HAND DELIVERED



**Form A**

For Use by Members, Officers, and Employees

# UNITED STATES HOUSE OF REPRESENTATIVES

## 2017 FINANCIAL DISCLOSURE STATEMENT

ML LEGISLATIVE RESOURCE CENTER

18 MAY 14 PM 4:29

(Office Use Only)

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

**A $200 penalty shall be assessed against any individual who files more than 30 days late.**

**Name:** Ted S Yoho **Daytime Telephone:**

| | | | |
|---|---|---|---|
| **FILER STATUS** | ☑ Member of the U.S House of Representatives — State: FL District: 03 | ☐ Officer or Employee — Employing Office: | Staff Filer Type (If Applicable) Shared ☐ Principal Assistant ☐ |
| **REPORT TYPE** | ☑ 2017 Annual (Due: May 15, 2018) | ☐ Amendment | ☐ Termination — Date of Termination: |

## PRELIMINARY INFORMATION – ANSWER EACH OF THESE QUESTIONS

| | Yes | No |
|---|---|---|
| **A** Did you, your spouse, or your dependent child: a. Own any reportable asset that was worth more than $1,000 at the end of the reporting period? **or** b. Receive more than $200 in unearned income from any reportable asset during the reporting period? | ☑ | ☐ |
| **B** Did you, your spouse, or your dependent child purchase, sell, or exchange any securities or reportable real estate in a transaction exceeding $1,000 during the reporting period? | ☑ | ☐ |
| **C** Did you or your spouse have "earned" income (e.g., salaries, honoraria, or pension/IRA distributions) of $200 or more during the reporting period? | ☑ | ☐ |
| **D** Did you, your spouse, or your dependent child have any reportable liability (more than $10,000) at any point during the reporting period? | ☐ | ☑ |
| **E** Did you hold any reportable positions during the reporting period or in the current calendar year up through the date of filing? | ☐ | ☑ |
| **F** Did you have any reportable agreement or arrangement with an outside entity during the reporting period or in the current calendar year up through the date of filing? | ☐ | ☑ |
| **G** Did you, your spouse, or your dependent child receive any reportable gift(s) totaling more than $390 in value from a single source during the reporting period? | ☐ | ☑ |
| **H** Did you, your spouse, or your dependent child receive any reportable travel or reimbursements for travel totaling more than $390 in value from a single source during the reporting period? | ☑ | ☐ |
| **I** Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article during the reporting period? | ☐ | ☑ |

**ATTACH THE CORRESPONDING SCHEDULE IF YOU ANSWER "YES"**

## IPO AND EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION - ANSWER EACH OF THESE QUESTIONS

| | Yes | No |
|---|---|---|
| **IPO** – Did you purchase any shares that were allocated as a part of an Initial Public Offering during the reporting period? If you answered "yes" to this question, please contact the Committee on Ethics for further guidance. | ☐ | ☑ |
| **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 that benefits you, your spouse, or dependent child? | ☐ | ☑ |
| **EXEMPTION** – Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or your dependent child because they meet all three tests for exemption? Do not answer "yes" unless you have first consulted with the Committee on Ethics | ☐ | ☑ |

# SCHEDULE A – ASSETS & "UNEARNED INCOME"

**Name:** Ted S. Yoho **Page** 2 **of** 6

**BLOCK A — Assets and/or Income Sources**

Identify (a) each asset held for investment or production of income and with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other reportable asset or source of income that generated more than $200 in "unearned" income during the year.

Provide complete names of stocks and mutual funds (do not use only ticker symbols).

For **all IRAs** and other retirement plans (such as 401(k) plans) provide the value for each asset held in the account that exceeds the reporting thresholds.

For bank and other cash accounts, total the amount in all interest-bearing accounts. If the total is over $5,000, list every financial institution where there is more than $1,000 in interest bearing accounts.

For rental and other real property held for investment, provide a complete address or description, e.g., "rental property," and a city and state.

For an ownership interest in a privately held business that is not publicly traded, state the name of the business, the nature of its activities, and its geographic location in Block A.

**Exclude:** Your personal residence, including second homes and vacation homes (unless there was rental income during the reporting period); and any financial interest in or income derived from a federal retirement program, including the Thrift Savings Plan.

If you report a privately-traded fund that is an Excepted Investment Fund, please check the "EIF" box.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC), or jointly held with anyone (JT), in the optional column on the far left.

For a detailed discussion of Schedule A requirements, please refer to the instruction booklet.

**BLOCK B — Value of Asset**

Indicate value of asset at close of the reporting period. If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold during the reporting period and is included only because it generated income, the value should be "None."

*Column M is for assets held by your spouse or dependent child in which you have no interest.

**BLOCK C — Type of Income**

Check all columns that apply. For accounts that generate tax deferred income (such as 401(k), IRA, or 529 accounts), you may check the "Tax Deferred" column. **Dividends, interest, and capital gains, even if reinvested, must be disclosed as income for assets held in taxable accounts.** Check "None" if the asset generated no income during the reporting period.

**BLOCK D — Amount of Income**

For assets for which you checked "Tax-Deferred" in Block C, you may check the "None" column. For all other assets, indicate the category of income by checking the appropriate box below. **Dividends, interest, and capital gains, even if reinvested, must be disclosed as income for assets held in taxable accounts.** Check "None" if no income was earned or generated.

*Column XII is for assets held by your spouse or dependent child in which you have no interest.

