREASURY PORTFOLIO	A	Interest	L	T					
37. -SPDR TRUST SERIES 1	D	Dividend	M	T					
38. -ISHARES TR MIDCAP	B	Dividend	L	T					
39. -SPDR DOW JONES INDUSTRIAL AVERAGE	D	Dividend	M	T					
40. -ISHARES MSCI EAFE INDX FUND	D	Dividend	M	T					
41. -RYDEX ASG MANAGED FUTURES STRATEGY FD	A	Dividend	K	T					
42. -FED HOME LN MTG CORP	B	Dividend	M	T					
43. -FED NAT MTG ASSN	B	Dividend	K	T					
44. -BEAR STEARRNS CO 4.65% 7/2/18	B	Interest	K	T					
45. -DFA EMERGING CORE EQUITY	A	Dividend	L	T					
46. -DREYFUS BASIC S AND P 500 STOCK INDEX	D	Dividend	N	T	Buy (add'l)	07/12/16	M		
47. -DREYFUS DIVERSIFIED INTL	A	Dividend	L	T					
48. -DREYFUS HIGH YIELD 1	B	Dividend	K	T					
49. -DREYFUS FLOATING RATE INCOME FUND	A	Dividend	L	T					
50. -DREYFUS SELECT MGER SCAP	A	Dividend	L	T	Buy (add'l)	03/24/16	K		

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51. -BNY MELLON INCOME STOCK FUND	C	Dividend	M	T					
52. -BNY MELLON CORP BOND	B	Dividend	K	T					
53. -BNY MELLON BOND FUND	B	Dividend	L	T	Buy	08/09/16	L		
54. -BNY MELLONINTL EQUITY INCOME FUND	A	Dividend	K	T					
55. -ASG MANAGED FUTURES STRATEGY FD	A	Dividend	K	T	Buy (add'l)	06/13/16	K		
56. -JOHN DEERE CAPITAL CORP 2% 1/13/17X	B	Dividend	K	T					
57. -ANHEUSER BUSCH 25000 .2.5% 7/15/22	A	Dividend	K	T					
58. -AMAZON		None			Sold	01/15/16	J	D	
59. -ABBOTT LABORATORIES	A	Dividend			Sold	05/09/16	J	A	
60. -ABBVIE INC		None			Sold	01/15/16	J	A	
61. -ACTAVIS PLC/ALLERGAN		None			Sold	01/15/16	J	B	
62. -ACTIVISION BLIZZARD		None			Sold	01/15/16	J	A	
63. -AGILENT TECHN	A	Dividend			Sold	06/09/16	J	A	
64. -ASG GLOBAL ALTERNATIVES FUND B		None	J	T					
65. -BIOGEN IDEC INC		None			Sold	01/15/16	J	A	
66. -INGERSOLL RAND PLC		None			Sold	01/15/16	J	C	
67. -INVESCO LTD	A	Dividend			Sold	06/09/16	J	A	

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68. -ADOBE SYSTEMS	A	Dividend			Sold	07/12/16	J	C	
69. -AMERICAN TOWER		None			Sold	01/15/16	J	A	
70. -AT AND T INC	A	Dividend			Sold	07/12/16	J	A	
71. -AMGEN		None			Sold	01/15/16	J	A	
72. -ANACOR		None			Sold	06/01/16	J	A	
73. -ANALOG DEVICES INC		None			Sold	01/11/16	J	A	
74. -ANHEUSER BUSCH INBEV SPN		None			Sold	01/15/16	J	A	
75. -AVAGO TECH		None			Sold	01/15/16	J	A	
76. -APPLE INC		None			Sold	01/08/16	K	B	
77. -ACCENTURE		None			Sold	01/15/16	J	B	
78. -ASTRAZENECA PLC 9/18/2019	A	Interest	K	T					
79. -BLACKROCKK INC 3.5% 3/24	A	Interest	K	T	Buy	06/10/16	K		
80. -BANK OF AMERICA CORP		None			Sold	01/15/16	J	A	
81. -BIOMARIN PHARMAC INC		None			Sold	01/15/16	J	A	
82. -BRISTOL MEYERS		None			Sold	01/15/16	J	B	
83. -CAPITAL 1 FINANCIAL		None			Sold	01/15/16	J	A	
84. -CARDINAL HEALTH		None			Sold	01/15/16	J	A	

