

January 3, 2017

Ms. Katherine D. McManus  
Deputy Legal Adviser and  
Designated Agency Ethics Official  
Office of the Legal Adviser  
Department of State

Re: Ethics Undertakings

Dear Ms. McManus:

I am committed to the highest standards of ethical conduct for government officials. If confirmed as Secretary of State, as required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Upon confirmation, I will resign from my positions with the following entities: Ford's Theatre Society, Center for Strategic and International Studies, and Boy Scouts of America. I previously resigned from my positions with the Business Roundtable and American Petroleum Institute. For a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which I know that entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

My spouse and I own Bar RR Ranches, LLC. Upon confirmation, I will resign from my position as managing member of this entity. I will continue to have a financial interest in this entity, but I will not provide services material to the production of income. Instead, I will receive only passive investment income from it. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of Bar RR Ranches, LLC, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1).

I am the sole owner of R2 Real Estate, LLC. During my appointment, this entity will continue to exist solely to hold personal assets. Upon confirmation, I will resign from my

position as managing member of this entity. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of this entity, unless I first obtain a written waiver pursuant to 18 U.S.C. § 208(b)(1).

I resigned from my position as Chairman and CEO of ExxonMobil Corporation (ExxonMobil) on December 31, 2016. For a period of one year after my resignation from ExxonMobil, I will not participate personally and substantially in any particular matter involving specific parties in which I know that ExxonMobil is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

At the time of my resignation, I held restricted stock and restricted stock units. I have not received, and will not receive, additional grants of restricted stock or restricted stock units following my resignation. ExxonMobil's incentive program plan provides that the Compensation Committee may authorize an employee who departs before reaching the established retirement age to retain restricted stock and restricted stock units, provided that the employee worked for the company for at least 15 years and was at least 55 years old. The longstanding practice of the Compensation Committee has been to authorize the retention of these items for most eligible employees. Consistent with this practice, the Compensation Committee has authorized me to retain my restricted stock and restricted stock units. Ordinarily, these items would, in the case of the restricted stock, become free of the restrictions on transfer and, in the case of the restricted stock units, pay out at various times, both over the next 10 years. However, to eliminate any conflict of interest that might arise if I were to continue to hold a financial interest in ExxonMobil as Secretary, ExxonMobil's board has authorized an arrangement under which, prior to assuming the position of Secretary, I will surrender to ExxonMobil all of my outstanding restricted stock awards and restricted stock unit awards for cancellation in exchange for a cash payment to an irrevocable trust, to be administered by an independent trustee that is beyond the control of ExxonMobil. ExxonMobil will waive any right to exercise a clawback provision that authorizes it to rescind some or all of the payout for any of a variety of reasons, including a determination that the recipient has engaged in conduct detrimental to the company. Instead, the trust instrument will provide that, if I become employed by or provide services to a company in the oil and gas industry or the oil and gas services industry, I will forfeit the remaining undistributed assets in the trust. Such forfeited assets will be distributed to a charity of the trustee's choosing dedicated to the alleviation of disease and poverty in the developing world. I will not accept any payment from the trust unless ExxonMobil has acted in good faith to reduce the amount of the lump sum payment to the trust sufficiently to offset for the time value of the accelerated payment to the trust and to offset for the economic value of the waiver of any rights under the clawback provision. The trustee will make payments to me on a schedule closely approximating the ordinary schedules for removal of the restrictions on my restricted stock and for payout of the stock units. To further resolve any potential for conflicts of interest, the trust instrument will require that, during my appointment to the position of Secretary, the trust's holdings be limited to cash, cash equivalents, obligations of the United States, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), and municipal bonds. You have explained to me that, as a beneficiary of this trust, I must disclose in my public financial disclosure reports all holdings of this trust that meet the reporting thresholds established in 5 C.F.R. part 2634, subpart C.



Half of my annual bonus was paid in cash and half was paid in Earnings Bonus Units, which represent a contractual obligation that ExxonMobil will make payments if certain earnings per share targets have been met within three years after the award of the Earnings Bonus Units. At the time of my resignation, I was not owed any unpaid cash bonuses, but I continued to hold Earnings Bonus Units for the years 2014, 2015, and 2016. I will forfeit these Earnings Bonus Units upon confirmation.

I hold stock in ExxonMobil. I do not hold any vested or unvested stock options. I will divest my stock in ExxonMobil within 90 days of my confirmation. I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of ExxonMobil until I have divested this stock, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

I will elect to receive a total distribution of my interests in the ExxonMobil Qualified Defined Benefit Pension Plan, the ExxonMobil Nonqualified Defined Benefit Supplemental Pension Plan, the ExxonMobil Defined Contribution Nonqualified Supplemental Savings Plan, and the ExxonMobil Nonqualified Defined Benefit Additional Payments Plan consistent with the standard terms of these plans, including the ordinary timelines for making distributions. Until my interests in each plan are fully distributed, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the ability or willingness of ExxonMobil to provide the benefits under the plan, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I also have an interest in the Defined Contribution ExxonMobil Savings Plan, which I will divest prior to assuming the duties of the position of Secretary.

As a retired ExxonMobil executive, I am entitled to receive the following standard retiree benefits: retiree medical benefits; use of a product discount credit card; office space and administrative support; financial counseling; and tax preparation services. I will forfeit all of these benefits upon confirmation. I am also entitled to participate in an executive life insurance plan. Before I assume the duties of the position of Secretary, ExxonMobil will terminate my participation in this life insurance plan and provide me with a prepaid life insurance policy, with equivalent benefits, through an independent insurer.

Within 90 days of confirmation, I will divest my interests in the entities listed in Attachment A. With regard to each of these entities, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of the entity until I have divested it, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). During my appointment to the position of Secretary, if I have a managed account, I will ensure that the account manager does not purchase any new assets other than cash, cash equivalents, obligations of the United States, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), and municipal bonds.

Upon confirmation, I will resign from my positions with the Tillerson Foundation. I will not participate personally and substantially in any particular matter involving specific parties in which this entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d). Within 90 days of my confirmation, the Tillerson Foundation will divest its interests in ExxonMobil. Thereafter, for the duration of my appointment to the position of Secretary, the Foundation's holdings will be limited to cash, cash equivalents, obligations of the United States, investment funds that qualify for the exemption at 5 C.F.R. § 2640.201(a), and municipal bonds. The Tillerson Foundation has not previously received contributions from persons other than myself or my spouse, and, during my appointment as Secretary, it will not receive any contributions from persons other than myself or my spouse. In addition, it will not make payments to any outside entities except as compensation for services or as unconditional, irrevocable gifts.