**BLOCK E — Transaction**

Indicate if the asset had purchases (P), sales (S), or exchanges (E) exceeding $1,000 in the reporting period.

If only a portion of an asset was sold, please indicate as follows: (S (part)).

Leave this column blank if there are no transactions that exceeded $1,000.

| SP, DC, JT | Asset | EIF | A None | B $1-$1,000 | C $1,001-$15,000 | D $15,001-$50,000 | E $50,001-$100,000 | F $100,001-$250,000 | G $250,001-$500,000 | H $500,001-$1,000,000 | I $1,000,001-$5,000,000 | J $5,000,001-$25,000,000 | K $25,000,001-$50,000,000 | L Over $50,000,000 | M Spouse/DC Asset over $1,000,000* | NONE | DIVIDENDS | RENT | INTEREST | CAPITAL GAINS | EXCEPTED BLIND TRUST | TAX DEFERRED | Other Type of Income (Specify: e.g., Partnership Income or Farm Income) | I None | II $1-$200 | III $201-$1,000 | IV $1,001-$2,500 | V $2,501-$5,000 | VI $5,001-$15,000 | VII $15,001-$50,000 | VIII $50,001-$100,000 | IX $100,001-$1,000,000 | X $1,000,001-$5,000,000 | XI Over $5,000,000 | XII Spouse/DC Asset with Income over $1,000,000* | P, S, S(part), or E |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| SP | Examples: Mega Corp Stock | | | | | | x | | | | | | | | | | x | | | | | | | | | | x | | | | | | | | | S(part) |
| | Simon & Schuster | | | | Indefinite | | | | | | | | | | | | | | | | | | Royalties | | | x | | | | | | | | | | |
| | ABC Hedge Fund | x | | | | | | | x | | | | | | | | | | | | | | Partnership Income | | | | | x | | | | | | | | |
| | MORGAN STANLEY IRA | | | | | | | ✓ | (see attachment #1) | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | MORGAN STANLEY SEP IRA | | | | | ✓ | (see attachment #2) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | PUBLIX SUPERMARKET STOCK | | | | | | | | ✓ | | | | | | | | ✓ | | | | | | | | | | | | | | | | | | | |
| | GAINESVILLE FL HOME (INVESTMENT PROPERTY) | | | | | | | ✓ | | | | | | | | ✓ | | | | | | | | ✓ | | | | | | | | | | | | |
| | LPL FINANCIAL IRA | | | | | ✓ | (see attachment #3) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

Use additional sheets if more space is required.

# SCHEDULE A – ASSETS & "UNEARNED INCOME"

Name: Ted S Yoho | Page 3 of 6

| BLOCK A Assets and/or Income Sources (Asset Name) | BLOCK B Value of Asset | BLOCK C Type of Income | BLOCK D Amount of Income | BLOCK E Transaction |
| --- | --- | --- | --- | --- |
| SUNTRUST MONEY MARKET | C ($1,001-$15,000) ✓ | NONE ✓ | I (None) ✓ | |
| GAINESVILLE, FL VACANT LOT (investment property) | G ($250,001-$500,000) ✓ | NONE ✓ | I (None) ✓ | |
| KEY COLONY BCH, FL HOME (investment property) (RENTAL) | H ($500,001-$1,000,000) ✓ | RENT ✓ | VII ($15,001-$50,000) ✓ | |
| SUNTRUST ADVANTAGE MMA | C ($1,001-$15,000) ✓ | INTEREST ✓ | II ($1-$200) ✓ | |
| GAINESVILLE, FL CONDO (RENTAL PROPERTY) | F ($100,001-$250,000) ✓ | RENT ✓ | VI ($5,001-$15,000) ✓ | |
| NEW YORK LIFE INS. (CASH VALUE) | A (None) ✓ | DIVIDENDS ✓ | IV ($1,001-$2,500) ✓ | |

(FUNDS USED TO PAY OFF PREVIOUS CASH VALUE LOAN ON POLICY)

Use additional sheets if more space is required.

## SCHEDULE B – TRANSACTIONS

**Name:** Ted S Yoho

**Page** 4 **of** 6

Report any purchase, sale, or exchange transactions that exceeded $1,000 in the reporting period of any security or real property held by you, your spouse, or your dependent child for investment or the production of income. Include transactions that resulted in a capital loss. Provide a brief description of an exchange transaction. Exclude transactions between you, your spouse, or dependent children, or the purchase or sale of your personal residence, unless it generated rental income. If only a portion of an asset is sold, please choose "partial sale" as the type of transaction.

**Capital Gains**: If a sales transaction resulted in a capital gain in excess of $200, check the "capital gains" box, unless it was an asset in a tax deferred account, and disclose the capital gain income on Schedule A.

