

# Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

## Filer's Information

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**Cipollone, Pasquale A**

Assistant to the President & White House Counsel, White House

Date of Appointment: 12/10/2018

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

**/s/ Cipollone, Pasquale A [electronically signed on 03/09/2019 by Cipollone, Pasquale A in Integrity.gov] - Filer received a 60 day filing extension.**

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Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

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Other review conducted by

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U.S. Office of Government Ethics Certification

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Data Revised 04/18/2019

Data Revised 04/09/2019

Data Revised 04/08/2019

Data Revised 03/29/2019

Data Revised 03/18/2019

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Pat Cipollone, P.C.	See Endnote	Bethesda, Maryland	Corporation	President	2/2010	Present
2	Stein, Mitchell, Cipollone, Beato & Missner, LLP		Washington, District of Columbia	Law Firm	Partner	7/2012	12/2018
3	Rebecca Sue Cipollone Revocable Trust (Uncompensated)		Bethesda, Maryland	Trust	Co-Trustee	8/1998	Present
4	Pasquale A Cipollone Revocable Trust (Uncompensated)		Bethesda, Maryland	Trust	Co-Trustee	8/1998	Present
5	Basilica Shrine of the Immaculate Conception (Uncompensated)	See Endnote	Washington, District of Columbia	Non-Profit	Director	11/2011	12/2018
6	Foundation Stone Institute (Uncompensated)	See Endnote	Washington, District of Columbia	Non-Profit	Director	5/2017	12/2018
7	Catholic Information Center (Uncompensated)	See Endnote	Washington, District of Columbia	Non-Profit	Director	1/2013	12/2018
8	The Leonine Forum (Uncompensated)	See Endnote	Washington, District of Columbia	Non-Profit	Director	7/2017	12/2018
9	Sanctuary of Culture Foundation (Uncompensated)	See Endnote	Washington, District of Columbia	Non-Profit	Director	1/2013	12/2018
10	The Solidarity Association (Uncompensated)	See Endnote	Atlanta, Georgia	Non-Profit	Director	8/2007	11/2018
11	Pontifical University of the Holy Cross Foundation (Uncompensated)	See Endnote	New York City, New York	Non-Profit	Director	1/2015	8/2018

## 2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Pat Cipollone, P.C.	See Endnote	N/A	Salary/Bonus	\$6,774,650
1.1	Stein Mitchell Cipollone Beato & Missner, LLP	See Endnote	N/A	Partnership income	\$6,715,052
2	IRA	No			
2.1	ALGER CAP APPREC INSTL (ALARX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.2	AMERICAN GLOBAL BALANCED CL (GBLFX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.3	AMERICAN US GOVT MONEY MARKET (AFGXX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.4	AMERICAN MUTUAL CL (AMRFX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.5	ARTISAN MID CAP ADVISOR (APDMX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
2.6	BLACKROCK CAP APPREC INSTL CL (MAFGX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
2.7	BLACKROCK EQUITY DIVIDEND INSTL (MADVX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
2.8	Blackrock Global Long Short Equity Instl Cl (BDMIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.9	CAPITAL WORLD GROWTH & INCOME (WGIFX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.10	COLUMBIA ACORN (ACRNX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.11	FIDELITY ADVISOR INTL GROWTH (FIIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	FIRST TRUST NASDAQ CYBERSECURITY ETF (CIBR)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
2.13	FUNDAMENTAL INVESTORS CL F2 (FINFX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.14	Goldman Sachs Absolute Return Tracker Investor Cl (GSRTX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.15	GOLDMAN SACHS INTL SMALL CAP INSIGHTS INVESTOR (GIRLX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.16	GOLDMAN SACHS RISING DIVIDEND GROWTH (GSRIX)	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
2.17	GOLDMAN SACHS SMALL CAP GROWTH INSIGHTS INVESTOR (GSTOX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.18	GOLDMAN SACHS US EQUITY DIVIDEND & PREMIUM (GVIRX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
2.19	GOLDMAN SACHS ACTIVEBETA US LARGE CAP EQUITY (GSLC)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.20	INVESCO EXCHANGE S&P 500 LOW VOLATILITY ETF (SPLV)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.21	ISHARES CORE MSCI EUROPE ETF (IEUR)	Yes	None (or less than \$1,001)		\$201 - \$1,000
2.22	ISHARES CORE S&P MID CAP ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.23	ISHARES EDGE MSCI USA MOMENTUM FACTOR ETF (MTUM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.24	ISHARES PHLX SEMICONDUCTOR ETF (SOXX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.25	JOHN HANCOCK DISCIPLINED VAL MID CAP (JVMIX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
2.26	JOHN HANCOCK INTL GROWTH (GOGIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.27	MFS MID CAP VALUE (MCVIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.28	OPPENHEIMER DEVELOPING MARKETS (ODVYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.29	OSI OSHARES FTSE RUSSELL SMALL CAP QLTY DIVID (OUSM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.30	SMALLCAP WORLD CL (SMCFX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.31	SPDR DOW JONES INDUSTRIAL AVERAGE ETF (DIA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.32	SPDR S&P 500 ETF (SPY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.33	DEPOSIT CASH ACCOUNT (9999136)	N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000
2.34	Investment Company of America (ICAFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.35	Ishares Core S&P Total US Stock Market ETF (ITOT)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.36	Ishares Core S&P 500 ETF (IVV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.37	Vanguard S&P 500 Index ETF (VOO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.38	American Beacon Bridgeway Large Cap Value CL Y (BWLYX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.39	Clearbridge Large Cap Growth CL I (SBLYX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
3	Stein, Mitchell, Cipollone, Beato & Missner, LLP Profit Sharing Plan,	See Endnote	No			
3.1	AMERICAN MUTUAL (RMFEX)		Yes	None (or less than \$1,001)		\$5,001 - \$15,000
3.2	CAPITAL INCOME BUILDER (RIREX)		Yes	None (or less than \$1,001)		\$201 - \$1,000
3.3	CAPITAL WORLD GROWTH & INCOME (RWIEX)		Yes	None (or less than \$1,001)		\$2,501 - \$5,000
4	Kirkland & Ellis LLP Defined Contribution 401K Savings Plan	See Endnote	No			
4.1	VANGUARD TREASURY MONEY MARKET (VUSXX)		Yes	None (or less than \$1,001)		\$2,501 - \$5,000
4.2	VANGUARD TARGET RETIRE 2030 TR I		Yes	None (or less than \$1,001)		\$2,501 - \$5,000
4.3	DODGE & COX STOCK FUND (DODGX)		Yes	None (or less than \$1,001)		\$2,501 - \$5,000
4.4	VANGUARD INST INDEX FUND INST PLUS		Yes	None (or less than \$1,001)		\$2,501 - \$5,000
4.5	VANGUARD INTERNATIONAL GROWTH ADM		Yes	None (or less than \$1,001)		\$2,501 - \$5,000
5	Kirkland & Ellis LLP Cash Balance Plan		No			
5.1	Vanguard Inflation Protected Securities (VIPIX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.2	Dodge & Cox Income (DODIX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.3	Wells Fargo Core Bond R6 (WTRIX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.4	PIMCO Income Fund (PIMIX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.5	Vanguard High Yield Corporate Bond (VWEAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.6	PIMCO Foreign Bond (Hedged) (PFORX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.7	Vanguard Total Stock Market Index (VITSX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.8	Vanguard Developed Markets Index (VTMNX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.9	Vanguard Emerging Markets Stock Index (VEMIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.10	Fidelity Real Estate Index Instl (FSRNX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6	Stein Mitchell Cipollone Beato & Missner LLP See Endnote capital repayment	N/A	\$500,001 - \$1,000,000		None (or less than \$201)

