



FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Dean Phillips
Status: Congressional Candidate
State/District: MN03

FILING INFORMATION

Filing Type: Candidate Report
Filing Year: 2017
Filing Date: 09/14/2017
Period Covered: 01/01/2016– 08/31/2017

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- 100 University Family Limited Partnership ⇒ Artwork		\$100,001 - \$250,000	None		
DESCRIPTION: Collection of paintings, photographs, prints & sculptures.					
- 100 University Family Limited Partnership ⇒ Commercial Property		\$1,000,001 - \$5,000,000	Partnership Income	\$5,001 - \$15,000	\$15,001 - \$50,000
LOCATION: Minneapolis/Hennepin, MN, US					
- Cash Accounts ⇒ Cash in JP Morgan checking accounts		\$100,001 - \$250,000	Interest	\$1 - \$200	\$1 - \$200
- Cash Accounts ⇒ Cash in JP Morgan investment accounts		\$50,001 - \$100,000	None		
- Cash Accounts ⇒ Cash in U.S. Bank checking accounts		\$1,001 - \$15,000	Interest	\$1 - \$200	\$1 - \$200
- Fialko, LLC ⇒ AIF VI Private Investors LLC		\$100,001 - \$250,000	Partnership Income	\$5,001 - \$15,000	\$5,001 - \$15,000
DESCRIPTION: EIF					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Fialko, LLC ⇒ AP Europe VII (APAX) Private Investors Onshore LLC DESCRIPTION: EIF		\$100,001 - \$250,000	Partnership Income	\$2,501 - \$5,000	\$50,001 - \$100,000
- Fialko, LLC ⇒ Carlyle Asia Partners II Private Investors LLC DESCRIPTION: EIF		\$15,001 - \$50,000	Partnership Income	\$15,001 - \$50,000	\$50,001 - \$100,000
- Fialko, LLC ⇒ Cash in JP Morgan checking account		\$15,001 - \$50,000	Interest	\$1 - \$200	\$1 - \$200
- Fialko, LLC ⇒ Cash in JP Morgan investment account		\$250,001 - \$500,000	None		
- Fialko, LLC ⇒ Euro Principal Currency DESCRIPTION: Currency		\$50,001 - \$100,000	None		
- Fialko, LLC ⇒ Highbridge Mezzanine Partners, LP DESCRIPTION: EIF		\$100,001 - \$250,000	Partnership Income	\$5,001 - \$15,000	\$15,001 - \$50,000
- Fialko, LLC ⇒ JP Morgan Alternative Property Fund Domestic 1 LP DESCRIPTION: EIF		\$1,001 - \$15,000	Partnership Income	None	\$201 - \$1,000
- Fialko, LLC ⇒ JP Morgan India Property Fund, LP DESCRIPTION: EIF		\$50,001 - \$100,000	Partnership Income	\$15,001 - \$50,000	\$15,001 - \$50,000
- Fialko, LLC ⇒ JPM Prime MM Fd - Instl Fund 829 1.18% (JINXX)		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	None
- Fialko, LLC ⇒ JPMorgan Greater China Property Fund LP DESCRIPTION: EIF		None	Partnership Income	\$100,001 - \$1,000,000	None
- Fialko, LLC ⇒ KKR 2006 Private Investors LLC (Onshore) Co-Investment DESCRIPTION: EIF		None	Partnership Income	\$15,001 - \$50,000	None
- Fialko, LLC ⇒ KKR 2006 Private Investors, LLC (Onshore)		\$100,001 - \$250,000	Partnership Income	\$50,001 - \$100,000	\$100,001 - \$1,000,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
DESCRIPTION: EIF					
- Fialko, LLC ⇒ Outsell, Inc.		\$250,001 - \$500,000	None		
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Developer of consumer engagement technologies for the automotive industry.					
- Fialko, LLC ⇒ Penny's Coffee LLC		\$100,001 - \$250,000	None		
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Coffee shops.					
- Fialko, LLC ⇒ Rational Energies LLC		\$250,001 - \$500,000	None		
LOCATION: Plymouth/Hennepin, MN, US DESCRIPTION: Developer of technologies to convert municipal waste flows into sustainable sources of green energy.					
- Fialko, LLC ⇒ Residential Property		\$500,001 - \$1,000,000	Partnership Income	\$5,001 - \$15,000	\$5,001 - \$15,000
LOCATION: Minnetonka/Hennepin, MN, US					
- Fialko, LLC ⇒ Riverstone Global Energy & Power Onshore IV LLC		\$100,001 - \$250,000	Partnership Income	\$5,001 - \$15,000	\$1 - \$200
DESCRIPTION: EIF					
- Fialko, LLC ⇒ Riverstone Renewable & Alternative Energy - Onshore II LLC		\$100,001 - \$250,000	Partnership Income	\$15,001 - \$50,000	\$2,501 - \$5,000
DESCRIPTION: EIF					
- Phillips Family Properties, LLC ⇒ Cash in JP Morgan checking account		\$1,001 - \$15,000	Interest	\$1 - \$200	\$1 - \$200
- Phillips Family Properties, LLC ⇒ 100 University Family Limited Partnership ⇒ Artwork		\$1,001 - \$15,000	None		
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Collection of paintings, photographs, prints & sculptures.					
- Phillips Family Properties, LLC ⇒ 100 University Family Limited Partnership ⇒ Commercial Property		\$15,001 - \$50,000	Partnership Income	\$1 - \$200	\$201 - \$1,000
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Commercial Property					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Privately-Held Business Entities ⇒ DTP, LLC		\$100,001 - \$250,000	None		
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Developer of philanthropic giving platforms for individuals and organizations.					
- Privately-Held Business Entities ⇒ Geniecast, LLC		\$500,001 - \$1,000,000	Interest	None	\$1,001 - \$2,500
LOCATION: St.Louis/St. Louis, MO, US DESCRIPTION: Developer of a live, two-way video conferencing portal connecting people, ideas and inspiration.					
- Privately-Held Business Entities ⇒ MyMeds, Inc.		\$50,001 - \$100,000	None		
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Convertible note. MyMeds, Inc. is a developer of solutions to address the human and economic costs of medication non-adherence.					
- Privately-Held Business Entities ⇒ Penny's Coffee LLC		\$100,001 - \$250,000	None		
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Coffee shops.					
- Privately-Held Business Entities ⇒ Rational Energies LLC		\$250,001 - \$500,000	None		
LOCATION: Plymouth / Hennepin, MN, US DESCRIPTION: Developer of technologies to convert municipal waste flows into sustainable sources of green energy.					
- Privately-Held Business Entities ⇒ Spark Boulder 24, LLC		\$250,001 - \$500,000	None		
LOCATION: Boulder / Boulder, CO, US DESCRIPTION: LEED Platinum Neighborhood Development Community in Boulder, Colorado.					
- Retirement Account 1 ⇒ Fidelity Freedom K 2035 Fund (FSNUX)		\$15,001 - \$50,000	Tax-Deferred		
DESCRIPTION: EIF					
- Retirement Account 2 ⇒ Fidelity Target Date 2035 Fund		\$15,001 - \$50,000	Tax-Deferred		
DESCRIPTION: EIF					
- Trust 1 ⇒ 3M Company (MMM)		None	Capital Gains, Dividends	None	\$5,001 - \$15,000
- Trust 1 ⇒ Accenture plc Class A Ordinary Shares (ACN)		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 1 ⇒ American Express Company (AXP)		None	Capital Gains, Dividends	\$5,001 - \$15,000	\$201 - \$1,000
- Trust 1 ⇒ AmerisourceBergen Corporation (ABC)		\$15,001 - \$50,000	Dividends	None	\$201 - \$1,000
- Trust 1 ⇒ AMG MG Pictet Intl - I (APCTX)		\$100,001 - \$250,000	Capital Gains, Dividends	\$15,001 - \$50,000	\$5,001 - \$15,000
- Trust 1 ⇒ Bank of New York Mellon Corporation (BK)		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$1,001 - \$2,500
- Trust 1 ⇒ Berkshire Hathaway Inc. New (BRK.B)		\$15,001 - \$50,000	None		
- Trust 1 ⇒ Blackrock High Yield PT - BLAC (BRHYX)		\$100,001 - \$250,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
- Trust 1 ⇒ Blackstone Partners Investment Fund LP Class B DESCRIPTION: EIF		\$500,001 - \$1,000,000	None		
- Trust 1 ⇒ BNP CBEN XOP US 7/31/18 85% Barrier		\$100,001 - \$250,000	None		
- Trust 1 ⇒ Carlyle Asia Partners II Private Investors LLC DESCRIPTION: EIF		\$15,001 - \$50,000	Partnership Income	\$15,001 - \$50,000	\$50,001 - \$100,000
- Trust 1 ⇒ Cash in JP Morgan investment account		\$100,001 - \$250,000	Interest	None	\$1 - \$200
- Trust 1 ⇒ CenturyLink, Inc. (CTL)		\$1,001 - \$15,000	None		
- Trust 1 ⇒ Cerner Corporation (CERN)		\$15,001 - \$50,000	None		
- Trust 1 ⇒ Comcast Corporation - Class A (CMCSA)		\$15,001 - \$50,000	Dividends	None	\$201 - \$1,000
- Trust 1 ⇒ Comerica Incorporated (CMA)		None	Capital Gains, Dividends	None	\$5,001 - \$15,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 1 ⇒ Corbin Capital Partners - Pinehurst Partners LP DESCRIPTION: EIF		\$250,001 - \$500,000	None		
- Trust 1 ⇒ Danone Sponsored ADR (DANOY)		None	Capital Gains, Dividends	None	\$1,001 - \$2,500
- Trust 1 ⇒ Devon Energy Corporation (DVN)		\$1,001 - \$15,000	Dividends	None	\$201 - \$1,000
- Trust 1 ⇒ Dodge & Cox Intl Stock Fund (DODFX)		\$250,001 - \$500,000	Capital Gains, Dividends	\$15,001 - \$50,000	\$5,001 - \$15,000
- Trust 1 ⇒ Dollar General Corporation (DG)		\$15,001 - \$50,000	Dividends	None	\$201 - \$1,000
- Trust 1 ⇒ Doubleline Total Return Bond - I (DBLTX)		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	None
- Trust 1 ⇒ eBay Inc. (EBAY)		\$15,001 - \$50,000	None		
- Trust 1 ⇒ Eton Park Fund, LP Class E - New Issue Ineligible Non-Self Dealing DESCRIPTION: EIF		\$15,001 - \$50,000	None		
- Trust 1 ⇒ Expeditors International of Washington, Inc. (EXPD)		\$15,001 - \$50,000	Dividends	None	\$201 - \$1,000
- Trust 1 ⇒ Highbridge Mezzanine Partners LP DESCRIPTION: EIF		\$50,001 - \$100,000	Partnership Income	\$5,001 - \$15,000	\$5,001 - \$15,000
- Trust 1 ⇒ Honeywell International Inc. (HON)		\$15,001 - \$50,000	Capital Gains, Dividends	None	\$1,001 - \$2,500
- Trust 1 ⇒ HPS Mezzanine Private Investors II LLC DESCRIPTION: EIF		\$250,001 - \$500,000	Partnership Income	\$50,001 - \$100,000	\$100,001 - \$1,000,000
- Trust 1 ⇒ Ishares Core MSCI EAFE ETF (IEFA)		\$100,001 - \$250,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 1 ⇒ Ishares Curr Hedged MSCI EAFE (HEFA)		None	Dividends	None	\$2,501 - \$5,000
- Trust 1 ⇒ Ishares MSCI ACWI Index Fund (ACWI)		\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000	None
- Trust 1 ⇒ Ishares MSCI EAFE Index Fund (EFA)		\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
- Trust 1 ⇒ Ishares MSCI Japan New (EWJ)		\$50,001 - \$100,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$1,001 - \$2,500
- Trust 1 ⇒ Ishares Russell 1000 Growth (IWF)		\$100,001 - \$250,000	Dividends	\$1 - \$200	\$1,001 - \$2,500
- Trust 1 ⇒ Ishares Russell Mid-Cap ETF (IWR)		None	Capital Gains, Dividends	\$50,001 - \$100,000	\$2,501 - \$5,000
- Trust 1 ⇒ JP Morgan Chase & Co. (JPM)		\$15,001 - \$50,000	Dividends	None	\$1 - \$200
- Trust 1 ⇒ JPM Global Bond Opport - I (GBOSX)		None	Dividends	None	\$201 - \$1,000
- Trust 1 ⇒ JPM Shrt-Int Muni Bnd Fd - Cl L (JIMIX)		\$100,001 - \$250,000	Dividends	\$1 - \$200	None
- Trust 1 ⇒ JPM Strat Inc Opp Fd - Cl I Fund (JSOSX)		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	None
- Trust 1 ⇒ JPM Tax Free MMkt Inst Sweep Fd		\$50,001 - \$100,000	Dividends	\$1 - \$200	\$1 - \$200
DESCRIPTION: EIF					
- Trust 1 ⇒ JPMorgan Gbl Res Enh Idx - I (JEITX)		\$250,001 - \$500,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$5,001 - \$15,000
- Trust 1 ⇒ JPMorgan Interm T/F Bnd - I (JITIX)		\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000	\$5,001 - \$15,000
- Trust 1 ⇒ JPMorgan Intrepid Growth Cl L (JPGSX)		\$100,001 - \$250,000	Dividends	None	\$1,001 - \$2,500