* Column K is for assets solely held by your spouse or dependent child

| SP, DC, JT | Asset | Type of Transaction: Purchase | Sale | Partial Sale | Exchange | Check Box if Capital Gain Exceeded $200 | Date (MO/DA/YR or Quarterly, Monthly, or Bi-weekly, if applicable) | Amount of Transaction: A $1,001-$15,000 | B $15,001-$50,000 | C $50,001-$100,000 | D $100,001-$250,000 | E $250,001-$500,000 | F $500,001-$1,000,000 | G $1,000,001-$5,000,000 | H $5,000,001-$25,000,000 | I $25,000,001-$50,000,000 | J Over $50,000,000 | K Over $1,000,000* Spouse/DC Asset |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| SP | Example: Mega Corp Stock | | | x | | x | 3/3/17 | | x | | | | | | | | | |
| SP | Publix Super Markets, INC | | ✓ | | | ✓ | 9/25/17 | ✓ | | | | | | | | | | |
| | Powershares Exchange Traded Fund TR II S&P 600 LOW VOLATILITY PORT | ✓ | | | | | 9/11/17 | ✓ | | | | | | | | | | |
| | CLAYMORE GUGGENHEIM ULTRA SHORT DURATION ETF | | ✓ | | | | 7/10/17 | ✓ | | | | | | | | | | |
| | ISHARES EDGE MSCI MIN VOLATILITY EAFE ETF | ✓ | | | | | 7/6/17 | ✓ | | | | | | | | | | |
| | ISHARES EDGE MSCI MIN VOLATILITY EMERGING MARKETS ETF | ✓ | | | | | 7/6/17 | ✓ | | | | | | | | | | |
| | POWERSHARES HIGH YEILD EQUTY DIVIDEND ACHEIVERS ETF | ✓ | | | | | 7/6/17 | ✓ | | | | | | | | | | |
| | SECTOR MATERIALS SELECT SECTOR SPDR ETF | ✓ | | | | | 7/6/17 | ✓ | | | | | | | | | | |
| | ISHARES EDGE MSCI MIN VOLATILITY ETF | ✓ | | | | | 6/28/17 | ✓ | | | | | | | | | | |
| | FIRST TRUST SENIOR LOAN FUND ETF | ✓ | | | | | 3/8/17 | ✓ | | | | | | | | | | |
| | SPDR BLACKSTONE GSO SR LN ETF | | ✓ | | | | 3/8/17 | | | | | | | | | | | |

Use additional sheets if more space is required.

## SCHEDULE C – EARNED INCOME

Name: Ted S. Yoho



List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. government) totaling $200 or more during the reporting period. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000. See examples below.

**EXCLUDE**: Military pay (such as National Guard or Reserve pay), federal retirement programs, and benefits received under the Social Security Act.

**INCOME LIMITS and PROHIBITED INCOME**: The 2017 limit on outside earned income for Members and employees compensated at or above the "senior staff" rate was $27,765. The 2018 limit is $28,050. In addition, certain types of income (notably honoraria, director's fees, and payments for professional services involving a fiduciary relationship) are totally prohibited.

| | **Source** (include date of receipt for honoraria) | **Type** | **Amount** |
|---|---|---|---|
| Examples: | Keene State | Approved Teaching Fee | $6,000 |
| | State of Maryland | Legislative Pension | $18,000 |
| | Civil War Roundtable (Oct. 2) | Spouse Speech | $1,000 |
| | Ontario County Board of Education | Spouse Salary | N/A |
| | LPL Financial IRA | IRA Distribution | $ 30,040.— |

Use additional sheets if more space is required.

## SCHEDULE H – TRAVEL PAYMENTS and REIMBURSEMENTS

Name: Ted S. Yoko



Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $390 received by you, your spouse, or your dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense. Disclosure is required regardless of whether the expenses were paid directly by the sponsor or were paid by you and reimbursed by the sponsor.

**EXCLUDE**: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (FGDA, 5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to the filer.

| | Source | Date(s) | City of Departure-Destination-City of Return | Lodging? (Y/N) | Food? (Y/N) | Family Member Included? (Y/N) |
|---|---|---|---|---|---|---|
| Examples | Government of China (MECEA) | Aug 6-11 | DC-Beijing, China-DC | Y | Y | N |
| | Habitat for Humanity (charity fundraiser) | Mar 3-4 | DC-Boston-DC | Y | Y | Y |
| | Heritage Foundation | Feb 8-10 | DC-NY-DC | Y | Y | Y |
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Use additional sheets if more space is required.

CSY WEALTH MANAGEMENT

*ATTACHMENT #1*

Morgan Stanley

0001396 03 AB 1.049 03 TR 00012 MSD0BZ01 000000

MSSB C/F
CAROLYN S YOHO
IRA ROLLOVER DATED 04/12/95
[redacted]
[redacted]261

**Brian Bradberry**
Financial Advisor
Tel: +1 813 663-2065
Brian.Bradberry@morganstanley.com

**Your Branch:**
PO BOX 951106
SOUTH JORDAN, UT 840959959

**Information as of:** December 31, 2017

# Performance Summary

**Prepared for:** CAROLYN YOHO

**Account No.** [redacted]

Prepared on: January 17, 2018

S 00001396 MSD0BZ01 019610

Please review the disclosures and definitions throughout this Document.

