

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Hagerty, William Francis

Ambassador to Japan, Department of State

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- **Committee on Foreign Relations**
-

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/ Hagerty, William Francis [electronically signed on 02/12/2017 by Hagerty, William Francis in Integrity.gov]

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).

/s/ Huitema, David, Certifying Official [electronically signed on 03/29/2017 by Huitema, David in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Shaub, Walter M, Certifying Official [electronically signed on 03/31/2017 by Shaub, Walter M in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO	
1	State of Tennessee	Nashville, Tennessee	State Government	Cabinet Member, Commissioner of Economic and Community Development	1/2011	1/2015	
2	Hagerty Consulting	Nashville, Tennessee	Sole Proprietorship	Proprietor	1/2002	Present	
3	RenaissanceRe Holdings Ltd.	Hamilton, Outside U.S.	Corporation	Director	5/2015	Present	
4	Pinnacle Financial Partners	Nashville, Tennessee	Corporation	Director	7/2015	Present	
5	Rogers Group, Inc.	Nashville, Tennessee	Corporation	Director	3/2015	Present	
6	R.J. O'Brien & Associates, LLC	Chicago, Illinois	Corporation	Director	12/2010	Present	
7	Ryman Hospitality Properties, Inc.	Nashville, Tennessee	Corporation	Director	2/2016	Present	
8	Boy Scouts of America	Nashville, Tennessee	Non-Profit	Director - Noncompensated	5/2011	Present	
9	Roundstone Ventures, LLC	Dallas, Texas	LLC (Holding Company for passive investments)	President/Majority (95%) Owner/No Salary	1/2001	Present	
10	Main Street Management	Dallas, Texas	Management Company (and 5% owner) for Roundstone Ventures	President/Sole Owner/No Salary	1/2001	Present	
11	Hagerty, Peterson, LLC	See Endnote	Barrington, Illinois	Limited Liability Corp	Managing Director (inactive)	1/2015	Present

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
12	Hall Capital	Oklahoma City, Oklahoma	Corporation	Advisor/Non-compensated	8/2016	Present
13	Nashville MLS Organizing Committee	Nashville, Tennessee	Organizing Committee	Co-founder, Non-compensated	8/2016	Present
14	William F. Hagerty Revocable Living Trust	Nashville, Tennessee	Trust	Trustee	8/2003	Present
15	Avondale Partners LLC (Boutique investment and advisory firm)	Nashville, Tennessee	LLC	Advisory Board/Non Compensated and Non-Fiduciary	12/2015	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Rollover IRA	No			
1.1	T Rowe Price New Horizons Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.2	American Funds American Mutual Fund CI F-2	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.3	American Funds AMCAP Fund CI F-2	Yes	\$50,001 - \$100,000		\$201 - \$1,000
1.4	American Funds EuroPacific Growth Funds CI F-2	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.5	American Funds New World CI F-2	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.6	American Funds Developing World Growth and Income Fund CI 529-A	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.7	American Funds American High-Income Trust CI F-2	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.8	U.S. Bank Deposit Sweep (Cash)	N/A	\$1,001 - \$15,000	Dividends Interest	\$2,501 - \$5,000
2	SEP IRA	No			
2.1	American Funds AMCAP Fund CI 529-A	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.2	American Funds American Mutual Fund CI 529-A	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.3	American Funds New Perspective CI 529-A	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.4	American Funds EuroPacific Growth Fund CI-529-A	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.5	American Funds New World CI 5290A	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.6	American Funds Developing World Growth and Income Fund CI 529-A	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.7	American Funds American Mutual Fund CI F-2	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.8	American Funds EuroPacific Growth Funds CI F-2	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.9	American Funds New World CI F-2	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.10	T Rowe Price Real Estate Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.11	U.S. Bank Deposit Sweep (cash)	N/A	\$1,001 - \$15,000	Interest	\$2,501 - \$5,000
3	RenaissanceRe, restricted stock	N/A	\$250,001 - \$500,000		None (or less than \$201)
4	Ryman Hospitality, restricted stock	N/A	\$100,001 - \$250,000		None (or less than \$201)
5	Hagerty Consulting	See Endnote			
5.1	RenaissanceRe	N/A		Director Fees	\$137,124
5.2	Pinnacle Financial Partners	N/A		Director Fees	\$74,125

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.3	Rogers Group	N/A		Director Fees	\$61,450
5.4	RJ O'Brien	N/A		Director Fees	\$100,000
5.5	Ryman Hospitality	N/A		Director Fees	\$50,000
5.6	[RenaissanceRe] - director fees receivable	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.7	[Pinnacle Financial Partners] - director fees receivable	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.8	[Rogers Group] - director fees receivable	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.9	[RJ O'Brien] - director fees receivable	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.10	[Ryman Hospitality] - director fees receivable	N/A	\$15,001 - \$50,000		None (or less than \$201)
6	Pinnacle Financial Partners Restricted Stock	N/A	\$100,001 - \$250,000		None (or less than \$201)
7	Hagerty Peterson, LLC: U.S. bank account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Pinnacle Financial Partners	Nashville, Tennessee	Pursuant to company policy, Pinnacle Financial Partners expects to accelerate the vesting of my unvested restricted stock at its next board meeting, on April 14, 2017. At that time, I will receive shares of Pinnacle Financial Partners stock. Upon my appointment, however, I will forfeit any restricted stock that is unvested as of the date of my appointment.	7/2015

