

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

Filer's Information

Fitzgerald, Brenda

Director, CDC, Department of Health & Human Services

Date of Appointment: 07/07/2017

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/ Fitzgerald, Brenda [electronically signed on 06/23/2017 by Fitzgerald, Brenda 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/ Olesh, Stanley, Certifying Official [electronically signed on 09/08/2017 by Olesh, Stanley in Integrity.gov]

Other review conducted by

/s/ Olesh, Stanley, Ethics Official [electronically signed on 09/08/2017 by Olesh, Stanley in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 10/12/2017

Data Revised 09/28/2017

Data Revised 09/08/2017

Data Revised 07/18/2017

Data Revised 07/17/2017

Data Revised 07/14/2017

Data Revised 07/13/2017

Data Revised 07/12/2017

Data Revised 07/11/2017

Data Revised 07/10/2017

Data Revised 07/06/2017

Data Revised 06/25/2017

Data Revised 06/23/2017

Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(09/08/2017, Olesh, Stanley): 9/8/17 -- rec'd signed Ethics Agreement; some holdings already divested, others pending divestiture under CD; contains recusal obligation relating to the two LLCs -- SO

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Georgia Dept. of Public Health	Atlanta, Georgia	Public Health	Commissioner	2/2011	7/2017
2	The Association of State and Territorial Health Officials	Arlington, Virginia	Non-Profit	Board Member	9/2014	7/2017

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Georgia Dept. of Public Health			Salary -- CY2016 + 1/2 CY2017	\$262,500
2	Morgan Stanley acct., traditional IRA	No			
2.1	Berkshire Hathaway B (BRK'B)	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.2	Clearbridge Appreciation A (SHAPX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.3	Delaware Small/Mid Cap Growth A (DFCIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

None

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Georgia Department of Public Health	Atlanta, Georgia	Director

