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

Filer's Information

Bolton, John

Assistant to the President, National Security Advisor, White House

Date of Appointment: 04/09/2018

Other Federal Government Positions Held During the Preceding 12 Months:
None

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/ Bolton, John R [electronically signed on 05/01/2018 by Bolton, John R 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/ Passantino, Stefan, Certifying Official [electronically signed on 05/16/2018 by Passantino, Stefan in Integrity.gov]

Other review conducted by
/s/ Gast, Scott F, Ethics Official [electronically signed on 05/10/2018 by Gast, Scott F in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 07/10/2018 by Apol, David in Integrity.gov]

Data Revised 06/18/2018

Data Revised 06/12/2018

Data Revised 06/11/2018

Data Revised 06/08/2018

Data Revised 06/04/2018

Data Revised 05/31/2018

Data Revised 05/30/2018

Data Revised 05/29/2018

Data Revised 05/01/2018

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Diamond Offshore Drilling	Houston, Texas	Corporation	Board Director	2/2007	4/2018
2	Fox News	New York, New York	Corporation	contributor	5/2007	4/2018
3	American Enterprise Institute	Washington, District of Columbia	Non-Profit	Senior Fellow	1/2007	4/2018
4	Eden Springs	Barcelona, Outside U.S.	Corporation	Board of Directors	10/2013	7/2016
5	Garda World	Montreal, Outside U.S.	Corporation	board of directors	3/2017	4/2018
6	Rhone Group	New York, New York	Corporation	Advisor	9/2013	4/2018
7	Gatestone Institute	New York, New York	Non-Profit	Chairman of Board and Advisor	3/2013	4/2018
8	Hamilton Society	Washington, District of Columbia	Non-Profit	Board of Directors	2/2016	4/2018
9	Advanced Plasma Technology	Mumbai, Outside U.S.	Corporation	Board of Directors	1/2017	1/2018
10	Counter Extremism Project	New York, New York	Non-Profit	Advisor	9/2015	4/2018
11	Kirkland & Ellis	Chicago, Illinois	Law Firm	of Counsel	1/2008	4/2018
12	American Conservative Union	Washington, District of Columbia	Non-Profit	Board Director	12/2006	4/2018

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
13	John Bolton PAC	Washington, District of Columbia	Political Organization	Chairman	3/2013	4/2018
14	John Bolton Super PAC	Washington, District of Columbia	Political Organization	Chairman	3/2013	4/2018
15	Foundation for American Security & Freedom	Washington, District of Columbia	Non-Profit	Chairman	12/2014	4/2018
16	National Review Institute	New York, New York	Non-Profit	Member, Board of Trustees	7/2013	4/2018
17	Leadership Insitute	Arlington, Virginia	Non-Profit	Member, International Advisory Board	6/2017	4/2018

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Diamond Offshore Drilling, stock appreciation rights (value not readily ascertainable): 500 vested shares, grant $140.54, exp. 7/2018; 500 vested shares, grant $103.02, exp. 10/2018; 500 vested shares, grant $64.51, exp. 4/2019; 500 vested shares, grant $83.57, exp. 7/2019; 500 vested shares, grant $95.61, exp. 10/2019; 500 vested shares, grant $99.16, exp. 1/2020; 500 vested shares, grant $87.65, exp. 4/2020; 500 vested shares, grant $61.79, exp. 7/2020; 500 vested shares, grant $68.52, exp. 10/2020; 500 vested shares, grant $66.38, exp. 1/2021; 500 vested shares, grant $78.90, exp. 4/2021; 500 vested shares, grant $70.38, exp. 7/2021; 500 vested shares, grant $55.64, exp. 10/2021; 1000 vested shares, grant $55.72, exp. 1/2022; 1000 vested shares, grant $66.68, exp. 4/2022; 1000 vested shares, grant $59.19, exp. 7/2022; 1000 vested shares, grant $66.04, exp. 10/2022; 1000 vested shares, grant $67.47, exp. 1/2023; 1000 vested shares, grant $69.71, exp. 4/2023; 1000 vested shares, grant $68.62, exp. 7/2023; 1000 vested shares, grant $62.31, exp. 10/2023; 1000 vested shares, grant $56.55, exp. 1/2024; 1000 vested shares, grant $48.36, exp. 4/2024; 1000 vested shares, grant $49.57, exp. 7/2024; 1000 vested shares, grant $34.54, exp. 10/2024; 1000 vested shares, grant $37.16, exp. 1/2025; 1000 vested shares, grant $26.69, exp. 4/2025; 1000 vested shares, grant $25.88, exp. 7/2025; 1000 vested shares, grant $20.93, exp. 1/2026; 1000 vested shares, grant $21.54, exp. 4/2026; 1000 vested shares, grant $24.02, exp. 7/2026.	See Endnote	N/A		Ordinary income	$19,310
2	Diamond Offshore Drilling		N/A		Director fees	$81,500
3	Fox News		N/A		Salary	$569,423