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Stein, Mitchell, Cipollone, Beato & Missner, LLP Profit Sharing Plan	Washington, District of Columbia	I no longer participate in this defined contribution plan. The plan sponsor did not make further contributions after my separation.	12/2018
2	Stein, Mitchell, Cipollone, Beato & Missner, LLP	Washington, District of Columbia	I resigned from Stein, Mitchell, Cipollone, Beato & Missner, LLP effective December 8, 2018, and pursuant to the partnership agreement, I will receive my remaining capital within 60 months of my departure. The total payment has been calculated as \$721,268.	12/2018

### 4. Filer's Sources of Compensation Exceeding \$5,000 in a Year



#	SOURCE NAME		CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Pat Cipollone, P.C.		Bethesda, Maryland	Attorney
2	Stein, Mitchell, Cipollone, Beato & Missner, LLP		Washington, District of Columbia	Attorney
3	Kirkland & Ellis, LLP	See Endnote	Washington, District of Columbia	Residual income - see endnote
4	4DD Holdings, LLC		Frederick, Maryland	Legal Services/Client of Firm
5	T4 Data Group		Frederick, Maryland	Legal Services/Client of Firm
6	Bechtel Corporation		San Francisco, California	Legal Services/Client of Firm
7	Bechtel Power Corp		San Francisco, California	Legal Services/Client of Firm
8	Dentons		Washington, District of Columbia	Legal Services/Client of Firm
9	President Donald J. Trump		Washington, District of Columbia	Legal Services/Client of Firm
10	Orbital ATK		Reston, Virginia	Legal Services/Client of Firm
11	Recording Industry of America (RIAA)		Washington, District of Columbia	Legal Services/Client of Firm
12	Sony Entertainment Group SME		New York City, New York	Legal Services/Client of Firm
13	Universal Music Group		Los Angeles, California	Legal Services/Client of Firm

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
14	Warner Music Group	New York City, New York	Legal Services/Client of Firm
15	Route 66 Ventures LLC	Alexandria, Virginia	Legal Services/Client of Firm
16	Confidential client		Legal Services/Client of Firm
17	Radio Ingraham LLC/Laura Ingraham	Washington, District of Columbia	Legal Services/Client of Firm
18	Confidential client		Legal Services/Client of Firm
19	Confidential client		Legal Services/Client of Firm

## 5. Spouse's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	R Cipollone IRA	No			
1.1	AMERICAN GLOBAL BALANCED CL A GBLAX	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
1.2	AMERICAN MUTUAL CL A (AMRMX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
1.3	BOND FUND OF AMERICA (ABNFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	CAPITAL INCOME BUILDER (CAIFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	CAPITAL WORLD GROWTH & INCOME (CWGIX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
1.6	FUNDAMENTAL INVESTORS CL A (ANCFX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.7	Goldman Sachs Small Cap Growth Insights Investor Cl (GSTOX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.8	GROWTH FUND OF AMERICA (GFFFX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
1.9	INTERMEDIATE BOND FUND OF AMERICA (IBAFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	INVESTMENT COMPANY OF AMERICA (ICAFX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.11	ISHARES CORE S&P 500 ETF (IVV)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.12	NATIONWIDE GLOBAL EQUITY CL A (GGEAX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.13	New World Cl F2 (NFFFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.14	SMALLCAP WORLD (SMCFX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.15	WASHINGTON MUTUAL INVESTORS (WMFFX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.16	DEPOSIT CASH ACCOUNT (9999136)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
1.17	iShares Core S&P Total U.S. Stock Market ETF (ITOT)	Yes	None (or less than \$1,001)		\$201 - \$1,000