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Thomas E. Fitzgerald III MD Inc	N/A	\$100,001 - \$250,000	Consulting Fees	
2	Morgan Stanley Rollover IRA	No			
2.1	Apple. Inc (AAPL)	N/A	\$100,001 - \$250,000		\$201 - \$1,000
2.2	Bank of America Corp. (BAC)	N/A	\$15,001 - \$50,000		\$201 - \$1,000
2.3	Morgan Stanley Bank N.A. (cash acct.)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Morgan Stanley traditional IRA acct.	No			
3.1	Anheuser Busch InBev SA (BUD) --	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.2	AT&T Inc (T)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.3	Bristol Myers Squibb Co. (BMY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.4	Caterpillar Inc. (CAT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.5	Cisco Systems Inc (CSCO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.6	Coca-Cola Co. (KO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.7	Exxon Mobil Corp (XOM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.8	Ford Motor Co (F)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.9	General Electric Co. (GE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.10	Intel Corp (INTC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.11	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.12	JP Morgan Chase & Co. (JPM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.13	McDonalds Corp (MCD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.14	Merck & Co Inc (MRK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.15	Metlife Inc (MET)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.16	Procter & Gamble (PG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.17	Verizon Communications (VZ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.18	Walmart Stores Inc (WMT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
3.19	Anheuser Busch InBev SA (BUD) , call option, strike = 120, exp. 8/18/17 (value difficult to ascertain)	N/A			None (or less than \$201)
3.20	AT&T (T), call option, strike = 40, exp. 7/21/17, 2 sh. (value difficult to ascertain)	N/A			None (or less than \$201)
3.21	Bristol Myers Squibb (BMY), call option, strike = 57.5, exp. 9/15/17, 2 sh. (value difficult to ascertain)	N/A			None (or less than \$201)
3.22	Caterpillar (CAT), call option, strike = 80, exp. 1/19/18, 2 sh. (value difficult to ascertain)	N/A			None (or less than \$201)
3.23	Cisco Systems Inc (CSCO), call option, strike = 33, exp. 10/20/17, 2 sh. (value difficult to ascertain)	N/A			None (or less than \$201)
3.24	Exxon Mobil Corp. (XOM), call option, strike = 82.5, exp. 7/21/17, 2 sh. (value difficult to ascertain)	N/A			None (or less than \$201)
3.25	Ford Motor Co. (F), call option, strike = 12, exp.9/15/17, 3 sh. (value difficult to ascertain)	N/A			None (or less than \$201)
3.26	General Electric Co (GE), call option, strike = 29, exp. 7/21/17, 2 sh. (value difficult to ascertain)	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.27	Intel Corp. (INTC), call option, strike = 37, exp. 8/18/17, 2 sh. (value difficult to ascertain)	N/A			None (or less than \$201)
3.28	Johnson & Johnson (JNJ), call option, strike = 120, exp. 1/19/18, 1 sh. (value difficult to ascertain)	N/A			None (or less than \$201)
3.29	JP Morgan Chase & Co (JPM), call option, strike = 75, exp. 1/19/18, 2 sh. (value difficult to ascertain)	N/A			None (or less than \$201)
3.30	McDonalds Corp (MCD), call option, strike = 135, exp. 1/19/18, 1 sh. (value difficult to ascertain)	N/A			None (or less than \$201)
3.31	Metlife Inc. (MET), call option, strike = 50, exp. 1/19/18, 3 sh. (value difficult to ascertain)	N/A			None (or less than \$201)
3.32	Procter & Gamble (PG), call option, strike = 87.5, exp. 10/20/17, 2 sh. (value difficult to ascertain)	N/A			None (or less than \$201)
3.33	Verizon Communication (VZ), call option, strike = 47, exp. 8/18/17, 2 sh. (value difficult to ascertain)	N/A			None (or less than \$201)
3.34	Walmart Stores Inc (WMT), call option, strike = 77.5, exp. 9/15/17, 2 sh. (value difficult to ascertain)	N/A			None (or less than \$201)
4	Entrust Group IRA	No			
4.1	GW Tool LLC		\$50,001 - \$100,000		None (or less than \$201)
4.2	Greenway Messenger LLC		\$50,001 - \$100,000		None (or less than \$201)
4.3	GW Ventures LLC		\$250,001 - \$500,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US banking account (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	Morgan Stanley brokerage (spouse)	No			
2.1	AT&T Inc (T)	N/A	\$15,001 - \$50,000		\$201 - \$1,000
2.2	Ford Motor Co Inc. (F)	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
2.3	Restoration Hardware (RH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.4	Wells Fargo & Co (WFC)	N/A	\$15,001 - \$50,000		\$201 - \$1,000
3	SEI IMAP joint brokerage acct.	No	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
3.1	New Jersey State Bond (07-15/17)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	Massachusetts State Bond (08/01/17)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.3	Maryland State Depart TRANSN CONS T Bond (09/01/17)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.4	Honolulu Hawaii City & County Bond (11/01/17)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5	Tucson Arizona Bond (07/01/18)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.6	Horry County S C Bond (03/01/18)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.7	Charlotte N C Bond (07/01/16)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.8	Gwinnett CNTY GA Wtr & SEW AUT Bond (08/01/18)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.9	Columbus Ohio Bond (07/01/18)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.10	Maryland State Bond (03/01/18)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.11	Charlotte N C CTFS PARTN Bond (12/01/18)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.12	South Carolina State Bond (04/01/19)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.13	Massachusetts State Bond (10/01/19)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.14	New York St DORM AUTH REVS NON (10/01/19)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.15	Washington St FOR ISSUES DTD P (08-01/19)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.16	Virginia State RES AUTH INFRASTRU Bond (11/01/19)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.17	Mecklenburg County NC Bond (08/01/18)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.18	District of Columbia Bond (06/01/19)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.19	Georgia State Bond (07/01/19)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.20	Georgia State Bond (01/01/20)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.21	New York ST DORM AUTH ST PERS (03/15/20)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.22	Oregon St Department Administrative Bond (04/01/20)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.23	Agilent Technologies, Inc (A)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.24	Apple Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.25	AbbVie Inc. (ABBV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.26	AmerisourceBergen Corp (ABC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.27	Abertis Infraestr UNSP ADR EACH Repr (ABRTY)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.28	Agricultural Bank of China UNSP ADR EA REP 25 ORD H SH (ACGBY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.29	Arch Capital Group Ltd. (ACGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.30	Accenture pic Class A Ordinary Shares(ACN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.31	Avenue Income Credit Strategies FUnd (ACP)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.32	AllianzGi Diversified Income & Convertible Fund	Yes	None (or less than \$1,001)		None (or less than \$201)
3.33	Automatic Data Processing, Inc.(ADP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.34	American Electric Power Company, Inc (AEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.35	AllianceBernstein National Municipal Income Fund Inc (AFB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.36	American Financial Group, Inc (AFG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.37	AFLAC Inc (AFL)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.38	Advent Claymore Convertible Securities and Income Fund (AGC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.39	Alpine GlobalDynamic Dividend Fund Shares (AGD)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.40	AGNC Investment Corp. (AGNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.41	Apollo Tactical Income Fund Inc. (AIF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.42	Allison Transmission Holdings, Inc (ALSN)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.43	Amgen, Inc. (AMGN)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.44	Ameriprise Financial, Inc (AMP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.45	American Tower Corporation (REIT) (AMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.46	TD Ameritrade Holding Corporation (AMTD)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.47	Amazon.com, Inc (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.48	Alpine Total Dynamic Dividend Fund (AOD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.49	Artisan Partners Asset Management Inc. Class A (APAM)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.50	Amphenol Corporation (APH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.51	Antero Resources Corporation (AR)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.52	Ares Dynamic Credit Allocation Fund, Inc (ARDC)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.53	Associated Banc-Corp (ASB)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.54	Atlas Copco AB SPON ADS (ATLKY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.55	Advent Claymore Convertible Securities and Income Fund (AVK)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.56	Alumina Limited SPON ADR EACH REP (AWCMY)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.57	Alliancebernstein Global High Income Fund (AWF)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.58	Alpine Global Premier Properties Fund (AWP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.59	AXA ADS (AXAHY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.60	Axis Capital Holdings Limited (AXS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.61	AutoZone Inc	N/A	None (or less than \$1,001)		None (or less than \$201)