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	American Enterprise Institute		N/A		Salary	$240,000
5	Garda World (security services, risk assessment)		N/A		Director fees	$63,073
6	Rhone Group (private equity)		N/A		Advisory fees	$122,600
7	Rhone Group (private equity), advisory fee receivable (value not readily ascertainable)	See Endnote	N/A			None (or less than $201)
8	Gatestone Institute		N/A		Board and advisory fees	$155,000
9	Counter Extremism Project United		N/A		Consulting fees	$165,000
10	Equivest SEP IRA		No			
10.1	Charter Multi-Sector Bond Portfolio		Yes	$100,001 - $250,000		None (or less than $201)
10.2	EQ3 Common Stock Index		Yes	$100,001 - $250,000		None (or less than $201)
10.3	EQ3 Large Cap Growth Portfolio		Yes	$1,001 - $15,000		None (or less than $201)
10.4	EQ3 Multimanager Aggressive Equity Portfolio		Yes	$250,001 - $500,000		None (or less than $201)
10.5	SEP Guaranteed Interest Account (cash account)		N/A	$100,001 - $250,000		None (or less than $201)
11	Equivest IRA		No			
11.1	EQ3 Common Stock Index		Yes	$100,001 - $250,000		None (or less than $201)
11.2	EQ3 Multimanager Aggressive Equity Portfolio		Yes	$100,001 - $250,000		None (or less than $201)
11.3	EQ3 International Equity		Yes	$50,001 - $100,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	John R. Bolton Solo DB, defined benefit plan	N/A	$1,000,001 - $5,000,000		None (or less than $201)
12.1	AXA Growth Strategies Portfolio	Yes	$1,000,001 - $5,000,000		None (or less than $201)
13	TIAA-CREF Annuity	No			
13.1	CREF Equity Index	Yes	$100,001 - $250,000		None (or less than $201)
13.2	CREF Global Equity	Yes	$15,001 - $50,000		None (or less than $201)
13.3	CREF Growth	Yes	$50,001 - $100,000		None (or less than $201)
13.4	CREF Stock	Yes	$100,001 - $250,000		None (or less than $201)
13.5	TIAA Real Estate	Yes	$15,001 - $50,000		None (or less than $201)
13.6	TIAA Traditional Annuity	N/A	$15,001 - $50,000		None (or less than $201)
14	TIAA-CREF 403B	No			
14.1	CREF Equity Index	Yes	$15,001 - $50,000		None (or less than $201)
14.2	CREF Gobal Equities	Yes	$50,001 - $100,000		None (or less than $201)
14.3	CREF Growth	Yes	$50,001 - $100,000		None (or less than $201)
14.4	CREF Stock	Yes	$100,001 - $250,000		None (or less than $201)
14.5	TIAA Traditional Annuity	N/A	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15	Mass Mutual 403b	No			
15.1	Vanguard Target Retirement 2015	Yes	$100,001 - $250,000		None (or less than $201)
16	U.S. brokerage				
16.1	Diamond Drilling stock	N/A	None (or less than $1,001)	Capital Gains	$15,001 - $50,000
16.2	U.S. brokerage cash account	N/A	$15,001 - $50,000		None (or less than $201)
17	American Friends of Magen David Adon - 3/11/18	N/A		Speaking fee	$20,000
18	Jerusalem Chai Dinner - 6/5/2017	N/A		Speaking fee	$5,000
19	Arizona State U. - 3/16/2017	N/A		Speaking fee	$25,000
20	Bet El Dinner - 12/3/17	N/A		Speaking fee	$7,500
21	The Hill - articles published 7/17/17, 8/13/17, 8/20/17, 9/11/17, 10/9/17, 10/23/17,11/15/17, 12/28/17, 12/29/17, 1/2/18, 1/24/18, 1/31/18	N/A		Writing fees	$12,000
22	Charles Taylor Dinner - 12/16/17	N/A		Speaking fee	$10,000
23	Frager Dinner, Young Israel Chovevi - 4/13/17	N/A		Speaking fee	$2,500
24	Israel Day Dinner - 6/4/17	N/A		Speaking fee	$5,000
25	Colorado Christian University - 7/21/17	N/A		Speaking fee	$8,000
26	Coptic Soladarity dinner - 6/16/17	N/A		Speaking fee	$5,000
27	Daily Telegraph - articles published 1/23/17, 2/14/17, 7/10/17, 12/14/17	N/A		Writing fees	$1,404
28	Endowment for Middle East Truth - 9/11/17, 1/9/18	N/A		Speaking fees	$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
29	Flagler County Republicans - 11/10/17	N/A		Speaking fee	$10,000
30	Friends of Israel Defense Forces - 1/7/18	N/A		Speaking fee	$20,000
31	Globe Events--European Iranian Events - 7/1/17	N/A		Speaking fee	$40,000
32	Guardian of Zion, Rennert Center - 5/29/17	N/A		Speaking fee, award recipient	$100,000
33	David Horowitz Freedom Foundation - 3/8/17	N/A		Speaking fee	$10,000
34	Human Rights Voices - 4/28/17, 10/26/17	N/A		Speaking fees	$7,000
35	Lincoln Club, Coachella, CA - 11/2/17	N/A		Speaking fee	$20,000
36	National Conference of State Legislatures - 8/9/17	N/A		Speaking fee	$12,500
37	North American Taiwanese Professors Association (NATPA) - 8/5/17	N/A		Speaking fee	$2,000
38	NEWS UK (Times of London) - articles published 11/15/16 (paid in 2017), 4/2/17 and 4/2/17	N/A		Writing fees	$2,106
39	Newsmax Media - June issue 2017	N/A		Writing fee	$2,000
40	NY Post - articles published 4/17/17, 5/22/17, 7/5/17, 9/6/17	N/A		Writing fees	$1,600
41	Pinchuk Foundation, YES Conference - 9/25/17 and 2/17/18	N/A		Speaking fees	$115,000
42	Pope Foundation - 5/12/17	N/A		Speaking fee	$15,000
43	San Francisco Republicans - 8/17/17	N/A		Speaking fee	$12,500
44	Skidaway Island Republican Club - 2/19/18	N/A		Speaking fee	$7,500
45	Smith County Republicans - 1/18/17 and 3/16/18	N/A		Speaking fees	$10,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
46	Texas A&M U. - 3/13/18	N/A		Speaking fee	$7,000
47	Pittsburgh Tribune - articles published 1/8/17, 2/12/17, 3/12/17, 4/9/17, 5/14/17, 6/11/17,7/9/17, 8/13/17, 9/10/17, 10/8/17, 11/12/17, 12/10/17, 1/14/18, 2/11/18, 3/11/18	N/A		Writing fees	$15,000
48	University of Richmond - 3/31/17	N/A		Speaking fee	$1,500
49	US Foundation for Liberty - 4/6/17, 9/20/17	N/A		Speaking fees	$20,000
50	Washington Speakers Bureau	N/A			
50.1	NMS Management - 2/4/17	N/A		Speaking fee (after Bureau commission)	$24,000
50.2	AmeriQuest Transportation & Logistics - 2/16/17	N/A		Speaking fee (after Bureau commission)	$20,000
50.3	Reyes Holdings LLC - 2/23/17	N/A		Speaking fee (after Bureau commission)	$20,000
50.4	Hoover Institution - 2/16/17	N/A		Speaking fee (after Bureau commission)	$16,000
50.5	Women of Washington - 7/19/17	N/A		Speaking fee (after Bureau commission)	$8,000
50.6	First National Bankers Bank - 6/14/17	N/A		Speaking fee (after Bureau commission)	$20,000
50.7	Oklahoma City Town Hall - 10/18/17	N/A		Speaking fee (after Bureau commission)	$18,200