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	ADHESIVE COATINGS CO	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	SIERRA ASSOCIATES, LLC	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
3	ROCK CREEK TIMBER PARTNERS, LP	N/A	\$15,001 - \$50,000	Rent or Royalties	None (or less than \$201)
4	GOOD COUNTRY PICTURES, LLC (Independent film production company)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	None (or less than \$201)
5	WEXFORD SPECTRUM FUND, LP	See Endnote	\$500,001 - \$1,000,000	Dividends Capital Gains	\$50,001 - \$100,000
6	FARM CREDIT OF THE VIRGINIAS ACA	N/A	None (or less than \$1,001)	Dividends	\$15,001 - \$50,000
7	TIAA BANK (FORMERLY EVERBANK)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
8	CATHOLIC LADIES OF COLUMBIA, WHOLE LIFE INSURANCE	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
9	MANAGED BROKERAGE ACCOUNT 1	No			
9.1	Insured Cash Account (9999227)	N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000
9.2	Abbvie Inc (ABBV)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.3	Abbott Laboratories (ABT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.4	Koninklijke Ahold Delhaize N V Spon Adr New (ADRNY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.5	American Eagle Outfitters (AEO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.6	American Electric Power Company Inc (AEP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.7	EUROPACIFIC GROWTH (AEPFX)	Yes	None (or less than \$1,001)		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.8	Aflac Inc (AFL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.9	Arthur J Gallagher & Company (AJG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.10	Akamai Technologies Inc (AKAM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.11	American Funds American Balanced CI F2 (AMBFX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
9.12	Amcap CI F2 (AMCFX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
9.13	Amgen Inc (AMGN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.14	AMERICAN MUTUAL (AMRFX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
9.15	Associated Banc Corp (ASB)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.16	Asgn Inc (ASGN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.17	American Express Co (AXP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.18	Allianz Se Sponsored Adr Repstg 1/10 Sh (AZSEY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.19	Boeing Co (BA)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.20	Bank of America Corp (BAC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.21	BLACKROCK GLOBAL LONG SHORT EQUITY INSTL CL (BDMIX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.22	Biogen Inc (BIIB)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.23	Bp Plc Spon Adr (BP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.24	Berkshire Hathaway Inc Cl B New (BRK/B)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.25	Cable One Inc (CABO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.26	CAPITAL INCOME BUILDER (CAIFX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
9.27	Caleres Inc (CAL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.28	Continental Building Products Inc (CBPX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.29	Crown Castle Intl Corp New (CCI)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
9.30	First Trust Nasdaq Cybersecurity Etf (CIBR)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.31	Ciena Corp New (CIEN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
9.32	Chipotle Mexican Grill Inc Cl A (CMG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.33	Cms Energy Corp (CMS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.34	Conocophillips (COP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.35	Costco Wholesale Corp (COST)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.36	Salesforce.com Inc (CRM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.37	Cisco Systems Inc (CSCO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
9.38	Community Trust Bancorp Inc (CTBI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.39	Chevron Corp (CVX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.40	Deere & Co (DE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.41	Diamond Hill Long Short Cl I (DHLSX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.42	Danaher Corp (DHR)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.43	Walt Disney Co (DIS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.44	Ecolab Inc (ECL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.45	Ishares Edge Msci Min Volatility Emerging Markets Etf (EEMV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.46	Enel Societa Per Azioni Adr (ENLAY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.47	Ensign Group Inc (ENSG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.48	Exelon Corp (EXC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.49	FUNDAMENTAL INVESTORS (FINFX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.50	Twenty First Century Fox Inc Cl A (FOXA)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.51	Forward Air Corp (FWRD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.52	American Global Balanced Cl F2 (GBLFX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.53	GOLDMAN SACHS ACTIVEBETA EMERGING MARKETS EQUITY ETF (GEM)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
9.54	Greenhill & Co Inc (GHL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.55	Alphabet Inc Cl C (GOOG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.56	Alphabet Inc Cl A (GOOGL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.57	Goldman Sachs Activebeta Intl Equity Etf (GSIE)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.58	Goldman Sachs Activebeta U S Large Cap Equity Etf (GSLC)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.59	Goldman Sachs Small Mid Cap Growth Investor Cl (GTMTX)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
9.60	GOLDMAN SACHS U S EQUITY DIVIDEND (GVIRX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
9.61	Home Depot Inc (HD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.62	ISHARES CURRENCY HEDGED MSCI EAFE ETF (HEFA)	Yes	None (or less than \$1,001)		\$201 - \$1,000
9.63	Horace Mann Educatrs Crp (HMN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.64	Hp Inc (HPQ)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.65	Hancock Whitney Corp (HWC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.66	Iberdrola Sa Sponsored Adr Repstg 1 (IBDRY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.67	Ishares U S Utilities Etf (IDU)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
9.68	Intel Corp (INTC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.69	Intuitive Surgical Inc New (ISRG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.70	Ishares Core S&p 500 Etf (IVV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.71	Jpmorgan Chase & Co (JPM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.72	JOHN HANCOCK REGIONAL BANK CL (JRBFX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
9.73	John Hancock Disciplined Val Mid Cap Cl I (JVMIX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
9.74	Kaiser Aluminum Corp Com Par \$0.01 (KALU)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.75	Kar Auction Services Inc (KAR)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.76	Coca-cola Company (KO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.77	Linde Plc (LIN)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.78	Eli Lilly & Company (LLY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.79	Lowes Companies Inc (LOW)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.80	THORNBURG LTD TERM MUN CL I (LTMIX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
9.81	Macys Inc (M)	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.82	Mastercard Inc Cl A (MA)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.83	BLACKROCK EQUITY DIVIDEND INSTL CL (MADVX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
9.84	Mcdonalds Corp (MCD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.85	MFS MID CAP VALUE CL I (MCVIX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
9.86	MFS VALUE CL I (MEIIX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
9.87	Mc Cormick & Company Inc Non Voting (MKC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.88	Merck & Company Inc New (MRK)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.89	Ishares Edge Msci Usa Momentum Factor Etf (MTUM)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
9.90	Netflix Inc (NFLX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.91	Nike Inc Cl B (NKE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.92	Nutanix Inc Cl A (NTNX)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
9.93	Novartis Ag Spon Adr (NVS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.94	Northwestern Corp New (NWE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.95	Nexstar Media Group Inc Cl A (NXST)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.96	Orion Engineered Carbons S A (OEC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
9.97	Oge Energy Corp (OGE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.98	Old Natl Bancorp Ind (ONB)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.99	OPPENHEIMER SENIOR FLOATING RATE CL Y (OOSYX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