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 1 ⇒ Level 3 Communications, Inc. (LVLT)		\$15,001 - \$50,000	None		
- Trust 1 ⇒ Matthews Pacific Tiger - Inst (MIPTX)		\$50,001 - \$100,000	Dividends	None	\$201 - \$1,000
- Trust 1 ⇒ Metropolitan West T/R Bond - I (MWTIX)		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$2,501 - \$5,000
- Trust 1 ⇒ MFS Emerging Markets Debt Fund R6 (MEDHX)		\$50,001 - \$100,000	None		
- Trust 1 ⇒ MFS Emerging Mkts Debt Fd - I (MEDIX)		None	Capital Gains, Dividends	\$1,001 - \$2,500	None
- Trust 1 ⇒ MFS Intl Value - I (MINIX)		\$100,001 - \$250,000	Dividends	None	\$1,001 - \$2,500
- Trust 1 ⇒ Microsoft Corporation (MSFT)		\$15,001 - \$50,000	Capital Gains, Dividends	None	\$5,001 - \$15,000
- Trust 1 ⇒ Nestle SA Sponsored ADR representing Registered Shares Series B (NSRGY)		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$1,001 - \$2,500
- Trust 1 ⇒ Neuberger Berman Hi In B - Ins (NHILX)		None	Dividends	None	\$1,001 - \$2,500
- Trust 1 ⇒ Omnicom Group Inc. (OMC)		\$15,001 - \$50,000	Capital Gains, Dividends	None	\$1,001 - \$2,500
- Trust 1 ⇒ Oracle Corporation (ORCL)		\$15,001 - \$50,000	Dividends	\$1 - \$200	None
- Trust 1 ⇒ PACCAR Inc. (PCAR)		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1,001 - \$2,500
- Trust 1 ⇒ Potash Corporation of Saskatchewan Inc. (POT)		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1,001 - \$2,500
- Trust 1 ⇒ Progressive Corporation (PGR)		\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	\$2,501 - \$5,000
- Trust 1 ⇒		\$100,001 -	Partnership	\$5,001 -	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Riverstone Global Energy and Power Onshore IV LLC		\$250,000	Income	\$15,000	
DESCRIPTION: EIF					
- Trust 1 ⇒ Riverstone Global Energy and Power Private Investors V, LLC		\$100,001 - \$250,000	Partnership Income	\$5,001 - \$15,000	\$15,001 - \$50,000
DESCRIPTION: EIF					
- Trust 1 ⇒ Rockwell Automation, Inc. (ROK)		None	Capital Gains, Dividends	\$2,501 - \$5,000	\$201 - \$1,000
- Trust 1 ⇒ Ross Stores, Inc. (ROST)		None	Capital Gains, Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
- Trust 1 ⇒ Schlumberger N.V. (SLB)		\$15,001 - \$50,000	Dividends	None	\$201 - \$1,000
- Trust 1 ⇒ SPDR S&P 500 ETF Trust (SPY)		\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
- Trust 1 ⇒ Stanley Black & Decker, Inc. (SWK)		\$15,001 - \$50,000	Dividends	None	\$201 - \$1,000
- Trust 1 ⇒ T Rowe PR Emerg Mkts BN - Inv (PREMX)		None	Dividends	None	\$2,501 - \$5,000
- Trust 1 ⇒ TE Connectivity Ltd. New Switzerland Registered Shares (TEL)		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$201 - \$1,000
- Trust 1 ⇒ TJX Companies, Inc. (TJX)		\$15,001 - \$50,000	Dividends	\$1 - \$200	None
- Trust 1 ⇒ Twenty-First Century Fox, Inc. - Class A (FOXA)		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
- Trust 1 ⇒ Twenty-First Century Fox, Inc. - Class B (FOX)		\$15,001 - \$50,000	Dividends	None	\$1 - \$200
- Trust 1 ⇒ Unilever PLC (UL)		\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$201 - \$1,000
- Trust 1 ⇒ UnitedHealth Group Incorporated Common Stock		\$15,001 - \$50,000	Capital Gains, Dividends	None	\$2,501 - \$5,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
(UNH)					
- Trust 1 ⇒ Vanguard FTSE Europe ETF (VGK)		None	Dividends	None	\$1,001 - \$2,500
- Trust 1 ⇒ Vanguard Intm Trm Inv G-ADM (VFIDX)		None	Dividends	\$1 - \$200	\$2,501 - \$5,000
- Trust 2 ⇒ Cash in JP Morgan investment account		\$1,001 - \$15,000	None		
- Trust 2 ⇒ Ishares MSCI ACWI Index Fund (ACWI)		\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000	None
- Trust 2 ⇒ JPMorgan Invest Balance Fd - Cl I (OIBFX)		\$250,001 - \$500,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
- Trust 2 ⇒ JPMorgan Investor Grow Fd - Cl I (ONIFX)		\$1,000,001 - \$5,000,000	Capital Gains, Dividends	\$15,001 - \$50,000	\$50,001 - \$100,000
- Trust 3 ⇒ Met Life / New England Financial Life Insurance Policy		\$250,001 - \$500,000	None		
DESCRIPTION: Universal Life Insurance Policy					
- Trust 4 ⇒ AMG MG Pictet Intl - I (APCTX)		\$15,001 - \$50,000	Capital Gains, Dividends	None	\$201 - \$1,000
- Trust 4 ⇒ BBH Core Select Fund - N (BBTEX)		\$15,001 - \$50,000	Capital Gains, Dividends	None	\$1,001 - \$2,500
- Trust 4 ⇒ Blackrock High Yield PT - BLAC (BRHYX)		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
- Trust 4 ⇒ Brown ADV Japan Alpha Opp -IS (BAFJX)		\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	None
- Trust 4 ⇒ Dodge & Cox Intl Stock Fund (DODFX)		\$15,001 - \$50,000	Capital Gains, Dividends	None	\$201 - \$1,000
- Trust 4 ⇒ Doubleline Totl Ret Bnd - I (DBLTX)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
- Trust 4 ⇒		\$15,001 - \$50,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Ishares Core MSCI EAFE ETF (IEFA)					
- Trust 4 ⇒ Ishares Curr Hedged MSCI EAFE (HEFA)		None	Dividends	None	\$201 - \$1,000
- Trust 4 ⇒ Ishares JP Morgan USD Emerging (EMB)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$1 - \$200
- Trust 4 ⇒ Ishares MSCI EAFE Index Fund (EFA)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
- Trust 4 ⇒ Ishares MSCI Japan (EWJ)		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
- Trust 4 ⇒ Ishares Russell 1000 Growth (IWF)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
- Trust 4 ⇒ Ishares Russell Mid-Cap ETF (IWR)		None	Capital Gains, Dividends	\$5,001 - \$15,000	\$201 - \$1,000
- Trust 4 ⇒ JPM Gbl Bd Opp Fd - R6 (GBONX)		\$1,001 - \$15,000	Dividends	\$1 - \$200	None
- Trust 4 ⇒ JPM Global Bond Opport - I (GBOSX)		None	Dividends	\$201 - \$1,000	\$201 - \$1,000
- Trust 4 ⇒ JPM Tax Free MMkt Inst Sweep Fd		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
DESCRIPTION: EIF					
- Trust 4 ⇒ JPMorgan Gbl RES ENH Idx - I (JEITX)		\$15,001 - \$50,000	Dividends	None	\$201 - \$1,000
- Trust 4 ⇒ JPMorgan Interm T/F Bnd - I (JITIX)		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
- Trust 4 ⇒ JPMorgan Intrepid Amer - I (JPIAX)		\$1,001 - \$15,000	Capital Gains, Dividends	None	\$1,001 - \$2,500
- Trust 4 ⇒ JPMorgan Intrepid Growth - I (JPGSX)		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
- Trust 4 ⇒		None	Dividends	None	\$201 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
MFS Intl Value - I (MINIX)					\$1,000
- Trust 4 ⇒ MFS Intl Value - R6 (MINJX)		\$15,001 - \$50,000	None		
- Trust 4 ⇒ Rational Energies LLC		\$15,001 - \$50,000	None		
LOCATION: Plymouth/Hennepin, MN, US					
DESCRIPTION: Developer of technologies to convert municipal waste flows into sustainable sources of green energy.					
- Trust 4 ⇒ SPDR S&P 500 ETF Trust (SPY)		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
- Trust 4 ⇒ Vanguard Intm Trm Inv G -ADM (VFIDX)		None	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
- Trust 5 ⇒ AMG MG Pictet Intl - I (APCTX)		\$15,001 - \$50,000	Capital Gains, Dividends	None	\$201 - \$1,000
- Trust 5 ⇒ BBH Core Select Fund - N (BBTEX)		\$15,001 - \$50,000	Capital Gains, Dividends	None	\$1,001 - \$2,500
- Trust 5 ⇒ Blackrock High Yield PT - BLAC (BRHYX)		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
- Trust 5 ⇒ Brown ADV Japan Alph Opp - IS (BAFJX)		\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	None
- Trust 5 ⇒ Dodge & Cox Intl Stock Fund (DODFX)		\$15,001 - \$50,000	Capital Gains, Dividends	None	\$201 - \$1,000
- Trust 5 ⇒ Doubleline Totl Ret Bnd - I (DBLTX)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
- Trust 5 ⇒ Ishares Core MSCI EAFE ETF (IEFA)		\$15,001 - \$50,000	None		
- Trust 5 ⇒ Ishares Curr Hedged MSCI EAFE (HEFA)		None	Dividends	None	\$201 - \$1,000
- Trust 5 ⇒ Ishares JP Morgan USD Emerg (EMB)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 5 ⇒ Ishares MSCI EAFE Index Fund (EFA)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
- Trust 5 ⇒ Ishares Russell 1000 Growth (IWF)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
- Trust 5 ⇒ Ishares Russell Mid-Cap ETF (IWR)		None	Capital Gains, Dividends	\$5,001 - \$15,000	\$201 - \$1,000
- Trust 5 ⇒ JPM Gbl Bd Opp Fd - R6 (GBONX)		\$1,001 - \$15,000	Dividends	\$1 - \$200	None
- Trust 5 ⇒ JPM Global Bond Opport - I (GBOSX)		None	Dividends	\$201 - \$1,000	\$201 - \$1,000
- Trust 5 ⇒ JPM Tax Free MMkt Inst Sweep Fd DESCRIPTION: EIF		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
- Trust 5 ⇒ JPMorgan Gbl RES ENH Idx - I (JEITX)		\$15,001 - \$50,000	Dividends	None	\$201 - \$1,000
- Trust 5 ⇒ JPMorgan Interm T/F Bnd - I (JITIX)		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
- Trust 5 ⇒ JPMorgan Intrepid Amer - I (JPIAX)		\$1,001 - \$15,000	Capital Gains, Dividends	None	\$201 - \$1,000
- Trust 5 ⇒ JPMorgan Intrepid Growth - I (JPGSX)		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
- Trust 5 ⇒ MFS Intl Value - I (MINIX)		None	Capital Gains, Dividends	None	\$201 - \$1,000
- Trust 5 ⇒ MFS Intl Value - R6 (MINJX)		\$15,001 - \$50,000	None		
- Trust 5 ⇒ Rational Energies LLC LOCATION: Plymouth/Hennepin, MN, US DESCRIPTION: Developer of technologies to convert municipal waste flows into sustainable sources of green energy.		\$15,001 - \$50,000	None		
- Trust 5 ⇒ SPDR S&P ETF Trust (SPY)		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 5 ⇒ Vanguard Intm Trm Inv G-ADM (VFIDX)		None	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
- Trust 6 ⇒ Midland National Life insurance Policy DESCRIPTION: Universal Life Insurance Policy		\$500,001 - \$1,000,000	None		
- Trust 6 ⇒ North American Life Insurance Policy DESCRIPTION: Universal Life Insurance Policy		\$250,001 - \$500,000	None		