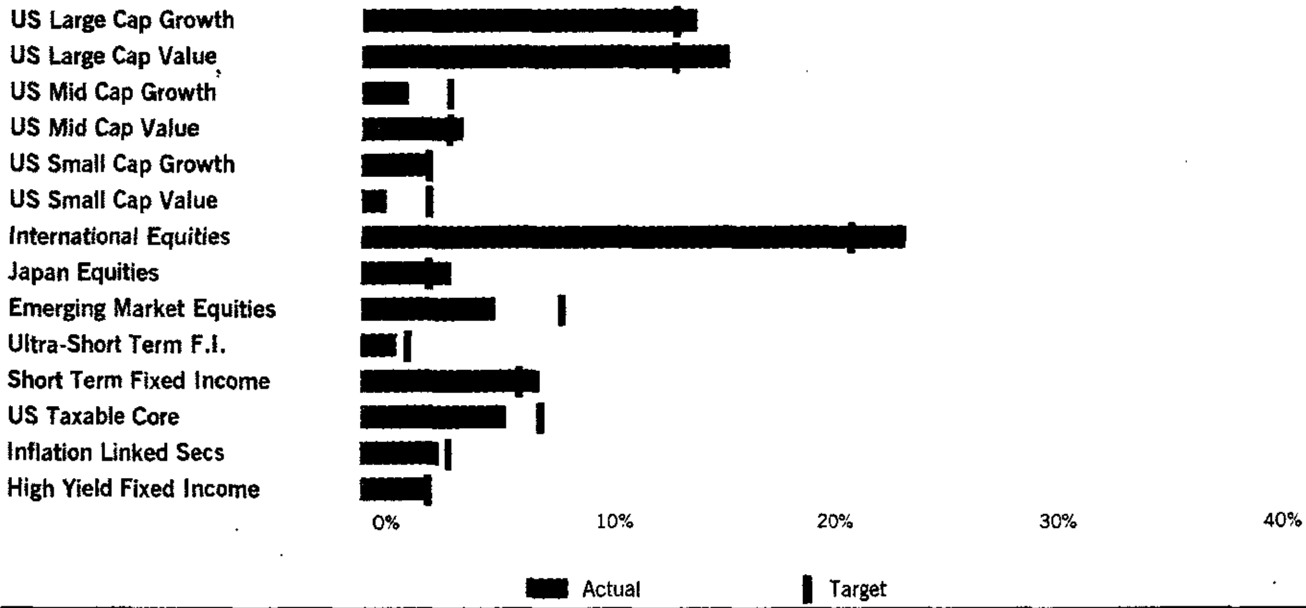
WEALTH MANAGEMENT

Morgan Stanley

# ADVISORY ASSET ALLOCATION: ACTUAL VS. TARGET - ADVISORY ASSETS ONLY

**CAROLYN YOHO[redacted] TRAK Fund Solution IRA - Rollover IRA**

**As of December 31, 2017 | Reporting Currency: USD**




| Asset Class | Actual 12/31/2017 | | Target | | Difference | |
|---|---|---|---|---|---|---|
| US Large Cap Growth | $16,405.95 | 15.1% | $15,168.82 | 14.0% | $1,237.14 | 1.1% |
| US Large Cap Value | 17,748.65 | 16.4 | 15,168.82 | 14.0 | 2,579.84 | 2.4 |
| US Mid Cap Growth | 2,387.73 | 2.2 | 4,333.95 | 4.0 | -1,946.22 | -1.8 |
| US Mid Cap Value | 4,886.27 | 4.5 | 4,333.95 | 4.0 | 552.32 | 0.5 |
| US Small Cap Growth | 3,214.61 | 3.0 | 3,250.46 | 3.0 | -35.85 | 0.0 |
| US Small Cap Value | 1,259.06 | 1.2 | 3,250.46 | 3.0 | -1,991.40 | -1.8 |
| International Equities | 26,497.57 | 24.5 | 23,836.71 | 22.0 | 2,660.86 | 2.5 |
| Japan Equities | 4,561.82 | 4.2 | 3,250.46 | 3.0 | 1,311.36 | 1.2 |
| Emerging Market Equities | 6,678.49 | 6.2 | 9,751.38 | 9.0 | -3,072.89 | -2.8 |
| Ultra-Short Term F.I. | 1,844.37 | 1.7 | 2,166.97 | 2.0 | -322.60 | -0.3 |
| Short Term Fixed Income | 8,807.22 | 8.1 | 7,584.41 | 7.0 | 1,222.81 | 1.1 |
| US Taxable Core | 7,267.74 | 6.7 | 8,667.89 | 8.0 | -1,400.15 | -1.3 |
| Inflation Linked Secs | 3,754.85 | 3.5 | 4,333.95 | 4.0 | -579.10 | -0.5 |

Target Allocation as determined by you and your Financial Advisor for this account only.
Please note that there were no changes in your target allocation since last quarter.

# ADVISORY ASSET ALLOCATION: ACTUAL VS. TARGET - ADVISORY ASSETS ONLY

**CAROLYN YOHO[redacted]- TRAK Fund Solution IRA - Rollover IRA**

**As of December 31, 2017 | Reporting Currency: USD**

[redacted]

| Asset Class | Actual 12/31/2017 | | Target | | Difference | |
|---|---|---|---|---|---|---|
| High Yield Fixed Income | 3,034.35 | 2.8 | 3,250.46 | 3.0 | -216.11 | -0.2 |
| **Total Assets** | **$108,348.68** | **100.0%** | **$108,348.68** | **100.0%** | | |

Target Allocation as determined by you and your Financial Advisor for this account only.
Please note that there were no changes in your target allocation since last quarter.