I have previously paid taxes owed by certain grantor trusts disclosed in my financial disclosure report. I am not a trustee of these trusts. Neither my spouse nor I, nor any minor child of mine, is a beneficiary of these trusts. Before I assume the duties of the position of Secretary, in order to resolve any potential conflicts of interest, I will take steps to ensure that I and my spouse are not responsible for the taxes owed by these trusts.

I have disclosed my financial interests in HF Renaissance EQ, LLC. However, a preexisting confidentiality agreement bars me from identifying the underlying assets of this fund in my financial disclosure report. Therefore, I will divest my financial interests in this fund as soon as possible after confirmation and not later than 90 days after my confirmation. Until I have divested this fund, I will not participate personally and substantially in any particular matter that to my knowledge has a direct and predictable effect on the financial interests of the fund or its underlying assets, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

In addition, I will recuse myself on a case-by-case basis from participation in any particular matter involving specific parties in which I determine that a reasonable person with knowledge of the relevant facts would question my impartiality in the matter, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I understand that I may be eligible to request a Certificate of Divestiture for qualifying assets and that a Certificate of Divestiture is effective only if obtained prior to divestiture. Regardless of whether I receive a Certificate of Divestiture, I will ensure that all divestitures discussed in this agreement occur within the agreed upon timeframes and that all proceeds are invested in non-conflicting assets.

Within 90 days of my confirmation, I will document compliance with this ethics agreement by notifying you when I have completed these implementing actions.



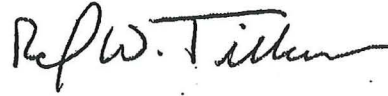
Ms. Katherine D. McManus

January 3, 2017

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I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely,

A handwritten signature in black ink, appearing to read "Rex W. Tillerson". The signature is fluid and cursive, with a long horizontal stroke at the end.

Rex W. Tillerson

ATTACHMENT A

1. AbbVie, Inc.
2. Accenture Plc
3. Airbus Group
4. Alaska Air Group, Inc.
5. Alaska Air (Note: open position for written call option)
6. Alibaba Group Hldg
7. American Express Co.
8. Amgen, Inc.
9. Anhui Conch Cement
10. Apple, Inc.
11. AT&T, Inc.
12. Atlantia SPA
13. Aviva Plc
14. AXA
15. Baidu, Inc.
16. Blackrock, Inc.
17. BNP Paribas
18. Boeing Co.
19. Bristol Myers Squibb Co
20. BYD Company, Ltd
21. Carnival Cp
22. Carrefour SA
23. Caterpillar, Inc.
24. Caterpillar, Inc., (Note: two open positions for written call option)
25. CDN Pacific Ry Ltd
26. Celgene Corp
27. Celgene (Note: open position for written call option)
28. Chevron Corp
29. China Mobile, Ltd.
30. China Pete & Chem CP
31. Chubb, Ltd.
32. Cisco Sys Inc.
33. Citigroup Inc.
34. Coca Cola Co.
35. Colgate Palmolive Co.
36. Compagnie de St. Gobain
37. Compagnie Fin Richemontag
38. Ctrip.com Intl, Ltd.
39. Cummins, Inc.
40. Cummins, Inc. (Note: open position for written call option)
41. CVS Health Corp
42. D R Horton, Inc.
43. Daimler AG

44. Deere & Co.
45. Deere & Co. (Note: open position for written call option)
46. Delta Air Lines, Inc.
47. Deutsche Telekom AG
48. Discover Financial Services
49. East Japan Ry Co.
50. Eaton Corp Plc
51. Electricite de France
52. EMC Corp Mass
53. Extra Space Storage, Inc.
54. Fedex Corp
55. Ferrovial SA
56. Fidelity National Information SE
57. Ford Motor Co
58. Fresenius SE & Co.
59. General Electric Co.
60. General Mills, Inc.
61. General Motors Co.
62. GlaxoSmithKline Plc
63. Goldman Sachs Group (Note: open position for written call option)
64. Goldman Sachs Grp
65. Heineken NV Spn
66. Honda Motor Company
67. Honeywell International, Inc.
68. Hong Kong Exchanges & Clearing
69. Howden Joinery Group Plc
70. Iberdrola SA
71. Infineon Technologies AG
72. ING Groep NV
73. Ingenico Group
74. Ingersoll-Rand Plc
75. Intel Corp
76. Intel Corp. (Note: open position for written call option)
77. International Business Machines Corp
78. Intesa Sanpaolo S.P.A.
79. ITC Holdings
80. Japan ARPT Term Co.
81. Japan Exchange Group, Inc.
82. JD COM, Inc.
83. Johnson & Johnson
84. JPMorgan Chase & Co.
85. Komatsu, Ltd.
86. Koninklijke Phil EL
87. LafargeHolcim
88. Legal & General Plc

89. Lennar Corporation
90. Line Corp.
91. Lloyds Banking Group Plc
92. Lockheed Martin Corp
93. Lowes Companies, Inc.
94. Magna International, Inc.
95. Marsh & McLennan Cos
96. Masco Corp
97. Medtronic Plc
98. Metlife Incorporated
99. Microsoft Corp
100. Mitsubishi UFJ Fincl Grp
101. Mondelez Intl, Inc.
102. Monsanto Co
103. National Grid Transco Plc
104. Nestle
105. Nextera Energy, Inc.
106. Nielsen Holdings Plc
107. Nike, Inc.
108. Nippon Shinyaku Co
109. Nippon Telegraph & Telephone
110. Novartis AG
111. Novo Nordisk
112. NXP Semiconductors NV
113. Packaging Corp of America
114. Pepsico, Inc.
115. Pfizer, Inc.
116. Phillips 66
117. Potash Cp of Saskatchewan, Inc.
118. Praxair, Inc.
119. Procter & Gamble
120. Prudential Financial, Inc.
121. Qualcomm, Inc.
122. Rakuten, Inc.
123. Reckitt Benckiser Plc
124. Royal Dutch Shell Plc
125. Sanofi
126. Schlumberger, Ltd,
127. Seven & I Holdings Co Ltd.
128. Shin Etsu Chem Co Ltd.
129. Shire Plc
130. Sony Corp
131. Southwest Airlines
132. State Street Corp
133. Target Corporation



134. TE Connectivity, Ltd.
135. Time Warner, Inc.
136. Time Warner, Inc. (Note: open position for written call option)
137. Total SA
138. Toyota Motor Corp
139. Travelers Companies, Inc.
140. UBS Group AG
141. Union Pacific Corp
142. Union Pacific Corp. (Note: open position for written call option)
143. United Technologies Corp
144. UnitedHealth Group
145. Verizon Communications
146. VF Corporation
147. Vinci SA
148. Wal-Mart Stores, Inc.
149. Walt Disney Co.
150. Walt Disney Co. (Note: open position for written call option)
151. WEC Energy Group, Inc.
152. Wells Fargo & Co.
153. Whirlpool Corp
154. Yandex NV
155. Yum China Holdings
156. ZTO Express Cayman, Inc.