- Trust 7 ⇒ Blackrock High Yield Pt - K (BRHYX)		None	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
- Trust 7 ⇒ Blackrock National Muni - BR (BNMLX)		\$1,001 - \$15,000	Dividends	\$1 - \$200	None
- Trust 7 ⇒ Deutsche X-Trackers MSCI EAF (DBEF)		None	Capital Gains, Dividends	None	\$1 - \$200
- Trust 7 ⇒ Dodge & Cox Income Fund (DODIX)		\$1,001 - \$15,000	Dividends	\$1 - \$200	None
- Trust 7 ⇒ Doubleline Totl Ret Bnd - I (DBLTX)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
- Trust 7 ⇒ Ishares MSCI EAFE Index Fund (EFA)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
- Trust 7 ⇒ Ishares Russell 2000 ETF (IWM)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
- Trust 7 ⇒ Ishares Russell Mid-Cap ETF (IWR)		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
- Trust 7 ⇒ John Hancock Life Insurance Policy DESCRIPTION: Universal Life Insurance Policy		\$250,001 - \$500,000	None		
- Trust 7 ⇒ John Hancock LRF CP Core - R6 (JLCWX)		\$1 - \$1,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 7 ⇒ JPM Shrt-Int Muni Bnd - L (JIMIX)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
- Trust 7 ⇒ JPM Tax Free MMkt Inst Sweep Fd DESCRIPTION: EIF		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
- Trust 7 ⇒ JPMorgan Gbl RES ENH IDX - I (JEITX)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
- Trust 7 ⇒ JPMorgan Interm T/F Bnd - L (JITIX)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
- Trust 7 ⇒ JPMorgan Intrepid Amer - I (JPIAX)		None	Capital Gains, Dividends	None	\$201 - \$1,000
- Trust 7 ⇒ JPMorgan Intrepid Growth - I (JPGSX)		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1 - \$200
- Trust 7 ⇒ SPDR S&P 500 ETF Trust (SPY)		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$1,001 - \$2,500
- Trust 8 ⇒ BBH Core Select Fund - N (BBTEX)		None	Capital Gains, Dividends	None	\$1,001 - \$2,500
- Trust 8 ⇒ Cash in JP Morgan investment account		\$15,001 - \$50,000	None		
- Trust 8 ⇒ Doubleline Totl Ret Bnd - I (DBLTX)		None	Dividends	None	\$201 - \$1,000
- Trust 8 ⇒ Harbor High Yield Bond - Inst (HYFAX)		None	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
- Trust 8 ⇒ Ishares Core S&P MidCap ETF (IJH)		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
- Trust 8 ⇒ JPM Shrt-Int Muni Bnd - I (JIMIX)		None	Dividends	None	\$201 - \$1,000
- Trust 8 ⇒ JPM Tax Free MMkt Inst Sweep Fd DESCRIPTION: EIF		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 8 ⇒ JPM Unconstrained Debt - I (JSISX)		None	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
- Trust 8 ⇒ JPMorgan Gbl RES ENH IDX - I (JEITX)		None	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
- Trust 8 ⇒ JPMorgan Tax Awr Eqty (JPDEX)		None	Capital Gains, Dividends	None	\$2,501 - \$5,000
- Trust 8 ⇒ MFS Intl Value - I (MINIX)		None	Capital Gains, Dividends	\$1 - \$200	\$1,001 - \$2,500
- Trust 8 ⇒ MFS Intl Value - R6 (MINJX)		None	Capital Gains, Dividends	\$1,001 - \$2,500	None
- Trust 8 ⇒ Payden High Income Fund (PYHRX)		None	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
- Trust 8 ⇒ SPDR S&P 500 ETF Trust (SPY)		None	Capital Gains, Dividends	\$201 - \$1,000	\$2,501 - \$5,000
- Trust 8 ⇒ T Rowe Pr Summ Muni Int (PRSMX)		None	Capital Gains, Dividends	\$201 - \$1,000	None
- Trust 8 ⇒ Vanguard Intm Trm Inv G-ADM (VFIDX)		None	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
3M Company (MMM)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Abbott Laboratories (ABT)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
AbbVie Inc. (ABBV)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Accenture plc Class A Ordinary Shares (ACN)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Activision Blizzard, Inc (ATVI)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Adam Smith Fund, LLC		\$250,001 - \$500,000	Partnership Income	None	\$5,001 - \$15,000
LOCATION: Minnetonka/Hennepin, MN, US					
DESCRIPTION: Private equity investment fund. Fund manager letter on file with the Committee on Ethics.					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Adobe Systems Incorporated (ADBE)		\$1,001 - \$15,000	None		
Aetna Inc. (AET)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
AFLAC Incorporated (AFL)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Agilent Technologies, Inc. (A)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
AGL Resources, Inc. (GAS)		None	Capital Gains	None	\$201 - \$1,000
Air Products and Chemicals, Inc. (APD)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Alexion Pharmaceuticals, Inc. (ALXN)		\$1,001 - \$15,000	None		
Allergan plc Ordinary Shares (AGN)		\$1,001 - \$15,000	Dividends	\$1 - \$200	None
Allstate Corporation (ALL)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Alphabet Inc. - Class A (GOOGL)		\$15,001 - \$50,000	Capital Gains	None	\$1 - \$200
Alphabet Inc. - Class C Capital Stock (GOOG)		\$15,001 - \$50,000	None		
Altria Group, Inc. (MO)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Amazon.com, Inc. (AMZN)		\$15,001 - \$50,000	None		
American Airlines Group, Inc. (AAL)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
American Electric Power Company, Inc. (AEP)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
American Express Company (AXP)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
American International Group, Inc. New (AIG)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
American Tower Corporation (AMT)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
American United Life Insurance Company - Policy 1 DESCRIPTION: Whole Life Insurance Policy		\$1,001 - \$15,000	None		
American United Life Insurance Company - Policy 2 DESCRIPTION: Whole Life Insurance Policy		\$1,001 - \$15,000	None		
AmerisourceBergen Corporation (ABC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
AMG MG Pictet Intl - I (APCTX)		\$250,001 - \$500,000	Capital Gains, Dividends	None	\$5,001 - \$15,000
Amgen Inc. (AMGN)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Amphenol Corporation (APH)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Anadarko Petroleum Corporation (APC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Analog Devices, Inc. (ADI)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Antero Midstream Partners LP Common Units representing limited partner interests (AM)		\$15,001 - \$50,000	Capital Gains, Partnership Income	\$201 - \$1,000	\$201 - \$1,000
Anthem, Inc. (ANTM)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Aon plc Class A Ordinary Shares (AON)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Apache Corporation (APA)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Apple Inc. (AAPL)		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Applied Materials, Inc. (AMAT)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Archer-Daniels-Midland Company (ADM)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Arconic Inc. (ARNC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Aston/Pictet International - I (APCTX)		None	Capital Gains	None	\$15,001 - \$50,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
DESCRIPTION: EIF					
AT&T Inc. (T)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Automatic Data Processing, Inc. (ADP)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
AvalonBay Communities, Inc. (AVB)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Avon OH Ser B Ltd Tax 4.5% 12/01/2029 dtd 05/13/2009 PreRefunded		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Baker Hughes Incorporated (BHI)		None	Dividends	\$201 - \$1,000	\$1 - \$200
Bank of America Corp Var Rt 03/05/2166 dtd 09/05/2014		\$50,001 - \$100,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
DESCRIPTION: Preferred security					
Bank of America Corp Var Rt 09/17/2165 dtd 03/17/2015		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000	\$5,001 - \$15,000
DESCRIPTION: Preferred security					
Bank of America Corporation (BAC)		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Bank of New York Mellon Corporation (BK)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Bank of NY Mellon Corp 03/20/2166 dtd 08/01/2016		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	None
DESCRIPTION: Preferred security					
Bank of NY Mellon Corp Var Rt 12/20/2165 dtd 04/28/2015		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
DESCRIPTION: Preferred security					
Baxalta Incorporated (BXLT)		None	Capital Gains, Dividends	None	\$1,001 - \$2,500
Baxter International Inc. (BAX)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
BB&T Corporation (BBT)		\$1,001 - \$15,000	Dividends	None	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Becton, Dickinson and Company (BDX)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Bellevue WA Ref-Ltd Tax Limited Tax 4% 12/01/2017 dtd 04/17/2012		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Benefit Street Partners IV LLC (Providence Onshore)		\$100,001 - \$250,000	None		
DESCRIPTION: EIF					
Berkshire Hathaway Inc. New (BRK.B)		\$15,001 - \$50,000	None		
Biogen Inc. (BIIB)		\$1,001 - \$15,000	None		
BlackRock, Inc. (BLK)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Blackstone Commercial Real Estate Debt Fund - NQ L.P.		\$15,001 - \$50,000	Partnership Income	None	\$2,501 - \$5,000
Blackstone Commercial Real Estate Debt Fund (ISOBEL) NQ L.P.		None	Partnership Income	None	\$201 - \$1,000
Blackstone Commercial Real Estate Debt Fund LP		\$1,001 - \$15,000	Partnership Income	None	\$201 - \$1,000
DESCRIPTION: EIF					
Bloom Tree Fund QP, LP Series E		\$500,001 - \$1,000,000	None		
DESCRIPTION: EIF					