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
2	RenaissanceRe Holdings Ltd.	Hamilton, Bermuda, Outside U.S.	Pursuant to the terms of the company's Long-Term Incentive Plan and my Restricted Stock Agreement with the company, my unvested restricted stock will vest upon separation from service on the Board. At that time, I will receive share of RenaissanceRe Holding, Ltd. stock.	5/2015
3	Ryman Hospitality Properties, Inc.	Nashville, Tennessee	Pursuant to the policy of Ryman Hospitality Properties, my unvested restricted stock will vest upon separation from service on the Board. At that time, I will receive share of Ryman Hospitality Properties stock.	2/2016
4	Hagerty Consulting	Nashville, Tennessee	Sole proprietorship will go into inactive status.	1/2002
5	Hagerty Peterson, LLC	Barrington, Illinois	Hagerty Peterson is a limited liability company that, in the past, has made and held equity investments. It has been inactive since 2010. If I am confirmed, it will remain inactive during the entire period of my federal government service.	1/2015

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	RenaissanceRe Holdings, Ltd.	Hamilton, Outside U.S.	Board Member
2	Pinnacle Financial Partners	Nashville, Tennessee	Board Member
3	Rogers Group, Inc	Nashville, Tennessee	Board Member
4	RJ O'Brien & Associates, LLC	Chicago, Illinois	Board Member
5	Ryman Hospitality Properties, Inc.	Nashville, Tennessee	Board Member
6	Hagerty Consulting	Nashville, Tennessee	Sole proprietor of business used for director fees.

