



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: 2018
Filing Date: 08/13/2018

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 [CO]		\$100,001 - \$250,000	None		
DESCRIPTION: Collection of paintings, photographs, prints & sculptures.					
- 100 University Family Limited Partnership ⇒ Commercial Property [RP]		\$5,000,001 - \$25,000,000	Partnership Income	\$2,501 - \$5,000	\$5,001 - \$15,000
LOCATION: Minneapolis/Hennepin, MN, US					
- Cash Accounts ⇒ Cash in JP Morgan checking accounts [BA]		\$100,001 - \$250,000	Interest	\$1 - \$200	\$1 - \$200
- Cash Accounts ⇒ Cash in JP Morgan investment accounts [BA]		\$1,000,001 - \$5,000,000	Interest	\$1,001 - \$2,500	None
- Cash Accounts ⇒ Cash in U.S. Bank checking accounts [BA]		\$1,001 - \$15,000	Interest	\$1 - \$200	\$1 - \$200
- Fialko, LLC ⇒ AIF VI Private Investors LLC [HE]		\$100,001 - \$250,000	Partnership Income	\$2,501 - \$5,000	\$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 [HE] DESCRIPTION: EIF		\$50,001 - \$100,000	Partnership Income	\$1,001 - \$2,500	\$2,501 - \$5,000
- Fialko, LLC ⇒ Carlyle Asia Partners II Private Investors LLC [HE] DESCRIPTION: EIF		\$1,001 - \$15,000	Partnership Income	\$5,001 - \$15,000	\$15,001 - \$50,000
- Fialko, LLC ⇒ Cash in JP Morgan checking account [BA]		\$15,001 - \$50,000	Interest	\$1 - \$200	\$1 - \$200
- Fialko, LLC ⇒ Cash in JP Morgan investment account [BA]		\$500,001 - \$1,000,000	Interest	\$1,001 - \$2,500	None
- Fialko, LLC ⇒ Euro Principal Currency [OT] DESCRIPTION: Currency		\$15,001 - \$50,000	None		
- Fialko, LLC ⇒ Highbridge Mezzanine Partners, LP [HE] DESCRIPTION: EIF		\$50,001 - \$100,000	Partnership Income	\$2,501 - \$5,000	\$5,001 - \$15,000
- Fialko, LLC ⇒ JP Morgan Alternative Property Fund Domestic 1 LP [HE] DESCRIPTION: EIF		\$1,001 - \$15,000	None		
- Fialko, LLC ⇒ JP Morgan India Property Fund, LP [HE] DESCRIPTION: EIF		\$50,001 - \$100,000	Partnership Income	\$5,001 - \$15,000	\$15,001 - \$50,000
- Fialko, LLC ⇒ JPM Prime MM Fd - Instl Fund 829 1.18% (JINXX) [MF]		\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000	\$5,001 - \$15,000
- Fialko, LLC ⇒ JPMorgan Greater China Property Fund LP [HE] DESCRIPTION: EIF		None	Partnership Income	None	\$100,001 - \$1,000,000
- Fialko, LLC ⇒ KKR 2006 Private Investors LLC (Onshore) Co-Investment [HE] DESCRIPTION: EIF		None	Partnership Income	None	\$15,001 - \$50,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Fialko, LLC ⇒ KKR 2006 Private Investors, LLC (Onshore) [HE] DESCRIPTION: EIF		\$100,001 - \$250,000	Partnership Income	\$15,001 - \$50,000	\$50,001 - \$100,000
- Fialko, LLC ⇒ Outsell, Inc. [OL] LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Developer of consumer engagement technologies for the automotive industry.		\$250,001 - \$500,000	None		
- Fialko, LLC ⇒ Penny's Coffee LLC [OL] LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Coffee shops.		\$100,001 - \$250,000	None		
- Fialko, LLC ⇒ Rational Energies LLC [OL] LOCATION: Plymouth/Hennepin, MN, US DESCRIPTION: Developer of technologies to convert municipal waste flows into sustainable sources of green energy.		\$250,001 - \$500,000	None		
- Fialko, LLC ⇒ Residential Property [RP] LOCATION: Minnetonka/Hennepin, MN, US		\$500,001 - \$1,000,000	Partnership Income	None	\$5,001 - \$15,000
- Fialko, LLC ⇒ Riverstone Global Energy & Power Onshore IV LLC [HE] DESCRIPTION: EIF- transferred out 6/29/18		None	Partnership Income	None	\$5,001 - \$15,000
- Fialko, LLC ⇒ Riverstone Renewable & Alternative Energy - Onshore II LLC [HE] DESCRIPTION: EIF- transferred out 6/29/18		None	Partnership Income	None	\$15,001 - \$50,000
- Phillips Family Properties, LLC ⇒ Cash in JP Morgan checking account [BA]		\$1,001 - \$15,000	Interest	\$1 - \$200	\$1 - \$200
- Phillips Family Properties, LLC ⇒ 100 University Family Limited Partnership ⇒ Artwork [OL] LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Collection of paintings, photographs, prints & sculptures.		\$1,001 - \$15,000	None		
- Phillips Family Properties, LLC ⇒ 100 University Family Limited Partnership ⇒ Commercial Property [OL]		\$15,001 - \$50,000	Partnership Income	\$1 - \$200	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Commercial Property					
- Privately-Held Business Entities ⇒ DTP, LLC [OL]		\$50,001 - \$100,000	None		
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Developer of philanthropic giving platforms for individuals and organizations.					