Morgan Stanley

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[redacted]

## <TRAK Fund Solution IRA - 1883

**IRA ROLLOVER**
MSSB C/F CAROLYN S YOHO

| Total Assets | Today's Change | Available Cash | Available to Invest |
|---|---|---|---|
| **$108,260.44** | **-** | **$23.75** | **$23.75** |

As of 5/4/2018 1:44 PM ET | Refresh Market Data

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**Holdings** **Activity** **Realized Gain / Loss** **Portfolio Reports** **Documents**

View Prior Year

**All** **Deposits, Payments + Cash Transfers** **Investment Activity**

All Activity Search...

| Activity Date | Transaction Date | Activity | Description | Quantity | Price ($) | Amount ($) |
|---|---|---|---|---|---|---|
| 07/21/2017 | 07/20/2017 | LT Cap Gain Distributi | BLACKROCK EQUITY DIVIDEND I | | | 1,322.19 |
| 12/11/2017 | 12/08/2017 | LT Cap Gain Distributi | FIDELITY ADV NEW INSIGHTS I | | | 1,019.49 |
| 11/20/2017 | 11/17/2017 | LT Cap Gain Distributi | THORNBURG INTL GROWTH I | | | 803.68 |
| 12/05/2017 | 12/04/2017 | LT Cap Gain Distributi | BLACKROCK EQUITY DIVIDEND I | | | 688.13 |
| 11/09/2017 | 11/09/2017 | Sold | BLACKROCK EQUITY DIVIDEND I CONFIRM NBR | 14.537 | 22.9800 | 334.07 |
| 08/09/2017 | 08/09/2017 | Sold | BLACKROCK EQUITY DIVIDEND I CONFIRM NBR | 14.582 | 22.2100 | 323.86 |
| 05/09/2017 | 05/09/2017 | Sold | FIDELITY ADV NEW INSIGHTS I CONFIRM NBR | 10.314 | 29.9200 | 308.59 |
| 02/09/2017 | 02/09/2017 | Sold | BLACKROCK EQUITY DIVIDEND I CONFIRM NBR | 12.400 | 22.8400 | 283.21 |

* ATTACHMENT #2 *

Morgan Stanley

MSSB C/F
CAROLYN S YOHO
IRA SEP DATED 08/21/95
[redacted]

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**Information as of:** December 31, 2017

# Performance Summary

**Prepared for:** CAROLYN YOHO

**Account No.** [redacted]

Prepared on: January 17, 2018

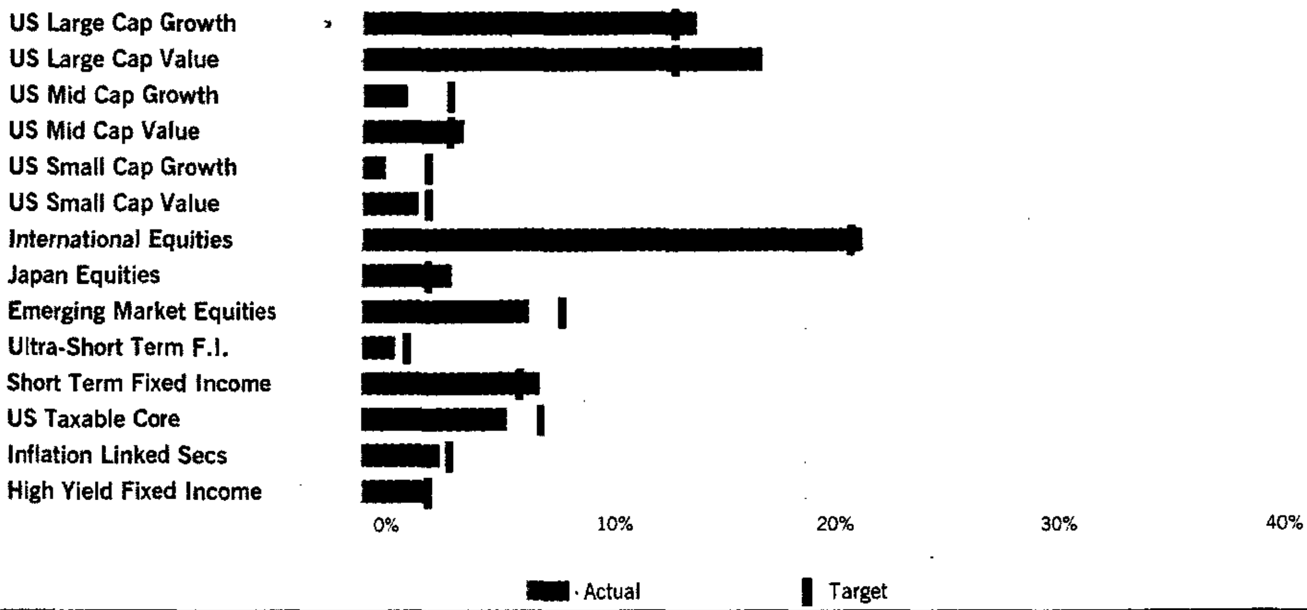
00001396 MSD0BZ01 019616

Please review the disclosures and definitions throughout this Document.