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	DC1 Irrev. Trust	No			
1.1	American Funds Fundamental Investors CI F-2	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.2	American Funds AMCAP Fund CI F-2	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.3	American Funds EuroPacific Growth Funds CI F-2	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.4	American Funds New Perspective CI F-2	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.5	American Funds New World CI F-2	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.6	American Funds Developing World Growth and Income Fund CI F-2	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.7	Black Rock Global Allocation Funds, Inc Inst. Shares	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.8	T. Rowe Price Real Estate Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.9	Signature Bank (stock)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.10	U.S. Bank Deposit Sweep (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.11	U.S. Bank account #9 (cash):	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.12	Carey Watermark Investors 2 Incorporated (real estate investment trust)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.13	Aspire (Community based palliative health care. Nashville, TN))	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
2	DC2 Irrev Trust	No			
2.1	American Funds Fundamental Investors CI F-2	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.2	American Funds AMCAP CI F-2	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.3	American Funds New Perspectives CI F-2	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.4	American Funds EuroPacific Growth Funds CI F-2	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.5	American Funds New World CI F-2	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.6	American Funds Developing World Growth and Income Funds CI F-2	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.7	Black Rock Global Allocation Funds Inc Inst. Shares	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.8	T. Rowe Price Real Estate Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.9	Signature Bank (stock)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.10	U.S. Bank Deposit Sweep (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.11	U.S. Bank account #10 (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
2.12	Carey Watermark Investors 2 Incorporated (real estate investment trust)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.13	Aspire (Community based palliative healthcare. Nashville, TN)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3	DC3 Irrev Trust	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	American Funds AMCAP Fund CI F-1	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
3.2	American Funds Fundamental Investors CI F-2	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
3.3	American Funds AMCAP Fund CI F-2	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3.4	American Funds New Perspective CI F-2	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.5	American Funds EuroPacific Growth Funds CI F-2	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.6	American Funds New World CI F-2	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.7	American Funds Developing World Growth and Income Fund CI F-2	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.8	BlackRock Global Allocation Fund Inc Inst Shares	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.9	T. Rowe Price Real Estate Fund	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.10	Signature Bank (stock)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.11	U.S. Bank Deposit Sweep (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.12	U.S. Bank account #11 (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.13	Carey Watermark Investors 2 Incorporated (real estate investment trust)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.14	Aspire (Community based palliative healthcare. Nashville, TN)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
4	DC4 Irrev Trust	No			
4.1	American Funds Developing World Growth and Income Fund CI F-2	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.2	U.S. Bank Deposit Sweep (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
4.3	U.S. Bank account #12 (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
4.4	Aspire (Community based palliative healthcare. Nashville, TN)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
5	U.S. Bank account #13 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	U.S. Bank account #14 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	U.S. Bank account #15 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
8	U.S. Bank account #16 (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
9	U.S. Bank account #17 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	U.S. Bank account #18 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	U.S. Bank account #19 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12	U.S. Bank account #20 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	U.S. Bank account #21 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
14	U.S. Bank account #22 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
15	U.S. Bank account #23 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16	Tennessee Community Ventures, LLC (An inactive venture capital fund based in Nashville, TN that made investments in TN based companies)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.1	Cyber Physical Systems (Rollover detector that fits in cigarette lighter of car, based in Nashville, TN)	N/A	\$100,001 - \$250,000		None (or less than \$201)
16.2	American Home Media (On-line recipies for cooks based in Nashville, TN)	N/A	\$50,001 - \$100,000		None (or less than \$201)
16.3	NuSirt (Drug compound in Phase 3 clinical discovery focused on enhancing the efficacy of certain drugs based in Nashville, TN)	N/A	\$50,001 - \$100,000		None (or less than \$201)
17	Panopto (Automated capture of lecture content at institutions of higher education, US based)	N/A	\$50,001 - \$100,000		None (or less than \$201)
18	Salvest (Online provider of alternative investment services for investors that wish to use retirement account funds for alternative investments)	N/A	\$50,001 - \$100,000		None (or less than \$201)
19	Virginia College Savings Plan/College American Fund FBO DC #4	No			
19.1	AMCAP Fund-529A	Yes	\$50,001 - \$100,000		None (or less than \$201)
19.2	American Fund Mutual Fund 529--A	Yes	\$50,001 - \$100,000		None (or less than \$201)
19.3	American Fund Developing World Growth and Income 529-A	Yes	\$50,001 - \$100,000		None (or less than \$201)
19.4	American Funds EuroPacific Growth Fund 529A	Yes	\$15,001 - \$50,000		None (or less than \$201)
19.5	American Fund New Perspective Fund 529-A	Yes	\$15,001 - \$50,000		None (or less than \$201)
19.6	American Fund New World Fund 529-A	Yes	\$15,001 - \$50,000		None (or less than \$201)
20	Northwestern Mutual Life Insurance (Whole)	N/A	\$250,001 - \$500,000	Interest Dividends	\$5,001 - \$15,000
21	UNUM Life Insurance (Whole)	N/A	\$15,001 - \$50,000	Interest Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
22	Capital Group of Nashville (Women's Investment Club)	No			
22.1	U.S. Investment Account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
22.2	Amazon Com Incorp (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
22.3	Apple Incorp (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
22.4	Pinnacle Finl Partners Inc (PNFP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
23	NuSirt (Developer of drugs for use by patients suffering from non-alcoholic liver disease and Type 2 diabetes)	N/A	\$100,001 - \$250,000		None (or less than \$201)
24	NEWAsurion (provider of consumer product protection programs)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
25	Cyber Physical Systems (Maker of portable automobile device used for automatic crash detection and response)	N/A	\$100,001 - \$250,000		None (or less than \$201)
26	Roundstone Ventures, LLC	See Endnote	No		
26.1	US Cash account #1	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
26.2	Ishares Core S&P Small Cap ETF (IJR), open short position: 3800 shares at \$138	N/A			None (or less than \$201)
26.3	Vanguard Mid Cap ETF (VO), open short position: 1249 shares at \$134	N/A			None (or less than \$201)
26.4	Ishares Core S&P Mid Cap ETF (IJR), closed short	N/A	None (or less than \$1,001)		None (or less than \$201)
26.5	SPDR S&P 500 ETF (SPY)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
26.6	US Cash Account #2	N/A	\$500,001 - \$1,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.7	Anheuser-Busch INBE (BUD), open position for written call option: 600 shares, strike \$140, exp. 1/2017	N/A			None (or less than \$201)
26.8	Apple Inc (AAPL), open position for written call option: 400 shares, strike \$120, exp. 4/2017	N/A			None (or less than \$201)
26.9	Apple Inc (AAPL), open position for written call option: 600 shares, strike \$110, exp. 1/2017	N/A			None (or less than \$201)
26.10	Berkshire Hathaway (BRKB), open position for written call option: 300 shares, strike \$150, exp. 1/2017	N/A			None (or less than \$201)
26.11	Boeing Co (BA), open position for written call option: 500 shares, strike \$135, exp. 1/2017	N/A			None (or less than \$201)
26.12	Chevron Corporation (CVX), open position for written call option: 200 shares, strike \$100, exp.1/2017	N/A			None (or less than \$201)
26.13	Cisco Systems Inc (CSCO), open position for written call option: 1700 shares, strike \$30, exp. 1/2017	N/A			None (or less than \$201)
26.14	CSX Corp (CSX), open position for written call option: 900 shares, strike \$25, exp. 1/2017	N/A			None (or less than \$201)
26.15	Du Pont Ei De Nemou (DD), open position for written call option: 1000 shares, strike \$67.5, exp. 1/2017	N/A			None (or less than \$201)
26.16	Exxon Mobil Corp (XOM), open position for written call option: 1000 shares, strike \$85, exp. 1/2017	N/A			None (or less than \$201)
26.17	Fedex Corporation (FDX), open position for written call option: 300 shares, strike \$140, exp. 1/2017	N/A			None (or less than \$201)
26.18	General Mills Inc (GIS), open position for written call option: 1000 shares, strike \$60, exp. 1/2017	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.19	Intel Corp (INTC), open position for written call option: 2200 shares, strike \$36, exp. 4/2017	N/A			None (or less than \$201)
26.20	JP Morgan Chase & Co (JPM), open position for written call option: 1100 shares, strike \$62.5, exp. 1/2017	N/A			None (or less than \$201)
26.21	Mastercard Inc (MA), open position for written call option: 500 shares, strike \$92.5, exp. 1/2017	N/A			None (or less than \$201)
26.22	Microsoft Corp (MSFT), open position for written call option: 800 shares, strike \$60, exp. 4/2017	N/A			None (or less than \$201)
26.23	Ishares Russell 2000 ETF (IWM), closed short	N/A	None (or less than \$1,001)		None (or less than \$201)
26.24	Norfolk Southern Co (NSC), open position for written call option: 500 shares, strike \$95, exp. 1/2017	N/A			None (or less than \$201)
26.25	Phillips 66 (PSX), open position for written call option: 300 shares, strike \$90, exp. 1/2017	N/A			None (or less than \$201)
26.26	Phillips 66 (PSX), open position for written call option: 600 shares, strike \$80, exp. 1/2017	N/A			None (or less than \$201)
26.27	PNC Financial Srvcs (PNC), open position for written call option: 600 shares, strike \$90, exp. 2/2017	N/A			None (or less than \$201)
26.28	Procter & Gamble (PG), open position for written call option: 300 shares, strike \$85, exp. 1/2017	N/A			None (or less than \$201)
26.29	Tiffany & Co (TIF), open position for written call option: 600 shares, strike \$85, exp. 1/2017	N/A			None (or less than \$201)