- Privately-Held Business Entities ⇒ Geniecast, LLC [OL]		\$500,001 - \$1,000,000	None		
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. [OL]		\$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 [OL]		\$100,001 - \$250,000	None		
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Coffee shops.					
- Privately-Held Business Entities ⇒ Rational Energies LLC [OL]		\$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 [OL]		\$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) [MF]		\$15,001 - \$50,000	Tax-Deferred		
DESCRIPTION: EIF					
- Retirement Account 2 ⇒ Fidelity Target Date 2035 Fund [MF]		\$15,001 - \$50,000	Tax-Deferred		
DESCRIPTION: EIF					
- Trust 1 ⇒ Accenture plc Class A Ordinary Shares (ACN) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$201 - \$1,000
- Trust 1 ⇒		\$15,001 - \$50,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Aetna Inc. (AET) [ST]					
- Trust 1 ⇒ Amer Funds T/E BND Am-F3 (TFEBX) [MF]		\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500	None
- Trust 1 ⇒ American Express Company (AXP) [ST]		None	Capital Gains, Dividends	None	\$5,001 - \$15,000
- Trust 1 ⇒ AmerisourceBergen Corporation (ABC) [ST]		None	Dividends	None	\$2,501 - \$5,000
- Trust 1 ⇒ AMG MG Pictet Intl - I (APCTX) [MF]		None	Capital Gains, Dividends	None	\$15,001 - \$50,000
- Trust 1 ⇒ AMG MG Pictet Intl - Z (APCZX) [MF]		\$100,001 - \$250,000	Dividends	None	\$5,001 - \$15,000
- Trust 1 ⇒ Bank of New York Mellon Corporation (BK) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$1 - \$200
- Trust 1 ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]		\$15,001 - \$50,000	None		
- Trust 1 ⇒ Blackrock High Yield PT - BLAC (BRHYX) [MF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$15,001 - \$50,000
- Trust 1 ⇒ Blackstone Partners Investment Fund LP Class B [HE]		\$250,001 - \$500,000	None		
DESCRIPTION: EIF					
- Trust 1 ⇒ BNP CBEN XOP US 7/31/18 85% Barrier [HE]		None	Capital Gains	\$15,001 - \$50,000	None
- Trust 1 ⇒ Carlyle Asia Partners II Private Investors LLC [HE]		\$1,001 - \$15,000	Partnership Income	None	\$15,001 - \$50,000
DESCRIPTION: EIF					
- Trust 1 ⇒ Cash in JP Morgan investment account [BA]		\$100,001 - \$250,000	Interest	None	\$1 - \$200
- Trust 1 ⇒ CenturyLink, Inc. (CTL) [ST]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 1 ⇒ Cerner Corporation (CERN) [ST]		\$15,001 - \$50,000	None		
- Trust 1 ⇒ Comcast Corporation - Class A (CMCSA) [ST]		None	Capital Gains, Dividends	\$5,001 - \$15,000	\$1 - \$200
- Trust 1 ⇒ Corbin Capital Partners - Pinehurst Partners LP [HE] DESCRIPTION: EIF		\$250,001 - \$500,000	None		
- Trust 1 ⇒ Dodge & Cox Income Fund (DODIX) [MF]		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	\$201 - \$1,000
- Trust 1 ⇒ Dodge & Cox Intl Stock Fund (DODFX) [MF]		\$250,001 - \$500,000	Capital Gains, Dividends	None	\$15,001 - \$50,000
- Trust 1 ⇒ Dollar General Corporation (DG) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$1 - \$200
- Trust 1 ⇒ Doubleline Total Return Bond - I (DBLTX) [MF]		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	\$5,001 - \$15,000
- Trust 1 ⇒ eBay Inc. (EBAY) [ST]		\$15,001 - \$50,000	None		
- Trust 1 ⇒ Eton Park Fund, LP Class E - New Issue Ineligible Non-Self Dealing [HE] DESCRIPTION: EIF		\$1,001 - \$15,000	None		