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85. -CATERPILLAR INC 2.6% 6/22	A	Interest	K	T					
86. -CELANESE CORP SERIES		None			Sold	01/15/16	J	B	
87. -CELGENE CORP		None			Sold	01/15/16	J	A	
88. -CHEESECAKE FACTORY	A	Dividend			Sold	04/25/16	J	A	
89. -CHEVRON CORP	A	Dividend			Sold	05/06/16	J	A	
90. -COGNIZANT TECH SOLUTIONS		None			Sold	01/15/16	J	A	
91. -COMCAST CORP		None			Sold	01/15/16	J	C	
92. -CONSTELLATION BRANDS INC A		None			Sold	01/15/16	J	A	
93. -COSTCO		None			Sold	01/15/16	J	A	
94. -CVS CARMARK CORP		None			Sold	01/15/16	J	A	
95. -WALT DISNEY		None			Sold	01/15/16	J	B	
96. -DOW CHEMICAL		None			Sold	01/15/16	J	A	
97. -ELECTRONIC ARTS INC		None			Sold	01/15/16	J	A	
98. -EXELON CORP	A	Dividend			Sold	03/22/16	J	A	
99. -EXXON MOBILCORP		None			Sold	01/15/16	J	A	
100. -FACEBOOK INC		None			Sold	01/15/16	J	D	
101. -HALLIBURTON CO	A	Dividend			Sold	06/09/16	J	B	

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102. -HARLEY DAVIDSON		None			Sold	01/12/16	J	A	
103. -HARTFORD FIN SVS GROUP		None			Sold	01/15/16	J	A	
104. -HERSHEY CO		None			Sold	01/13/16	J	A	
105. -HOME DEPOT INC		None			Sold	01/15/16	J	C	
106. -HONEYWELL INC		None			Sold	01/15/16	J	C	
107. -ILLINOIS TOOL WORKS	A	Dividend			Sold	07/12/16	J	A	
108. -INTERCONTINENTAL EXCHANGE GROUP		None			Sold	01/15/16	J	C	
109. -JOHNSON AND JOHNSON		None			Sold	01/25/16	J	A	
110. -MARATHON OIL CORP	A	Dividend			Sold	07/12/16	J	A	
111. -MERCK AND CO		None			Sold	01/15/16	J	A	
112. -MICROSOFT	A	Dividend			Sold	06/09/16	J	A	
113. -MONSTER BEVERAGE		None			Sold	07/12/16	J	C	
114. -NIKE INC		None			Sold	01/15/16	J	A	
115. -NUCOR COPR		None			Sold	01/15/16	J	A	
116. PALO ALTO NETWORKS		None			Sold	01/15/16	J	A	
117. -PNC FINANCIAL SERVICES		None			Sold	01/15/16	J	B	
118. -PEPSICO INC		None			Sold	01/15/16	J	B	

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

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Jackson, Richard B.

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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)

119. -PEPSICO INC 3.125% 11/20	A	Interest	K	T					
120. -PFIZER INC		None			Sold	01/15/16	J	B	
121. -PHILIP MORRIS INTL		None			Sold	01/15/16	J	B	
122. -PHILLIPS 66		None			Sold	01/15/16	J	A	
123. -PIONEER NATURAL RESOURCES		None			Sold	01/15/16	J	A	
124. -PROCTER AND GAMBLE		None			Sold	01/15/16	J	B	
125. -SALESFORCE COM		None			Sold	01/15/16	J	C	
126. -SCHLUMBERGER LTD		None			Sold	01/15/16	J	A	
127. -SCHWAB CAHRLES CORP		None			Sold	01/15/16	J	A	
128. -SEMPRA ENERGY		None			Sold	01/11/16	J	A	
129. -SERVICENOW INC		None			Sold	03/22/16	J	B	
130. -3M CO	A	Dividend			Sold	06/09/16	J	A	
131. -TIME WARNER	A	Dividend			Sold	06/09/16	J	A	
132. -UNION PAC		None			Sold	01/15/16	J	A	
133. -UNITED TECHNOLOGIES	A	Dividend			Sold	07/12/16	J	B	
134. -UNIVERSAL HEALTH SERVICES		None			Sold	01/15/16	J	A	
135. -VALERO ENERGY	A	Dividend			Sold	06/09/16	J	B	

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

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Jackson, Richard B.