3.62	Bank of America Corporatioo (BAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.63	Baxter International Inc (BAX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.64	BB Seguridade Part SPON ADR (BBSEY)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.65	Best Buy Co., Inc (BBY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.66	C.R. Bard, Inc	N/A	None (or less than \$1,001)		None (or less than \$201)
3.67	Blackrock Resources & Commodities Strategy Trust (BCX)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.68	Blackrock Enhanced Equity Dividend Trust (BDJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.69	Becton, Dickinson And Company (BDX)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.70	Brown Forman Inc Class B (BFB)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.71	Bunge Limited (BG)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.72	Blackstone / GSO Strategic Credit Fund (BGB)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.73	Blackstone GSO Long Short Credit Income Fund (BGX)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.74	Blackrock Enhanced International Dividend Trust (BGY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.75	Bio-Rad Laboratories, Inc Class A (BIO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.76	BlackRock Multi-Sector Income Trust (BIT)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.77	Bemis Company, Inc (BMS)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.78	Bristol-Myers Squibb Company BMY	N/A	None (or less than \$1,001)		None (or less than \$201)
3.79	Beneficial Bancorp, Inc	N/A	None (or less than \$1,001)		None (or less than \$201)
3.80	Blackrock Enhanced Global Dividend Trust (BOE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.81	Buckeye Partners LP (BPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.82	Berkshire Hathaway Inc. New (BRK.B)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.83	Bruker Corporation (BRKR)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.84	Boston Scientific Corporation (BSX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.85	Blue Buffalo Pet Products, Inc (BUFF)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.86	Blackstone Mortgage Trust, Inc (BXMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.87	Bezeq The Israel Telecommunication Corporation UNSP ADR (BZQIY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.88	Citigroup, Inc (C)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.89	ConAgra Brands, Inc (CAG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.90	Cardinal Health Inc (CAH)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.91	Caseys General Stores, Inc (CASY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.92	Caterpillar, Inc (CAT)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.93	Chubb Limited (CB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.94	CBOE Holdings, Inc (CBOE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.95	Crown Castle International Corp(REIT) (CCI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.96	Cabot Microelectronics Cororation (CCMP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.97	CDK Global, Inc (CDK)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.98	Celgene Corporation (CELG)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.99	Cerner Corporation (CERN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.100	Capitol Federal Financial, Inc (CFFN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.101	Culler/Frost Bankers, Inc (CFR)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.102	Church & Dwight Company, Inc (CHD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.103	Churchill Dwons, Incorporated (CHDN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.104	Chemed Corporation (CHE)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.105	Charter Financial Corp (CHFN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.106	China Mobile Limited (CHL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.107	Cherry Hill Mortgage Investment Corporation (CHMI)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.108	Chunghwa Telecom Co., Ltd. (CHT)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.109	Cigna Corporation (CI)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.110	China Construction Bank Corporation (CICBY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.111	BlackRock Capital and Income Fund, Inc (CII)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.112	Cincinnati Financial Corporation (CINF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.113	Colgate-Palmolive Company (CL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.114	Core Laboratories N.V. (CLB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.115	The Clorox Company (CLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.116	Comcast Corporation (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.117	CME Group, Inc (CME)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.118	Compass Group PLC (CMPGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.119	Canadian National Railway Company (CNI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.120	Capital One Financial Corporation (COF)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.121	Cooper Companies, Inc (COO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.122	Costco Wholesale Corporation (COST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.123	Campbell Soup Company(CPB)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.124	Capella Education Company (CPLA)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.125	Camden Property Trust (CPT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.126	Clifton Bancorp Inc (CSBK)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.127	Cisco Systems, Inc (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.128	CST Brands, Inc (CST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.129	CSK Corporation (CSK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.130	Cintas Corporation (CTAS)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.131	Ctrip,com International, Ltd (CTRP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.132	CVS Health Corporation (CVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.133	Chevron Corporation CVX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.134	Cypress Semiconductor Corporation (CY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.135	Dominion Energy (D)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.136	E. I. du Pont de Nemours and Company (DD)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.137	Deere & Company (DE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.138	Quest Diagnostics Incorporated (DGX)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.139	Danaher Corporation (DHR)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.140	Nuveen Dow 30 Dynamic Overwrite Fund (DIAX)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.141	Walt Disney Company (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.142	Dreyfus Municipal Bond Infrastructure Fund, Inc (DMB)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.143	Dunkin' Brands Group, Inc. (DNKN)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.144	Amdocs Limited (DOX)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.145	Duff & Phelps Global utility Income Fund Inc. (DPG)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.146	Dr Pepper Snapple Group, Inc. (DPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.147	Diversified Real Asset Income Fund (DRA)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.148	Blackrock Debt Strategies Fund, Inc (DSU)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.149	DTE Energy Company (DTE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.150	Duke Energy Corporation (DUK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.151	DaVita Inc (DVA)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.152	Dell Technologies Inc. (DVMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.153	Daiwa House Industry Co.,Ltd. (DWAHY)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.154	Wells Fargo Advantage Funds - Wells Fargo Income Opportunities Fund (EAD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.155	eBay Inc (EBAY)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.156	Meridian Bancorp, Inc. (EBSB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.157	Ecolab Inc (ECL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.158	Consolidated Edison, Inc. (ED)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.159	Enbridge Energy