- Trust 1 ⇒ Expeditors International of Washington, Inc. (EXPD) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$2,501 - \$5,000
- Trust 1 ⇒ Highbridge Mezzanine Partners LP [HE] DESCRIPTION: EIF		\$15,001 - \$50,000	Partnership Income	None	\$5,001 - \$15,000
- Trust 1 ⇒ Honeywell International Inc. (HON) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
- Trust 1 ⇒ HPS Mezzanine Private Investors II LLC [HE] DESCRIPTION: EIF		\$100,001 - \$250,000	Partnership Income	None	\$50,001 - \$100,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 1 ⇒ iShares Barclays 1-3 Year Treasury Bond Fund (SHY) [EF]		\$100,001 - \$250,000	None		
- Trust 1 ⇒ Ishares Core MSCI EAFE ETF (IEFA) [EF]		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	\$1,001 - \$2,500
- Trust 1 ⇒ Ishares MSCI ACWI Index Fund (ACWI) [MF]		\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000	\$5,001 - \$15,000
- Trust 1 ⇒ Ishares MSCI EAFE Index Fund (EFA) [EF]		\$500,001 - \$1,000,000	Capital Gains, Dividends	\$15,001 - \$50,000	\$15,001 - \$50,000
- Trust 1 ⇒ Ishares MSCI Japan New (EWJ) [EF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$201 - \$1,000	\$2,501 - \$5,000
- Trust 1 ⇒ Ishares Russell 1000 Growth (IWF) [EF]		\$100,001 - \$250,000	Dividends	\$201 - \$1,000	\$1,001 - \$2,500
- Trust 1 ⇒ Ishares Russell Mid-Cap ETF (IWR) [EF]		None	Capital Gains, Dividends	None	\$50,001 - \$100,000
- Trust 1 ⇒ JP Morgan Chase & Co. (JPM) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
- Trust 1 ⇒ JPM Interm T/F Bond - R6 (JITZX) [MF]		\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000	\$201 - \$1,000
- Trust 1 ⇒ JPM Shrt-Int Muni Bnd Fd - Cl L (JIMIX) [MF]		None	Capital Gains, Dividends	None	\$1,001 - \$2,500
- Trust 1 ⇒ JPM Strat Inc Opp Fd - Cl I Fund (JSOSX) [MF]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	None
- Trust 1 ⇒ JPM Tax Free MMkt Inst Sweep Fd [BA]		\$500,001 - \$1,000,000	Dividends	\$2,501 - \$5,000	\$1 - \$200
DESCRIPTION: EIF					
- Trust 1 ⇒ JPMorgan Gbl Res Enh Idx - I (JEITX) [MF]		None	Capital Gains, Dividends	None	\$1,001 - \$2,500
- Trust 1 ⇒ JPMorgan Gbl RES ENH Idx - R6 (JEIYX) [MF]		\$250,001 - \$500,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$5,001 - \$15,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 1 ⇒ JPMorgan Interm T/F Bnd - I (JITIX) [MF]		None	Dividends	None	\$5,001 - \$15,000
- Trust 1 ⇒ JPMorgan Intrepid Growth Cl L (JPGSX) [MF]		None	Capital Gains, Dividends	\$15,001 - \$50,000	\$50,001 - \$100,000
- Trust 1 ⇒ Level 3 Communications, Inc. (LVLTL) [ST]		None	Capital Gains	None	\$1,001 - \$2,500
- Trust 1 ⇒ Masco Corporation (MAS) [ST]		\$15,001 - \$50,000	None		
- Trust 1 ⇒ Matthews Pacific Tiger - Inst (MIPTX) [MF]		\$50,001 - \$100,000	Dividends	None	\$201 - \$1,000
- Trust 1 ⇒ Metropolitan West T/R Bond - I (MWTIX) [MF]		None	Capital Gains, Dividends	None	\$1,001 - \$2,500
- Trust 1 ⇒ MFS Emerging Markets Debt Fund R6 (MEDHX) [MF]		\$50,001 - \$100,000	None		
- Trust 1 ⇒ MFS Emerging Mkts Debt Fd - I (MEDIX) [MF]		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
- Trust 1 ⇒ MFS Intl Value - R6 (MINJX) [MF]		\$250,001 - \$500,000	Dividends	None	\$5,001 - \$15,000
- Trust 1 ⇒ Microsoft Corporation (MSFT) [ST]		None	Capital Gains, Dividends	\$5,001 - \$15,000	\$1 - \$200