Boeing Company (BA)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Boston Scientific Corporation (BSX)		\$1,001 - \$15,000	None		
Bristol-Myers Squibb Company (BMY)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Broadcom Limited - Ordinary Shares (AVGO)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Brown Adv Japan Alpha Opp - IS (BAFJX)		\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000	None
Buckeye Partners L.P. (BPL)		\$15,001 - \$50,000	Partnership	\$1,001 -	\$1,001 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
			Income	\$2,500	\$2,500
C.H. Robinson Worldwide, Inc. (CHRW)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
C.R. Bard, Inc. (BCR)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
C3i		None	Escrow Disbursement	\$5,001 - \$15,000	\$2,501 - \$5,000
DESCRIPTION: Contractual right under merger agreement to portion of outstanding escrow. In 2014, C3i merged with Telerx Marketing, Inc., a consumer engagement company located in King of Prussia, PA.					
CA Inc. (CA)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Cabot Oil & Gas Corporation (COG)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Cameron International Corporation (CAM)		None	Capital Gains	None	\$201 - \$1,000
Capital One Financial Co Var Rt 12/01/2165 dtd 05/14/2015		\$50,001 - \$100,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
DESCRIPTION: Preferred security					
Capital One Financial Corporation (COF)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
CarMax Inc (KMX)		\$1,001 - \$15,000	None		
Caterpillar, Inc. (CAT)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
CBRE Group Inc Common Stock Class A (CBG)		\$1,001 - \$15,000	None		
Celgene Corporation (CELG)		\$1,001 - \$15,000	None		
CenturyLink, Inc. (CTL)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Cerberus VI Private Investors, LLC		\$100,001 - \$250,000	Partnership Income	\$1 - \$200	\$15,001 - \$50,000
DESCRIPTION: EIF					
Charles Schwab Corp 03/01/2166 dtd 10/31/2016		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
DESCRIPTION: Preferred security					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Charles Schwab Corporation (SCHW)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Charles Schwab Corporation PFD 5.95%		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
DESCRIPTION: Preferred security					
Charter Communications, Inc. - Class A (CHTR)		\$1,001 - \$15,000	Capital Gains	None	\$201 - \$1,000
Chevron Corporation (CVX)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Cimarex Energy Co (XEC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Cincinnati Financial Corporation (CINF)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Cisco Systems, Inc. (CSCO)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
CIT Group Inc Var Rt 12/15/2165 dtd 06/07/2017		\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	None
DESCRIPTION: Preferred security					
CitiGroup Inc 02/15/2166 dtd 04/25/2016		\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	None
DESCRIPTION: Preferred security					
CitiGroup Inc Var Rt 02/15/2166 dtd 08/12/2015		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	None
DESCRIPTION: Preferred security					
CitiGroup Inc Var Rt 05/15/2166 dtd 11/13/2015		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
DESCRIPTION: Preferred security					
CitiGroup Inc Var Rt 11/15/2165 dtd 04/24/2015		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	\$15,001 - \$50,000
DESCRIPTION: Preferred security					
Citigroup, Inc. (C)		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Citizens Financial Group, Inc. (CFG)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Clorox Company (CLX)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
CME Group Inc. - Class A (CME)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Coca-Cola Company (KO)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Cognizant Technology Solutions Corporation - Class A (CTSH)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	None
Colgate-Palmolive Company (CL)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Comcast Corporation - Class A (CMCSA)		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
ConAgra Brands, Inc. (CAG)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
ConocoPhillips (COP)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
CONSOL Energy Inc. (CNX)		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Constellation Brands, Inc. (STZ)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Corning Incorporated (GLW)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Costco Wholesale Corporation (COST)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$1 - \$200
Crown Castle International Corp. (REIT) (CCI)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
CS CBEN SPX 5/16/18 85% Barrier - 7.5% CPN 7.5% CAP Init lvl-2/10/17 SPX 2316.1		\$500,001 - \$1,000,000	None		
DESCRIPTION: Structured Note					
CSX Corporation (CSX)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Cummins Inc. (CMI)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
CVS Health Corporation (CVS)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
D/B/A Chubb Limited New (CB)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
Dallas Tex Area Rapid Tran Sales Tax Rev Sr Lein 5% Dec 1 2019 Dtd		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Danaher Corporation (DHR)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
DaVita Inc. (DVA)		\$1,001 - \$15,000	Capital Gains	None	None
DB Bren SX5E 06/20/18 10% Buffer - 150% LEV - 11.2% CAP 16.8% Maxrtrn Init Lvl - 5/19/17 SX5E 3587.0		\$100,001 - \$250,000	None		
Deere & Company (DE)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Delta Air Lines, Inc. (DAL)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
DENTSPLY SIRONA Inc. (XRAY)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Deutsche X-Trackers MSCI EAF (DBEF)		\$100,001 - \$250,000	Capital Gains, Dividends	\$15,001 - \$50,000	\$15,001 - \$50,000
Devon Energy Corporation (DVN)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Digital Realty Trust Inc PFD 6.35%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
DESCRIPTION: Preferred security					
Digital Realty Trust, Inc. (DLR)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Dodge & Cox Income Fund (DODIX)		\$250,001 - \$500,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
Dodge & Cox Intl Stock Fund (DODFX)		\$250,001 - \$500,000	Capital Gains, Dividends	None	\$50,001 - \$100,000
Dollar General Corporation (DG)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Dollar Tree, Inc. (DLTR)		\$1,001 - \$15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Dominion Energy Midstream Partners, LP Common Units representing Limited Partner Interests (DM)		\$15,001 - \$50,000	Partnership Income	\$201 - \$1,000	\$201 - \$1,000
Dominion Energy, Inc. (D)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Doubleline Total Ret Bnd - I (DBLTX)		\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000	\$15,001 - \$50,000
Dow Chemical Company (DOW)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Duke Energy Corporation (DUK)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
DXC Technology Company (DXC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	None
E.I. du Pont de Nemours and Company (DD)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Eaton Corporation, PLC Ordinary Shares (ETN)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Ecolab Inc. (ECL)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Edison International (EIX)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Edwards Lifesciences Corporation (EW)		\$1,001 - \$15,000	None		
Electronic Arts Inc. (EA)		\$1,001 - \$15,000	None		
Eli Lilly and Company (LLY)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Emerson Electric Company (EMR)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Enbridge Inc (ENB)		\$1,001 - \$15,000	Dividends	\$1 - \$200	None
Energy Transfer Equity, L.P. Energy Transfer Equity, L.P. Common Units representing Limited Partners (ETE)		\$50,001 - \$100,000	Capital Gains, Partnership Income	\$2,501 - \$5,000	\$2,501 - \$5,000
Energy Transfer Partners, L.P. Common Units representing limited partner interests (ETP)		\$15,001 - \$50,000	Partnership Income	\$2,501 - \$5,000	None
EnLink Midstream Partners, LP Common Units		\$15,001 - \$50,000	Partnership	\$1,001 -	\$201 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Representing Limited Partnership Interests (ENLK)			Income	\$2,500	\$1,000
EnLink Midstream, LLC Common Units representing Limited Partner Interests (ENLC)		\$50,001 - \$100,000	Capital Gains, Partnership Income	\$2,501 - \$5,000	\$1,001 - \$2,500
Entergy Corporation (ETR)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Enterprise Products Partners L.P. (EPD)		\$50,001 - \$100,000	Capital Gains, Partnership Income	\$2,501 - \$5,000	\$1,001 - \$2,500
EOG Resources, Inc. (EOG)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
EQT Corporation (EQT)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
EQT GP Holdings, LP Common Units representing limited partner interests (EQGP)		\$15,001 - \$50,000	Capital Gains, Partnership Income	\$201 - \$1,000	\$201 - \$1,000
EQT Midstream Partners, LP Common Units representing Limited Partner Interests (EQM)		\$15,001 - \$50,000	Partnership Income	\$201 - \$1,000	\$201 - \$1,000
Equifax, Inc. (EFX)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Equinix, Inc. (EQIX)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Equity Residential Common Shares of Beneficial Interest (EQR)		None	Dividends	None	\$201 - \$1,000