9.100	Occidental Petroleum Corp (OXY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.101	Palo Alto Networks Inc (PANW)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.102	Pfizer Inc (PFE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
9.103	Procter & Gamble Company (PG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.104	Prologis Inc (PLD)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
9.105	Portland General Electric Company New (POR)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.106	Phillips 66 (PSX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.107	Quanta Services Inc (PWR)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.108	Pioneer Natural Resources Company (PXD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.109	Paypal Holdings Inc (PYPL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
9.110	Radian Group Inc (RDN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.111	Royal Dutch Shell Plc Sponsored ADR Repstg B Shares (RDS/B)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.112	RWE AG Spons ADR Repstg Ordinary Par Dm 50 (RWEQY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.113	Starbucks Corp (SBUX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.114	Schwab U S Small Cap Etf (SCHA)	Yes	None (or less than \$1,001)		\$201 - \$1,000
9.115	Servicemaster Global Holdings Inc (SERV)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.116	Sleep Number Corp (SNBR)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
9.117	Splunk Inc (SPLK)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
9.118	POWERSHARES S&P 500 LOW VOLATILITY ETF (SPLV)	Yes	None (or less than \$1,001)		\$201 - \$1,000
9.119	SPDR SP 500 ETF (SPY)	Yes	None (or less than \$1,001)		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.120	Tokio Marine Holdings Inc Spon ADR (TKOMY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.121	Telia Co Ab Unspn ADR (TLSNY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.122	Thermo Fisher Scientific Inc (TMO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.123	Thomson Reuters Corp (TRI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.124	Tesco Plc Spon ADR (TSCDY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.125	Texas Instruments Inc (TXN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.126	United Continental Hldgs Inc (UAL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.127	Unitedhealth Group Inc (UNH)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.128	Union Pacific Corp (UNP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.129	United Overseas Bk LTD Spons ADR (UOVEY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.130	Ishares Edge Msci Min Volatility Etf (USMV)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.131	Vmware Inc Cl A (VMW)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
9.132	Verizon Communications Inc (VZ)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.133	Wh Group LTD Spon ADR (WHGLY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.134	Walmart Inc (WMT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.135	Wesbanco Inc (WSBC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.136	Yum Brands Inc (YUM)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
9.137	Zoetis Inc Cl A (ZTS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
9.138	Automatic Data Processing Inc (ADP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.139	Anthem Inc (ANTM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.140	Artisan Mid Cap Advisor Cl (APDMX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
9.141	Autozone Inc (AZO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.142	Boston Scientific Corp (BSX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.143	Church & Dwight Company Inc (CHD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.144	Cme Group Inc Cl A (CME)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.145	Dollar Genl Corp New (DG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.146	Discovery Inc Ser A (DISCA)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.147	Hca Healthcare Inc (HCA)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.148	Illumina Inc (ILMN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.149	Intuit Inc (INTU)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.150	Kroger Co (KR)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.151	Nextera Energy Inc (NEE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.152	Tjx Cos Inc New (TJX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
9.153	Welltower Inc (WELL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10	MANAGED BROKERAGE ACCOUNT 2	No			
10.1	ABB LIMITED SPONSORED ADR (ABB)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.2	KONINKLIJKE AHOLD DELHAIZE N V SPONS ADR (ADRNY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.3	ALLIANZ SE SPONSORED ADR (AZSEY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.4	BP PLC SPON ADR (BP)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.5	CHINA MOBILE LIMITED SPONSORED ADRS (CHL)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
10.6	CK HUTCHISON HOLDINGS LTD ADR (CKHUY)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.7	DAIMLER AG (DMLRY)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.8	DEUTSCHE TELEKOM AG SPON ADR (DTEGY)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.9	E N I SPA SPONSORED ADR (E)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.10	ENEL SOCIETA PER AZIONI ADR (ENLAY)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.11	GLAXOSMITHKLINE PLC SPON ADR (FUJIY)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.12	HONDA MOTOR LTD ADR (HMC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.13	IBERDROLA SA SPONSORED ADR (IBDRY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.14	KINGFISHER PLC SPONSORED ADR (KGFHY)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.15	LLOYDS BANKING GROUP PLC SPONSORED ADR (LYG)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.16	NATIONAL GRID PLC SPONSORED ADR (NGG)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.17	NOVARTIS AG SPONSORED ADR (NVS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.18	ROYAL DUTCH SHELL PLC SPONSORED ADR (RDS/B)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
10.19	RWE AG SPONS ADR (RWEQY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.20	BANCO SANTANDER S A SPONSORED ADR (SAN)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.21	SAP SE SPONS ADR (SAP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
10.22	SINGAPORE TELECOMMUNICATIONS LTD SPONSORED ADR (SGAPY)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.23	SANOFI SPON ADR (SNY)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.24	SSE PLC SPON ADR (SSEZY)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.25	TELEFONICA S A SPONSORED ADR (TEF)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.26	TOKIO MARINE HOLDINGS INC ADR (TKOMY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.27	TAKEDA PHARMACEUTICAL COMPANY LTD SPONSORED ADR (TKPYY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.28	TELIA COMPANY AB ADR (TLSNY)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.29	TESCO PLC SPONSORED ADR (TSCDY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.30	TAIWAN SEMICONDUCTOR MANUFACTURING COMPANY LTD (TSM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.31	UNITED OVERSEAS BK LTD SPONS ADR (UOVEY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
10.32	WPP PLC NEW ADR (WPP)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
10.33	ZURICH INSURANCE GRP LTD (ZURVY)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
11	MANAGED BROKERAGE ACCOUNT 3	No			
11.1	INCOME FUND OF AMERICA CL A (AMECX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.2	TRACTOR SUPPLY COMPANY (TSCO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
11.3	WALT DISNEY CO (DIS)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	MANAGED BROKERAGE ACCOUNT 4	No			
12.1	INCOME FUND OF AMERICA CL A (AMECX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
13	MANAGED BROKERAGE ACCOUNT 5	No			
13.1	AIG FOCUSED DIVIDEND STRATEGY CL A (FDSAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
13.2	WALT DISNEY CO (DIS)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
14	MANAGED BROKERAGE ACCOUNT 6	No			
14.1	AIG FOCUSED DIVIDEND STRATEGY CL A (FDSAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
14.2	CAPITAL INCOME BUILDER CL A (CAIBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
14.3	FUNDAMENTAL INVESTORS CL A (ANCFX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
14.4	INVESTMENT COMPANY OF AMERICA CL A (AIVSX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
14.5	WALT DISNEY CO (DIS)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
15	MANAGED BROKERAGE ACCOUNT 7	No			
15.1	DREYFUS TECHNOLOGY GROWTH CL A (DTGRX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
16	MANAGED BROKERAGE ACCOUNT 8	No			
16.1	BANK HAPOALIM BM NEW YORK NY CD FDIC #33686 (06251AQ29)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
16.2	BANK OF AMER NA CHARLOTTE NC CD FDIC #03510 (06051VA55)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