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
50.8	Deutsche Bank - 5/16/17	N/A		Speaking fee (after Bureau commission)	$72,000
50.9	HSBC - 6/6/17, 8/4/17	N/A		Speaking fee (after Bureau commission)	$46,500
51	Wall Street Journal (Dow Jones) - articles published 12/27/16, 1/17/17, 2/6/17, 2/13/17, 3/8/17, 4/6/17, 5/23/17, 6/29/17, 8/3/17, 9/8/17, 9/29/17, 10/16/17, 11/21/17, 12/26/17, 1/16/18, 3/1/18	N/A		Writing fees	$12,700
52	Diamond Offshore Drilling, receivable for director fees earned prior to resignation	N/A	$1,001 - $15,000		None (or less than $201)
53	"Surrender Is Not an Option" Threshold Editions (value not readily ascertainable)	N/A			None (or less than $201)
54	"How Barack Obama is Endangering our National Sovereignty" Encounter Books (value not readily ascertainable)	N/A			None (or less than $201)
55	The Hill - anitcipated writting fees for articles published 2/12/18, 2/19/18	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	Diamond Offshore Drilling	Houston, Texas	(1) I will receive payment in the amount of $1,098.90 for prorated Directors fees, for services furnished until my resignation, which was effective on April 8, 2018, in accordance with standard policies for departing Directors. (2) Stock appreciation rights (SARs) were granted quarterly to all Directors as compensation. Standard terms provide the SAR grants vest upon issuance, with a 10-year duration and no value upon expiration. No additional SARs were granted after my separation. I will exercise unexpired SAR grants by aquiring and selling stock under the terms of the grants, or will forfeit the unexpired SAR grants. SARs will be exercised or forfeited within 90 days of be being directed to divest in accordance with 5 CFR 2635.403(d).	2/2007
2	Rhone Group	New York, New York	Pursuant to my contract with the firm, I will receive an advisory fee payment for services attributable to me up to the date of my resignation from the firm, which became effective on April 8, 2018. I will receive the payment in the second quarter of 2018 pursuant to standard company policies in the form of an advisory fee payment related to firm performance while I was providing services to the firm. No further advisory fees accrued after my separation.	9/2013
3	American Enterprise Institute	Washington, District of Columbia	I will continue to maintain assets in these defined contribution plans until they are rolled over into an IRA. The plan sponsor and I will not make further contributions after my separation, which was effective on April 8, 2018, apart from standard contributions made after my final salary payment for services up to April 8, 2018.	1/2007
4	John R. Bolton Solo DB	Bethesda, Maryland	The account will be rolled over (recharacterized) as an IRA.	1/2009
5	The Hill	Washington, District of Columbia	I will receive payment for articles I authored that were published on 2/12/18 and 2/19/18, on terms established prior to publication.	2/2018

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Diamond Offshore Drilling	Houston, Texas	Board of Directors
2	Fox News	New York, New York	Commentator
3	American Enterprise Institute	Washington, District of Columbia	Senior Fellow-scholar
4	Garda World	Montreal, Outside U.S.	Board of Directors
5	Rhone Group	New York, New York	Senior Advisor
6	Gatestone Institute	New York, New York	Chairman of Board
7	Counter Extremism Project	New York, New York	Advisor, Advisory board
8	American Freedom Alliance	Encino, California	Speaking
9	AFMDA-Am. Friends of Magen David	New York, New York	Speaking
10	Arizona State University	Tempe, Arizona	Speaking
11	Bet El Yeshiva	New York, New York	Speaking
12	Benos Menachem	New York, New York	Speaking
13	Cornerstone Church	Bowie, Maryland	Speaking

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
14	Capital Hill Publications (The HILL)	Washington, District of Columbia	Writing
15	North Carolina Republicans (Charles Taylor)	Raleigh, North Carolina	Speaking
16	Chovevei Zion	Skokie, Illinois	Speaking
17	Colorado Christian University	Lakewood, Colorado	Speaking
18	Denton County Republicans	Denton, Texas	Speaking
19	Eden Springs	New York, New York	Board of Directors
20	Flagler County Republicans	Palm Coast, Florida	Speaking
21	Friends of Israel Defense Forces	New York, New York	Speaking
22	Globe Events	Failsworth, Outside U.S.	Speaking
23	Guardian of Zion	Jerusalem, Outside U.S.	Award and Speech
24	David Horowitz Freedom Center	Sherman Oaks, California	Speaking
25	Human Rights Voices	New York, New York	Speaking
26	Lincoln Club of Coachella	La Quinta, California	Speaking
27	Old Fashioned Franchise Association (Wendy's)	Modesto, California	Speaking
28	Park East Synagogue	New York, New York	Speaking

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
29	National Conf of State Legislatures	Washington, District of Columbia	Speaking
30	Pinchuk Foundation	Kiev, Outside U.S.	Speaking
31	Pope Foundation	Washington, District of Columbia	Speaking
32	Steamboat Institute	Steamboat Springs, Colorado	Speaking
33	San Francisco Republicans	San Franciso, California	Speaking
34	Pittsburgh Tribune	Pittsburgh, Pennsylvania	Writing
35	Skidaway Island Republican Party	Skidaway Island, Georgia	Speaking
36	Texas A&M Univ	College Station, Texas	Speaking
37	US Foundation for Liberty	Washington, District of Columbia	Speaking
38	Washington Speakers Bureau	Alexandria, Virginia	Speaking engagements as arranged by Bureau, which is paid a commission for each engagement.
39	Wall Street Journal (Dow Jones)	New York, New York	Writing
40	NY Post	New York, New York	Writing
41	Smith County Republicans	Tyler, Texas	Speaking
42	AmeriQuest Transportation and Logistics	Cherry Hill, New Jersey	Speaking