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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**Tillerson, Rex Wayne**

Secretary of State, Department of State

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Names of Congressional Committees Considering Nomination:

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

**/s/ Tillerson, Rex Wayne [electronically signed on 12/31/2016 by Tillerson, Rex Wayne in Integrity.gov]**

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

**/s/ McManus, Katherine D, Certifying Official [electronically signed on 01/03/2017 by McManus, Katherine D in Integrity.gov]**

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Other review conducted by

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U.S. Office of Government Ethics Certification

**/s/ Shaub, Walter M, Certifying Official [electronically signed on 01/03/2017 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	ExxonMobil Corporation		Irving, Texas	Corporation	Chairman & CEO	1/2006	12/2016
2	The Tillerson Foundation		Fort Worth, Texas	Private Charitable Foundation	President & Treasurer	8/2016	Present
3	Bar RR Ranches		Bartonville, Texas	LLC	Co-Owner	7/2007	Present
4	R2 Real Estate		Bartonville, Texas	LLC	Managing Member	3/2016	Present
5	Ford's Theatre Society	See Endnote	Washington, District of Columbia	Non-Profit	Vice-Chairman	6/2007	Present
6	Center for Strategic and International Studies	See Endnote	Washington, District of Columbia	Non-Profit	Trustee	6/2005	Present
7	Boy Scouts of America	See Endnote	New York, New York	Non-Profit	Director	6/2005	Present
8	Business Roundtable		Washington, District of Columbia	Non-Profit	Executive Committee Member	5/2008	12/2016
9	American Petroleum Institute		Washington, District of Columbia	Trade Group	Executive Committee Member	1/2006	12/2016

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	ExxonMobil Corporation, restricted stock units	N/A	Over \$50,000,000	Dividends	Over \$5,000,000



#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2	ExxonMobil Corporation, deferred compensation: ExxonMobil Defined Contribution Nonqualified Supplemental Savings Plan		N/A	\$1,000,001 - \$5,000,000	Interest Dividends	\$15,001 - \$50,000
3	ExxonMobil Corporation	See Endnote	N/A		Salary/Bonus	\$10,077,000
4	ExxonMobil Corporation		N/A		Imputed income on benefits	\$250,000
5	Fidelity Value (FDVLX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
6	Templeton World A (TEMWX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
7	ExxonMobil Corporation, Defined Benefit Plan	See Endnote	N/A	Over \$50,000,000		None (or less than \$201)
8	ExxonMobil 2014 EBU	See Endnote	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
9	ExxonMobil 2015 EBU		N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
10	ExxonMobil 2016 EBU		N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
11	ExxonMobil Corporation, Restricted Stock (see part 3 for additional information)		N/A	Over \$50,000,000	Dividends	Over \$5,000,000
12	Defined Contribution ExxonMobil Savings Plan: ESOP ExxonMobil Stock	See Endnote	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
13	Defined Contribution ExxonMobil Savings Plan: ExxonMobil Stock	See Endnote	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
14	Defined Contribution ExxonMobil Savings Plan: Common Assets	See Endnote	No	\$1,000,001 - \$5,000,000		None (or less than \$201)
15	Bar RR Ranches, LLC (Bartonville, TX horse and cattle ranch)		N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
16	ExxonMobil Corporation, common stock	See Endnote	N/A	Over \$50,000,000	Dividends	\$1,000,001 - \$5,000,000

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

#	EMPLOYER OR PARTY		CITY, STATE	STATUS AND TERMS	DATE
1	ExxonMobil Corporation	See Endnote	Irving, Texas	I participate in ExxonMobil benefit programs. These programs are discussed in the endnote to this item.	6/1975

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

#	SOURCE NAME		CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	ExxonMobil Corporation		Irving, Texas	Chairman, Chief Executive Officer

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Bar RR Ranches, LLC (Bartonville, TX horse and cattle ranch)	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)