Morgan Stanley

# ADVISORY ASSET ALLOCATION: ACTUAL VS. TARGET - ADVISORY ASSETS ONLY

**CAROLYN YOHO [redacted] - TRAK Fund Solution IRA - SEP IRA** | **As of December 31, 2017 | Reporting Currency: USD**




| Asset Class | Actual 12/31/2017 | | Target | | Difference | |
|---|---|---|---|---|---|---|
| US Large Cap Growth | $6,254.07 | 15.2% | $5,779.04 | 14.0% | $475.03 | 1.2% |
| US Large Cap Value | 7,376.60 | 17.9 | 5,779.04 | 14.0 | 1,597.56 | 3.9 |
| US Mid Cap Growth | 832.00 | 2.0 | 1,651.15 | 4.0 | -819.15 | -2.0 |
| US Mid Cap Value | 1,767.90 | 4.3 | 1,651.15 | 4.0 | 116.75 | 0.3 |
| US Small Cap Growth | 499.22 | 1.2 | 1,238.37 | 3.0 | -739.15 | -1.8 |
| US Small Cap Value | 1,073.18 | 2.6 | 1,238.37 | 3.0 | -165.19 | -0.4 |
| International Equities | 9,274.33 | 22.5 | 9,081.35 | 22.0 | 192.98 | 0.5 |
| Japan Equities | 1,724.12 | 4.2 | 1,238.37 | 3.0 | 485.75 | 1.2 |
| Emerging Market Equities | 3,145.60 | 7.6 | 3,715.10 | 9.0 | -569.50 | -1.4 |
| Ultra-Short Term F.I. | 697.24 | 1.7 | 825.58 | 2.0 | -128.34 | -0.3 |
| Short Term Fixed Income | 3,221.47 | 7.8 | 2,889.52 | 7.0 | 331.95 | 0.8 |
| US Taxable Core | 2,745.42 | 6.7 | 3,302.31 | 8.0 | -556.89 | -1.3 |
| Inflation Linked Secs | 1,479.05 | 3.6 | 1,651.15 | 4.0 | -172.10 | -0.4 |

Target Allocation as determined by you and your Financial Advisor for this account only.
Please note that there were no changes in your target allocation since last quarter.

# ADVISORY ASSET ALLOCATION: ACTUAL VS. TARGET - ADVISORY ASSETS ONLY

CAROLYN YOHO [redacted] TRAK Fund Solution IRA - SEP IRA

As of December 31, 2017 | Reporting Currency: USD

[redacted]

| Asset Class | Actual 12/31/2017 | | Target | | Difference | |
|---|---|---|---|---|---|---|
| High Yield Fixed Income | 1,188.66 | 2.9 | 1,238.37 | 3.0 | -49.71 | -0.1 |
| **Total Assets** | **$41,278.86** | **100.0%** | **$41,278.86** | **100.0%** | | |

Target Allocation as determined by you and your Financial Advisor for this account only.
Please note that there were no changes in your target allocation since last quarter.



00001396 MSD0BZ01 019618

Morgan Stanley

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[redacted]

# <TRAK Fund Solution IRA - 1884

NO TRANSACTIONS ↑ $1000.-

**SEP**
MSSB C/F CAROLYN S YOHO

| Total Assets | Today's Change | Available Cash | Available to Invest |
|---|---|---|---|
| **$41,229.08** | **-** | **$1.43** | **$1.43** |

As of 5/4/2018 1:44 PM ET | **Refresh Market Data**

Print Download Definitions

**Holdings** **Activity** **Realized Gain / Loss** **Portfolio Reports** **Documents**

View Prior Year

**All** **Deposits, Payments + Cash Transfers** **Investment Activity**

All Activity Search...

| Activity Date | Transaction Date | Activity | Description | Quantity | Price ($) | Amount ($) |
|---|---|---|---|---|---|---|
| 12/15/2017 | 12/14/2017 | LT Cap Gain Distributi | OAKMARK I | | | 254.15 |
| 12/15/2017 | 12/14/2017 | LT Cap Gain Distributi | IVY LARGE CAP GROWTH I | | | 253.77 |
| 12/14/2017 | 12/13/2017 | LT Cap Gain Distributi | INVESCO AMERICAN VALUE Y | | | 167.01 |
| 11/09/2017 | 11/09/2017 | Sold | OAKMARK I<br>CONFIRM NBR | 1.505 | 84.6800 | 127.43 |
| 12/18/2017 | 12/15/2017 | LT Cap Gain Distributi | NEUBERGER BERMAN GENESIS INST | | | 125.77 |
| 12/29/2017 | 12/28/2017 | Dividend | CAMBIAR INTL EQUITY INV<br>DIV PAYMENT | | | 116.74 |
| 11/22/2017 | 11/21/2017 | LT Cap Gain Distributi | ARTISAN MID CAP ADV | | | 107.83 |
| 12/22/2017 | 12/21/2017 | LT Cap Gain Distributi | CAMBIAR INTL EQUITY INV | | | 73.87 |

* ATTACHMENT # 3 *

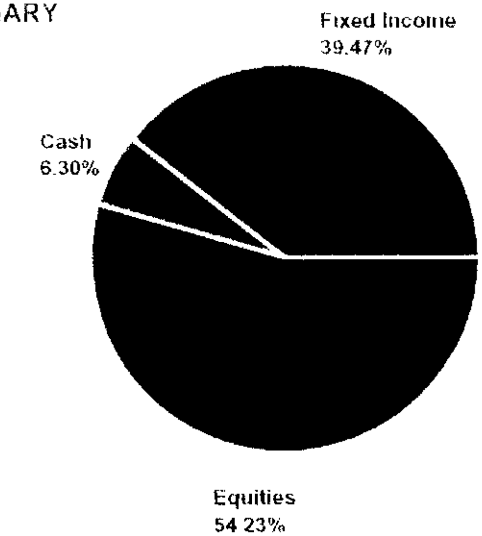


# Strategic Wealth Management (SWM)

## PORTFOLIO SUMMARY

| | MARKET VALUE | PERCENTAGE |
|---|---|---|
| Exch Traded Funds | 38,587 | 81.16 % |
| **Mutual Funds** | **3,017** | **6.35 %** |
| Equities | 2,944 | 6.19 % |
| **Cash & Equivalents** | **2,995** | **6.30 %** |
| **Total** | **$ 47,544** | **100.00 %** |
| **Net Invested Dollars** (Contributions Less Withdrawals) | **$ 40,567** | |
| **Net Change Since Inception** (Inception August 10, 2011) | **$ 6,976** | |