Everest Reinsurance Hldg Var Rt 05/15/2037 dtd 05/03/2007		\$15,001 - \$50,000	Interest	\$1 - \$200	None
DESCRIPTION: Preferred security					
Express Scripts Holding Company (ESRX)		\$1,001 - \$15,000	Dividends	None	None
Extra Space Storage Inc (EXR)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Exxon Mobil Corporation (XOM)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Facebook, Inc. - Class A (FB)		\$15,001 - \$50,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Fastenal Company (FAST)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
FedEx Corporation (FDX)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
FirstEnergy Corporation (FE)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Fiserv, Inc. (FISV)		\$1,001 - \$15,000	None		
Fluor Corporation (FLR)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
FMC Corporation (FMC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Ford Motor Company (F)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Fortive Corporation (FTV)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Franklin Resources, Inc. (BEN)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Freeport-McMoRan, Inc. (FCX)		\$1,001 - \$15,000	None		
Gap, Inc. (GPS)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
General Dynamics Corporation (GD)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
General Electric Co 5% 6/15/2166 dtd 01/20/2016		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None
DESCRIPTION: Preferred security					
General Electric Company (GE)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
General Mills, Inc. (GIS)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
General Motors Company (GM)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Genesis Energy, L.P. Common Units (GEL)		\$50,001 - \$100,000	Capital Gains, Partnership Income	\$2,501 - \$5,000	\$1,001 - \$2,500
Genuine Parts Company (GPC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
GIF IV Private Investors Onshore LLC Class A DESCRIPTION: EIF		\$100,001 - \$250,000	Partnership Income	\$50,001 - \$100,000	\$2,501 - \$5,000
Gilead Sciences, Inc. (GILD)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Goldman Sachs Capital II 5.793% Dec 03 2165 dtd 05/08/2007 DESCRIPTION: Preferred security		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$1,001 - \$2,500
Goldman Sachs Group, Inc Var Rt 11/10/2165 dtd 04/23/2015 DESCRIPTION: Preferred security		\$250,001 - \$500,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
Goldman Sachs Group, Inc Var Rt 12/29/2049 dtd 04/23/2015 DESCRIPTION: Preferred security		None	Capital Gains, Dividends	None	\$5,001 - \$15,000
Goldman Sachs Group, Inc. (GS)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Goldman Sachs Strat Inc - Inst (GSZIX)		\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500	None
GSO Private Investors II, LLC Class B DESCRIPTION: EIF		\$100,001 - \$250,000	Partnership Income	\$15,001 - \$50,000	\$5,001 - \$15,000
Halliburton Company (HAL)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Harris Cnty Tx Sr Lien-Toll Rd-Ser A 5% 08/15/2028 dtd 05/14/2009		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	None
Hartford Financial Services Group, Inc. (HIG)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
HB Multi-Strategy Holdings LP (HCLP Class A 12.31.13 RED)		None	Income distribution	None	\$1,001 - \$2,500
HCA Healthcare, Inc. (HCA)		\$1,001 - \$15,000	None		
Henry Schein, Inc. (HSIC)		\$1,001 - \$15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Hess Corporation (HES)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Hewlett Packard Enterprise Company (HPE)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
HI St Prerefdded-Ser DZ Unlimited Tax 5% 12/01/2019 dtd 12/07/2011		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Home Depot, Inc. (HD)		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Honeywell International Inc. (HON)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Honolulu City & Cnty HI Wstwtr Sys Rev 5% A Jul 01 2025 Dtd		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
Host Hotels & Resorts, Inc. (HST)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
HPS Mezzanine Private Investors III LLC Onshore		\$100,001 - \$250,000	Partnership Income	None	\$1,001 - \$2,500
DESCRIPTION: EIF					
Humana Inc. (HUM)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Illinois Tool Works Inc. (ITW)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Illumina, Inc. (ILMN)		\$1,001 - \$15,000	None		
Incyte Corporation (INCY)		\$1,001 - \$15,000	None		
Intel Corporation (INTC)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Intercontinental Exchange Inc. (ICE)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
International Business Machines Corporation (IBM)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
International Paper Company (IP)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Interpublic Group of Companies, Inc. (IPG)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Intuit Inc. (INTU)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Invesco Ltd (IVZ)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Iron Mountain Incorporated (IRM)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Ishares Core MSCI EAFE ETF (IEFA)		\$250,001 - \$500,000	None		
Ishares JP Morgan USD Emerg (EMB)		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
Ishares MSCI EAFE Index Fund (EFA)		\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000	\$15,001 - \$50,000
Ishares MSCI Japan (EWJ)		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Ishares Russel 1000 Value E (IWD)		None	Dividends	None	\$1,001 - \$2,500
Ishares Russell Mid-Cap ETF (IWR)		None	Capital Gains, Dividends	\$100,001 - \$1,000,000	\$5,001 - \$15,000
J.B. Hunt Transport Services, Inc. (JBHT)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Jacksonville Florida Special Rev Jacksonville 5% B-1A Oct 01 2024 Dtd		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Jana Partners Qualified, LP Class A		\$500,001 - \$1,000,000	None		
DESCRIPTION: EIF					
JH II Strat Inc Opport - I (JIPRX)		\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500	None
JH Strat Inc Opp - I (JIPIX)		None	Dividends	\$2,501 - \$5,000	\$1,001 - \$2,500
Johnson & Johnson (JNJ)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Johnson Controls International plc Ordinary Share (JCI)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
JP Morgan Alternative Property Fd Domestic 1 LP		\$1,001 - \$15,000	Partnership Income	None	\$201 - \$1,000
DESCRIPTION: EIF					
JP Morgan Chase & Co Var Rt 10/30/2165 dtd 03/10/2014		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000	\$5,001 - \$15,000
DESCRIPTION: Preferred security					
JP Morgan Chase & Co. (JPM)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
JPM CBEN Rty 5/16/18 85% Barrier - 10.5% Cpn 10.5% Cap Init Lvl-2/10/17 Rty 1388.844		\$500,001 - \$1,000,000	None		
DESCRIPTION: Structured Note					
JPM CMS 10Yr CBEN 9/13/17 40% Buffer 8.5% Cpn 8.5%Cap Initial Lv-8/25/16 Cms 10yr Strike 1.412		\$500,001 - \$1,000,000	None		
DESCRIPTION: Structured Note					
JPM Floating Rate Inc Fund - I (JPHSX)		None	Dividends	\$2,501 - \$5,000	None
DESCRIPTION: EIF					
JPM Money Market Inst Class (JTFXX)		None	Capital Gains, Dividends	\$2,501 - \$5,000	\$2,501 - \$5,000
JPM Prime MM Fd - Instl Fund 829 1.18% (JINXX)		None	Dividends	None	\$5,001 - \$15,000
JPM Strat Inc Opp Fd - Cl I Fund 3844 3.01% (JSOSX)		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	None
JPM Tax Free MMkt Inst Sweep Fd		\$500,001 - \$1,000,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
DESCRIPTION: EIF					
JPM Tr I Tax Free Premier Sweep Fd		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
DESCRIPTION: EIF					
JPM US Real Estate Income & Growth Direct LP		\$500,001 -	Partnership	\$15,001 -	\$15,001 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
		\$1,000,000	Income	\$50,000	\$50,000
DESCRIPTION: EIF					
JPMorgan Gbl RES ENH IDX - I (JEITX)		\$500,001 - \$1,000,000	Dividends	None	\$15,001 - \$50,000
JPMorgan Managed Income - L share Clas Fd 2119 1.33% (JMGIX)		\$1,000,001 - \$5,000,000	Capital Gains, Dividends	\$15,001 - \$50,000	\$15,001 - \$50,000
JPMorgan US L/C Core Pl - I (JLPSX)		\$250,001 - \$500,000	Capital Gains, Dividends	None	\$5,001 - \$15,000
Kansas City Southern (KSU)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
KeyCorp (KEY)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
KeyCorp Var Rt 12/15/2165 dtd 09/09/2016		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
DESCRIPTION: Preferred security					
Kimberly-Clark Corporation (KMB)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Kimco Realty Corporation (KIM)		\$1,001 - \$15,000	Dividends	\$1 - \$200	None
Kinder Morgan, Inc. (KMI)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
King Cnty WA Swr Revenue Ref 5% B Jan 01 2017 dtd 10/05/2011		None	Interest	\$201 - \$1,000	None
KLA-Tencor Corporation (KLAC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Kohl's Corporation (KSS)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Kroger Company (KR)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Lake Travis TX Indep Sch Dist Perm Sch Gtd Fund Unlimited Tax 5% Feb		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	None
Leidos Holdings, Inc. (LDOS)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1,001 - \$2,500