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
43	Reyes Holdings LLC	Rosemont, Illinois	Speaking
44	Hoover Institution	Stanford, California	Speaking
45	Women of Washington	Mercer Island, Washington	Speaking
46	First National Bankers Bank	Baton Rouge, Louisiana	Speaking
47	Oklahoma City Town Hall	Oklahoma City, Oklahoma	Speaking
48	Deutsche Bank	Frankfurt, Germany, Outside U.S.	Speaking
49	HSBC	London, United Kingdom, Outside U.S.	Speaking
50	United Jewish Federation of NENY	Albany, New York	Speaking
51	Men’s Dinner Club of Oklahoma City	Oklahoma City, Oklahoma	Speaking
52	Premiere Speakers Bureau	Franklin, Tennessee	Speaking
53	NMS Management	Melville, New York	Speaking

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Equivest IRA	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1	EQ3 Common Stock Index	Yes	$15,001 - $50,000		None (or less than $201)
1.2	EQ3 Global Multi-Sector Equity Portfolio	Yes	$1,001 - $15,000		None (or less than $201)
1.3	EQ3 Multimanager Aggressive Equity Portfolio	Yes	$1,001 - $15,000		None (or less than $201)
1.4	EQ3 International Equity Index	Yes	$1,001 - $15,000		None (or less than $201)
2	AXA Pension, cash balance pension plan	N/A	$50,001 - $100,000		None (or less than $201)
3	AXA 401K	No			
3.1	AXA S.A. ADR (AXAHY)	N/A	$1,001 - $15,000		None (or less than $201)
3.2	AXA 2010 Target Allocation Portfolio	Yes	$50,001 - $100,000		None (or less than $201)
3.3	BlackRock Equity Index	Yes	$100,001 - $250,000		None (or less than $201)
3.4	EQ/Gamco Small Value Portfolio	Yes	$15,001 - $50,000		None (or less than $201)
3.5	Dodge & Cox International Stock Fund	Yes	$15,001 - $50,000		None (or less than $201)
3.6	Fidelity Fixed Income Fund	Yes	$1,001 - $15,000		None (or less than $201)
3.7	Metropolitan West Total Return Bond	Yes	$50,001 - $100,000		None (or less than $201)
3.8	MFS International Growth Fund	Yes	$15,001 - $50,000		None (or less than $201)
4	Self-funded 401K	N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.1	Templeton Growth Fund		Yes	$1,001 - $15,000		None (or less than $201)
4.2	Neuberger-Berman Genesis Fund		Yes	$1,001 - $15,000		None (or less than $201)
4.3	Multi-manager Core Bond Portfolio		Yes	$15,001 - $50,000		None (or less than $201)
4.4	Federated High Income Bond Fund		Yes	$1,001 - $15,000		None (or less than $201)
4.5	EQ/Capital Guardian Research Portflio		Yes	$1,001 - $15,000		None (or less than $201)
4.6	AXA/AB Small Cap Growth Portfolio		Yes	$50,001 - $100,000		None (or less than $201)
4.7	AXA MidCap Value Managed Volatility Portfolio		Yes	$50,001 - $100,000		None (or less than $201)
4.8	AXA Large Cap Value Managed Volatility Portfolio		Yes	$50,001 - $100,000		None (or less than $201)
5	AXA Advisors LLC and AXA Network		N/A		Fees and commissions	
6	AXA S.A. ADR (AXAHY)	See Endnote	N/A	$1,001 - $15,000		None (or less than $201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brokerage account #1	No			
1.1	AO Smith Corp (AOS)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2	AMG GW&K Core Bond Fund (MBDFX)	Yes	$100,001 - $250,000		$5,001 - $15,000
1.3	Bank of America (BAC)	N/A	$1,001 - $15,000	Dividends	$201 - $1,000
1.4	Berkshire Hathaway Inc. (BRK.B)	N/A	$100,001 - $250,000		None (or less than $201)
1.5	Amazon.com, Inc. (AMZN)	N/A	$250,001 - $500,000		None (or less than $201)
1.6	American Century Ultra Fund Inv Class (TWCUX)	Yes	$15,001 - $50,000		$1,001 - $2,500
1.7	BlackRock Latin America Fund Inst Shares (MALTX)	Yes	$15,001 - $50,000		$201 - $1,000
1.8	Brown Advisory Maryland Bond Inv (BIAMX)	Yes	$100,001 - $250,000		$1,001 - $2,500
1.9	Cooper Companies Inc (COO)	N/A	$15,001 - $50,000	Dividends	None (or less than $201)
1.10	Cummins Inc (CMI)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
1.11	Deutsche Strategic High Yield Tax-Free Fund Cl S (SHYTX)	Yes	$100,001 - $250,000		$5,001 - $15,000
1.12	Eaton Vance Maryland Municipal Inc Fund Cl A (ETMDX)	Yes	$100,001 - $250,000		$5,001 - $15,000
1.13	Enterprise Products Partners L.P. (EPD)	N/A	$15,001 - $50,000	Dividends	$1,001 - $2,500
1.14	American Funds EuroPacific Gr Fund Cl F-2 (AEPFX)	Yes	$100,001 - $250,000		$1,001 - $2,500
1.15	Expeditors International of Washington (EXPD)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
1.16	Exxon Mobil Corp (XOM)	N/A	$15,001 - $50,000	Dividends	$1,001 - $2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.17	Fastenal Company (FAST)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
1.18	Fidelity Advisor Biotechnology I (FBTIX)	Yes	$100,001 - $250,000		None (or less than $201)
1.19	General Electric Co (GE)	N/A	$15,001 - $50,000	Dividends	$1,001 - $2,500
1.20	Gilead Sciences, Inc (GILD)	N/A	$1,001 - $15,000		None (or less than $201)
1.21	iShares (Dow Jones) Transportation Average ETF (IYT)	Yes	$15,001 - $50,000		$201 - $1,000
1.22	Landstar System, Inc (LSTR)	N/A	$100,001 - $250,000	Dividends	$1,001 - $2,500
1.23	Martin Marietta Materials, Inc (MLM)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
1.24	MAI Managed Volatility Fund Inst Cl (MAPIX)	Yes	$100,001 - $250,000		$5,001 - $15,000
1.25	Medtronic PLC (MDT)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
1.26	Merck & Co Inc (MRK)	N/A	$100,001 - $250,000	Dividends	$5,001 - $15,000
1.27	Microsoft Corporation (MSFT)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
1.28	Monsanto Co (MON)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
1.29	Morgan Stanley (MS)	N/A	$50,001 - $100,000	Dividends	$1,001 - $2,500