26.30	Walt Disney Co (DIS), open position for written call option: 500 shares, strike \$100, exp. 1/2017	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.31	Alphabet Inc. Class C (GOOG), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
26.32	Apple Inc (AAPL), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
26.33	Bank of America Corp (BAC), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
26.34	Berkshire Hathaway (BRKB), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
26.35	Boeing Co (BA), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
26.36	Chevron Corporation (CVX), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
26.37	CSX Corp (CSX), closed position for written call option	N/A	None (or less than \$1,001)		None (or less than \$201)
26.38	Du Pont Ei De Nemour (DD), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
26.39	Exxon Mobil Corp (XOM), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
26.40	General Mills Inc (GIS), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
26.41	Goldman Sachs Group (GS), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
26.42	Goldman Sachs Group (GS), closed position for written call option	N/A	None (or less than \$1,001)		None (or less than \$201)
26.43	Intel Corp (INTC), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
26.44	Johnson & Johnson (JNJ), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
26.45	Mastercard Inc Class A (MA), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
26.46	Procter & Gamble (PG), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.47	Southern Company (SO), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
26.48	Wal-Mart Stores Inc (WMT), closed position for written call option	N/A	None (or less than \$1,001)		None (or less than \$201)
26.49	Wal-Mart Stores Inc (WMT), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
26.50	Wal-Mart Stores Inc (WMT), closed position for written call option	N/A	None (or less than \$1,001)		None (or less than \$201)
26.51	Alphabet Inc. Class C (GOOG)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
26.52	Bank of America Corp (BAC)	N/A	None (or less than \$1,001)		None (or less than \$201)
26.53	Berkshire Hathaway B New Class B (BRKB)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$5,001 - \$15,000
26.54	The Chemours Company (CC)	N/A	None (or less than \$1,001)		None (or less than \$201)
26.55	Cisco Systems Inc (CSCO)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$1,001 - \$2,500
26.56	CSX Corp (CSX)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$2,501 - \$5,000
26.57	Chevron Corporation (CVX)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$2,501 - \$5,000
26.58	Du Pont Ei De Nemours and Co (DD)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$1,001 - \$2,500
26.59	Walt Disney Co (DIS)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$201 - \$1,000
26.60	Fedex Corporation (FDX)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$201 - \$1,000
26.61	Intercontinental Exchange, Inc (ICE)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
26.62	Johnson & Johnson (JNJ)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.63	JP Morgan Chase & Co (JPM)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$1,001 - \$2,500
26.64	Kellogg Company (K)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
26.65	Mastercard Inc Class A (MA)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.66	Microsoft Corp (MSFT)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
26.67	Norfolk Southern Co (NSC)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.68	Procter & Gamble (PG)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
26.69	PNC Financial Services (PNC)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$201 - \$1,000
26.70	Siemens A G (SIEGY)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.71	Southern Company (SO)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$5,001 - \$15,000
26.72	Target Corporation (TGT)	N/A	None (or less than \$1,001)		None (or less than \$201)
26.73	Tiffany & Co (TIF)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
26.74	Exxon Mobil Corp (XOM)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
26.75	IBM Corp (IBM)	N/A	None (or less than \$1,001)		None (or less than \$201)
26.76	Goldman Sachs Group (GS)	N/A	None (or less than \$1,001)		None (or less than \$201)
26.77	Dow Chemical Company (DOW)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
26.78	Wal-Mart Stores Inc (WMT)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.79	Proshares Ultrashort Euro ETF (EUO)	Yes	\$100,001 - \$250,000		None (or less than \$201)
26.80	Guggenheim CurrencyShares British Pound Sterling ETF (FXB)	Yes	\$15,001 - \$50,000		None (or less than \$201)
26.81	Guggenheim CurrencyShares Swiss Franc ETF (FXF)	Yes	\$50,001 - \$100,000		None (or less than \$201)
26.82	US Cash Account #3	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
26.83	Ishares Russell 1000 ETF(IWB), open short position: 8291 shares at \$127	N/A			None (or less than \$201)
26.84	Ishares Russell 3000 ETF (IWW), closed short position	N/A	None (or less than \$1,001)		None (or less than \$201)
26.85	Vanguard Total Stock Market ETF (VTI), closed short position	N/A	None (or less than \$1,001)		None (or less than \$201)
26.86	3M Company (MMM)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.87	Alphabet Inc. Class C (GOOG)	N/A	\$50,001 - \$100,000		None (or less than \$201)
26.88	Anheuser-Busch InBev SA/NV (BUD)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
26.89	Berkshire Hathaway B New Class B (BRKB)	N/A	\$100,001 - \$250,000		None (or less than \$201)
26.90	CSX Corp (CSX)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.91	Darden Restaurants (DRI)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.92	Dentsply Sirona Inc (XRAY)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$201 - \$1,000
26.93	Dow Chemical Company (DOW)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.94	Dr Pepper Snapple Gp (DPS)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.95	Du Pont Ei De Nemours and Co (DD)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.96	General Electric Co (GE)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.97	General Mills Inc (GIS)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$201 - \$1,000
26.98	Intel Corp (INTC)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000
26.99	JP Morgan Chase & Co (JPM)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$1,001 - \$2,500
26.100	Microsoft Corp (MSFT)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000
26.101	Mondelez Intl Class A (MDLZ)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.102	Nestle S.A. (NSRGY)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
26.103	Norfolk Southern Co (NSC)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
26.104	Pepsico Incorporated (PEP)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.105	PNC Financial Services (PNC)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.106	Procter & Gamble (PG)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.107	Siemens A G (SIEGY)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.108	Southern Company (SO)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
26.109	Target Corporation (TGT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
26.110	The J. M. Smucker Company (SJM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.111	Four Corners Properties Trust, Inc (FCPT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
26.112	US Cash Account #4	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
26.113	Pinnacle Financial Partners, Inc (PNFP)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$201 - \$1,000
26.114	JP Morgan Chase Alerian MLP ETN (AMJ)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
26.115	Ryman Hospitality Properties, Inc (RHP)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000
26.116	Caldwell & Orkin Market Opportunity Fund (COAGX)	Yes	None (or less than \$1,001)		None (or less than \$201)
26.117	Eaton Vance Richard Bernstein All Asset Strategy I Fund (EIRAX)	Yes	None (or less than \$1,001)		None (or less than \$201)
26.118	Goldman Sachs Multi-Manager Alternative Instl Fund (GSMMX)	Yes	None (or less than \$1,001)		None (or less than \$201)
26.119	US Cash Account #5	N/A	\$250,001 - \$500,000		None (or less than \$201)
26.120	On Deck Cap Inc (ONDK)	N/A	\$15,001 - \$50,000		None (or less than \$201)
26.121	State of Michigan, bonds	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
26.122	West St Paul - Mendota Heights, MN, bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
26.123	State of New Hampshire, bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
26.124	Illinois Municipal Electric Agency, bonds	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
26.125	New York City Transitional Finance Authority, NY, bonds	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
26.126	Vanguard Short-Term Treasury Admiral Shares (VFIRX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.127	US Cash Account #6	N/A	\$250,001 - \$500,000		None (or less than \$201)
26.128	Crestwood Equity Partners LP (CEQP)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
26.129	Energy Transfer Equity LP (ETE)	N/A	\$250,001 - \$500,000	Dividends Capital Gains	\$15,001 - \$50,000
26.130	Energy Transfer Partners LP (ETP)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
26.131	Enterprise Products LP (EPD)	N/A	\$250,001 - \$500,000	Dividends Capital Gains	\$15,001 - \$50,000
26.132	Las Vegas Sands Corp (LVS)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
26.133	Nustar Group Holdings LLC (NSH)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
26.134	Plains All American LP (PAA)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$5,001 - \$15,000
26.135	Suburban Propane Partners LP (SPH)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
26.136	Vanguard Short-term Investment Grade Fund (VFSTX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
26.137	US Cash Account #7	N/A	\$1,001 - \$15,000		None (or less than \$201)
26.138	Alliance Holdings GP, LP (AHGP)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
26.139	Blueknight Energy Partners LP (BKEP)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
26.140	Cedar Fair, LP (FUN)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
26.141	Crestwood Equity Partners LP (CEQP)	N/A	None (or less than \$1,001)		None (or less than \$201)
26.142	Energy Transfer Equity LP (ETE)	N/A	\$250,001 - \$500,000	Dividends Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.143	Energy Transfer Partners LP (ETP)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$15,001 - \$50,000
26.144	Enterprise Products LP (EPD)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
26.145	EQT Midstream Partners LP (EQM)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.146	Nustar Group Holdings LLC (NSH)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
26.147	Oneok, Inc (OKE)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$5,001 - \$15,000
26.148	Spectra Energy Partners LP (SEP)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$5,001 - \$15,000
26.149	Spectra Energy Partners LP (SEP)	N/A	None (or less than \$1,001)		None (or less than \$201)
26.150	Teekay LNG Partners LP (TGP)	N/A	\$50,001 - \$100,000		None (or less than \$201)
26.151	Western Gas Partners LP (WES)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
26.152	US Cash Account #8	N/A	\$15,001 - \$50,000		None (or less than \$201)
26.153	Brinker International Inc, bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
26.154	Charles Schwab Corp, bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
26.155	Discover Financial Services, bond	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