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Level 3 Communications, Inc. (LFLT)		\$1,001 - \$15,000	None		
Liberty Mutual Group Inc 7.8% 03/15/2037 dtd 03/07/2007		\$1,001 - \$15,000	None		
DESCRIPTION: Preferred security					
Lincoln National Corporation (LNC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Lockheed Martin Corporation (LMT)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Loews Corporation (L)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Lowe's Companies, Inc. (LOW)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
LyondellBasell Industries NV Ordinary Shares Class A (LYB)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
M&T Bank Corporation (MTB)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
M&T Bank Corporation 05/01/2166 dtd 10/28/2016		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None
DESCRIPTION: Preferred security					
MA St Wtr Res Auth A 5.25% Aug 01 2020 dtd 04/14/2005 Held by B/E Only		None	Interest	\$1,001 - \$2,500	None
Mackay Municipal Strategic Opportunities Fd, LP Cl A Interests 03-17		\$1,000,001 - \$5,000,000	None		
DESCRIPTION: EIF					
Madison AL Prerefunded-Warrants Unltd Tax 5.15% 02/01/2039		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	None
Magellan Midstream Partners L.P. Limited Partnership (MMP)		\$15,001 - \$50,000	Partnership Income	\$1,001 - \$2,500	\$1,001 - \$2,500
Managed Futures LLC 04-15		\$100,001 - \$250,000	None		
DESCRIPTION: EIF					
Marathon Petroleum Corporation (MPC)		\$1,001 - \$15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Maricopa Cnty AZ Cmnty College Dist Unlimited Tax 5% C Jul 01 2018		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
Marriott International - Class A (MAR)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Marsh & McLennan Companies, Inc. (MMC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Mastercard Incorporated (MA)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
McCormick & Company, Incorporated (MKC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
McDonald's Corporation (MCD)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
McKesson Corporation (MCK)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Medtronic plc. Ordinary Shares (MDT)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Merck & Company, Inc. Common Stock (MRK)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
MetLife, Inc Var Rt 12/15/2165 dtd 06/01/2015 DESCRIPTION: Preferred security		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000	\$5,001 - \$15,000
MetLife, Inc. (MET)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
MFS Intl Value - I (MINIX)		None	Capital Gains, Dividends	None	\$15,001 - \$50,000
MFS Intl Value - R6 (MINJX)		\$500,001 - \$1,000,000	None		
Micron Technology, Inc. (MU)		\$1,001 - \$15,000	None		
Microsoft Corporation (MSFT)		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
MN St Gen Fd Rev 5% 03/01/2022 dtd 11/21/2012		\$15,001 - \$50,000	None		
MO St Hwys & Trnst Ref-1st Lien-Ser A 5% 05/01/2021 dtd 06/03/2014		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Molson Coors Brewing Company Class B (TAP)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Mondelez International, Inc. - Class A (MDLZ)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Monsanto Company (MON)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Morgan Stanley (MS)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Morgan Stanley PFD 5.85%		\$1,001 - \$15,000	Capital Gains, Interest	\$201 - \$1,000	None
DESCRIPTION: Preferred security					
Morgan Stanley PFD 6.375%		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None
DESCRIPTION: Preferred security					
Morgan Stanley Var Rt 07/15/2165 dtd 03/19/2015		\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000	\$5,001 - \$15,000
DESCRIPTION: Preferred security					
Morgan Stanley Var Rt 12/29/2049 dtd 03/19/2015		None	Capital Gains	None	\$201 - \$1,000
DESCRIPTION: Preferred security					
MPLX LP Common Units Representing Limited Partner Interests (MPLX)		\$15,001 - \$50,000	Partnership Income	\$201 - \$1,000	\$201 - \$1,000
National Oilwell Varco, Inc. (NOV)		\$1,001 - \$15,000	None		
Navient Corporation (NAVI)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
NetApp, Inc. (NTAP)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Netflix, Inc. (NFLX)		\$1,001 - \$15,000	Capital Gains	None	\$1 - \$200
Newell Brands Inc. (NWL)		\$1,001 - \$15,000	None		
Newmont Mining Corporation (NEM)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
News Corporation - Class A (NWSA)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
NextEra Energy, Inc. (NEE)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Nike, Inc. (NKE)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Northrop Grumman Corporation (NOC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Note Receivable from Glick Gallery, Minneapolis, MN		\$100,001 - \$250,000	None		
NRG Energy, Inc. (NRG)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
NVIDIA Corporation (NVDA)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
NY Community Bancorp Inc PFD 6.375%		\$1,001 - \$15,000	Interest	\$1 - \$200	None
DESCRIPTION: Preferred security					
Occidental Petroleum Corporation (OXY)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Omnicom Group Inc. (OMC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Oracle Corporation (ORCL)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
O'Reilly Automotive, Inc. (ORLY)		\$1,001 - \$15,000	None		
PA St Higher Edl Facs Auth Rev Trustees Univ PA 5% Sep 01 2026		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
PACCAR Inc. (PCAR)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Palm Beach Cnty Fl Ref-Rec & Cultural Facs Unltd Tax 5%		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	None
Parker-Hannifin Corporation (PH)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Paychex, Inc. (PAYX)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
PayPal Holdings, Inc. (PYPL)		\$1,001 - \$15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
PEG Secondary Private Equity Investors III LP		\$50,001 - \$100,000	Partnership Income	None	\$201 - \$1,000
DESCRIPTION: EIF					
Pepsico, Inc. (PEP)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Pfizer, Inc. (PFE)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Philip Morris International Inc (PM)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Phillips 66 (PSX)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Phillips 66 Partners LP Common Units representing limited partner interest in the Partnership (PSXP)		\$15,001 - \$50,000	Partnership Income	\$1,001 - \$2,500	\$201 - \$1,000
Phoenix AZ Ref Unlimited Tax 4% 07/01/2021 dtd 06/24/2014		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
PIMCO Fd PAC Inv Mgmt Series High Yield Fd - I (PHIYX)		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	\$2,501 - \$5,000
Plains All American Pipeline, L.P. (PAA)		\$15,001 - \$50,000	Capital Gains, Partnership Income	\$1,001 - \$2,500	\$1,001 - \$2,500
Plains Group Holdings, L.P. Class A Shares representing limited partner interests (PAGP)		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
PNC Financial Services 6 3/4% 02/01/2166 dtd 07/27/2011		\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	\$1,001 - \$2,500
DESCRIPTION: Preferred security					
PNC Financial Services Group, Inc. (PNC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
PPG Industries, Inc. (PPG)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
PPL Corporation (PPL)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Praxair, Inc. (PX)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Precision Castparts Corporation (PCP)		None	Capital Gains	None	\$201 - \$1,000
Principal Financial Group Inc (PFG)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Procter & Gamble Company (PG)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Progressive Corporation (PGR)		None	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
ProLogis, Inc. (PLD)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
PS Business Parks Inc PDF 6% (PSB PRT)		\$1,001 - \$15,000	None		
DESCRIPTION: Preferred security					
Ps Business Parks Inc PFD 5 3/4% (PSB PRU)		\$1,001 - \$15,000	None		
DESCRIPTION: Preferred security					
Public Service Enterprise Group Incorporated (PEG)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Public Storage (PSA)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
PulteGroup, Inc. (PHM)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
PVH Corp. (PVH)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
QUALCOMM Incorporated (QCOM)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Quest Diagnostics Incorporated (DGX)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Raleigh NC Comb Enterprise Sys Rev 5% Mar 01 2021 dtd 02/10/2011		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
Raytheon Company (RTN)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Red Hat, Inc. (RHT)		\$1,001 - \$15,000	None		
Regeneron Pharmaceuticals, Inc. (REGN)		\$1,001 - \$15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Regions Financial Corporation (RF)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
Republic Services, Inc. (RSG)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Reynolds American Inc (RAI)		None	Capital Gains, Dividends	\$1,001 - \$2,500	None
Ridgeworth SEIX Floating - IS (SFRZX)		None	Dividends	None	\$2,501 - \$5,000
Rockwell Automation, Inc. (ROK)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Rockwell Collins, Inc. (COL)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Roper Technologies, Inc. (ROP)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Ross Stores, Inc. (ROST)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Rutherford Cnty TN consol Util Dist Wtrwks Rev Ref 4%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
S&P Global Inc. (SPGI)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Salesforce.com Inc (CRM)		\$1,001 - \$15,000	None		
Schlumberger N.V. (SLB)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Scripps Networks Interactive, Inc - Class A (SNI)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Semgroup Corporation Class A (SEMG)		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
Sempra Energy (SRE)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Shell Midstream Partners, L.P. Common Units representing Limited Partner Interests (SHLX)		\$50,001 - \$100,000	Capital Gains, Partnership Income	\$1,001 - \$2,500	\$1,001 - \$2,500
Sherwin-Williams Company (SHW)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Simon Property Group, Inc. (SPG)		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$1 - \$200
SLM Corp Var Rate PFD		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	None
DESCRIPTION: Preferred security					
Southern Company (SO)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Southwest Airlines Company (LUV)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
SPDR Euro STOXX 50 ETF (FEZ)		\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000	None
SPDR S&P 500 ETF Trust (SPY)		\$1,000,001 - \$5,000,000	Capital Gains, Dividends	\$100,001 - \$1,000,000	\$50,001 - \$100,000
Starbucks Corporation (SBUX)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Starwood Hotels & Resorts		None	Capital Gains, Dividends	None	\$201 - \$1,000
DESCRIPTION: Preferred security					
State of Texas Transportation Comm Mobility Fund Unlimited Tax		None	Interest	\$201 - \$1,000	\$201 - \$1,000
State Street Corp Var Rt 09/15/2165 dtd 05/21/2015		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
DESCRIPTION: Preferred security					
State Street Corporation (STT)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Stifel Financial Corporation PFD 6.25%		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
DESCRIPTION: Preferred security					
Stryker Corporation (SYK)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Sunoco Logistics Partners LP Common Units representing limited partner interests (SXL)		None	Partnership Income	None	\$1,001 - \$2,500
Suntrust Banks Inc 12/15/2165 dtd 05/02/2017		\$15,001 - \$50,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
DESCRIPTION: Preferred security					
SunTrust Banks, Inc. Var Rt 06/15/2166 dtd 11/07/2014		\$250,001 - \$500,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$15,001 - \$50,000
DESCRIPTION: Preferred security					
Sysco Corporation (SYY)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
T. Rowe Price Group, Inc. (TROW)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Targa Resources, Inc. (TRGP)		\$50,001 - \$100,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$2,501 - \$5,000
Target Corporation (TGT)		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
TECO Energy, Inc. (TE)		None	Capital Gains, Dividends	None	\$1,001 - \$2,500
Texas Instruments Incorporated (TXN)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Textron Inc. (TXT)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
The Kraft Heinz Company (KHC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
The Priceline Group Inc. (PCLN)		\$1,001 - \$15,000	None		
The Travelers Companies, Inc. (TRV)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Thermo Fisher Scientific Inc (TMO)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Tiffany & Co. (TIF)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Time Warner Inc. New (TWX)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
TJX Companies, Inc. (TJX)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Twenty-First Century Fox, Inc. - Class A (FOXA)		\$1,001 - \$15,000	Dividends	\$1 - \$200	None
Tyson Foods, Inc. (TSN)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
U.S. Bancorp (USB)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
U.S. Bancorp Var Rt 01/15/2166 dtd 11/23/2015		\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000	\$201 - \$1,000
DESCRIPTION: Preferred security					
Union Pacific Corporation (UNP)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
United Continental Holdings (UAL)		\$1,001 - \$15,000	None		
United Parcel Service, Inc. (UPS)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
United Technologies Corporation (UTX)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
UnitedHealth Group Incorporated Common Stock (UNH)		\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Universal Health Services, Inc. (UHS)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Unum Group (UNM)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
V.F. Corporation (VFC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Valero Energy Partners LP Common Units representing limited partner interests (VLP)		\$15,001 - \$50,000	Partnership Income	\$201 - \$1,000	\$201 - \$1,000
Vanguard FTSE Europe ETF (VGK)		None	Dividends	None	\$2,501 - \$5,000
Vanguard Intm Trm Inv G-ADM (VFIDX)		None	Capital Gains, Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
Varian Medical Systems, Inc. (VAR)		\$1,001 - \$15,000	None		
Verizon Communications Inc. (VZ)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Vertex Pharmaceuticals Incorporated (VRTX)		\$1,001 - \$15,000	None		
Viacom Inc Var Rt 02/28/2057 dtd 02/28/2017		None	Capital Gains	\$201 -	None