16.3	BEAL BANK USA LAS VEGAS NV CD FDIC #57833 (07370WN69)	N/A	None (or less than \$1,001)	Interest Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.4	BMW BANK NORTH AMERICA SALT LAKE CITY UT CD FDIC #35141 (05580AHN7)	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
16.5	DISCOVER BANK GREENWOOD DE CD FDIC #05649 (254673GM2)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
16.6	INSURED CASH ACCOUNT (9999227)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
16.7	METABANK STORM LAKE IA CD FDIC #30776 (59101LAN7)	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
16.8	FIRST CENTURY BANK NA GAINSVILLE GA CD FDIC #57123 (31943LAQ1)	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
16.9	METABANK SIOUX FALLS SD CD FDIC #30776 (59101LFV4)	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
16.10	CITIZENS BANK NA PROVIDENCE RI CD FDIC #57957 (75524KLT9)	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
16.11	TRISTATE CAPITAL BANK PITTSBURGH PA CD FDIC #58457 (89677DFV3)	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
16.12	WELLS FARGO BANK NA SIOUX FALLS SD CD FDIC #03511 (949763WN2)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
17	MANAGED BROKERAGE ACCOUNT 9	No			
17.1	SPDR S&P 500 ETF (SPY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	MANAGED BROKERAGE ACCOUNT 10	No			
18.1	ABBVIE INC (ABBV)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
18.2	ALTRIA GROUP INC (MO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
18.3	AMERICAN ELECTRIC POWER COMPANY INC (AEP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.4	AMERIPRISE FINANCIAL INC (AMP)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
18.5	AT&T (T)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
18.6	BLACKROCK INC (BLK)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
18.7	CHEVRON CORP (CVX)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
18.8	CISCO SYSTEMS INC (CSCO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
18.9	COCA-COLA COMPANY (KO)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
18.10	CROWN CASTLE INTL CORP (CCI)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
18.11	EATON CORP PLC (ETN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
18.12	EXELON CORP (EXC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
18.13	EXXON MOBIL CORP (XOM)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
18.14	FIRSTENERGY CORP (FE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
18.15	FORD MOTOR COMPANY (F)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
18.16	HOME DEPOT INC (HD)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
18.17	HP INC (HPQ)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.18	INTEL CORP (INTC)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
18.19	JOHNSON & JOHNSON (JNJ)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
18.20	JPMORGAN CHASE & CO (JPM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
18.21	LYONDELLBASELL INDUSTRIES (LYB)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
18.22	MARATHON PETROLEUM CORP (MPC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
18.23	MARSH & MCLENNAN COS INC (MMC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
18.24	MERCK & COMPANY INC (MRK)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
18.25	METLIFE INC (MET)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
18.26	MICROSOFT CORP (MSFT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
18.27	NORFOLK SOUTHERN CORP (NSC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
18.28	OCCIDENTAL PETROLEUM CORP (OXY)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
18.29	PFIZER INC (PFE)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
18.30	PHILIP MORRIS INTL INC (PM)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
18.31	PROCTER & GAMBLE COMPANY (PG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.32	PROLOGIS INC (PLD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
18.33	PRUDENTIAL FINANCIAL INC (PRU)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
18.34	U S BANCORP (USB)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
18.35	UNITED TECHNOLOGIES CORP (UTX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
18.36	VERIZON COMMUNICATIONS INC (VZ)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
18.37	WALMART INC (WMT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
18.38	WELLS FARGO & CO (WFC)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
19	MANAGED BROKERAGE ACCOUNT 11	No			
19.1	AETNA INC (AET)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
19.2	APPLE INC (AAPL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
19.3	DR PEPPER SNAPPLE XXX GROUP INC 071018 (26138E109)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
19.4	ENVISION HEALTHCARE CORP (29414D100)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
19.5	MICROSOFT CORP (MSFT)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
19.6	VERIZON COMMUNICATIONS INC (VZ)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
20	MANAGED BROKERAGE ACCOUNT 12	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20.1	ARIZONA ST TRANSN BRD HWY REV SUB SER A B/E PTC CPN 5.000% DUE 07/01/23 DTD 01/29/13 (040654VF9)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
20.2	DISTRICT COLUMBIA INCM TAX REV SECD SER C B/E CPN 5.000% DUE 12/01/23 (25477GLR4)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
20.3	GEORGIA ST SER A B/E CPN 5.000% DUE 02/01/22 (3733843W4)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
20.4	ILLINOIS ST TOLL HWY AUTH REV RFDG SER A B/E CPN 5.000% DUE 12/01/21 (452252HN2)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
20.5	INDIANA FIN AUTH HOSP REV RFDG PKVIEW HLTH SER A B/E CPN 5.000% DUE 11/01/22 (45471APT3)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
20.6	INDIANA ST FIN AUTH REV RFDG ST REVLVG FD PG SER B GREEN BDS B/E CPN 5.000% DUE 02/01/24 (45506DPU3)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
20.7	INSURED CASH ACCOUNT (9999227)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
20.8	IOWA ST SPL OBLIG RFDG IJOBS SER A REV B/E CPN 5.000% DUE 06/01/25 (46257TEC9)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
20.9	KENTUCKY INFRA AUTH WSTWTR & DRNKG WTR REVLVG FD REV B/E CPN 5.000% DUE 02/01/26 (491311AJ5)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
20.10	MAINE MUN BD BK RFDG SER B REV B/E CPN 5.000% DUE 11/01/23 (56045RUN7)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
20.11	MARYLAND ST ST & LOC FACS LN 2ND SER B B/E CPN 5.000% DUE 08/01/22 (574193KT4)	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
20.12	MASSACHUSETTS ST SCH BLDG DEDICATED SALES TAX REV RFDG SR SER A B/E CPN 5.000% DUE 08/15/21 (576000MS9)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20.13	METROPOLITAN ST LOUIS MO SWR DIST WSTWTR SYS REV RFDG & IMPT SER B B/E CPN 5.000% DUE 05/01/25 (592481GP4)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
20.14	METROPOLITAN TRANSN AUTH NY DEDICATED TAX FD RFDG SER A REV B/E CPN 5.000% DUE 11/15/25 (59259N2S1)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
20.15	METROPOLITAN TRANSN AUTH NY REV RFDG SER F B/E CPN 5.000% DUE 11/15/22 (59259YTR0)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
20.16	MINNESOTA ST GEN FD REV RFDG APPROP SER B B/E CPN 5.000% DUE 03/01/21 (604146AJ9)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
20.17	MINNESOTA ST RFDG ST VARIOUS PURP SER D B/E CPN 5.000% DUE 08/01/22 (60412ANN9)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
20.18	MINNESOTA ST RFDG VARIOUS PURP SER D B/E PTC CPN 5.000% DUE 08/01/22 (604129VW3)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
20.19	NEW YORK ST URBAN DEV CORP REV ST PERS INCM TAX SER A1 B/E CPN 5.000% DUE 03/15/23 (650035ZL5)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
20.20	OHIO ST COMMON SCHS SER B B/E CPN 5.000% DUE 09/15/26 (677522VL5)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
20.21	OHIO ST TPK COMMN REV JR LIEN INFRA PJS A 1 B/E PTC CPN 5.000% DUE 02/15/24 (67760HJM4)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
20.22	Ohio St Wtr Dev Auth Wtr Pollutn (67766WWW8)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
20.23	OKLAHOMA ST WTR RES BRD REVLVG FD REV MSTR TR CLEAN PG B/E CPN 5.000% DUE 04/01/23 (67919PMR1)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20.24	ORLANDO FL UTILS COMMN UTIL SYS REV RFDG SER A B/E CPN 5.000% DUE 10/01/24 (686507GA6)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
20.25	PHOENIX AZ CIVIC IMPT CORP TRAN EXCISE TAX REV B/E LIGHT RAIL PJ CPN 5.000% DUE 07/01/20 (718849BD3)	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
20.26	TARRANT CNTY TX CULTURAL ED FACS FIN CORP REV HLTH RES SER A B/E CPN 5.000% DUE 02/15/25 (87638TFD0)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
20.27	TEXAS ST RFDG TRANSN COMMN MOBIL FD DB B/E PTC CPN 5.000% DUE 10/01/24 (882723MY2)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
20.28	TEXAS TRANSN COMMN ST HWY FD REV RFDG 1ST TIER B/E CPN 5.000% DUE 10/01/22 (88283LJU1)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
20.29	UNIVERSITY MD SYS AUX FAC & TUIT REV RFDG SER B B/E CPN 5.000% DUE 04/01/21 (9144024S8)	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
20.30	VIRGINIA ST PUB BLDG AUTH FACS REV RFDG SER A B/E CPN 5.000% DUE 08/01/24 (928172W50)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