1.30	Oppenheimer Developing Markets Fund Cl Y (ODVYX)	Yes	$100,001 - $250,000		$1,001 - $2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.31	Oppenheimer Int'l Bond Fund Cl A (OIBAX)	Yes	$100,001 - $250,000		$5,001 - $15,000
1.32	Oppenheimer Senior Floating Rate Fund Cl Y (OOSYX)	Yes	$100,001 - $250,000		$2,501 - $5,000
1.33	PowerShares Dynamic Market ETF (PWC)	Yes	$100,001 - $250,000		$1,001 - $2,500
1.34	Guggenheim S&P 500 Equal Weight ETF (RSP)	Yes	$100,001 - $250,000		$1,001 - $2,500
1.35	Guggenheim S&P Midcap 400 Pure Growth ETF (RFG)	Yes	$100,001 - $250,000		$201 - $1,000
1.36	TCW Total Return Bond Fund Cl I (TGLMX)	Yes	$100,001 - $250,000		$2,501 - $5,000
1.37	Thornburg Int'l Growth Fund Cl I (TINGX)	Yes	$100,001 - $250,000		$201 - $1,000
1.38	Thornburg Int'l Value Fund Cl I (TGVIX)	Yes	$100,001 - $250,000		$1,001 - $2,500
1.39	Tocqueville Gold Fund (TGLDX)	Yes	$1,001 - $15,000		None (or less than $201)
1.40	Tortoise MLP & Pipeline Fund Inst Cl (TORIX)	Yes	$50,001 - $100,000		$1,001 - $2,500
1.41	Vanguard Extended Market ETF (VXF)	Yes	$15,001 - $50,000		$1,001 - $2,500
1.42	Vanguard Small-Cap ETF (VB)	Yes	$100,001 - $250,000		$1,001 - $2,500
1.43	Vanguard Total Bond Market Index Fund Investor Shares (VBMFX)	Yes	$100,001 - $250,000		$2,501 - $5,000
1.44	Vanguard Total Stock Market ETF (VTI)	Yes	$250,001 - $500,000		$5,001 - $15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.45	Vulcan Materials Co (VMC)	N/A	$50,001 - $100,000	Dividends	$201 - $1,000
1.46	Walt Disney Co (DIS)	N/A	$50,001 - $100,000	Dividends	$1,001 - $2,500
1.47	Zimmer Biomet Holdings (ZBH)	N/A	$15,001 - $50,000	Dividends	$201 - $1,000
2	Brokerage account #2	No			
2.1	AllianceBern High Income A (AGDAX)	Yes	$1,001 - $15,000		$201 - $1,000
2.2	AllianceBern Muni Income Natl Fund A (AFB)	Yes	$1,001 - $15,000		$201 - $1,000
2.3	AllianzGI NFJ Mid-Cap Value Fund Cl A (PQNAX)	Yes	$15,001 - $50,000		None (or less than $201)
2.4	AT&T Inc (T)	N/A	$15,001 - $50,000	Dividends	$2,501 - $5,000
2.5	AXA S.A. OTC (AXAHF)	N/A	$1,001 - $15,000		None (or less than $201)
2.6	AXA S.A. ADR (AXAHY)	N/A	$15,001 - $50,000	Dividends	$1,001 - $2,500
2.7	CenturyLink Inc (CTL)	N/A	None (or less than $1,001)	Dividends Capital Gains	$1,001 - $2,500
2.8	Comcast Corp (CMCSA)	N/A	$1,001 - $15,000		None (or less than $201)
2.9	Dr Pepper Snapple Group (DPS)	N/A	$1,001 - $15,000		None (or less than $201)
2.10	Eaton Vance Income Fund of Boston Cl A (EVIBX)	Yes	$1,001 - $15,000		$201 - $1,000
2.11	Gilead Sciences, Inc (GIL)	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.12	iShares (Dow Jones) US Aerospace & Defense ETF (ITA)		Yes	$100,001 - $250,000		$201 - $1,000
2.13	Ivy Emerging Markets Equity Fund Cl Y (IPOYX)		Yes	$15,001 - $50,000		None (or less than $201)
2.14	JP Morgan Chase & Co (JPM)		N/A	$15,001 - $50,000	Dividends	$201 - $1,000
2.15	MainStay MacKay Convertible Fund Cl I (MCNVX)		Yes	$1,001 - $15,000		$201 - $1,000
2.16	Matthews Asia Dividend Fund Inv Cl (MAPIX)		Yes	$15,001 - $50,000		$201 - $1,000
2.17	MFS Mid Cap Growth Fund Cl A (OCTAX)		Yes	$1,001 - $15,000		$201 - $1,000
2.18	NCR Corp (NCR)		N/A	$1,001 - $15,000		None (or less than $201)
2.19	Nuveen Santa Barbara Int'l Div Growth I (NUIIX)		Yes	$15,001 - $50,000		$201 - $1,000
2.20	Oppenheimer Senior Floating Rate Fund Cl Y (OOSYX)		Yes	$1,001 - $15,000		$201 - $1,000
2.21	Parnassus Endeavor Fund Inv Shares (PARWX)		Yes	$100,001 - $250,000		$5,001 - $15,000
2.22	Toyota Motor Corp ADR (TM)		N/A	$1,001 - $15,000		None (or less than $201)
2.23	Universal Health Services, Inc Cl B (UHS)		N/A	$15,001 - $50,000		None (or less than $201)
2.24	Vanguard Total Bond Market Index Fund Inv Shares (VBMFX)		Yes	$15,001 - $50,000		$1,001 - $2,500
2.25	Vanguard Total Stock Market ETF (VTI)		Yes	$100,001 - $250,000		$1,001 - $2,500
3	AXA Equitable Cornerstone, variable annuity	See Endnote	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	1290 VT GAMCO Small Company Value Portfolio		Yes	$50,001 - $100,000		None (or less than $201)
3.2	Fidelity VIP Contrafund Portfolio		Yes	$250,001 - $500,000		None (or less than $201)
3.3	Fidelity VIP Mid Cap Portfolio		Yes	$100,001 - $250,000		None (or less than $201)
3.4	Franklin Strategic Income VIP Fund		Yes	$50,001 - $100,000		None (or less than $201)
3.5	Guaranteed Benefit AXA Moderate Growth Strategy	See Endnote	Yes	$500,001 - $1,000,000		$15,001 - $50,000
3.6	Lazard Retirement Emerging Markets		Yes	$15,001 - $50,000		None (or less than $201)
3.7	MFS International Value Portfolio		Yes	$100,001 - $250,000		None (or less than $201)
3.8	PIMCO VIT Total Return Portfolio		Yes	$15,001 - $50,000		None (or less than $201)
3.9	Templeton Global Bond VIP Fund		Yes	$50,001 - $100,000		None (or less than $201)
4	AXA Equitable IncentiveLife 2000, variable life insurance	See Endnote	No			
4.1	EQ/Common Stock Index Portfolio		Yes	$50,001 - $100,000		None (or less than $201)
4.2	EQ Guaranteed Interest Account (cash account)		N/A	$1,001 - $15,000		None (or less than $201)
4.3	EQ/International Equity Index Portfolio		Yes	$15,001 - $50,000		None (or less than $201)
4.4	Multimanager Aggressive Equity Portfolio		Yes	$15,001 - $50,000		None (or less than $201)
5	AXA Income Manager, variable annuity	See Endnote	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1	00064 EQ/Common Stock Index		Yes	$50,001 - $100,000		None (or less than $201)
5.2	00070 EQ/International Equity		Yes	$15,001 - $50,000		None (or less than $201)
5.3	00127 2/15/2022 Fixed Maturity Option	See Endnote	Yes	$50,001 - $100,000		None (or less than $201)