- Trust 1 ⇒ National Oilwell Varco, Inc. (NOV) [ST]		None	Dividends	\$201 - \$1,000	None
- Trust 1 ⇒ Nestle SA Sponsored ADR representing Registered Shares Series B (NSRGY) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
- Trust 1 ⇒ Nutrien Ltd. Common Shares (NTR) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None
- Trust 1 ⇒ Omnicom Group Inc. (OMC) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 1 ⇒ Oracle Corporation (ORCL) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	None
- Trust 1 ⇒ PACCAR Inc. (PCAR) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$1 - \$200
- Trust 1 ⇒ Pepsico, Inc. (PEP) [ST]		\$15,001 - \$50,000	None		
- Trust 1 ⇒ Potash Corporation of Saskatchewan Inc. (POT) [ST]		None	Dividends	\$1 - \$200	\$1 - \$200
- Trust 1 ⇒ Progressive Corporation (PGR) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1 - \$200
- Trust 1 ⇒ Quest Diagnostics Incorporated (DGX) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None
- Trust 1 ⇒ Riverstone Global Energy and Power Onshore IV LLC [HE] DESCRIPTION: EIF- transferred out 6/29/18		None	Partnership Income	None	\$5,001 - \$15,000
- Trust 1 ⇒ Riverstone Global Energy and Power Private Investors V, LLC [HE] DESCRIPTION: EIF- transferred out 6/29/18		None	Partnership Income	None	\$5,001 - \$15,000
- Trust 1 ⇒ Rockwell Automation, Inc. (ROK) [ST]		None	Capital Gains, Dividends	None	\$2,501 - \$5,000
- Trust 1 ⇒ Ross Stores, Inc. (ROST) [ST]		None	Capital Gains, Dividends	None	\$5,001 - \$15,000
- Trust 1 ⇒ Schlumberger N.V. (SLB) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None
- Trust 1 ⇒ Smith & Nephew SNATS, Inc. (SNN) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None
- Trust 1 ⇒ SPDR S&P 500 ETF Trust (SPY) [EF]		\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
- Trust 1 ⇒		\$15,001 - \$50,000	Dividends	\$201 -	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Stanley Black & Decker, Inc. (SWK) [ST]				\$1,000	
- Trust 1 ⇒ TE Connectivity Ltd. New Switzerland Registered Shares (TEL) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$1,001 - \$2,500
- Trust 1 ⇒ TJX Companies, Inc. (TJX) [ST]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	\$1 - \$200
- Trust 1 ⇒ Twenty-First Century Fox, Inc. - Class A (FOXA) [ST]		None	Dividends	None	\$201 - \$1,000
- Trust 1 ⇒ Twenty-First Century Fox, Inc. - Class B (FOX) [ST]		\$15,001 - \$50,000	Dividends	None	\$1 - \$200
- Trust 1 ⇒ Unilever PLC (UL) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$2,501 - \$5,000
- Trust 1 ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$201 - \$1,000
- Trust 1 ⇒ Vanguard Intm Trm Inv G-ADM (VFIDX) [EF]		None	Capital Gains, Dividends	None	\$1,001 - \$2,500
- Trust 2 ⇒ Cash in JP Morgan investment account [BA]		\$1,001 - \$15,000	None		
- Trust 2 ⇒ Ishares MSCI ACWI Index Fund (ACWI) [MF]		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	\$2,501 - \$5,000
- Trust 2 ⇒ JPMorgan Invest Balance Fd - Cl I (OIBFX) [MF]		\$50,001 - \$100,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
- Trust 2 ⇒ JPMorgan Investor Grow Fd - Cl I (ONIFX) [MF]		\$500,001 - \$1,000,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$15,001 - \$50,000
- Trust 3 ⇒ Met Life / New England Financial Life Insurance Policy [WU]		\$250,001 - \$500,000	None		