26.156	General Electric Co, bonds	N/A	\$15,001 - \$50,000		None (or less than \$201)
26.157	Graham Holdings Co, bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
26.158	Humana Inc, bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.159	JP Morgan Chase & Co, bonds	N/A	\$15,001 - \$50,000		None (or less than \$201)
26.160	Juniper Networks Inc, bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
26.161	L Brands Inc, bonds	N/A	\$50,001 - \$100,000	Interest	\$5,001 - \$15,000
26.162	Lear Corp, bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
26.163	NASDAQ OMX Group, bonds	N/A	\$15,001 - \$50,000	Interest	\$5,001 - \$15,000
26.164	Pfizer Inc, bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
26.165	Pitney Bowes Inc, bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
26.166	PNC Financial Services, bonds	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
26.167	Qwest Corp, bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
26.168	Southern California Edison Co, bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
26.169	Stanley Black & Decker Inc, bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
26.170	Wells Fargo & Co, bonds	N/A	\$15,001 - \$50,000		None (or less than \$201)
26.171	Ares Capital Corp (ARCC)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
26.172	Apollo Invt Corp Com (AINV)	N/A	None (or less than \$1,001)		None (or less than \$201)
26.173	Aegon N.V. 8% Preferred (AEK)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
26.174	Aspen Insurance Holding Limited 5.95% Preferred (AHL.C)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.175	Citigroup Inc. 6.875% Preferred K (C.K)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
26.176	Entergy Louisiana LLC 4.875% (ELC)	N/A	None (or less than \$1,001)		None (or less than \$201)
26.177	Qwest Corp 7.375% Preferred (CTQ)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
26.178	U.S. Bancorp Preferred (USB.PRM)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
26.179	Wells Fargo & Co (WFC)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
26.180	US Cash Account #9	N/A	\$50,001 - \$100,000		None (or less than \$201)
26.181	Agilent Technologies (A)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
26.182	American Midstream Partners LP (AMID)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
26.183	Apple Inc (AAPL)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
26.184	Arista Networks (ANET)	N/A	\$15,001 - \$50,000		None (or less than \$201)
26.185	Booz Allen Hamilton Holding Corporation (BAH)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
26.186	BP Plc (BP)	N/A	None (or less than \$1,001)		None (or less than \$201)
26.187	CF Industries Holdings, Inc (CF)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
26.188	eBay Inc (EBAY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
26.189	Energy Transfer Equity LP (ETE)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
26.190	Enterprise Products LP (EPD)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.191	Equity Commonwealth Cumulative Preferred (EQC)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
26.192	Fedex Corporation (FDX)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
26.193	General Electric Co (GE)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.194	Gilead Sciences Inc (GILD)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
26.195	Goldman Sachs Group (GS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
26.196	Keysight Technologies Inc (KEYS)	N/A	None (or less than \$1,001)		None (or less than \$201)
26.197	LKQ Corp (LKQ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
26.198	LKQ Corp (LKQX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
26.199	Lyondellbasell Industries N.V. (LYB)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
26.200	Mondelez Intl Class A (MDLZ)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
26.201	Natera Inc (NTRA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
26.202	Newlink Genetics Corp (NLNK)	N/A	None (or less than \$1,001)		None (or less than \$201)
26.203	Nimble Storage (NMBL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
26.204	Nuance Communications Inc (NUAN)	N/A	None (or less than \$1,001)		None (or less than \$201)
26.205	Parker-Hannifin Corp (PH)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
26.206	Paypal Holdings Inc (PYPL)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.207	Roche Holding AG (RHHBY)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
26.208	Tenet Healthcare Corp (THC)	N/A	None (or less than \$1,001)		None (or less than \$201)
26.209	Wells Fargo & Co (WFC)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
26.210	Chatham Lodging Trust REIT (CLDT)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
26.211	Weyerhaeuser Co REIT (WY)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
26.212	Citigroup Inc. 6.875% - K Preferred (C.K)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
26.213	Endurance Specialty Holdings 7.5% (g3039) Preferred Stock	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
26.214	Equity Commonwealth Preferred 7.25% Cumulative (EQC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
26.215	HSBC Holdings Plc 8% Preferred (HSEB)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
26.216	Qwest Corp 7% Preferred (CTAA)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
26.217	Qwest Corp 7.5% Preferred (CTW)	N/A	None (or less than \$1,001)		None (or less than \$201)
26.218	US Cash Account #10	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
26.219	Coca-Cola European Partners Plc (CCE)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
26.220	Dow Chemical Company (DOW)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.221	Eaton Corporation Plc (ETN)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
26.222	Exxon Mobile Corp (XOM)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.223	Qualcomm Inc (QCOM)		N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
26.224	Princeton Fund LLC		Yes	\$500,001 - \$1,000,000		None (or less than \$201)
26.225	Goldman Sachs High Yield Floating Rate Fund (GSFRX)		Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
26.226	GS Artisan International Fund Inv Mutual Fund Class I		Yes	\$500,001 - \$1,000,000		None (or less than \$201)
26.227	Silverpeak Legacy Fund II, L.P.		Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
26.228	Silverpeak Legacy Fund III, L.P.		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
26.229	Goldman Sachs Distressed Managers IV LP	See Endnote	Yes	\$250,001 - \$500,000		None (or less than \$201)
26.230	Goldman Sachs Capital Partners VI Parallel/Whitehall Street Global Real Estate 2007 Access LP	See Endnote	Yes	\$250,001 - \$500,000		None (or less than \$201)
26.231	Goldman Sachs Liquidity Partners III/Mezzanine Partners V Access LP	See Endnote	Yes	\$50,001 - \$100,000		None (or less than \$201)
26.232	CSX Corp (CSX), closed position for written call option		N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
26.233	Dow Chemical Company (DOW), closed position for written call option		N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
26.234	IBM Corp (IBM), closed position for written call option		N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
26.235	Kellogg Company (K), closed position for written call option		N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
26.236	Apple Inc (AAPL)		N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$1,001 - \$2,500
26.237	Anheuser-Busch InBev SA/NV (BUD)		N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.238	Boeing Co (BA)		N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.239	General Mills Inc (GIS)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.240	Intel Corp (INTC)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.241	Nestle S.A. (NSRGY)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.242	Phillips 66 (PSX)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.243	Apple Inc (AAPL)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$1,001 - \$2,500
26.244	Boeing Co (BA)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
26.245	Chevron Corporation (CVX)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
26.246	Cisco Systems Inc (CSCO)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
26.247	Coca Cola Company (KO)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.248	Exxon Mobil Corp (XOM)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
26.249	Johnson & Johnson (JNJ)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
26.250	Mc Donalds Corp (MCD)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.251	Molson Coors Brewing Class B (TAP)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$1,001 - \$2,500
26.252	Proshares Ultrashort Euro ETF (EUO)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
26.253	Wal-Mart Stores Inc (WMT)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
26.254	RenaissanceRe Holdings LTD (RNR)	N/A	\$250,001 - \$500,000	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.255	Dover, NH, bonds	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
26.256	Schwab GNMA Fund (SWGSX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
26.257	Kinder Morgan Inc (KMI)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$2,501 - \$5,000
26.258	Blueknight Energy Partners LP Preferred A Shares (BKEPP)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
26.259	Expedia Inc, bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
26.260	IAC/InterActive Corp, bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
26.261	JP Morgan Chase & Co, bonds	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
26.262	Prudential Financial Inc, bonds	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
26.263	VeriSign Inc, bonds	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
26.264	Blueknight Energy Partners LP (BKEP)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
26.265	Cisco Systems Inc (CSCO)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
26.266	Energy Transfer Partners LP (ETP)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
26.267	Johnson & Johnson (JNJ)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
26.268	Microsoft Corp (MSFT)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
26.269	Two Harbors Investment Corp REIT (TWO)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
26.270	Ford Motor Company (F)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.271	SPDR Euro Stoxx 50 ETF (FEZ)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
26.272	SPDR S&P 500 ETF (SPY)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
26.273	Contour Opportunity Fund, LP	See Endnote	No	\$50,001 - \$100,000	None (or less than \$201)
26.273 .1	Bench Accounting (Accounting Software)		N/A		
26.273 .2	Bounce Exchange (Software and Services providing a solution for reducing site abandonment.)		N/A		
26.273 .3	Contently (Software and services helping brands and media companies start, maintain and add efficiency to content creation programs.)		N/A		
26.273 .4	Datadog (cloud-based monitoring service)		N/A		
26.273 .5	ShopKeep (Software and services. Point of sale system that gives merchants the power to operate and manage their business more easily and inexpensively.)		N/A		
26.274	Contour Venture Partners III, LP	See Endnote	No	\$15,001 - \$50,000	None (or less than \$201)
26.274 .1	Calendre Co. (mobile application for live events)		N/A		
26.274 .2	Ellevest Financial, Inc (Online wealth management company focused on financial services from a woman's perspective.)		N/A		
26.274 .3	Fanbank, Inc (marketing platform)		N/A		
26.274 .4	Financial Insight Tech., Inc (personal finance advice)		N/A		
26.274 .5	HowGood, Inc (online product ratings)		N/A		