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
				\$1,000	
DESCRIPTION: Preferred security					
Visa Inc. (V)		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Vulcan Materials Company (VMC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
WA St Refunding Motor Vehicle Fuel Series R D		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
Wachovia Cap Trust III Var Rt Mar 15 2166 dtd 2/1/2006		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	\$2,501 - \$5,000
DESCRIPTION: Preferred security					
Walgreens Boots Alliance, Inc. (WBA)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Wal-Mart Stores, Inc. (WMT)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Walt Disney Company (DIS)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Waste Management, Inc. (WM)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Waters Corporation (WAT)		\$1,001 - \$15,000	None		
Wells Fargo & Company (WFC)		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Wells Fargo & Company 7.98% PFD Stk 09/15/2165 dtd 02/08/2008		\$15,001 - \$50,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
DESCRIPTION: Preferred security					
Wells Fargo & Company Var Rt 06/15/2166 dtd 01/23/2015		\$50,001 - \$100,000	Interest	\$1,001 - \$2,500	\$1,001 - \$2,500
DESCRIPTION: Preferred security					
Welltower Inc. (HCN)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Western Digital Corporation (WDC)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Western Gas Equity Partners, LP Common Units Representing Limited Partner Interests (WGP)		\$50,001 - \$100,000	Capital Gains, Partnership	\$1,001 - \$2,500	\$1,001 - \$2,500