20.31	VIRGINIA ST PUB BLDG AUTH FACS REV RFDG SER A B/E CPN 5.000% DUE 08/01/24 (928172YT6)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
20.32	WISCONSIN ST RFDG SER 3 B/E CPN 5.000% DUE 11/01/23 DTD 09/03/14 (97705L6E2)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21	MANAGED BROKERAGE ACCOUNT 13	No			
21.1	AB SELECT U S LONG SHORT ADVISOR (ASYLX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
21.2	AMERICAN GLOBAL BALANCED (GBLFX)	Yes	None (or less than \$1,001)		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21.3	AMERICAN FUNDS AMERICAN BALANCED (AMBFX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
21.4	BLACKROCK NATIONAL MUN INSTL (MANLX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
21.5	BLACKROCK STRATEGIC INCOME OPPTYS (BSIIX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
21.6	CAPITAL INCOME BUILDER CL (CAIFX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
21.7	CREDIT SUISSE FLOATING RATE (CSHIX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
21.8	GOLDMAN SACHS INCOME BUILDER (GKIRX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
21.9	ISHARES CORE S&P 500 ETF (IVV)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
21.10	ISHARES TIPS BOND ETF (TIP)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
21.11	ISHARES US UTILITIES ETF (IDU)	Yes	None (or less than \$1,001)		\$201 - \$1,000
21.12	JOHN HANCOCK INCOME CL (JSTIX)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
21.13	JOHN HANCOCK REGIONAL BANK (JRBFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
21.14	JOHN HANCOCK STRATEGIC INCOME OPPTYS (JIPIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
21.15	MAINGATE MLP (IMLPX)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
21.16	NUVEEN MARYLAND MUN BOND (NMMDX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
21.17	SCOUT UNCONSTRAINED BOND INSTL (SUBFX)	Yes	None (or less than \$1,001)		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21.18	TEMPLETON GLOBAL BOND ADVISOR (TGBAX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
21.19	VANGUARD INFLATION PROTECTED SECS ADMIRAL (VAIPX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
21.20	INSURED CASH ACCOUNT (9999227)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
22	MANAGED BROKERAGE ACCOUNT 14	No			
22.1	AMERICAN EAGLE OUTFITTERS (AEO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
22.2	Asgn Inc (ASGN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
22.3	ASSOCIATED BANC CORP (ASB)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
22.4	AVISTA CORP (AVA)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
22.5	BRANDYWINE REALTY TRUST (BDN)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
22.6	CALIFORNIA WTR SVC GRP (CWT)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
22.7	Cnx Resources Corp (CNX)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
22.8	COLONY CAPITAL INC (CLNY)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
22.9	COLONY CAPITAL INC CHG (19624R106)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
22.10	COMMUNITY TRUST BANCORP INC (CTBI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
22.11	Continental Building Products Inc (CBPX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22.12	COUSINS PROPERTIES INC (CUZ)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
22.13	EL PASO ELECTRIC COMPANY (EE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
22.14	ENTRAVISION COMMUNICATION CORP (EVC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
22.15	FIRST AMERICAN FINANCIAL CORP (FAF)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
22.16	FIRST MIDWEST BANCORP DE (FMBI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
22.17	FULTON FINANCIAL CORP PA (FULT)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
22.18	GLOBAL BRASS & COPPER HLDGS (BRSS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
22.19	GREENBRIER COMPANIES INC (GBX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
22.20	HANCOCK HOLDING COMPANY (HBHC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
22.21	HERSHA HOSPITALITY TRUST PRIORITY (HT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
22.22	HORACE MANN EDUCATRS CRP (HMN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
22.23	IPG PHOTONICS CORP (IPGP)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
22.24	KAISER ALUMINUM CORP COM (KALU)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
22.25	KITE REALTY GROUP TRUST (KRG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22.26	KNIGHT TRANSPORTATION INC (KNX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
22.27	KORN/FERRY INTL NEW (KFY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
22.28	LHC GROUP INC (LHCG)	N/A	None (or less than \$1,001)	Capital Gains Interest	\$2,501 - \$5,000
22.29	MERIT MEDICAL SYSTEMS INC (MMSI)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
22.30	MUELLER INDUSTRIES INC (MLI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
22.31	NETSCOUT SYSTEM INC (NTCT)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
22.32	NEXSTAR MEDIA GROUP INC (NXST)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
22.33	NUTRACEUTICAL INTL CORP (NUTR)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
22.34	OLD DOMINION FREIGHT LINES (ODFL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
22.35	OLD NATL BANCORP IND (ONB)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
22.36	ORION ENGINEERED CARBONS SA (OEC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
22.37	PAREXEL INTL CORP (PRXL)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
22.38	PATTERSON UTI ENERGY INC (PTEN)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
22.39	PDC ENERGY INC (PDCE)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22.40	POLYONE CORP (POL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
22.41	PORTLAND GENERAL ELECTRIC COMPANY (POR)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
22.42	PROVIDENT FINANCIAL SVCS INC (PFS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
22.43	PTC INC (PTC)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
22.44	Quanta Services Inc (PWR)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
22.45	RADIAN GROUP INC (RDN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
22.46	REGAL ENTERTAINMENT GRP (RGC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
22.47	RICE ENERGY INC (RICE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
22.48	SANDY SPRING BANCORP INC (SASR)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
22.49	SELECT COMFORT CORP (SCSS)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
22.50	Servicemaster Global Holdings Inc (SERV)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
22.51	Sleep Number Corp (SNBR)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
22.52	Stag Industrial Inc (STAG)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
22.53	STEELCASE INC CL A (SCS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22.54	SYNERON MEDICAL LTD ORD (ELOS)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
22.55	TERADYNE INC (TER)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
22.56	UNITED FIRE GRP INC (UFCS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
22.57	VECTREN CORP (VVC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
22.58	WESBANCO INC (WSBC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
22.59	Wpx Energy Inc (WPX)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
23	MANAGED BROKERAGE ACCOUNT 15	No			
23.1	ABILENE TX 03446 B/E CPN 4.000% DUE 02/15/22 (00344NPU2)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
23.2	BENTON AR SCH DIST 008 RFDG CONSTR B/E PTC ENH PG CPN 3.000% DUE 02/01/25 (082761UA3)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
23.3	BUNCOMBE CNTY NC MET SWR DIST SEW SYS REV RFDG B/E CPN 5.000% DUE 07/01/27 (120532KT2)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
23.4	BUTTS CNTY GA SCH DIST SALES TAX B/E B/Q ST INTRCPT CPN 3.000% DUE 09/01/19 (124243BU9)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
23.5	CINCINNATI OH WTR SYS REV RFDG SER A B/E CPN 4.000% DUE 12/01/26 (172311NN8)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
23.6	DENTON TX CTF OBLIG DB B/E CPN 5.000% DUE 02/15/21 (248866S63)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23.7	HOPKINS MN STR RECONSTR SER A DB B/E CPN 4.000% DUE 02/01/24 (4398663M4)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
23.8	INSURED CASH ACCOUNT (9999227)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
23.9	New York NY City HSG Dev Corp Mlti Fam HSG REV K B/E CPN 3.250% DUE 11/01/29 (64972C8M8)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
23.10	NORTH ST PAUL MAPLEWOOD MN INDPT SCH DIST 622 RFDG SER A B/E CPN 5.000% DUE 02/01/20 (662152BZ9)	N/A	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
23.11	PALM BCH CNTY FL SCH BRD CTF PARTN RFDG SER B REV B/E CPN 5.000% DUE 08/01/20 (696550YU0)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
23.12	PLEASANT PRAIRIE WI PROM NT B/E SBJ ST TAX PTC CPN 2.000% DUE 09/01/23 (728534UZ9)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
23.13	PORTSMOUTH NH BD ANTIC NT B/E CPN 3.00% DUE 6/22/18 (737050J96)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
23.14	SOCORRO TX INDPT SCH DIST RFDG SER A PSF GTD B/E PTC CPN 5.000% DUE 08/15/29 (833715CM5)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