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.274 .6	LeagueApps, Inc (Software and Services/Applied Technology. Provides a solution to easily set-up and manage a sports league for a community sport activity.)		N/A			
26.274 .7	MyPizza Tech (Online E-Commerce. Provides E-commerce fulfillment strategies for independent pizza shops across USA.)		N/A			
26.274 .8	Octane Lending, Inc (Software and Services. Offers software that allows Powersport Equipment Dealers to apply for financing from more lenders.)		N/A			
26.274 .9	Pathgather, Inc (Software and Services. Provides a social learning platform for employees in enterprises.)		N/A			
26.274 .10	Source3, Inc (Software and Services. Provides Enterprise Rights Managements platform for licensing and distribution intellectual property.)		N/A			
26.275	Contour Venture Partners II, LP	See Endnote	No	\$250,001 - \$500,000	Dividends Capital Gains	\$1,001 - \$2,500
26.275 .1	Scratch Music (Music and technology. Nationwide network of DJ's which is utilized for weddings event, tours and music festivals.)		N/A			
26.275 .2	Zeta Interactive (Content website focusing on the science, health and wellness of beauty.)		N/A			
26.275 .3	TiqIQ (Software and Services/Digital Media. Provides next generation social tools and analytics to the secondary market.)		N/A			
26.275 .4	Fin Tech Innovation Lab (mentorship program for startup companies)		N/A			
26.275 .5	Simplifi Holdings (Online advertising platform offering an innovative solution for search retargeting.)		N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.275 .6	NYC SeedStart (startup accelerator)	N/A			
26.275 .7	Voxy (Mobile and web education platform that helps users learn second languages.)	N/A			
26.275 .8	Movable Ink (Provides real time content management for email.)	N/A			
26.275 .9	Broadstreet Analytics (data analytics software)	N/A			
26.275 .10	Eachscape (Development platform for designing and managing mobile applications.)	N/A			
26.275 .11	ShopKeep ((Software and services. Point of sale system that gives merchants the power to operate and manage their business more easily and inexpensively.)	N/A			
26.275 .12	Zipmark (mobile payments transaction platform)	N/A			
26.275 .13	Contently (Software and services helping brands and media companies start, maintain and add efficiency to content creation programs.)	N/A			
26.275 .14	Routehappy (Software and service to aggregate a broad and deep set of data in the air travel industry.)	N/A			
26.275 .15	Estimize (open financial estimates platform)	N/A			
26.275 .16	FieldLens (Software services and applied technology to provide a mobil based construction management solution to the construction industry.)	N/A			
26.275 .17	Bench Accounting (Accounting Software)	N/A			
26.275 .18	Compare Networks (online media for science and healthcare manufacturers)	N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.275 .19	Bounce Exchange (Software and Services providing a solution for reducing site abandonment.)		N/A			
26.275 .20	EveryScreen (Distillery) (Online advertising solution based on social graph data.)		N/A			
26.275 .21	Pendo (platform for software usage and feedback)		N/A			
26.275 .22	Yhat (data science)		N/A			
26.275 .23	Emergent Properties (software for building maintenance)		N/A			
26.275 .24	Pathgather (Software and Services. Provides a social learning platform for employees in enterprises.)		N/A			
26.275 .25	Octane Lending, Inc. (Software and Services. Offers software that allows Powersport Equipment Dealers to apply for financing from more lenders.)		N/A			
26.275 .26	Source3, Inc ((Software and Services. Provides Enterprise Rights Management platform for licensing and distribution intellectual property.)		N/A			
26.275 .27	Radius Networks (mobile proximity beacons and services)		N/A			
26.275 .28	Calendre Co. (mobile application for live events)		N/A			
26.276	Contour Venture Partners, LP	See Endnote	No	\$250,001 - \$500,000	Dividends Capital Gains	\$5,001 - \$15,000
26.276 .1	Distillery (Online advertising solution based on social graph data.)		N/A			
26.276 .2	Punchbowl Software (Provides a web application for comprehensive end-to-end event and party planning needs.)		N/A			
26.276 .3	Pandora (Recommendation service powered by the Music Genome Project.)		N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
26.276 .4	Scratch Music (Music and technology. Nationwide network of DJ's which is utilized for weddings event, tours and music festivals.)	N/A			
26.276 .5	Zeta Interactive (Content website focusing on the science, health and wellness of beauty.)	N/A			
26.276 .6	Collective Meida/Oggifinogi (digital advertising)	N/A			
26.276 .7	TiqIQ ((Software and Services/Digital Media. Provides next generation social tools and analytics to the secondary market.)	N/A			
26.276 .8	DataDog (cloud-based monitoring service)	N/A			
26.276 .9	Simplifi Holdings (Online advertising platform offering an innovative solution for search retargeting.)	N/A			
26.276 .10	Moveable Ink (Provides real time content management for email.)	N/A			
26.276 .11	Linguabyte (online English instruction)	N/A			
26.276 .12	Broad Street Analytics (data analytics software)	N/A			
26.277	Berkshire Hathaway (BRKB), open position for written call option: 200 shares, strike \$155, exp. 6/2017	N/A			None (or less than \$201)
26.278	TriStar License Group, LLC (wireless telecom spectrum license holder for rural US markets.)	N/A	\$50,001 - \$100,000		None (or less than \$201)
27	Main Street Management	No			
27.1	US Bank Account #11	N/A	\$1,001 - \$15,000		None (or less than \$201)
27.2	Roundstone Ventures, LLC (5% ownership interest)	See Endnote	No		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
28	Loan receivable from DC1 Irrev Trust	N/A	\$15,001 - \$50,000		None (or less than \$201)
29	Agent Hero (Equity Investment. Online real estate services - US only)	N/A	\$15,001 - \$50,000		None (or less than \$201)
30	Eakin Partners, LLC (Local real estate investments in Nashville, TN market)	No	\$250,001 - \$500,000	Rent or Royalties	\$5,001 - \$15,000
30.1	Burton 6, LLC (Office building in Nashville, TN)	N/A			
30.2	4th and Commerce, LLC (Commercial Real Estate in Nashville, TN)	N/A			
30.3	EP Grassmere, LLC (Commercial Real Estate in Nashville, TN)	N/A			
31	DataCo Solutions (data-based analytical marketing services)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
32	HCP JAC Investors, LP	No	\$250,001 - \$500,000		None (or less than \$201)
32.1	JAC (MI manufacturer of vehicle roof racks)	N/A			
33	Loan receivable from DC2 Irrev Trust	N/A	\$15,001 - \$50,000		None (or less than \$201)
34	Loan receivable from DC3 Irrev Trust	N/A	\$15,001 - \$50,000		None (or less than \$201)
35	Loan receivable from DC4 Irrev Trust	N/A	\$15,001 - \$50,000		None (or less than \$201)