### 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Residential Real Estate, Denton County, TX	N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
2	AUGUSTUS INVESTMENT LP	No	\$100,001 - \$250,000	Rent or Royalties	\$201 - \$1,000
2.1	Office Building/Land (Dallas, TX)	N/A	\$100,001 - \$250,000	Rent or Royalties	\$201 - \$1,000
3	PB&J LAND PARTNERS	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	Building on 1 Acre Lot (Dallas, TX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	SYLVAN AVENUE DEVELOPMENT	No	\$500,001 - \$1,000,000		None (or less than \$201)
4.1	Multi Family/Retail Mixed Use Development, Dallas TX	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
5	SYLVAN AVENUE RE-FI FUND	No	\$250,001 - \$500,000		None (or less than \$201)
5.1	Multi-Family/Retail Mixed-Use Development, Dallas, TX	N/A	\$250,001 - \$500,000		None (or less than \$201)
6	US Bank Account 1 (cash)	N/A	\$500,001 - \$1,000,000	Interest	\$201 - \$1,000
7	US Brokerage Money Market Account #1 (cash)	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
8	ACTELION LTD UNSPON ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
9	AIA GROUP LTD SPON ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
10	ALLERGAN PLC SHS	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
11	AMADEUS IT HLDG SA UNSPON ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
12	ANHUI CONCH CEMENT ADR (AHCHY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
13	ASML HOLDING NV NY REG NEW	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
14	ATLANTIA SPA UNSPONS ADR (AT	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
15	AVIVA PLC ADR (AV)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
16	AXA ADS (AXAHY)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17	BAIDU INC ADS (BIDU)	N/A	\$1,001 - \$15,000	Dividends	\$2,501 - \$5,000
18	Bper Banca SpA	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
19	BARCLAYS PLC ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
20	BG GROUP PLC	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
21	BHP BILLITON LTD	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
22	BNP PARIBAS SP ADR REPSTG (BNPQY)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
23	BT GP PLC SPON ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
24	BURBERRY GROUP PLC SPONS ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
25	BYD COMPANY LTD UNSPON ADR (BYDDY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
26	CANADIAN NATL RAILWAY CO	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
27	CARREFOUR SA SPONSORED ADR (CRRFY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
28	CDN PACIFIC RY LTD NEW (CP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
29	CHINA MOBILE LTD	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
30	CHINA PETE&CHEM CP ADS H SHS (SNP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
31	COMPAGNIE DE ST GOBAIN UNSP (CODYY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
32	COMPAGNIE FIN RICHEMONTAG ADR (CFRUY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
33	COMPASS GROUP PLC	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
34	CTRIIP.COM INTL LTD (CTRP)	N/A	\$15,001 - \$50,000		None (or less than \$201)
35	DAIMLER AG SPONSORED ADR (DDAIY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
36	DEUTSCHE BOERSE AG UNSPON ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
37	DEUTSCHE TELEKOM AG 1 ORD 1ADS (DTEGY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
38	EAST JAPAN RY CO ADR (EJPRY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
39	ELECTRICITE DE FRANCE ADR (ECIFY)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
40	FERROVIAL S A ADR (FRRVY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
41	FREEMPORT-MCMORAN INC	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
42	FRESENIUS SE & CO SPN ADR (FSNUY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
43	GLAXOSMITHKLINE PLC ADS (GSK)	N/A	\$15,001 - \$50,000		None (or less than \$201)
44	HDFC BANK LTD ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
45	HEINEKEN NV SPN ADR (HEINY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
46	HENNES & MAURITZ	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
47	HONG KONG EXCHANGES & CLEARING (HKXCY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
48	HOWDEN JOINERY GROUP PLC ADR (HWDJY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
49	IBERDROLA SA SPON ADR (IBDRY)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
50	INFINEON TECHNOLOGIES AG (IFNNY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
51	ING GROEP NV ADR (ING)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
52	INGENICO GROUP ADR (INGIY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
53	INTERNATIONAL CONS AIRLS GRP	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
54	INTESA SANPAOLO S.P.A. ADR (ISNPY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
55	JAPAN ARPT TERM CO LTD ADR (JTTRY)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
56	JAPAN EXCHANGE GROUP INC (JPXGY)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
57	JD COM INC SPON ADR CL A (JD)	N/A	\$15,001 - \$50,000		None (or less than \$201)
58	KINGFISHER PLC SPONS ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
59	KOMATSU LTD SPON ADR NEW (KMTUY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
60	KONINKLIJKE PHIL EL SP ADR NEW (PHG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
61	KOREA ELECTRIC POWER CORP ADS	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
62	KROTON EDUCACIONAL S A	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
63	KUBOTA CP ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
64	LAFARGEHOLCIM ADR (HCMLY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
65	LEGAL & GENERAL PLC (LGGNY)	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
66	LINE CORP ADR (LN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
67	LIXIL GROUP CORP ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
68	LLOYDS BANKING GROUP PLC (LYG)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
69	LUNDIN PETROLEUM AB UNSP ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
70	LVMH MOET HENNESSY LOUIS VUITT	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
71	MASTERCARD INC CL A	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
72	MITSUBISHI UF J FINCL GRP ADS (MTU)	N/A	\$15,001 - \$50,000		None (or less than \$201)
73	NATL GRID TRANSCO PLC ADS (NGG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
74	NESTLE SPON ADR REP REG SHR (NSRGY)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
75	NIELSEN HLDGS PLC	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
76	NIKE INC B (NKE)	N/A	\$15,001 - \$50,000		None (or less than \$201)
77	NIPPON SHINYAKU CO LTD ADR (NPPNY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
78	NIPPON TELEGRAPH&TELEPHONE ADS (NTT)	N/A	\$15,001 - \$50,000	Dividends	\$5,001 - \$15,000
79	NOVARTIS AG ADR (NVS)	N/A	\$15,001 - \$50,000	Dividends	\$5,001 - \$15,000
80	NOVO NORDISK A/S ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
81	NXP SEMICONDUCTORS NV (NXPI)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
82	OLYMPUS CORPORATION SPONS ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
83	PAYPAL HLDGS INC COM	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
84	PERNOD RICARD SA UNSPONS ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
85	POTASH CP OF SASKATCHEWAN INC (POT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
86	PRICELINE GRP INC COM NEW	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
87	PROSIEBENSAT 1 MEDIA AG ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
88	PUBLICIS GROUPE SA ADS	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
89	RAKUTEN INC ADR (RKUNY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
90	RECKITT BENCKISER PLC SPNS ADR (RBGLY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
91	RENAULT S A ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
92	ROYAL DUTCH SHELL PLC (RDS'A)	N/A	\$15,001 - \$50,000		None (or less than \$201)
93	SABMILLER PLC SPONS ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
94	SAFRAN SA	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
95	SCHLUMBERGER LTD	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
96	SEVEN & I HLDGS CO LTD ADR (SVNDY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
97	SHIN ETSU CHEM CO LTD ADR (SHECY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
98	SHIRE PLC ADR (SHPG)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
99	SHISEIDO LTD SPON ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
100	SONY CORP ADR 1974 NEW (SNE)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
101	SUEZ ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
102	SUZUKI MTR CORP ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
103	SVENSKA CELLULOSA B SP ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
104	TAIWAN SMCNDCTR MFG CO LTD ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
105	TENCENT HLDGS LTD UNSPON ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
106	TOTAL S A SPON ADR (TOT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
107	TOYOTA MOTOR CP ADR NEW	N/A	\$15,001 - \$50,000		None (or less than \$201)
108	UBS GROUP AG SHS (UBS)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
109	VINCI SA ADR (VCISY)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
110	WIRECARD AG REPSTG COM ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
111	YANDEX N.V. A (YNDX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
112	YUM CHINA HLDNGS (YUMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
113	ZALANDO SE ADR	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
114	ZTO EXPRESS CAYMAN INC CL A (ZTO)	N/A	\$1,001 - \$15,000	Dividends	\$2,501 - \$5,000
115	US Brokerage Money Market Account #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
116	AIRBUS GROUP (EADSY)	N/A	\$50,001 - \$100,000		None (or less than \$201)
117	Alaska Air (ALK), open position for written call option: 500 shares, strike \$95, exp. 7/2017	N/A		Capital Gains	\$1,001 - \$2,500