Partners, L.P. (EEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.160	Western Asset Global High Income Fund Inc. (EHI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.161	Eaton Vance Municipal Bond Fund (EIM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.162	Edison International (EIX)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.163	Estee Lauder Companies, Inc (EL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.164	Western Asset Emerging Markets Debt Fund Inc (EMD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.165	Wells Fargo Advantage Funds - Wells Fargo Global Dividend Opportunity Fund (EOD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.166	EOG Resources, Inc. (EOG)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.167	Enterprise Products Partners L.P. (EPD)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.168	EQT Midstream Partners, LP (EQM)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.169	Wells Fargo Advantage Multi-Sector Income Fund (ERC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.170	Erie Indemnity Company (ERIE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.171	Eversource Energy (ES)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.172	Essilor International Société Anonyme (ESLOY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.173	Express Scripts Holding Company (ESRX)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.174	ESSA Bancorp, Inc. (ESSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.175	Eutelsat Communications S.A. (ETCMY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.176	Eaton Vance Risk-Managed Diversified Equity Income Fund (ETJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.177	Eaton Corporation plc (ETN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.178	Energy Transfer Partners, L.P. (ETP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.179	Eaton Vance Short Duration Diversified Income Fund (EVG)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.180	Eaton Vance Limited Duration Income Fund (EVV)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.181	Edwards Lifesciences Corporation (EW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.182	Expeditors International of Washington, Inc. (EXPD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.183	Extra Space Storage Inc. (EXR)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.184	Facebook, Inc. (FB)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.185	Fresh Del Monte Produce Inc. (FDP)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.186	FactSet Research Systems Inc. (FDS)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.187	First Trust Enhanced Equity Income Fund (FFA)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.188	Fiserv, Inc. (FISV)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.189	Flowserve Corporation (FLS)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.190	Ford Otomotiv Sanayi A.S. (FOVSY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.191	First Republic Bank (FRC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.192	General Dynamics Corporation (GD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.193	General Electric Company (GE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.194	Prudential Global Short Duration High Yield Fund, Inc (GHY)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.195	Gilead Sciences, Inc. (GILD)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.196	General Mills, Inc. (GIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.197	Galp Energia, SGPS, S.A. (GLPEY)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.198	Alphabet, Inc (GOOG)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.199	Alphabet Ince (GOOGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.200	Garman Ltd (GRMN)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.201	Hyatt Hotels Corporation Class A (H)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.202	Halliburton Company (HAL)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.203	Hasbro, Inc (HAS)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.204	Hawaiian Telcom Holdco, Inc (HCOM)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.205	Healthcare Services Group (HCSG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.206	Home Depot, Inc (HD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.207	HDFC Bank Limited (HDB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.208	Kimberly-Clark Corporation (KMB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.209	Kinder Morgan, Inc. (KMI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.210	The Coca-Cola Company (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.211	Kroger Company (KR)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.212	Lamar Advertising Company (LAMR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.213	Lancaster Colony Corporation (LANC)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.214	L Brands, Inc (LB)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.215	Leidos Holdings, Inc (LDOS)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.216	Cohen & Steers Limited Duration Preferred and Income Fund, Inc. (LDP)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.217	Lennar Corp (LEN)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.218	Legal & General GP (LGGNY)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.219	Laboratory Corp of America (LH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.220	LJM Preservation & Growth Fund (LJMIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.221	L3 Technologies (LLL)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.222	Eli Lilly & Co. (LLY)	N/A	\$1,001 - \$15,000		\$1,001 - \$2,500
3.223	Lockheed Martin Corp. (LMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.224	Grand Canyon Education Inc. (LOPE)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.225	Lowes Companies Inc (LOW)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.226	LifePoint Health Inc. (LPNT)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.227	Landstar System Inc. (LSTR)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.228	Lamb Weston Holdings Inc.(LW)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.229	Mastercard Inc. (MA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.230	Mid-America Apartment Communities Inc. (MAA)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.231	Mobile TeleSystems PJSC (MBT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.232	McDonalds Corp (MCD)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.233	Mednax Inc. (MD)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.234	Mondelez International Inc (MDLZ)	N/A			None (or less than \$201)
3.235	Medtronic plc (MDT)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.236	MercadoLibre Inc (MELI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.237	MetLife Inc (MET)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.238	MFA Financial Inc (MFA)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.239	Macquarie Global Infrastructure Total Return Fund (MGU)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.240	Pioneer Municipal High Income Trust (MHI)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.241	McCormick & Co. (MKC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.242	Markel Corp. ((MKL)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.243	3M Company (MMM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.244	Magellan Midstream Partners LP (MMP)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.245	Altria Group Inc. (MO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.246	Monsanto Co.)MON)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.247	Morningstar Inc (MORN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.248	Marathon Petroleum Corp. (MPC)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.249	MPLX LP (MPLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.250	Merck & Co. (MRK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.251	Microsoft Corp (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.252	The Madison Square Garden Co. (MSG)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.253	M&T Corp. (MTB)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.254	Mettler-Toledo International Inc. (MTD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.255	BlackRock Muni Intermediate Duration Fund, Inc. (MUI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.256	Murphy Oil Corporation (MUR)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.257	Maxim Integrated Products, Inc (MXIM)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.258	Nuveen Quality Municipal Income Fund (NAD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.259	Nuveen AMT-Free Wuality Municipal Income Fund (NEA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.260	NextEra Energy, Inc. (NEE)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.261	Newmont Mining Corporation (NEM)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.262	Northfield Bancorp, Inc (NFBK)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.263	AllianzGI NFJ Dividend, Interest & Premium Strategy Fund (NFJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.264	National HealthCare Corporation (NHC)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.265	Nike, Inc (NKE)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.266	Nielsen N.V. Ordinary Shares (NLSN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.267	Northrop Grumman