23.15	SOUTHSIDE TX INDPT SCH DIST SCH BLDG PSF GTD B/E CPN 5.000% DUE 08/15/23 (844725TK7)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
23.16	STATE CLLG PA AREA SCH DIST B/E PTC CPN 5.000% DUE 05/15/30 (856706XY7)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
23.17	TUCSON AZ WTR REV RFDG B/E PTC CPN 5.000% DUE 07/01/28 (898797EG6)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
23.18	Utah Cnty Ut Hosp Rev Ihc Hlth Svcs Inc Ser A B/e Cpn 5.000% Due 05/15/32 (917393CL2)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23.19	WISCONSIN ST RFDG SER 1 B/E PTC SBJ ST TAX CPN 5.000% DUE 11/01/31 (97705MGV1)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
24	MANAGED BROKERAGE ACCOUNT 16	No			
24.1	Adobe Inc (ADBE)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
24.2	Akamai Technologies Inc (AKAM)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
24.3	Amazon.com Inc (AMZN)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
24.4	ANHEUSER BUSCH INBEV (BUD)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
24.5	BLACKROCK INC (BLK)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
24.6	Chipotle Mexican Grill Inc Cl A (CMG)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
24.7	COSTCO WHOLESALE CORP (COST)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
24.8	EBAY INC (EBAY)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
24.9	HOME DEPOT INC (HD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
24.10	MICROSOFT CORP (MSFT)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
24.11	Palo Alto Networks Inc (PANW)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
24.12	PIONEER NATURAL RESOURCES COMPANY (PXD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24.13	QUALCOMM INC (QCOM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
24.14	Red Hat Inc (RHT)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
24.15	ROCKWELL COLLINS INC (COL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
24.16	TWENTY FIRST CENTURY FOX (FOXA)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
24.17	UNITED PARCEL SERVICE INC (UPS)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
24.18	Vmware Inc Cl A (VMW)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
24.19	ZOETIS INC (ZTS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
25	MANAGED BROKERAGE ACCOUNT 17	No			
25.1	AIG FOCUSED DIVIDEND STRATEGY CL A (FDSAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
25.2	AMERICAN FUNDS AMERICAN BALANCED CL A (ABALX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
25.3	CAPITAL INCOME BUILDER CL A (CAIBX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
25.4	WALT DISNEY CO (DIS)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
26	MANAGED BROKERAGE ACCOUNT 18	No			
26.1	ISHARES CORE S&P 500 ETF (IVV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
27	MANAGED BROKERAGE ACCOUNT 19	No			
27.1	INSURED CASH ACCOUNT (9999227)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28	MANAGED BROKERAGE ACCOUNT 20	No			
28.1	INSURED CASH ACCOUNT (9999227)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
29	MANAGED BROKERAGE ACCOUNT 21	No			
29.1	AB SELECT U S LONG SHORT ADVISOR (ASYLX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
29.2	GVS-JP Morgan US Government Service Shares (9999777)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
29.3	Adobe Inc (ADBE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
29.4	AMERICAN MUTUAL (AMRFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
29.5	Amazon.com Inc (AMZN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
29.6	CAPITAL INCOME BUILDER (CAIFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
29.7	CASH BALANCE	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
29.8	FUNDAMENTAL INVESTORS (FINFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
29.9	GOLDMAN SACHS SMALL CAP GROWTH INSIGHTS INVESTOR (GSTOX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
29.10	GRAINGER W W INC (GWW)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
29.11	INVESCO EXCHANGE S&P 500 LOW VOLATILITY ETF (SPLV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
29.12	ISHARES TIPS BOND ETF (TIP)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29.13	John Hancock Disciplined Val Mid Cap Cl I (JVMIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
29.14	JOHN HANCOCK INTL GROWTH (GOGIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
29.15	JOHN HANCOCK REGIONAL BANK (JRBFX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
29.16	MICROSOFT CORP (MSFT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
29.17	MFS MID CAP VALUE (MCVIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
29.18	MFS VALUE CL (MEIIX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
29.19	OPPENHEIMER DEVELOPING MARKETS (ODVYX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
29.20	OSI OSHARES FTSE RUSSELL SMALL CAP QLTQ DIVID ETF (OUSM)	Yes	\$1,001 - \$15,000		None (or less than \$201)
29.21	SPDR S&P 500 ETF (SPY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
29.22	Investment Company of America CL F2 (ICAFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
29.23	Small Cap World CL F2 (SMCFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
29.24	INSURED CASH ACCOUNT (9999227)	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
29.25	VISA INC (V)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
30	VCSP/COLLEGEAMERICA VA 529 1	No			
30.1	American U S Govt Money Market Cl 529 A (AAFXX)	Yes	None (or less than \$1,001)		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
30.2	American College Target Date Ser 2036 CI 529 A (CCFAX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
30.3	American College Target Date Ser 2033 529 CI A (CTLAX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
31	VCSP/COLLEGEAMERICA VA 529 2	No			
31.1	American U S Govt Money Market CI 529 A (AAFXX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
31.2	American College Target Date Ser 2033 529 CI A (CTLAX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
32	VCSP/COLLEGEAMERICA VA 529 3	No			
32.1	American U S Govt Money Market CI 529 A (AAFXX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
32.2	American College Target Date Ser 2030 CI 529 A (CTHAX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
33	VCSP/COLLEGEAMERICA VA 529 4	No			
33.1	American U S Govt Money Market CI 529 A (AAFXX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
33.2	American College Target Date Ser 2036 CI 529 A (CCFAX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
33.3	American College Target Date Ser 2033 529 CI A (CTLAX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
34	VCSP/COLLEGEAMERICA VA 529 5	No			
34.1	American U S Govt Money Market CI 529 A (AAFXX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
34.2	American College Target Date Ser 2036 CI 529 A (CCFAX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
34.3	American College Target Date Ser 2033 529 CI A (CTLAX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
35	VCSP/COLLEGEAMERICA VA 529 6	No			
35.1	American U S Govt Money Market CI 529 A (AAFXX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
35.2	Capital Income Builder CI 529 A (CIRAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
35.3	American Funds American Balanced CI 529 A (CLBAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
35.4	American Mutual CI 529 A (CMLAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
35.5	Europacific Growth Fund 529 A (CEUAX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
36	VCSP/COLLEGEAMERICA VA 529 7	No			
36.1	American U S Govt Money Market CI 529 A (AAFXX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
36.2	American College Target Date Ser 2036 CI 529 A (CCFAX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
36.3	American College Target Date Ser 2033 529 CI A (CTLAX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
37	MANAGED BROKERAGE ACCOUNT 22	No			
37.1	INSURED CASH ACCOUNT (9999227)	N/A	None (or less than \$1,001)	Interest	None (or less than \$201)
38	MANAGED BROKERAGE ACCOUNT 23	No			
38.1	NATIONAL GRID ADR (NGG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
39	MANAGED BROKERAGE ACCOUNT 24	No			
39.1	MARYLAND ST ST & LOC FACS LN 1ST SER B/E CPN 5.000% DUE 06/01/23 (574193MR6)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
39.2	MINNESOTA ST GEN FD REV RFDG APPROP SER B B/E CPN 5.000% DUE 03/01/21 (604146AJ9)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
39.3	WISCONSIN ST RFDG SER 3 B/E CPN 5.000% DUE 11/01/23 DTD 09/03/14 (97705L6E2)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
40	U.S. bank account (cash) 1	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
41	U.S. bank account (cash) 2	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
42	U.S. bank account (cash) 3	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
43	U.S. bank account (cash) 4	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
44	U.S. bank account (cash) 5	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
45	U.S. bank account (cash) 6	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
46	FARM LAND - WARRENTON, FAUQUIER COUNTY, VA	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
47	U.S. bank account (cash) 7	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500