118	ALASKA AIR GROUP INCORPORATED (ALK)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
119	ALIBABA GROUP HLDGS LTD (BABA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
120	AMERICAN EXPRESS CO (AXP)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
121	American Express (AXP), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
122	AMGEN INC (AMGN)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
123	Amgen, Inc. (AMGN), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
124	APPLE INC (AAPL)	N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
125	Apple, Inc. (AAPL), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
126	Apple, Inc. (AAPL), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
127	Automatic Data Processing (ADP), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
128	AUTOMATIC DATA PROCESSING INC	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
129	BOEING CO (BA)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
130	Boeing Co. (BA), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
131	Bristol Myers Squibb (BMY), 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
132	BRISTOL MYERS SQUIBB CO (BMY)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
133	Carnival (CCL), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
134	CARNIVAL CP NEW PAIRED COM (CCL)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
135	CATERPILLAR INC (CAT)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
136	Caterpillar, Inc. (CAT), open position for written call option: 500 shares, strike \$100, exp. 5/2017	N/A		Capital Gains	\$1,001 - \$2,500
137	Caterpillar, Inc. (CAT), open position for written call option: 200 shares, strike \$87.50, exp. 2/2017	N/A		Capital Gains	\$201 - \$1,000
138	Caterpillar, Inc. (CAT), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
139	Celgene (CELG), open position for written call option: 300 shares, strike \$145, exp. 6/2017	N/A		Capital Gains	\$1,001 - \$2,500
140	CELGENE CORP (CELG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
141	CHINA MOBILE LTD (CHL)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
142	China Mobile LTD (CHL), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
143	CISCO SYS INC (CSCO)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
144	CISCO SYS INC	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
145	CITIGROUP INC NEW (C)	N/A	\$50,001 - \$100,000		None (or less than \$201)
146	COCA COLA CO	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
147	CUMMINS INC (CMI)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
148	Cummins, Inc. (CMI), open position for written call option: 300 shares, strike \$160, exp. 6/2017	N/A		Capital Gains	\$1,001 - \$2,500
149	CVS HEALTH CORP COM (CVX)	N/A	\$15,001 - \$50,000	Dividends	\$15,001 - \$50,000
150	CVS Health Corp. (CVX), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
151	D R HORTON INC (DHI)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
152	DEERE & CO (DE)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
153	Deere & Co. (DE), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
154	Deere & Co. (DE), open position for written call option: 800 shares, strike \$115, exp. 6/2017	N/A		Capital Gains	\$1,001 - \$2,500
155	DELTA AIR LINES INC NEW (DAL)	N/A	\$50,001 - \$100,000		None (or less than \$201)
156	EATON CORP PLC SHS (ETN)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
157	Eaton Corp (ETN), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
158	FEDEX CORP (FDX)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
159	FedEx Corp (FDX), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
160	FORD MOTOR CO NEW (F)	N/A	\$15,001 - \$50,000		None (or less than \$201)
161	GENERAL ELECTRIC CO (GE)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
162	GENERAL MILLS INC (GIS)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
163	GENERAL MTRS CO (GM)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
164	GLAXOSMITHKLINE PLC ADS (GSK)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
165	Goldman Sachs Group (GS), open position for written call option: 300 shares, strike \$270, exp. 6/2017	N/A		Capital Gains	\$1,001 - \$2,500
166	GOLDMAN SACHS GRP INC (GS)	N/A	\$50,001 - \$100,000		None (or less than \$201)
167	Goldman Sachs Group (GS), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
168	HONDA MOTOR COMPANY LTD ADR (HMC)	N/A	\$50,001 - \$100,000		None (or less than \$201)
169	Honeywell International, Inc. (HON), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
170	HONEYWELL INTERNATIONAL INC (HON)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
171	INTEL CORP (INTC)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
172	Intel Corp. (INTC), open position for written call option: 1600 shares, strike \$39, exp. 4/2017	N/A		Capital Gains	\$1,001 - \$2,500
173	INTL BUSINESS MACHINES CORP (IBM)	N/A	\$50,001 - \$100,000		None (or less than \$201)
174	JOHNSON & JOHNSON (JNJ)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
175	Johnson & Johnson (JNJ), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
176	Johnson & Johnson (JNJ), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
177	JPMORGAN CHASE & CO	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
178	Kraft Foods Group (KRFT), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
179	KRAFT FOODS GROUP INC COM	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
180	LENNAR CORPORATION	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
181	LOWES COMPANIES INC	N/A	\$50,001 - \$100,000	Dividends	\$15,001 - \$50,000
182	Lowes Companies, Inc. (LOW), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
183	MAGNA INTERNATIONAL INC	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
184	MASCO CORP	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
185	MEDTRONIC PLC SHS	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
186	METLIFE INCORPORATED	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
187	MICROSOFT CORP	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
188	Microsoft Corp. (MSFT), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
189	MONDELEZ INTL INC COM	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
190	NIKE INC B	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
191	Nike Inc. (NKE), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
192	Nike Inc. (NKE), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
193	Nike Inc. (NKE), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
194	NOVARTIS AG ADR	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
195	Nucor Corp. (NUE), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
196	Nucor Corp. (NUE), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
197	NUCOR CORPORATION	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
198	Oracle Corp. (ORCL), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
199	Oracle Corp. (ORCL), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
200	ORACLE CORP	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
201	PEPSICO INC NC	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
202	Pepsico Inc. (PEP), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
203	PepsiCo Inc. (PEP), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
204	PROCTER & GAMBLE	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
205	Prudential Financial (PRU), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
206	Prudential Financial (PRU), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
207	PRUDENTIAL FINANCIAL INC	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
208	QUALCOMM INC	N/A	\$50,001 - \$100,000		None (or less than \$201)
209	Qualcomm, Inc. (QCOM), 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
210	Qualcomm, Inc. (QCOM), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
211	SANOFI ADR	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
212	SIEMENS AKTIENGESELLSCHAFT	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
213	SOUTHWEST AIRLINES	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
214	STATE STREET CORP	N/A	\$50,001 - \$100,000	Dividends	\$15,001 - \$50,000
215	TARGET CORPORATION	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
216	TIME WARNER INC NEW	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
217	Time Warner, Inc. (TWX), open position for written call option: 500 shares, strike \$95, exp. 7/2017	N/A		Capital Gains	\$1,001 - \$2,500
218	TOPBUILD CORP COM	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
219	TRAVELERS COMPANIES INC COM	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
220	UNION PACIFIC CORP	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
221	Union Pacific Corp. (UNP), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
222	Union Pacific Corp. (UNP), open position for written call option: 600 shares, strike \$110, exp. 6/2017	N/A		Capital Gains	\$2,501 - \$5,000
223	Union Pacific Corp. (UNP), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
224	UNITED TECHNOLOGIES CORP	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
225	VERIZON COMMUNICATIONS	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
226	WAL MART STORES INC	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
227	Wal Mart Stores, Inc. (WMT), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
228	Walt Disney Co. (DIS), open position for written call option: 600 shares, strike \$115, exp. 1/2017	N/A		Capital Gains	\$1,001 - \$2,500
229	Walt Disney Co. (DIS), closed position for written call option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
230	WALT DISNEY CO HLDG CO (DIS)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
231	WELLS FARGO & CO NEW	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
232	WHIRLPOOL CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)
233	Morgan Stanley Institutional Liquidity Funds Government Securities Portfolio (MGAXX)	Yes	\$5,000,001 - \$25,000,000		\$201 - \$1,000
234	US Brokerage Money Market Account #3 (cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$2,501 - \$5,000