Corp (NOC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.268	Nordea Bank AB (publ) (NRBAY)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.269	Nestlé S.A. (NSRGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.270	Nuveen AMT-Free Municipal Credit Income Fund (NVG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.271	Novartis AG (NVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.272	Novozymes A/S (NVZMY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.273	Northwest Bancshares, Inc. (NWBI)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.274	American Funds New World F1 (NWFFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.275	Nuveen Municipal Credit Income Fund (NZF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.276	Orthofix International N.V. (OFIX)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.277	ONEOK, Inc. (OKE)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.278	ONEOK Partners, L.P. (OKS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.279	Owens & Minor, Inc. (OMI)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.280	Oracle Corporation (ORCL)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.281	Otter Tail Corporation (OTTR)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.282	HollyFrontier Corporation (HFC)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.283	Hartford Financial Services Group, Inc (HIG)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.284	Western Asset High Income Opportunity Fund Inc. (HIO)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.285	Healthcare Realty Trust Incorporated (HR)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.286	Hill-Rom Holdings, Inc. (HRC)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.287	Hormel Foods Corporation (HRL)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.288	Harris Corporation (HRS)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.289	Henry Schein, Inc. (HSIC)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.290	Host Hotels & Resorts, Inc	N/A	None (or less than \$1,001)		None (or less than \$201)
3.291	The Hershey Company (HSY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.292	John Hancock Tax-Advantaged Dividend Income Fund (HTD)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.293	Humana Inc. (HUM)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.294	Western Asset High Yield Defined Opportunity Fund Inc. (HYI)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.295	BlackRock Corporate High Yield Fund, Inc. (HYT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.296	IAC/InterActiveCorp (IAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.297	Interactive Brokers Group, Inc. (IBKR)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.298	International Business Machines Corporation (IBM)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.299	Voya Global Equity Dividend and Premium Opportunity Fund (IGD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.300	CBRE Clarion Global Real Estate Income Fund (IGR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.301	ING Groep N.V. (ING)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.302	Ingredion Incorporated (INGR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.303	World Fuel Services Corporation (INT)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.304	Intel Corporation (INTC)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.305	Intuit Inc. (INTU)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.306	International Paper Company (IP)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.307	Nuveen Global High Income Fund (JGH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.308	Jack Henry & Associates, Inc. (JKHY)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.309	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.310	Nuveen Preferred Income Opportunities Fund (JPC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.311	Nuveen Preferred and Income Term Fund (JPI)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.312	JPMorgan Chase & Co. (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.313	Nuveen Tax-Advantaged Total Return Strategy Fund (JTA)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.314	Nuveen Tax-Advantaged Dividend Growth Fund (JTD)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.315	John Wiley & Sons Inc. (JWA)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.316	Kellogg Company (K)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.317	The Kraft Heinz Company (KHC)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.318	KKR Income Opportunities Fund (KIO)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.319	Occidental Petroleum Corporation (OXY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.320	Plains All American Pipeline, L.P. (PAA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.321	PacWest Bancorp (PACW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.322	Paychex, Inc. (PAYX)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.323	People's United Financial, Inc. (PBCT)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.324	PACCAR Inc (PCAR)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.325	Pacific Gas and Electric Company (PCG)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.326	Patterson Companies, Inc. (PDCO)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.327	Public Service Enterprise Group Incorporated (PEG)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.328	Pattern Energy Group Inc. (PEGI)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.329	Pepsico, Inc. (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.330	Pfizer Inc. (PFE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.331	The Procter & Gamble Company (PG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.332	PerkinElmer, Inc. (PKI)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.333	Philip Morris International Inc. (PM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.334	Putnam Managed Municipal Income Trust (PMM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.335	Putnam Municipal Opportunities Trust (PMO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.336	Panera Bread Company (PNRA)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.337	Pinnacle West Capital Corporation (PNW)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.338	PPL Corporation (PPL)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.339	ProAssurance Corporation (PRA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.340	Provident Financial Holdings, Inc. (PROV)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.341	Prudential Financial, Inc. (PRU)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.342	Public Storage (PSA)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.343	Public Storage DEP SH REPSTG (PSA-S)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.344	Praxair, Inc. (PX)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.345	PayPal Holdings, Inc. (PYPL)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.346	Quintiles IMS Holdings, Inc. (Q)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.347	QUALCOMM Incorporated (QCOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.348	Brookfield Real Assets Income Fund Inc. (RA)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.349	Reynolds American Inc. (RAI)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.350	Reckitt Benckiser Group plc (RBGLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.351	Royal Dutch Shell plc (RDS-B)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.352	Everest Re Group, Ltd. (RE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.353	Reinsurance Group of America, Incorporated (RGA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.354	RTL Group SA (RGLXY)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.355	Rio Tinto plc (RIO)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.356	ResMed Inc. (RMD)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.357	Cohen & Steers REIT and Preferred Income Fund, Inc. (RNP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.358	RenaissanceRe Holdings Ltd. (RNR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.359	Resource Real Estate Diversified Income Fund - Class A (RREDX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.360	Republic Services, Inc. (RSG)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.361	Raytheon Company (RTN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.362	EchoStar Corporation (SATS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.363	Sampo Oyj (SAXPY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.364	Starbucks Corporation (SBUX)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.365	LMP Capital and Income Fund Inc. (SCD)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.366	SCANA Corporation (SCG)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.367	Scholastic Corporation (SCHL)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.368	Scholastic Corporation (SCHL)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.369	The Charles Schwab Corporation (SCHW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.370	Sands China Ltd. (SCHYY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.371	Service Corporation International (SCI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.372	SEI Daily Income Trust Government Fund Class F (SEOXX)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.373	SEI Daily Income Trust Government Fund Class F (SEOXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.374	SEI Daily Income Trust Government Fund Class F (SEOXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.375	SEI Daily Income Trust Government Fund Class F (SEOXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.376	SEI Daily Income Trust Government Fund Class F (SEOXX)	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.377	Standard Bank Group Limited (SGBLY)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.378	Sirius XM Holdings Inc. (SIRI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.379	The J. M. Smucker Company (SJM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.380	Schlumberger Limited (SLB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.381	SLM Corporation (SLM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.382	Sumitomo Mitsui Financial Group, Inc. (SMFG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.383	Snam S.p.A. (SNMRY)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.384	The Southern Company (SO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.385	Spectrum Brands Holdings, Inc. (SPB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.386	Spirit AeroSystems Holdings, Inc. (SPR)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.387	Suncor Energy Inc. (SU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.388	Sysco Corporation (SYY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.389	AT&T Inc. (T)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.390	Territorial Bancorp Inc. (TBNK)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.391	Tencent Holdings Limited (TCEHY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.392	Bio-Techne Corporation (TECH)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.393	Templeton Emerging Markets Income Fund (TEI)	Yes	None (or less than \$1,001)		None (or less than \$201)
3.394	Teradyne, Inc. (TER)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.395	Teva Pharmaceutical Industries Limited (TEVA)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.396	TFS Financial Corp (TFSL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.397	Teleflex Incorporated (TFX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.398	Target Corporation (TGT)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.399	Turkcell Iletisim Hizmetleri A.S. (TKC)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.400	The Timken Company (TKR)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.401	Tokyo Electron Limited (TOELY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.402	TOTAL S.A. (TOT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.403	T. Rowe Price Group, Inc. (TROW)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.404	The Travelers Companies, Inc. (TRV)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.405	Tractor Supply Company (TSCO)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.406	Taiwan Semiconductor Manufacturing Company Limited (TSM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.407	Techtronic Industries Company Limited (TTNDY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.408	Two Harbors Investment Corp. (TWO)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.409	Time Warner Inc. (TWX)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.410	Tyler Technologies, Inc. (TYL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.411	Under Armour, Inc. (UA)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.412	Ulta Beauty, Inc. (ULTA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.413	Unilever N.V. (UN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.414	UnitedHealth Group Incorporated (UNH)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.415	Union Pacific Corporation (UNP)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.416	United Parcel Service, Inc. (UPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.417	U.S. Bancorp (USB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.418	Cohen & Steers Infrastructure Fund, Inc (UTF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.419	Unitil Corporation (UTL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.420	United Technologies Corporation (UTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.421	Universal Corporation (UWV)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.422	Visa Inc. (V)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.423	V.F. Corporation (VFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.424	Vector Group Ltd. (VGR)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.425	Vodafone Group Plc (VOD)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.426	Voya Financial, Inc. (VOYA)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.427	Validus Holdings, Ltd. (VR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.428	Verisk Analytics, Inc. (VRSK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.429	VeriSign, Inc. (VRSN)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.430	Verizon Communications Inc. (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.431	Waters Corporation (WAT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.432	Walgreens Boots Alliance, Inc. (WBA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.433	WESCO International, Inc. (WCC)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.434	Workday, Inc. (WDAY)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.435	WEC Energy Group, Inc. (WEC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.436	Wells Fargo & Company (WFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.437	Whole Foods Market, Inc. (WFM)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.438	Whirlpool Corporation (WHR)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.439	Whiting Petroleum Corporation (WLL)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.440	Willis Towers Watson Public Limited Company (WLTW)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.441	Waste Management, Inc. (WM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.442	The Williams Companies, Inc. (WMB)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.443	Wal-Mart Stores, Inc. (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.444	Williams Partners L.P. (WPZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.445	White Mountains Insurance Group, Ltd. (WTM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.446	Weyerhaeuser Co. (WY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.447	Xcel Energy Inc. (XEL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.448	Exxon Mobil Corporation (XOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.449	DENTSPLY SIRONA Inc. (XRAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.450	Alleghany Corporation (Y)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.451	Yum! Brands, Inc. (YUM)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.452	Yum China Holdings, Inc. (YUMC)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.453	Zimmer Biomet Holdings, Inc. (ZBH)	N/A	None (or less than \$1,001)		None (or less than \$201)
4	TD Ameritrade	No			
4.1	Cedar Fair L P Depository Unit	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.2	Dominos Pizza Inc Com	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.3	DOW Chemical Com	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.4	Dunkin Brands Group Com	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.5	Enbridge Inc Com	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.6	Lowes Cos Inc Com	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.7	Vanguard S&P 500 Growth ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.8	Walt Disney Co COM	N/A	\$1,001 - \$15,000		None (or less than \$201)
5	TD Ameritrade #2	No			
5.1	American Funds Washington Mutual R5	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.2	Loomis Sayles Core Plus Bond Fund Class N	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.3	Mainstay Unconstrained Bond I	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.4	American Funds Europacific Gr R5	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.5	SEI Instl Mgd Managed Volatility A	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.6	Mainstay Epoch Global Equity Yield Inv	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.7	Vanguard Dividend Growth Inv	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.8	PRIMECAP Odyssey Growth	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.9	Oppenheimer Developing Markets A	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.10	SEI Instl Global Mngd Volatility A	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.11	Templeton Global Bond Adv	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.12	Mainstay High Yield Corporate Bond I	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.13	Franklin K2 Alternative Strategies Adv	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.14	Fidelity Low-Priced Stock	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.15	T Rowe Price Small-Cap Value	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.16	PIMCO Real Return D	Yes	\$15,001 - \$50,000		None (or less than \$201)
6	Morgan Stanley brokerage acct (spouse) #2)	No			
6.1	Berkshire Hathaway B (BRK'B)	N/A	\$250,001 - \$500,000		None (or less than \$201)
6.2	Tableau Software Inc. (DATA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7	General Motors Company (GM)	N/A	None (or less than \$1,001)		None (or less than \$201)
8	AT&T Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	Comcast Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)