## 7. Transactions

(N/A) - Not required for this type of report

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	FARM LAND - WARRENTON, FAUQUIER COUNTY, VA	Mortgage (investment/rental property)	\$500,001 - \$1,000,000	2008	5.346%	20
2	ROCK CREEK TIMBER PARTNERS, LP	UNFUNDED CAPITAL	\$50,001 - \$100,000	2011	N/A	ON DEMAND

## 9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

## Endnotes

PART	#	ENDNOTE
1.	1	Please note that Pat Cipollone, P.C. is a 100% owned S-corporation. All of its income is derived from Stein Mitchell Beato & Missner, LLP as well as residual income distributions from a Special Fee Arrangement with Kirkland & Ellis, LLP attributable to years in which Pat Cipollone, P.C. was a partner.
1.	5	Please note that the position start date was estimated.
1.	6	Please note that the position start date was estimated.
1.	7	Please note that the position start date was estimated.
1.	8	Please note that the position start date was estimated.
1.	9	Please note that the position start date was estimated.
1.	10	Please note that the position start date was estimated.
1.	11	Please note that the position start date was estimated.



PART	#	ENDNOTE
2.	1	<p>The total income amount reported from Pat Cipollone, P.C. are from the period 2017 through 2018. All income are derived from Stein Mitchell Cipollone Beato &amp; Missner, LLP and Kirkland &amp; Ellis, LLP under a Special Fee arrangement attributable to years in which Pat Cipollone, P.C. was a partner at the firm.</p> <p>For the period including 2017 through 2018, the total income received by the P.C. from Stein Mitchell Cipollone Beato &amp; Missner, LLP was \$6,715,052 and the total income received from Kirkland &amp; Ellis, LLP was \$59,598.</p>
2.	1.1	<p>The total income amount reported from Stein Mitchell Cipollone Beato &amp; Missner, LLP is from the period including 2017 through 2018. All expected income and distributions for the reporting period have been received. Please note amounts listed as income for Stein Mitchell in 1.1 have already been included in 1 under the Pat Cipollone, PC income amount.</p>
2.	3	<p>I no longer participate in the Stein Mitchell Cipollone Beato &amp; Missner, LLP Profit Sharing Plan. All funds have been disposed and the income transferred to my regular IRA account during the reporting period.</p>
2.	4	<p>I no longer participate in the Kirkland &amp; Ellis, LLP Defined Contribution 401K Savings Plan. All funds have been disposed and the income transferred to my regular IRA account during the reporting period.</p>
2.	6	<p>Pursuant to the partnership agreement, the capital account disbursement will occur within 60 months of my departure for a total amount of \$721,268. This is the only remaining payment expected to be received from Stein Mitchell.</p>
4.	3	<p>This is residual income distributions from a Special Fee Arrangement with Kirkland &amp; Ellis, LLP attributable to years in which Pat Cipollone, P.C. was a partner.</p>
6.	5	<p>The partnership's valuation was \$488,774 as of 12/31/2018. The sale of the partnership interest was initiated on 02/01/2019 and the proceeds will be available on 06/30/2019.</p>

# Summary of Contents

## 1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

## 2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

#### 4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

#### 5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

#### 6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

## 8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

## 9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

## Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

## Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

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