235	AB INTL GROWTH A (AWPAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
236	LEANDER, TX, BONDS	N/A	\$50,001 - \$100,000		None (or less than \$201)
237	LEANDER, TX, BONDS	N/A	\$1,001 - \$15,000		None (or less than \$201)
238	SOCORRO, TX, BONDS	N/A	\$100,001 - \$250,000		None (or less than \$201)
239	SOCORRO, TX, BONDS	N/A	\$50,001 - \$100,000		None (or less than \$201)
240	ALLEN, TX, BONDS	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
241	AUBREY, TX, BONDS	N/A	\$15,001 - \$50,000		None (or less than \$201)
242	BASTROP, TX, BONDS	N/A	\$15,001 - \$50,000		None (or less than \$201)
243	CEDAR HILL, TX, BONDS	N/A	\$100,001 - \$250,000		None (or less than \$201)
244	CLINT, TX, BONDS	N/A	\$50,001 - \$100,000		None (or less than \$201)
245	COPPELL, TX, BONDS	N/A	\$15,001 - \$50,000		None (or less than \$201)
246	DUNCANVILLE, TX, BONDS	N/A	\$50,001 - \$100,000		None (or less than \$201)
247	EL PASO, TX, BONDS	N/A	\$50,001 - \$100,000		None (or less than \$201)
248	FORNEY, TX, BONDS	N/A	\$50,001 - \$100,000		None (or less than \$201)
249	FORNEY, TX, BONDS	N/A	\$1,001 - \$15,000		None (or less than \$201)
250	FRISCO, TX, BONDS	N/A	\$50,001 - \$100,000		None (or less than \$201)
251	FRISCO, TX, BONDS	N/A	\$15,001 - \$50,000		None (or less than \$201)
252	GRAPEVINE-COLLEYVILLE, TX, BONDS	N/A	\$15,001 - \$50,000		None (or less than \$201)
253	GRAPEVINE-COLLEYVILLE, TX, BONDS	N/A	\$15,001 - \$50,000		None (or less than \$201)
254	LAKE WORTH, TX, BONDS	N/A	\$1,001 - \$15,000		None (or less than \$201)
255	LEANDER, TX, BONDS	N/A	\$15,001 - \$50,000		None (or less than \$201)
256	LEANDER, TX, BONDS	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
257	LEWISVILLE, TX, BONDS	N/A	\$15,001 - \$50,000		None (or less than \$201)
258	LIBERTY HILL, TX, BONDS	N/A	\$15,001 - \$50,000		None (or less than \$201)
259	MABANK, TX, BONDS	N/A	\$15,001 - \$50,000		None (or less than \$201)
260	MIDWAY, TX, BONDS	N/A	\$15,001 - \$50,000		None (or less than \$201)
261	SHERMAN, TX, BONDS	N/A	\$15,001 - \$50,000		None (or less than \$201)
262	SOCORRO, TX, BONDS	N/A	\$15,001 - \$50,000		None (or less than \$201)
263	SOUTH SAN ANTONIO, TX, BONDS	N/A	\$50,001 - \$100,000		None (or less than \$201)
264	TROY, TX, BONDS	N/A	\$50,001 - \$100,000		None (or less than \$201)
265	WHITE SETTLEMENT, TX, BONDS	N/A	\$50,001 - \$100,000		None (or less than \$201)
266	WHITE SETTLEMENT, TX, BONDS	N/A	\$15,001 - \$50,000		None (or less than \$201)
267	WYLIE, TX, BONDS	N/A	\$50,001 - \$100,000		None (or less than \$201)
268	WYLIE, TX, BONDS	N/A	\$50,001 - \$100,000		None (or less than \$201)
269	US Brokerage Money Market Account #4 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
270	ABBVIE INC COM (ABBV)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
271	ACCENTURE PLC IRELAND CL A (ACN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
272	APPLE INC (AAPL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
273	AT&T INC (T)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
274	BLACKROCK INC (BLK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
275	CHEVRON CORP (CVX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
276	CHUBB LTD (CB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
277	COLGATE PALMOLIVE CO (CL)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
278	CVS HEALTH CORP COM (CVX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
279	DISCOVER FINCL SVCS (DFS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
280	EMC CORP MASS	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
281	EXTRA SPACE STORAGE INC (EXR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
282	FIDELITY NATL INFORMATION SE (FIS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
283	GENERAL MTRS CO (GM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
284	HONEYWELL INTERNATIONAL INC (HON)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
285	INGERSOLL-RAND PLC SHS (IR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
286	ITC HOLDINGS	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
287	JOHNSON & JOHNSON (JNJ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
288	JPMORGAN CHASE & CO (JPM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
289	LOCKHEED MARTIN CORP (LMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
290	LOWES COMPANIES INC (LOW)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
291	MARSH & MCLENNAN COS INC (MMC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
292	MEDTRONIC PLC SHS (MDT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
293	MICROSOFT CORP (MSFT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
294	MONDELEZ INTL INC COM (MDLZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
295	MONSANTO CO/NEW (MON)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
296	NEXTERA ENERGY INC (NEE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
297	NIELSEN HLDGS PLC (NLSN)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
298	NOVO NORDISK A/S ADR (NVO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
299	PACKAGING CORP AMER (PKG)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
300	PEPSICO INC NC (PEP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
301	PFIZER INC (PFE)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
302	PHILLIPS 66 COM (PSX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
303	PRAXAIR INC (PX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
304	SCHLUMBERGER LTD (SLB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
305	TE CONNECTIVITY LTD NEW (TEL)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
306	UNION PACIFIC CORP (UNP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
307	UNITEDHEALTH GP INC (UNH)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
308	V F CORPORATION (VFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
309	WALT DISNEY CO HLDG CO (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
310	WEC ENERGY GROUP INC COM (WEC)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
311	WELLS FARGO & CO NEW (WFC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
312	WHIRLPOOL CORP (WHR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
313	US Brokerage Money Market Account #5 (cash)	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
314	Morgan Stanley Institutional Liquidity Funds Government Securities Portfolio (MGAXX)	Yes	\$1,000,001 - \$5,000,000		\$201 - \$1,000
315	ENNIS, TX, BONDS	N/A	\$100,001 - \$250,000		None (or less than \$201)
316	JUDSON, TX, BONDS	N/A	\$100,001 - \$250,000		None (or less than \$201)
317	LAKE DALLAS, TX, BONDS	N/A	\$100,001 - \$250,000		None (or less than \$201)
318	LEANDER, TX, BONDS	N/A	\$100,001 - \$250,000		None (or less than \$201)
319	ROCKWALL, TX, BONDS	N/A	\$100,001 - \$250,000		None (or less than \$201)
320	SCHERTZ-CIBOLO-UNIVERSAL CITY, TX, BONDS	N/A	\$250,001 - \$500,000		None (or less than \$201)
321	WEATHERFORD, TX, BONDS	N/A	\$50,001 - \$100,000		None (or less than \$201)
322	WYLIE, TX, BONDS	N/A	\$250,001 - \$500,000		None (or less than \$201)
323	WYLIE, TX, BONDS	N/A	\$100,001 - \$250,000		None (or less than \$201)
324	HF Renaissance EQ LLC	See Endnote	\$500,001 - \$1,000,000	Dividends Interest	\$100,001 - \$1,000,000
325	US Brokerage Money Market Account #6 (cash)	N/A	\$250,001 - \$500,000		None (or less than \$201)
326	US Brokerage Money Market Account #7 (cash)	N/A	\$250,001 - \$500,000		None (or less than \$201)
327	R2 Real Estate, LLC (loan to family member)	N/A	\$250,001 - \$500,000		None (or less than \$201)
328	Family Trust #1	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
328.1	Exxon Mobil Corp (XOM)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
328.2	JPMorgan U.S. Equity Fund Class L (JMUEX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
328.3	Parnassus Core Equity Fund - Institutional Shares (PRILX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
328.4	SPDR S&P 500 ETF Trust (SPY)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
328.5	iShares Core S&P Mid Cap ETF (IJH)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
328.6	AMG Managers Pictet International Fund Class I (APCTX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
328.7	Dodge & Cox International Stock Fund (DODFX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
328.8	iShares MSCI EAFE Index Fund (EFA)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
328.9	MFS International Value Fund Class I (MINIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
328.10	Brown Advisory - WMC Japan Alpha Opportunities Fund Institutional Shares (BAFJX)	Yes	\$1,001 - \$15,000		\$5,001 - \$15,000
328.11	iShares MSCI Japan ETF (EWJ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
328.12	JPMorgan Global Research Enhanced Index Fund Select Class Shares (JEITX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
328.13	Chilton Strategic European Equities Fund (CHEUX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
328.14	Diamond Hill Long Short Fund Class I (DHLSX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
328.15	Goldman Sachs Strategic Income Fund Institutional Shares (GSZIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
328.16	PIMCO Unconstrained Bond Fund Institutional Class (PFIUX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
328.17	Equinox Campbell Strategy Fund Class I (EBSIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
328.18	Equinox IPM Systematic Macro Fund Class I (EQIPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
328.19	US Brokerage Cash	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
328.20	JPMorgan Intermediate Tax Free Bond Fund Institutional Class (JITIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
328.21	JPMorgan Short-Intermediate Municipal Bond Fund Institutional Class (JIMIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
328.22	Dodge & Cox Income Fund (DODIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
328.23	DoubleLine Total Return Bond Fund Class I (DBLTX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