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

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$150 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

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

Public Burden Information

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

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).

POST CERTIFICATION COMMENT

FITZGERALD, Brenda

Filing Year 2017

CHANGE:

Under Part 6, under Morgan Stanley traditional IRA account (#3), underlying holding (3.129) should be listed as:

“3.129 CSX Corporation (CSX)” vice “3.129 CSK Corporation (CSK)”

Adding additional pages to Part 6 – the pages are being added as the filer inadvertently omitted from her initial filing.

Stanley Olesh (SO)

Instructions for Part 6

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Filer's Name		Page Number			
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Part 6: Other Assets and Income					
#	Description	EIF	Value	Income Type	Income Amount
1.	Itau Unibanco Holdings SA	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.	Banco Bilbao Vizcaya Argentaria SA	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.	Intesa Sanpaolo SPA	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.	ASML Holding NC	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.	Banco Santander Chile	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.	New Oriental Education & Technology Group Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.	Delphi Automotive PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.	Cie Financiere Richemont SA	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.	Grupo Financiero Santander Mexico SAB	N/A	None (or less than \$1,001)		None (or less than \$201)
10.	Kingfisher	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.	Makita Corp.	N/A	None (or less than \$1,001)		None (or less than \$201)
12.	Julius Baer Group Limited	N/A	None (or less than \$1,001)		None (or less than \$201)
13.	Washington Clackamas & Yamhill Ref 03 Jun 2015 5% 15 J	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.	Vale S.A. Spons ADR Repr 1 Com (VALE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
15.	Omnion Corp (OMRNY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.	Statoil Asa Spon ADR Each Rep 1 ORD Nok2.50 (STO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.	Diageo ADR Each Repr 4 ORD GBx28.935185 (DEO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.	Baidu Inc Spons ADS Repr 10 ORD Cls 'A'Us0.0005 (BID)	N/A	None (or less than \$1,001)		None (or less than \$201)
19.	Heineken NV (HEINY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
20.	Alexion Pharmaceutical Inc (ALXN)	N/A	\$1,001 - \$15,000		None (or less than \$201)

Instructions for Part 6

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Filer's Name		Page Number			
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Part 6: Other Assets and Income					
#	Description	EIF	Value	Income Type	Income Amount
1.	BNP Paribas SA (BNPQY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.	Vermilion Energy Inc	N/A	None (or less than \$1,001)		None (or less than \$201)
3.	BT Group ADR Each Rep 10 ORD (BT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.	Broadcom LTD Shs (AVGO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.	Repsol YPF Sa ADR-Each Cnv Into 1 ORD (Bny) (REPY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.	Westpac Banking Corp – SP ADR (WBK)	N/A	None (or less than \$1,001)		None (or less than \$201)
7.	Sun Life Financial Inc (SLF)	N/A	None (or less than \$1,001)		None (or less than \$201)
8.	ICON PLC (ICLR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.	Yandex NV (YNDX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.	Square Inc (SQ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.	Engie SA (ENGIY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.	Vistra Energy Corp (VST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.	AerCap Holdings NV (AER)	N/A	\$1,001 - \$15,000		None (or less than \$201)
14.	Kubota Corp (KUBTY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
15.	AON Plc Com USD0.01 CL A (AON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.	Lyondellbasell Industries NV (LYB)	N/A	None (or less than \$1,001)		None (or less than \$201)
17.	Carnival Corp (CCL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.	Sensata Technologies Holding NV (ST)	N/A	None (or less than \$1,001)		None (or less than \$201)
19.	Booz Allen Hamilton Holding Corp (BAH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
20.	Exelon Corp (EXC)	N/A	\$1,001 - \$15,000		None (or less than \$201)

Instructions for Part 6

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Filer's Name		Page Number			
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Part 6: Other Assets and Income					
#	Description	EIF	Value	Income Type	Income Amount
1.	Alibaba Group Holding Ltd Sponsored Ads Each Repr Ord	N/A	None (or less than \$1,001)		None (or less than \$201)
2.	Agrium Inc (AGU)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.	Stantec Inc (STN)	N/A	None (or less than \$1,001)		None (or less than \$201)
4.	DBS Group Holdings LTD (DBSDY)	N/A	None (or less than \$1,001)		None (or less than \$201)
5.	Sony Corp ADR-Each Cnv Into 1 ORD (SNE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.	ORIX Corp (IX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.	AIA Group LTD (AAGIY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.	WNS Holdings LTD Spons ADR Ea Repr 1 ORD Shs (WNS)	N/A	None (or less than \$1,001)		None (or less than \$201)
9.	Phillips Electronics (Koniklijke) NV ADR Each Rep 1 ORD	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.	American International Co (ANAT)	N/A	None (or less than \$1,001)		None (or less than \$201)
11.	Bayer AG Spon ADR-Each Repr 1 ORD (BAYRY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
12.	Bank Mandiri Persero Tbk PT (PPER)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.	TELUS Corp (TU)	N/A	None (or less than \$1,001)		None (or less than \$201)
14.	Bank of Montreal (BMO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
15.	Anheuser-Busch Inbev NV (BUD)	N/A	None (or less than \$1,001)		None (or less than \$201)
16.	ICICI Bank Limited ADR Each Repr 2 ORD Inr10(spon)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.	Cemex S.A.B. De C.V. Spon ADR Rep 10 Cpo (CX)	N/A	None (or less than \$1,001)		None (or less than \$201)
18.	Ihs Market Ltd (INFO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
19.	Bank of Nova Scotia/The (BNS)	N/A	None (or less than \$1,001)		None (or less than \$201)
20.	Astellas Pharma Inc (ALPMY)	N/A	None (or less than \$1,001)		None (or less than \$201)

[Instructions for Part 6](#)