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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)
136. -VERIZON COMM		None			Sold	01/15/16	J	A	
137. -VERIZON COMM INCL 3.55 11/21	A	Interest	K	T					
138. -WELLS FARGO & CO 3/4/21	A	Interest	L	T	Buy	07/12/16	L		
139. -VISA INC CLASS A	A	Dividend			Sold	06/09/16	J	A	
140. -VOYA FINANCIAL INC		None			Sold	01/15/16	J	A	
141. -WELLS FARGO AND CO		None			Sold	01/15/16	J	B	
142. -YUMI BRANDS	A	Dividend			Sold	06/09/16	J	A	
143. 401(k) #1									
144. -PERAdvantage Income Fund	B	Dividend	K	T					
145. -PERAdvantage Fixed Income	B	Dividend	K	T					
146. -PERAdvantage US Large Cap Stk	B	Dividend	J	T					
147. -PERAdvantage Intl Stock Fd	B	Dividend	J	T					
148. BROKERAGE ACCOUNT #2									
149. --ALAMEDA CNTYH CA TRANSP AUTHO 3/1/205%	A	Interest	L	T					
150. -ADVANTAGE DYN TOTAL REFTURN	A	Dividend	J	T	Buy	02/11/16	J		
151. -AMERICAN TOWER CORP	A	Dividend	J	T	Buy	04/07/16	J		
152. -CHEVRON 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 \$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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Jackson, Richard B.

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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)
153. -XIRIWN DINxiL FEOUP	A	Dividend	J	T	Buy	04/07/16	K		
154. -EXXON MOBIL	C	Dividend	L	T					
155. -GENERAL ELECTRIC CO	A	Dividend	K	T					
156. -UNION PAC CORP	A	Dividend	K	T					
157. -UNITED TECHNOLOGIES CORP	A	Dividend	K	T					
158. -WALT DISNEY CO	A	Dividend	J	T					
159. -STARBUCKS CORP	C	Dividend	N	T					
160. -NESTLE S A SPONSORED ADR REPSTG REG	A	Dividend	L	T					
161. -PEPSICO INC	A	Dividend	K	T					
162. -PROCTER & GAMBLE CO	B	Dividend	K	T					
163. -JOHNSON & JOHNSON	B	Dividend	K	T					
164. -PFIZER INC	A	Dividend	J	T					
165. -INVESCO LTD	A	Dividend	J	T					
166. -JP MORGAN CHASE & CO	A	Dividend			Sold	04/07/16	K	C	
167. -WELLS FARGO AND CO	A	Dividend	J	T					
168. -ACCENTURE PLC	A	Dividend	J	T					
169. -APPLE INC	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)
170. -ASG MANAGED FUTURES STRATEGY FUND	A	Dividend	K	T					
171. -GOOGLE INC/ALPHABET		None	J	T					
172. -FLORHAM PARK NJ 8% 2/16		None			Sold	02/01/16	L	A	
173. -SALESFORCE.COM INC		None	J	T					
174. -SEMPRA ENERGY		None			Sold	01/13/16	J	D	
175. -ISHARES MSCI EAFE INDEX FD	C	Dividend	M	T					
176. -VANGUARD EXTENDED MARKET VIPERS INDEX FUND	A	Dividend	M	T					
177. -SNOWMASS VIG CO	B	Interest	L	T					
178. -METRO WASTEWTR RECLAM DSTR CO	A	Interest			Sold	04/01/16	L	A	
179. -EL PASO CTY CO REV	B	Interest	L	T					
180. -BNY MELLON SMALL/MID CAP FUND	A	Dividend			Sold	07/07/16	K	A	
181. -BNY MELLON MUNICIPAL OPPORTUNITIES	B	Dividend	M	T					
182. -TUALATIN HILL OR 6.21	B	Interest	L	T					
183. -PROVO UTAH 4% 1/20	B	Interest	L	T					
184. -BEACHWOOD OHIO 12/19	B	Interest	L	T					
185. -VERIZON COMMUNICATIONS	A	Dividend	J	T					
186. -AMAZON .COM INC	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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Name of Person Reporting

Jackson, Richard B.