328.24	Vanguard Intermediate-Term Investment-Grade Fund Admiral Shares (VFIDX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
328.25	JPMorgan Unconstrained Debt Fund Select Class Shares (JSISX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
328.26	Neuberger Berman High Income Bond Fund Institutional Class (NHILX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
328.27	JPMorgan Tax Aware Real Return Fund Institutional Class (TXRIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
328.28	MFS Emerging Markets Debt Fund Class I (MEDIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
328.29	John Hancock Income Fund Class I (JSTIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
329	Family Trust #2	No			
329.1	Exxon Mobil Corp (XOM)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
329.2	JPMorgan U.S. Equity Fund Class L (JMUEX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
329.3	Parnassus Core Equity Fund - Institutional Shares (PRILX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
329.4	SPDR S&P 500 ETF Trust (SPY)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
329.5	iShares Core S&P Mid Cap ETF (IJH)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
329.6	AMG Managers Pictet International Fund Class I (APCTX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
329.7	Dodge & Cox International Stock Fund (DODFX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
329.8	iShares MSCI EAFE Index Fund (EFA)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
329.9	MFS International Value Fund Class I (MINIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
329.10	iShares MSCI Japan ETF (EWJ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
329.11	JPMorgan Global Research Enhanced Index Fund Select Class Shares (JEITX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
329.12	Chilton Strategic European Equities Fund (CHEUX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
329.13	Diamond Hill Long Short Fund Class I (DHLSX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
329.14	Goldman Sachs Strategic Income Fund Institutional Shares (GSZIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
329.15	PIMCO Unconstrained Bond Fund Institutional Class (PFIUX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
329.16	Equinox Campbell Strategy Fund Class I (EBSIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
329.17	Equinox IPM Systematic Macro Fund Class I (EQIPX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
329.18	US Brokerage Cash	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
329.19	JPMorgan Intermediate Tax Free Bond Fund Institutional Class (JITIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
329.20	JPMorgan Short-Intermediate Municipal Bond Fund Institutional Class (JIMIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
329.21	Dodge & Cox Income Fund (DODIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
329.22	DoubleLine Total Return Bond Fund Class I (DBLTX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
329.23	Vanguard Intermediate-Term Investment-Grade Fund Admiral Shares (VFIDX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
329.24	JPMorgan Unconstrained Debt Fund Select Class Shares (JSISX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
329.25	Neuberger Berman High Income Bond Fund Institutional Class (NHILX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
329.26	JPMorgan Tax Aware Real Return Fund Institutional Class (TXRIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
329.27	MFS Emerging Markets Debt Fund Class I (MEDIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
329.28	John Hancock Income Fund Class I (JSTIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
330	Family Trust #3	No			
330.1	Exxon Mobil Corp (XOM)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
330.2	JPMorgan U.S. Equity Fund Class L (JMUEX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
330.3	Parnassus Core Equity Fund - Institutional Shares (PRILX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
330.4	SPDR S&P 500 ETF Trust (SPY)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
330.5	iShares Core S&P Mid Cap ETF (IJH)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
330.6	AMG Managers Pictet International Fund Class I (APCTX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
330.7	Dodge & Cox International Stock Fund (DODFX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
330.8	iShares MSCI EAFE Index Fund (EFA)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
330.9	MFS International Value Fund Class I (MINIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
330.10	Brown Advisory - WMC Japan Alpha Opportunities Fund Institutional Shares (BAFJX)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
330.11	iShares MSCI Japan ETF (EWJ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
330.12	JPMorgan Global Research Enhanced Index Fund Select Class Shares (JEITX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
330.13	Chilton Strategic European Equities Fund (CHEUX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
330.14	Diamond Hill Long Short Fund Class I (DHLSX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
330.15	Goldman Sachs Strategic Income Fund Institutional Shares (GSZIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
330.16	PIMCO Unconstrained Bond Fund Institutional Class (PFIUX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
330.17	Equinox Campbell Strategy Fund Class I (EBSIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
330.18	Equinox IPM Systematic Macro Fund Class I (EQIPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
330.19	US Brokerage Cash	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
330.20	JPMorgan Intermediate Tax Free Bond Fund Institutional Class (JITIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
330.21	JPMorgan Short-Intermediate Municipal Bond Fund Institutional Class (JIMIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
330.22	Dodge & Cox Income Fund (DODIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
330.23	DoubleLine Total Return Bond Fund Class I (DBLTX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
330.24	Vanguard Intermediate-Term Investment-Grade Fund Admiral Shares (VFIDX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
330.25	JPMorgan Unconstrained Debt Fund Select Class Shares (JSISX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
330.26	Neuberger Berman High Income Bond Fund Institutional Class (NHILX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
330.27	JPMorgan Tax Aware Real Return Fund Institutional Class (TXRIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
330.28	MFS Emerging Markets Debt Fund Class I (MEDIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
330.29	John Hancock Income Fund Class I (JSTIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
331	Family Trust #4	No			
331.1	Exxon Mobil Corp (XOM)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
331.2	JPMorgan U.S. Equity Fund Class L (JMUEX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
331.3	Parnassus Core Equity Fund - Institutional Shares (PRILX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
331.4	SPDR S&P 500 ETF Trust (SPY)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
331.5	iShares Core S&P Mid Cap ETF (IJH)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
331.6	AMG Managers Pictet International Fund Class I (APCTX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
331.7	Dodge & Cox International Stock Fund (DODFX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
331.8	iShares MSCI EAFE Index Fund (EFA)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
331.9	MFS International Value Fund Class I (MINIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
331.10	Brown Advisory - WMC Japan Alpha Opportunities Fund Institutional Shares (BAFJX)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
331.11	iShares MSCI Japan ETF (EWJ)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
331.12	JPMorgan Global Research Enhanced Index Fund Select Class Shares (JEITX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
331.13	Chilton Strategic European Equities Fund (CHEUX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
331.14	Diamond Hill Long Short Fund Class I (DHLSX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
331.15	Goldman Sachs Strategic Income Fund Institutional Shares (GSZIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
331.16	PIMCO Unconstrained Bond Fund Institutional Class (PFIUX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
331.17	Equinox Campbell Strategy Fund Class I (EBSIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
331.18	Equinox IPM Systematic Macro Fund Class I (EQIPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
331.19	US Brokerage Cash	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
331.20	JPMorgan Intermediate Tax Free Bond Fund Institutional Class (JITIX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
331.21	JPMorgan Short-Intermediate Municipal Bond Fund Institutional Class (JIMIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
331.22	Dodge & Cox Income Fund (DODIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
331.23	DoubleLine Total Return Bond Fund Class I (DBLTX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
331.24	Vanguard Intermediate-Term Investment-Grade Fund Admiral Shares (VFIDX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
331.25	JPMorgan Unconstrained Debt Fund Select Class Shares (JSISX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
331.26	Neuberger Berman High Income Bond Fund Institutional Class (NHILX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
331.27	JPMorgan Tax Aware Real Return Fund Institutional Class (TXRIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
331.28	MFS Emerging Markets Debt Fund Class I (MEDIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
331.29	John Hancock Income Fund Class I (JSTIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