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
			Income		
Western Gas Partners, LP Limited Partner Interests (WES)		\$15,001 - \$50,000	Partnership Income	\$1,001 - \$2,500	\$1,001 - \$2,500
Western Union Company (WU)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Weyerhaeuser Company (WY)		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Whirlpool Corporation (WHR)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
WI St Clean Water Revenue Refunding Series 1		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
Williams Companies, Inc. (WMB)		\$50,001 - \$100,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$1,001 - \$2,500
Willis Towers Watson Public Limited Company - Ordinary Shares (WLTW)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Wynn Resorts, Limited (WYNN)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Xerox Corporation (XRX)		\$1 - \$1,000	Dividends	\$1 - \$200	\$1 - \$200
Yahoo! Inc. (YHOO)		None	Capital Gains	\$201 - \$1,000	None
Yum! Brands, Inc. (YUM)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200

* Asset class details available at the bottom of this form.

SCHEDULE C: EARNED INCOME

Source	Type	Amount Current Year to Filing	Amount Preceding Year
Talenti	Payroll	N/A	\$96,106.00
U.S. Distilled Products Co.	Board position	\$1,646.25	\$26,875.00

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	JP Morgan	September 2010	Balance on line of credit	\$5,000,001 - \$25,000,000
COMMENTS: Current balance: \$3,821,661.66				

SCHEDULE E: POSITIONS

Position	Name of Organization
Co-Chair	The Edward J. Phillips Family Foundation
Advisory Council	Humphrey School of Public Affairs
Co-Chair	The Jay & Rose Phillips Family Foundation of Minnesota
Chairman, Co-Founder & Member	Penny's Coffee LLC
Co-Chair	WE Day Minnesota
Chairman, Leadership Council	Worldwide Orphans Foundation
President's Circle	Hennepin Theatre Trust
Board Member	Minnesota Historical Society
Limited Partner	100 University Family Limited Partnership
Chief Manager	Phillips Family Properties, LLC
Chief Manager	Fialko, LLC
President	DHJ LLC
Member	DTP, LLC
Member	Geniecast, LLC
Member	Spark Boulder 24, LLC
Member (current); Former Advisor, Board of Advisors (to January 2016)	Rational Energies LLC
Former Board Member, Board of Trustees (to June 2017)	Walker Art Center, Inc.
Former Board Member (to June 2017)	Youth Frontiers Inc.
Former Chairman (to December 2016)	Talenti I, LLC
Former Board Member/Trustee (to June 2015)	The Blake School
Former Chairman, Board Member (to	U.S. Distilled Products Co.

Position	Name of Organization
February 2017)	

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

None disclosed.

SCHEDULE A ASSET CLASS DETAILS

- - 100 University Family Limited Partnership
LOCATION: Minneapolis/Hennepin, MN, US
- - Cash Accounts
LOCATION: US
- - Fialko, LLC
LOCATION: Minneapolis/Hennepin, MN, US
- - Phillips Family Properties, LLC
LOCATION: Minneapolis/Hennepin, MN, US
- - Phillips Family Properties, LLC ⇒ 100 University Family Limited Partnership
LOCATION: US
- - Privately-Held Business Entities
LOCATION: US
- - Retirement Account 1
- - Retirement Account 2
- - Trust 1 (100% Interest)
- - Trust 2 (100% Interest)
- - Trust 3 (100% Interest)
- - Trust 4 (100% Interest)
- - Trust 5 (100% Interest)
- - Trust 6 (90% Interest)
- - Trust 7 (25% Interest)
- - Trust 8 (25% Interest)

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

Trusts: Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

Yes No

Exemption: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or

dependent child because they meet all three tests for exemption?

Yes No

CERTIFICATION AND SIGNATURE

I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: Dean Phillips , 09/14/2017