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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)
187. -INTERCONTINENTAL EXCHANGE	A	Dividend	K	T					
188. -INTEL CORP	A	Dividend	J	T	Buy	07/11/16	J		
189. -ADOBE SYSTEMS INC		None	J	T					
190. -CELANESE CORP	A	Dividend	J	T					
191. -CAPITAL FINANCIAL CORP	A	Dividend			Sold	10/21/16	J	A	
192. -DOMINION RES INC	A	Dividend	J	T	Buy	01/13/16	J		
193. -DOUGLAS CNT CO SCH 5/25% 12/15/21	A	Interest	L	T	Buy	01/15/16	L		
194. -DREYFUS MIDCAP INDEX FUND	A	Dividend	L	T	Buy	10/19/16	L		
195. -EL PASO CNTY CO SCH 5%9/15/24	A	Interest	L	T	Buy	02/29/16	K		
196. -EXELON CORP	A	Dividend	J	T	Buy	01/13/16	J		
197. -MANSFIELD TX WTR SWR REVN 9/1/19	A	Interest	L	T					
198. -MICROSOFT CORP	A	Dividend	J	T	Buy	01/13/16	J		
199. -NXP SEMICONDUCTORS	A	Dividend	J	T	Buy	04/07/16	J		
200. -NUCOR CORP	A	Dividend	K	T					
201. -PALO ALTO NETWORKS INC		None	J	T					
202. -PLATTE RIVER CO PWER 5% 6/1/24	A	Interest	K	T	Buy	04/26/16	K		
203. -QUALCOMM INC	A	Dividend	J	T	Buy	09/27/16	J		

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

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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.)

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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)
204. -TAIWAN SEMICONDUCTOR MFG	A	Dividend	J	T	Buy	07/11/16	J		
205. -VISA INC	A	Dividend	J	T	Buy	01/13/16	J		
206. -CHARLES SCHWAB CORP	A	Dividend	J	T					
207. -EAGLE GARFIELD 4.0% 12/22	A	Interest	L	T					
208. -FACEBOOK INC		None	J	T					
209. -ADVANTAGE GLOBAL	A	Dividend	K	T					
210. -DENVER CITY & CTY CO SCH 12/19/2021 4%	B	Interest	L	T					
211. -DREYFUS FLOATING RATE INCOME FUND	A	Dividend	K	T					
212. -DREYFUS GLOBAL REAL RETURN FUND	A	Dividend	K	T					
213. -DREYFUS INTL SMALL CAP FUND	A	Dividend	L	T					
214. -ACTAVIS PLC/ALLERGAN		None	L	T					
215. -AVAGO TECH	A	Dividend	K	T					
216. -ABBOTT LABS	A	Dividend	J	T					
217. -HARTFORD FINANCIAL SERVICES	A	Dividend	K	T					
218. -ASG GLOBAL ALTERNATIVE FUND	A	Dividend			Sold	06/28/16	K	A	
219. -DREYFUS HIGH YIELD FD	A	Dividend	J	T					
220. IRA #2									

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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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. -BNY MELLON INTERM BOND FUND CLASS M	B	Dividend	L	T					
222. -BNY MELLON SHORT TERM US GOVERNMENT SEC FUND	A	Dividend	J	T					
223. -DREYFUS YIELD ENHANCEMENT STRATEGY FUND	A	Dividend	J	T					
224. -ADVANTAGE GLO DYNAMIC TOTAL RETURN		None	J	T					
225. -BNY MELLON SMALL MID CAP FUND		None			Sold	07/08/16	J	A	
226. -DREYFUS DIVERSIFIED INTERNATIONAL FUND	A	Dividend	K	T					
227. -DREYFUS BASIC S AND P 500 STOCK INDEX FD	B	Dividend	L	T					
228. -DREYFUS INFLATION ADJUST SECURITY FUND	A	Dividend	J	T					
229. -DREYFUS MIDCAP INDEX	A	Dividend	K	T	Buy	07/08/16	K		
230. -DREYFUS SELECT MANAGER SC	A	Dividend	J	T	Buy	07/08/16	J		
231. -ASG MANAGED FUTURES STRATEGY FUND	A	Dividend	J	T					
232. -ASG GLOBAL ALTERNATIVES		None	J	T					
233. BROKERAGE ACCOUNT #3									
234. -DREYFUS LARGE FUND GROWTH FUND CLASS I	A	Dividend	K	T					
235. BROKERAGE ACCOUNT #4									
236. -CIT GROUP INC NEW	A	Dividend	J	T					
237. -DIVERSIFIED REAL ASSET INCOME FUND	A	Dividend	J	T					