## ALLOCATION SUMMARY

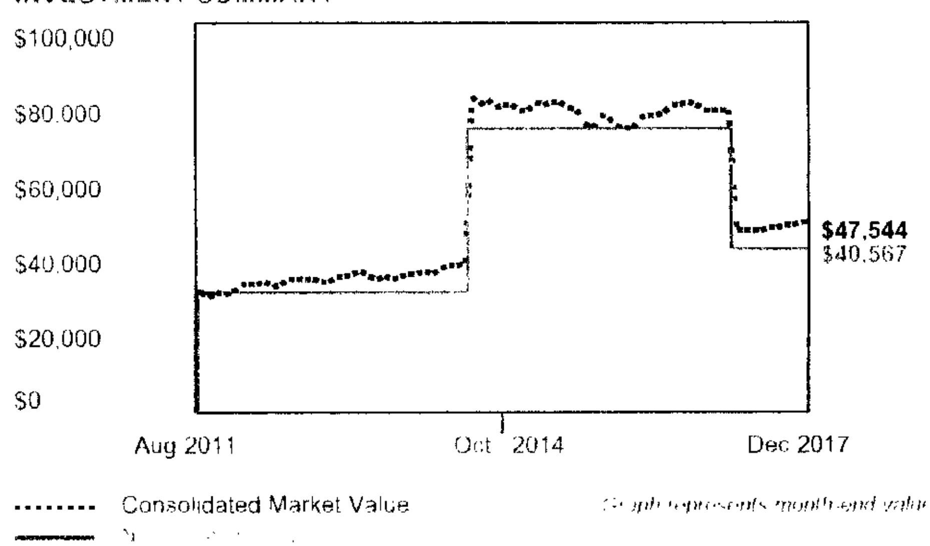



## PORTFOLIO CHANGES

| | |
|---|---|
| **Portfolio Value on December 31, 2016** | **$ 75,244** |
| Inflows* | 0 |
| **Outflows*** | **(30,040)** |
| Account Fluctuation | 1,840 |
| **Interest** | **1** |
| Dividends | 987 |
| **Advisory Fee (Annual Fee Rate 1.00%)**** | **(488)** |
| **Portfolio Value on December 31, 2017** | **$ 47,544** |
| **Net Change** | **$ 2,340** |

** Inflows and Outflows reflect the market value of cash and/or securities deposited into or withdrawn from the account including miscellaneous account expenses.*
*** Please refer to "Important Disclosure Information" at the end of this report for more information about the fee.*

## INVESTMENT SUMMARY



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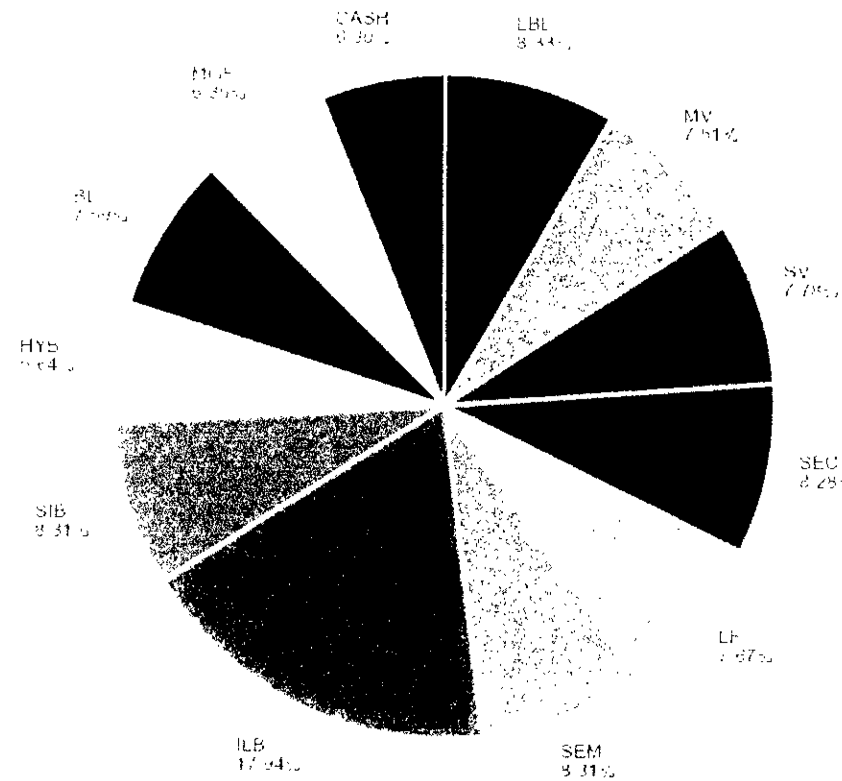
## ACCOUNT DETAILS

| [illegible] | [illegible] | [illegible] | [illegible] | [illegible] | [illegible] |
|---|---|---|---|---|---|
| PTC CUST IRA FBO THEODORE S YOHO | 1851-2190 | [illegible] | Growth with Income | [illegible] | $47,544 |