5.4	00227 AXA Large Cap Growth Managed		Yes	$15,001 - $50,000		None (or less than $201)
5.5	00231 AXA Mid Cap Value Managed Volatility		Yes	$15,001 - $50,000		None (or less than $201)
5.6	00447 EQ/Core Bond Index		Yes	$15,001 - $50,000		None (or less than $201)
6	AXA Equivest, variable annuity		No			
6.1	AXA Moderate Allocation fund		Yes	$1,001 - $15,000		None (or less than $201)
6.2	EQ/Core Bond Index		Yes	$15,001 - $50,000		None (or less than $201)
6.3	1290 VT GAMCO Mergers & Acquisitions Portfolio		Yes	$15,001 - $50,000		None (or less than $201)
6.4	1290 VT GAMCO Small Company Value Portfolio		Yes	$50,001 - $100,000		None (or less than $201)
6.5	EQ/Global Equity Managed Volatility		Yes	$15,001 - $50,000		None (or less than $201)
6.6	EQ/JPMorgan Value Opportunities Portfolio		Yes	$50,001 - $100,000		None (or less than $201)
6.7	EQ/Large Cap Growth Managed Volatility Portfolio		Yes	$100,001 - $250,000		None (or less than $201)
6.8	EQ/Global Bond PLUS Portfolio		Yes	$15,001 - $50,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.9	EQ/International Equity Index Portfolio	Yes	$100,001 - $250,000		None (or less than $201)
7	Brokerage account #3	No			
7.1	iShares STOXX Europe 600 Financial Services UCTIS ETF	Yes	$15,001 - $50,000		$1,001 - $2,500
7.2	iShares Eu Cor Bond 1–5yr UCITS ETF	Yes	$100,001 - $250,000		$201 - $1,000
7.3	iShares EO Govt Bond 1–3yr UCITS ETF	Yes	$50,001 - $100,000		None (or less than $201)
7.4	iShares EURO STOXX Small UCTIS ETF	Yes	$50,001 - $100,000		$1,001 - $2,500
7.5	iShares STOXX Eurpoe 600 UCTIS ETF (DJXXF)	Yes	$250,001 - $500,000		$15,001 - $50,000
7.6	iShares TecDAX UCTIS ETF (EX Thesaurierungs Anteile)	Yes	$15,001 - $50,000		None (or less than $201)
8	AXA Equitable Incentive Life Plus, phase 2, variable life insurance	No			
8.1	AXA Large Cap Value Managed Volatility	Yes	$50,001 - $100,000		None (or less than $201)
8.2	EQ/Large Cap Growth Index Portfolio	Yes	$50,001 - $100,000		None (or less than $201)
9	AXA Equitable Incentive Life 2000 variable life insurance	No			
9.1	EQ/Common Stock Index	Yes	$50,001 - $100,000		None (or less than $201)
9.2	EQ/International Equity Index Portfolio	Yes	$50,001 - $100,000		None (or less than $201)
9.3	Multimanager Aggressive Equity	Yes	$50,001 - $100,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.4	Guaranteed Interest Account (cash account)		N/A	$1,001 - $15,000	Interest	$201 - $1,000
10	Champion 100K, variable life		No			
10.1	AXA Moderate Allocation Portfolio		Yes	$15,001 - $50,000		None (or less than $201)
11	AXA Survivorship 2000, variable life		No			
11.1	AXA Moderate Plus Allocation		Yes	$100,001 - $250,000		None (or less than $201)
12	HSA Health savings account (cash)		N/A	$1,001 - $15,000		None (or less than $201)
13	HSBC U.K. cash accounts		N/A	$500,001 - $1,000,000		None (or less than $201)
14	U.S. bank #1 cash account		N/A	$100,001 - $250,000		None (or less than $201)
15	U.S. bank #2 cash accounts		N/A	$50,001 - $100,000	Interest	$201 - $1,000
16	Commercial real estate, Bethesda, MD		N/A	$250,001 - $500,000		None (or less than $201)
17	Undeveloped land, Harpers Ferry, WV		N/A	$250,001 - $500,000		None (or less than $201)
18	Randolph Private Equity Funds		No			
18.1	2008 DIF	See Endnote	No	$1,001 - $15,000	Dividends Capital Gains Interest Rent or Royalties	$5,001 - $15,000
18.1.1	Air Medical Group Holding (Air Evac Lifeteam)		N/A			
18.1.2	Critigen (spatial information technology)		N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.1.3	Geospatial Holdings (imaging technologies)	N/A			
18.1.4	Eastern Mountain Sports (sporting/outdoor equipment retailer)	N/A			
18.1.5	Distribution International (industrial/marine meterials)	N/A			
18.1.6	Dynamic Systems, Inc (mechanical and process construction services)	N/A			
18.1.7	Eddie Bauer (apparel retailer)	N/A			
18.1.8	Clover Technologies (technology products recycling)	N/A			
18.1.9	Grandpoint (banking and investments)	N/A			
18.1.10	GGC Security Holdings (security system services)	N/A			
18.1.11	GTCR Fund X, L.P.	Yes			
18.1.12	GTCR Fund X AIV, L.P.	Yes			
18.1.13	Herndon Aerospace & Defense (supply chain management)	N/A			
18.1.14	Infor Enterprise Applications (business application software)	N/A			
18.1.15	J Jill (apparel retailer)	N/A			
18.1.16	Lantiq Topco / Infineon (semiconductors)	N/A			
18.1.17	Maranon Mezzanine Executive Fund, L.P.	Yes			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.1.18	Next Models (model management)	N/A			
18.1.19	National Warranty Corporation / Payment Insured Plan, Inc. (automotive finance and insurance, warranties)	N/A			
18.1.20	Warranty Topco / Payment Insurance / Interstate (automotive service contracts and warranties)	N/A			
18.1.21	Financial American Holdings Corporation (insurance)	N/A			
18.1.22	Parthenon Capital Partners Fund, L.P.	Yes			
18.1.23	Pugnacious Endeavors, Inc. (Viagogo) (online ticket exchange)	N/A			
18.1.24	Sierra-Cedar (consulting and shared service provider)	N/A			
18.1.25	Tejas Industries (industrial machine manufacturer)	N/A			
18.1.26	Trinseo (chemicals, plastics, latex, synthetic rubber manufacturer)	N/A			
18.1.27	United Recovery Systems (debt collection)	N/A			
18.1.28	Vestar / InHealth Co-Investors, L.P.	No			
18.1.28.1	Health Grades (online health provider information and marketing)	N/A			
18.1.29	WFG-Williston Financial Group (financial services)	N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.2	2011 DIF	See Endnote	No	$1,001 - $15,000	Dividends Capital Gains Interest Rent or Royalties	$5,001 - $15,000