## 7. Transactions

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

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

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

## Endnotes



PART	#	ENDNOTE
1.	5	The listed start date is approximate and is based on a good-faith estimate.
1.	6	The listed start date is approximate and is based on a good-faith estimate.
1.	7	The listed start date is approximate and is based on a good-faith estimate.
2.	3	This value includes salary and bonuses earned during the reporting period, including the settlement of EBU's (Earnings Bonus Units) from 2013.
2.	7	The reported asset values were taken from ExxonMobil's most recent proxy statement. The value includes my holdings in the ExxonMobil Nonqualified Defined Benefit Additional Payments plan, the ExxonMobil Qualified Defined Benefit Pension Plan, and the ExxonMobil Nonqualified Defined Benefit Supplemental Pension Plan.
2.	8	EBU stands for "Earnings Bonus Unit" and describes cash bonuses granted in a particular calendar year. Settlement on each annual grant occurs when the cumulative Earnings Per Share on each grant attains \$6.50.
2.	12	These assets are part of the ExxonMobil Defined Contribution Plan. "ESOP" refers to "Employee Stock Ownership Plan."
2.	13	These assets are part of the ExxonMobil Defined Contribution Plan.
2.	14	<p>These assets are part of the ExxonMobil Defined Contribution Plan. Common Assets refers to an investment in a stable value fund.</p> <p>The underlying assets of the Common Asset Fund are as follows: U.S. Savings bonds, FHLMC bonds, FNMA bonds, shares of NGTI Collective Government Short Term Investment Fund, and bonds issued by the following corporations: Bank of Nova Scotia, Royal Bank of Canada, BNP Paribas, Norsk Hydro, Berkshire Hathaway, Cisco Systems, Inc., IBM Corp., Oracle Corp., PepsiCo, Inc., Toyota Motor Corp., U.S. Bank NA, Wal-Mart Stores, Inc., and Wells Fargo Bank NA.</p>
2.	16	This entry reflects ExxonMobil stock currently held, though received both during and outside of the reporting period, pursuant to OGE direction.

PART	#	ENDNOTE
3.	1	<p>(a) I participate in the ExxonMobil Qualified Defined Benefit Pension Plan, the ExxonMobil Nonqualified Defined Benefit Supplemental Pension Plan, the ExxonMobil Defined Contribution Nonqualified Supplemental Savings Plan, and the ExxonMobil Nonqualified Defined Benefit Additional Payments Plan. I will receive a total distribution of my interests in these plans consistent with the standard terms of these plans, including the ordinary timelines for making distributions.</p> <p>(b) I also have an interest in the Defined Contribution ExxonMobil Savings Plan, which I will divest prior to assuming the duties of the position of Secretary.</p> <p>(c) I hold restricted stock and restricted stock units. Consistent with its longstanding practice, ExxonMobil will authorize me to retain those interests upon retirement. To ensure compliance with government ethics provisions, I will surrender to ExxonMobil all of my outstanding restricted stock awards and restricted stock unit awards for cancellation. Instead, as a substitute for the restricted stock and restricted stock units, the Company will make a cash payment to an independent trustee that will make payments to me on the ordinary schedule for restricted stock and restricted stock units. The trust will invest only in non-conflicting assets, and I will disclose the holdings of this trust in my financial disclosure reports.</p> <p>(d) I hold Earnings Bonus Units (EBUs) for 2014, 2015, and 2016. If I am confirmed, I will forfeit these EBUs.</p> <p>(e) As a retiring ExxonMobil executive, I will be entitled to receive the following standard retiree benefits: retiree medical benefits; use of a product discount credit card; office space and administrative support; financial counseling; and tax preparation services. I will forfeit all of these benefits upon confirmation. I am also entitled to participate in an executive life insurance plan. If I am confirmed, ExxonMobil will, before I assume the duties of the position of Secretary, terminate my participation in this life insurance plan and provide me with a prepaid life insurance policy, with equivalent benefits, through an independent insurer.</p>
6.	324	Underlying assets are not disclosed due to preexisting confidentiality agreement. I will divest this asset if confirmed.

# 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

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