## ASSET ALLOCATION SUMMARY

| [illegible] | [illegible] | [illegible] | [illegible] |
|---|---|---|---|
| LBL | Large Cap U.S. Blend Equity | 3,958 | 8.33% |
| **MV** | **Mid Cap U S Value Equity** | **3,573** | **7.51%** |
| SV | Small Cap U.S. Value Equity | 3,700 | 7.78% |
| **SECT** | **Sector** | **3 934** | **8 28%** |
| LF | Large Cap Foreign Equity | 3,649 | 7.67% |
| **SEM** | **Small Cap Foreign / Emerging Market Equity** | **3,949** | **8 31%** |
| ILB | Intermediate/Long-Term High-Quality U.S. Bond | 8,528 | 17.94% |
| **SIB** | **Short/Intermediate-Term High-Quality U.S. Bond** | **3,950** | **8.31%** |
| HYB | Intermediate/Long-Term High-Yield Bond | 2,682 | 5.64% |
| **BL** | **Bank Loan** | **3,607** | **7.59%** |
| MGF | Managed Futures | 3,017 | 6.35% |
| **CASH** | **Cash and Equivalents** | **2,995** | **6.30%** |
| **Total** | **$** | **47,544** | **100.00%** |



## PORTFOLIO APPRAISAL - EXCH TRADED FUNDS

| DATE | QUANTITY | PORTFOLIO HOLDING | ASSET CLASS | UNIT | MARKET VALUE ($) TOTAL | ASSETS % |
|---|---|---|---|---|---|---|
| 12-30-15 | 106.8480 | Claymore ETF Tr Guggenheim Bullet Shs | HYB | 25.10 | 2,682 | 5.6 |
| **03-08-17** | **75.0760** | **First Trust Senior Loan Fund ETF** | **BL** | **48.04** | **3,607** | **7.6** |
| 07-06-17 | 65.0000 | iShares Inc MSCI Emerg Mkts Min Volatil | SEM | 60.76 | 3,949 | 8.3 |
| **07-06-17** | **50.0000** | **iShares Tr MSCI Eafe Min Volatility** | **LF** | **72.98** | **3,649** | **7.7** |
| 07-11-17 | 80.0000 | Powershares Exchange Traded Fund Tr II | SV | 46.25 | 3,700 | 7.8 |
| **07-10-14** | **78.7880** | **Claymore Etf Tr Dorchester Capital Mkts** | **SIB** | **50.14** | **3,950** | **8.3** |
| 07-06-17 | 200.5900 | Powershares High Yield Equity Divid | MV | 17.81 | 3,573 | 7.5 |
| **06-29-17** | **75.0000** | **iShares Tr MSCI USA Min Volatility Fd** | **LBL** | **52.78** | **3,958** | **8.3** |
| 11-03-16 | 100.7470 | Schwab Strategic Trust U S Tips Etf | ILB | 55.43 | 5,584 | 11.7 |
| **07-06-17** | **65.0000** | **Sector Spdr Tr Sbi Materials** | **SECT** | **60.53** | **3,934** | **8.3** |
| | | | | | **38,587** | **81.2 %** |

## PORTFOLIO APPRAISAL - PREFERRED STOCK

| | | | | | | |
|---|---|---|---|---|---|---|
| 06-12-14 | 110.3780 | Digital Realty Cnltv Redeem Sr H Pfd | ILB | 26.67 | 2,944 | 6.2 |
| | | | | | **2,944** | **6.2 %** |

## PORTFOLIO APPRAISAL - MUTUAL FUNDS

| | | | | | | |
|---|---|---|---|---|---|---|
| 05-02-16 | 307.578 | Locorr Long Short Comm Strat Cl I | MGF | 9.81 | 3,017 | 6.3 |
| | | | | | **3,017** | **6.3 %** |

## PORTFOLIO APPRAISAL - CASH AND EQUIVALENTS

| | | | | | | |
|---|---|---|---|---|---|---|
| | | Cash Balance to be swept | CASH | | 2,839 | 6.0 |
| | | Insured Cash Account | CASH | | 156 | 0.3 |
| | | | | | **2,995** | **6.3 %** |

| | | |
|---|---|---|
| **Total Portfolio** | **47,544** | **100.0 %** |

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## PERFORMANCE HISTORY

**Inception Date: August 10, 2011**

| | LAST 3 MONTHS | YEAR TO DATE | LAST 12 MONTHS | LAST 3 YEARS | LAST 5 YEARS | INCEPTION TO DATE | ANNUALIZED INCEPTION TO DATE |
|---|---|---|---|---|---|---|---|
| **Your Account** | 2.33% | 5.07% | 5.07% | 4.86% | 17.12% | 26.52% | 3.75% |
| **Consumer Price Index (CPI) Adjusted 1-month lag** | **1.05%** | **2.16%** | **2.16%** | **4.46%** | **7.15%** | **9.83%** | **1.48%** |
| Barclays Capital U S. Aggregate Bond Index | 0.39% | 3.54% | 3.54% | 6.87% | 10.95% | 17.77% | 2.59% |
| **S&P 500 Index** | **6.64%** | **21.83%** | **21.83%** | **38.29%** | **108.14%** | **151.00%** | **15.49%** |
| MSCI EAFE Index - Gross Return | 4.27% | 25.62% | 25.62% | 27.01% | 49.58% | 65.00% | 8.15% |
| **Russell 2000 Index** | **3.34%** | **14.65%** | **14.65%** | **32.94%** | **93.58%** | **130.93%** | **13.99%** |
| Russell 3000 Index | 6.34% | 21.13% | 21.13% | 37.21% | 106.26% | 148.33% | 15.30% |