18.2.1	Aavid Thermalloy (thermal engineering services and products)		N/A			
18.2.2	AMZ Ultimate Holding (Arr-Maz) (custom chemicals)		N/A			
18.2.3	Apex Tool (hand and power tool manufacturer)		N/A			
18.2.4	Apple Leisure (travel and hospitality services)		N/A			
18.2.5	Atento (business process outsourcing and customer experience management services)		N/A			
18.2.6	Benihana (restaurant chain)		N/A			
18.2.7	California Pizza Kitchen (restaurant chain)		N/A			
18.2.8	China Fire and Security Group (fire protection products)		N/A			
18.2.9	Chromaflo Technologies LLC (thermoset plastics)		N/A			
18.2.10	Collective Brands (Payless) (footwear retailer)		N/A			
18.2.11	Consolidated Container Company (plastic packaging)		N/A			
18.2.12	Digital Reasoning (cognitive computing services)		N/A			
18.2.13	Elgin Equipment Group, LLC (industrial equipment for material handling and mineral processing)		N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.2.14	Elgin Fastener Group, LLC (fastener manufacturer)	N/A			
18.2.15	EP Minerals (mines, produces and sells earthen products)	N/A			
18.2.16	Freedom Innovations (prosthetics)	N/A			
18.2.17	GTCR Fund X, L.P.	Yes			
18.2.18	GTCR Fund X AIV, L.P.	Yes			
18.2.19	HVH Transportation (transportation and distribution services)	N/A			
18.2.20	Integrated Supply Network (supply chain services provider)	N/A			
18.2.21	International Market Centers (showroom space operator)	N/A			
18.2.22	Kestra Medical (medical devices)	N/A			
18.2.23	Laborie Medical Technologies (medical devices)	N/A			
18.2.24	Linq3 Technologies, LLC (lottery services)	N/A			
18.2.25	National Pen Company, LLC (marketing/promotional products)	N/A			
18.2.26	Phillips & Temro Industries (heating, cooling, electrical component manufacturer)	N/A			
18.2.27	Albert Tire (wholesale tire distributor)	N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.2.28	PS Holdings of Delaware (Pacific Sun) (apparel retailer)		N/A			
18.2.29	Quest Specialty Chemicals, Inc. (specialty chemicals and coatings)		N/A			
18.2.30	Rogue Wave (enterprise applications)		N/A			
18.2.31	Rough Country Suspension Systems (off-road automotive accessories)		N/A			
18.2.32	Service King (automotive collision repair)		N/A			
18.2.33	Shelter Mortgage (mortgage lender)		N/A			
18.2.34	Terra/Tuthill Drive Systems, Inc (drive system manufacturer)		N/A			
18.2.35	Tollgrade Communications (fault detection hardware and software)		N/A			
18.2.36	Total Container Group, Inc (industrial containers)		N/A			
18.2.37	Tri-Ed Distribution (security and home automation products)		N/A			
18.2.38	True Temper Holdings Corporation, Inc (equipment manufacturer)		N/A			
18.2.39	Wholesome Pet Care (pet food)		N/A			
18.3	Carlyle US Equity Opportunity Fund	See Endnote	Yes	$1,001 - $15,000		$5,001 - $15,000
18.4	Creador I, LLC	See Endnote	Yes	$1,001 - $15,000		$2,501 - $5,000
18.5	Creador - Sky Vision	See Endnote	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.6	Creador II	See Endnote	Yes	$15,001 - $50,000		$5,001 - $15,000
18.7	Energy GP III	See Endnote	Yes	$15,001 - $50,000		None (or less than $201)
18.8	Maranon Mezzanine II	See Endnote	Yes	$15,001 - $50,000		$5,001 - $15,000
18.9	Sankaty Middle Market Opps II	See Endnote	Yes	$15,001 - $50,000		$201 - $1,000
18.10	Saratoga Asia III	See Endnote	Yes	$1,001 - $15,000		$5,001 - $15,000
18.11	Summit Growth VII-A	See Endnote	Yes	$15,001 - $50,000		$5,001 - $15,000
18.12	Whitney VII	See Endnote	Yes	$15,001 - $50,000		$15,001 - $50,000
19	Rhone Partners IV LP Consolidated Partnership	See Endnote	No	$100,001 - $250,000	Dividends Capital Gains Interest Rent or Royalties	None (or less than $201)
19.1	Orion Engineered Carbons (manufactuer and supplier of rubber carbon blacks)		N/A			
19.2	S&B Minerals S.a.r.l. (mining, processing and trade of industrial minerals)		N/A			
19.3	CSM Bakery Supplies Limited (bakery ingredients, finished products and services for retail and foodservice markets)		N/A			
19.4	Eden Springs Group (workplace water and coffee services and supplied)		N/A			
19.5	ASK Chemicals (foundry consumables: binders, coatings, feeders, filters, release agents, inoculants, inoculation wires, master alloys)		N/A			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19.6	Elizabeth Arden (cosmetics, skin care and fragrances)		N/A			
19.7	Ranpak (paper-based packaging systems)		N/A			
19.8	Global Knowledge Training (IT and Business skills training)		N/A			
19.9	Neovia Logistics (industrial contract logistics)		N/A			
20	Rhone Partners V LP	See Endnote	No	$100,001 - $250,000		None (or less than $201)
20.1	GardaWorld Security (risk assessments, security personnel, and screening and cash management services)		N/A			
20.2	Zodiac Pool Solutions (pool and spa products)		N/A			
20.3	VistaJet Group Holding Limited (private jet services)		N/A			
21	Rhone Capital III LP Consolidated Partnership	See Endnote	No	$1,001 - $15,000	Dividends Capital Gains Interest Rent or Royalties	$15,001 - $50,000
21.1	Orion Engineered Carbons (manufactuer and supplier of rubber carbon blacks)		N/A			
21.2	Coty Inc (cosmetic, skin, fragrance & hair products)		N/A			
21.3	UTEX Industries Inc (sealing products)		N/A			
21.4	Euromar LLC (shipping vessel operation and management)		N/A			
21.5	Quiksilver Inc (apparel retailer)		N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21.6	Greek Yellow Pages (online directory)	N/A			
21.7	Arizona Chemical (manufacturing and biorefining pine chemicals)	N/A			
21.8	Magnesita Refratarios SA (refractory products)	N/A			