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Filer's Name		Page Number			
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Part 6: Other Assets and Income					
#	Description	EIF	Value	Income Type	Income Amount
1.	Symantec Corp (SYMC)	N/A	None (or less than \$1,001)		None (or less than \$201)
2.	Hollysys Automation Technologies Ltd (HOLI)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.	AES Corp/VA	N/A	None (or less than \$1,001)		None (or less than \$201)
4.	Agilent Technologies (A)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.	Allergan Plc. com (AGN)	N/A	None (or less than \$1,001)		None (or less than \$201)
6.	Apple Hospitality REIT Inc (APLE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.	Aramark (ARMK)	N/A	None (or less than \$1,001)		None (or less than \$201)
8.	Ashtead Group PLC	N/A	None (or less than \$1,001)		None (or less than \$201)
9.	Bank of China (BACHY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.	US Foods Holding Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.	British American Tobacco PLC (BTI)	N/A	None (or less than \$1,001)		None (or less than \$201)
12.	Check Point Software Technologies Ltd (CHKP)	N/A	None (or less than \$1,001)		None (or less than \$201)
13.	Cielo SA (CIOXY)	N/A	None (or less than \$1,001)		None (or less than \$201)
14.	CRH PLC (CRH)	N/A	None (or less than \$1,001)		None (or less than \$201)
15.	YY Inc	N/A	None (or less than \$1,001)		None (or less than \$201)
16.	Darden Restaurants Inc (DRI)	N/A	None (or less than \$1,001)		None (or less than \$201)
17.	DowDupont Inc (DWDWP)	N/A	None (or less than \$1,001)		None (or less than \$201)
18.	Ferrari NV	N/A	\$1,001 - \$15,000		None (or less than \$201)
19.	Florida State Board of Education Lottery	N/A	None (or less than \$1,001)		None (or less than \$201)
20.	Fuji Film Holdings Corporation ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)

[Instructions for Part 6](#)

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Filer's Name		Page Number				
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Part 6: Other Assets and Income						
#	Description	EIF	Value	Income Type	Income Amount	
1.	GlaxoSmithKline PLC (GSK)	N/A	\$1,001 - \$15,000		None (or less than \$201)	
2.	Government Fund (SEOXX)	Y	\$15,001 - \$50,000		None (or less than \$201)	
3.	Grifols S Spon ADR Ea (GRFS)	N/A	None (or less than \$1,001)		None (or less than \$201)	
4.	Hawaiian Electric Industries Inc (HE)	N/A	\$1,001 - \$15,000		None (or less than \$201)	
5.	First Truited Enhanced Equity Income Fund (FFA)	N/A	None (or less than \$1,001)		None (or less than \$201)	
6.	Hilton Grand Vacations Inc	N/A	None (or less than \$1,001)		None (or less than \$201)	
7.	Uniti Group Inc Com	N/A	None (or less than \$1,001)		None (or less than \$201)	
8.	Imperial Brands PLC (IMBBY)	N/A	\$1,001 - \$15,000		None (or less than \$201)	
9.	Invesco Ltd (IVZ)	N/A	None (or less than \$1,001)		None (or less than \$201)	
10.	Japan Tobacco Inc (JAPAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)	
11.	Leggett & Platt Inc (LEG)	N/A	None (or less than \$1,001)		None (or less than \$201)	
12.	Life Healthcare Group Holdings Ltd (LTGHY)	N/A	None (or less than \$1,001)		None (or less than \$201)	
13.	LVMH Moet Hennessey Louis Vuitton SE (LVMUY)	N/A	None (or less than \$1,001)		None (or less than \$201)	
14.	Magna International Inc (MGA)	N/A	None (or less than \$1,001)		None (or less than \$201)	
15.	Melco Resorts & Entertainment Ltd (MLCO)	N/A	None (or less than \$1,001)		None (or less than \$201)	
16.	Metso OYJ (MXCYY)	N/A	None (or less than \$1,001)		None (or less than \$201)	
17.	Michigan St Fin Auth Revenue Ref	N/A	\$1,001 - \$15,000		None (or less than \$201)	
18.	Mitsubishi Ujf Financial Group Inc ADR (MTLU)	N/A	None (or less than \$1,001)		None (or less than \$201)	
19.	Netease.Com Inc ADR Each Repr 25 Com (NTES)	N/A	\$1,001 - \$15,000		None (or less than \$201)	
20.	Neuberger Berman Real Estate Securities (NRO)	N/A	None (or less than \$1,001)		None (or less than \$201)	

Instructions for Part 6

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Filer's Name		Page Number				
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Part 6: Other Assets and Income						
#	Description	EIF	Value	Income Type	Income Amount	
1.	Nippon Tel & Tel Corps Spons ADR-Repr 2 (NTTTY)	N/A	None (or less than \$1,001)		None (or less than \$201)	
2.	Nuveen Credit Strategies Income Fund (JQC)	N/A	None (or less than \$1,001)		None (or less than \$201)	
3.	Nuveen Real Estate Income and Growth Fund (JRI)	N/A	None (or less than \$1,001)		None (or less than \$201)	
4.	Oil Search Limited (OISHY)	N/A	None (or less than \$1,001)		None (or less than \$201)	
5.	Olympus Corp (OCPNY)	N/A	None (or less than \$1,001)		None (or less than \$201)	
6.	Pennsylvania St Ref-2nd Ser 16 Dec 2016	N/A	\$1,001 - \$15,000		None (or less than \$201)	
7.	Progressive Corp/The (PGR)	N/A	\$1,001 - \$15,000		None (or less than \$201)	
8.	Prudential Short Duration High Yield Fund (ISD)	Y	None (or less than \$1,001)		None (or less than \$201)	
9.	Ryanair Holdings PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)	
10.	Safeway Casa Ley Cvr	N/A	None (or less than \$1,001)		None (or less than \$201)	
11.	Safeway Pdc, Lic Cvr	N/A	None (or less than \$1,001)		None (or less than \$201)	
12.	Sberbank of Russia PJSC	N/A	None (or less than \$1,001)		None (or less than \$201)	
13.	Siemens Ag ADR-Each Cnv Into 1 ORD	N/A	None (or less than \$1,001)		None (or less than \$201)	
14.	TechnipFMC PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)	
15.	Trend Micro Inc ADR Each Rep 1 ORD Npv Spon(Bny) (TMI)	N/A	\$1,001 - \$15,000		None (or less than \$201)	
16.						
17.						
18.						
19.						
20.						