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Contour Opportunity Fund, LP	Capital Commitment	\$100,001 - \$250,000	2015	N/A	10 years
2	Contour Venture Partners II, LP	Capital Commitment	\$50,001 - \$100,000	2010	N/A	10 years
3	Contour Venture Partners III, LP	Capital Commitment	\$100,001 - \$250,000	2014	N/A	10 years
4	Bank of America Mortgage	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2003	Floating	30 year
5	Goldman Sachs Distressed Managers IV LP	Capital commitment	\$250,001 - \$500,000	2007	N/A	10 years
6	Goldman Sachs Capital Partners VI Parallel/Whitehall Street Global Real Estate 2007 Access LP	Capital Commitment	\$50,001 - \$100,000	2007	N/A	10 years
7	Goldman Sachs Liquidity Partners III/Mezzanine Partners V Access LP	Capital commitment	\$100,001 - \$250,000	2007	N/A	10 years

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	11	Hagerty Peterson is a limited liability company that, in the past, has made and held equity investments. It has been inactive since 2010. If I am confirmed, it will remain inactive during the entire period of my federal government service.
2.	5	This is a sole proprietorship whose sole source of income is from my director fees.
6.	26	Pass-through entity for assets listed below. The value and income amount for this asset reflect the 5% ownership stake of Main Street Mangement. See line 27 of Part 6.