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Rhone Partners IV LP	Capital commitment	$10,001 - $15,000	2018	n/a	n/a
2	Rhone Partners V LP	Capital commitment	$250,001 - $500,000	2018	n/a	n/a
3	Randolph Private Equity funds	Capital commitment	$50,001 - $100,000	2018	n/a	n/a

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
2.	1	Income amount reflects exercise of SARs prior to filing date. Remaining SARs are underwater as of filing date.
2.	7	2018 advisory fee based on firm performance attributable to my services prior to separating from Rhone has not been calculated as of the filing date. See Part 3.
5.	6	Acquired through employee stock purchase plan.
6.	3	Listed underlying holdings are "separate accounts" in the annuity, which does not report sources of changes in the values. The annuity has a guaranteed growth feature for the future annuity base if annuitized.
6.	3.5	Guaranteed growth component; income estimated.
6.	4	Listed underlying holdings are variable "separate accounts" in the policy, which does not report sources of changes in the values.
6.	5	Variable annuity with a guaranteed base for annuity purposes that goes up 6% per year but cannot be taken out as a cash value. Underlying holdings are variable "separate accounts" in the annuity, which does not provide information on source of increases or decreases in value.
6.	5.3	This fund has a guaranteed maturity value, but we don't have the specifics of what it will be worth in 2022
6.	18.1	Reported income reflects estimate based on prior performance; income for 2017 will not be reported until K-1 is issued later in 2018.
6.	18.2	Reported income reflects estimate based on prior performance; income for 2017 will not be reported until K-1 is issued later in 2018.
6.	18.3	Reported income reflects estimate based on prior performance; income for 2017 will not be reported until K-1 is issued later in 2018.
6.	18.4	Reported income reflects estimate based on prior performance; income for 2017 will not be reported until K-1 is issued later in 2018.
6.	18.5	Reported income reflects estimate based on prior performance; income for 2017 will not be reported until K-1 is issued later in 2018.
6.	18.6	This fund has 15 holdings. I am a 1.62% owner.

PART	#	ENDNOTE
6.	18.7	Reported income reflects estimate based on prior performance; income for 2017 will not be reported until K-1 is issued later in 2018.
6.	18.8	Reported income reflects estimate based on prior performance; income for 2017 will not be reported until K-1 is issued later in 2018.
6.	18.9	Reported income reflects estimate based on prior performance; income for 2017 will not be reported until K-1 is issued later in 2018.
6.	18.10	Reported income reflects estimate based on prior performance; income for 2017 will not be reported until K-1 is issued later in 2018.
6.	18.11	Reported income reflects estimate based on prior performance; income for 2017 will not be reported until K-1 is issued later in 2018.
6.	18.12	Reported income reflects estimate based on prior performance; income for 2017 will not be reported until K-1 is issued later in 2018.
6.	19	Value and income of underlying assets not readily ascertainable. Reported income is based on preliminary information from fund manager on 2017 income.
6.	20	Value and income of underlying assets not readily ascertainable. Reported income is based on preliminary information from fund manager for 2017.
6.	21	Value and income of underlying assets not readily ascertainable. Reported income is estimated based on preliminary income information from fund managers for 2017.

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 $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 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.

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).