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

238. -GABELLI DIVIDEND & INCOME TRUST	A	Dividend	J	T					
239. -AIM INV INVESCO VAN KAMPEN CORP BOND FD.	B	Dividend	K	T					
240. -AIM INV INVESTCO VAN KAMPEN HIGH YD FD CLASS A	A	Dividend	K	T					
241. -PLUM CREEK TIMBER CO INC/ Weyerhaeuser CO	A	Dividend	J	T					
242. -QWEST CORP PREFERRED 7/5% 9/15/16	A	Interest			Sold	09/02/16	J	A	
243. -WELLSFARGO WEALTH BUILDER MODERATE BALANCE FUND	A	Dividend	K	T					
244. -WELLS FARGO BANK (VARIOUS ACCOUNTS)	A	Interest	K	T					
245. TRUST #1									
246. -SPDR S AND P 500 FD	A	Dividend	K	T					
247. -I-SHARES MSCI EMERGING MKTS FD	A	Dividend	J	T					
248. -VANGUARD EXTENDED MKT VIPERS INDX FD		None			Sold	03/21/16	K	C	
249. -BNYMELLON INCOME STOCK	A	Dividend	J	T					
250. -BNY MELLON NATL INTER MUN BD FUND	A	Dividend	L	T					
251. -BNY MELLON NAT S/T MIN BD FUND	A	Dividend	J	T					
252. -BNY MELLON SMALL MID CAP FUND		None			Sold	09/26/16	J	A	
253. -BNY MELLON SMALL CAP MULTI STRATEGY		None	J	T					
254. -DREYFUS HIGH YIELD FD	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)

255. -DREYFUS FLOATING RATE INCOME FUND	A	Dividend	J	T					
256. -DREYFUS BNY MEL ALTERNATIVE DIVERSIFIER STRAT FUND	A	Dividend	J	T					
257. -DREYFUS INTL SMALL CAP FUND		None	J	T					
258. -DFA EMERGING MARKETS CORE EQUITY	D	Dividend	J	T					
259. TRUST #2									
260. -SPDR S&P500ETF(fnaSPDR TRust series I)	B	Dividend	L	T					
261. -SPDR DOW JONES INDUSTRIAL AV TRUST	A	Dividend			Sold	04/15/16	K	D	
262. -ISHARES MSCI EAFE INDX FD	A	Dividend	K	T					
263. -VANGUARD EXTENDED MTK VIPERS	A	Dividend	K	T					
264. -BNY MELLONNATL MUNI MONEY MKT FD	A	Dividend	K	T					
265. -BNY MELLON INCOME STOCK FUND	A	Dividend	J	T					
266. -BNY SMALL CAP MULTI STRATEGY	A	Dividend	J	T					
267. -BNY SMALL MID CAP FUND		None			Sold	07/08/16	K	A	
268. -DREYFUS HIGH YIELD FUND	A	Dividend	J	T					
269. -DREYFUS FLOATING RATE INCOME FUND	A	Dividend	K	T					
270. -DREYFUS BNY ALTERNATIVE DIVERSIFIED STRATEGIES FUND	A	Dividend			Sold	07/08/16	K	A	
271. -DREYFUS DIVERSIFIED INTL		None	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)

272. -DREYFUS DIVERSIFIED EMERG MKTS	A	Dividend	J	T					
273. -DREYFUS INTL SMALL CAP		None	J	T					
274. -BNYMELLON NATIONAL SHORT TERM MUN FUND	A	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
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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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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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/ Richard B. Jackson**

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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