PART	#	ENDNOTE
6.	26.229	2016 income for this holding has not yet been reported to the filer; the income reported above is a good faith estimate based on the most recent capital analysis received from the fund manager.
6.	26.230	2016 income for this holding has not yet been reported to the filer; the income reported above is a good faith estimate based on the most recent capital analysis received from the fund manager.
6.	26.231	2016 income for this holding has not yet been reported to the filer; the income reported above is a good faith estimate based on the most recent capital analysis received from the fund manager.
6.	26.273	2016 income for this holding has not yet been reported to the filer; the income reported above is a good faith estimate based on the most recently available Schedule K-1.
6.	26.274	2016 income for this holding has not yet been reported to the filer; the income reported above is a good faith estimate based on the most recently available Schedule K-1.
6.	26.275	2016 income for this holding has not yet been reported to the filer; the income reported above is a good faith estimate based on the most recently available Schedule K-1
6.	26.276	2016 income for this holding has not yet been reported to the filer; the income reported above is a good faith estimate based on the most recently available Schedule K-1
6.	27.2	The value and income amounts of this asset are incorporated in the Roundstone Ventures, LLC assets beginning on line 26 of part 6.

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 that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income 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 that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income 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, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income 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 of income was produced). 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 \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 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 \$150 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 three 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.

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