DESCRIPTION: Universal Life Insurance Policy					
- Trust 4 ⇒ Amer Funds T/E Bnd Fund Am-F3 (TFEBX) [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 4 ⇒ AMG MG Pictet Intl - I (APCTX) [MF]		None	Capital Gains, Dividends	None	\$1,001 - \$2,500
- Trust 4 ⇒ AMG MG Pictet Intl-Z (APCZX) [MF]		\$15,001 - \$50,000	None		
DESCRIPTION: Class conversion from APCTX to APCZX on 11/16/17					
- Trust 4 ⇒ BBH Core Select Fund - N (BBTEX) [MF]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$2,501 - \$5,000
- Trust 4 ⇒ Blackrock High Yield PT - BLAC (BRHYX) [MF]		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
- Trust 4 ⇒ Brown ADV Japan Alpha Opp -IS (BAFJX) [MF]		\$1,001 - \$15,000	Capital Gains	None	\$201 - \$1,000
- Trust 4 ⇒ Dodge & Cox Income Fund (DODIX) [MF]		\$1,001 - \$15,000	None		
- Trust 4 ⇒ Dodge & Cox Intl Stock Fund (DODFX) [MF]		\$15,001 - \$50,000	Dividends	None	\$201 - \$1,000
- Trust 4 ⇒ Doubleline Totl Ret Bnd - I (DBLTX) [MF]		\$1,001 - \$15,000	Dividends	None	\$201 - \$1,000
- Trust 4 ⇒ Fidelity 500 Index Fund AI (FXAIX) [MF]		\$15,001 - \$50,000	None		
- Trust 4 ⇒ iShares Barclays 1-3 Year Treasury Bond Fund (SHY) [MF]		\$1,001 - \$15,000	None		
- Trust 4 ⇒ Ishares Core MSCI EAFE ETF (IEFA) [EF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
- Trust 4 ⇒ Ishares JP Morgan USD Emerging (EMB) [EF]		None	Dividends	None	\$201 - \$1,000
- Trust 4 ⇒ Ishares MSCI EAFE Index Fund (EFA) [EF]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
- Trust 4 ⇒ Ishares MSCI Japan (EWJ) [EF]		None	Capital Gains, Dividends	None	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 4 ⇒ Ishares Russell 1000 Growth (IWF) [EF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
- Trust 4 ⇒ Ishares Russell Mid-Cap ETF (IWR) [EF]		None	Capital Gains, Dividends	None	\$5,001 - \$15,000
- Trust 4 ⇒ JPM Gbl Bd Opp Fd - R6 (GBONX) [MF]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
- Trust 4 ⇒ JPM Global Bond Opport - I (GBOSX) [MF]		None	Dividends	None	\$201 - \$1,000
- Trust 4 ⇒ JPM Tax Free MMkt Inst Sweep Fd [MF] DESCRIPTION: EIF		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
- Trust 4 ⇒ JPMorgan Gbl RES ENH Idx - R6 (JEIYX) [MF] DESCRIPTION: Class conversion: JEITX to JEIYX		\$50,001 - \$100,000	Dividends	None	\$1,001 - \$2,500
- Trust 4 ⇒ JPMorgan Interm T/F Bnd - I (JITIX) [MF]		None	Dividends	None	\$201 - \$1,000
- Trust 4 ⇒ JPMorgan Interm T/F Bond-R6 (JITZX) [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None
- Trust 4 ⇒ JPMorgan Intrepid Amer - I (JPIAX) [MF]		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$2,501 - \$5,000
- Trust 4 ⇒ JPMorgan Intrepid Growth - I (JPGSX) [MF]		None	Capital Gains	\$5,001 - \$15,000	None
- Trust 4 ⇒ MFS Intl Value - R6 (MINJX) [MF]		\$15,001 - \$50,000	Capital Gains, Dividends	None	\$201 - \$1,000
- Trust 4 ⇒ PIMCO Short-Term Fund - Instl (PTSHX) [MF]		\$1,001 - \$15,000	None		
- Trust 4 ⇒ Rational Energies LLC [OL] 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		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 4 ⇒ SPDR S&P 500 ETF Trust (SPY) [EF]		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
- Trust 5 ⇒ Amer Funds T/E BND Fund Am-F3 (TFEBX) [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None
- Trust 5 ⇒ AMG MG Pictet Intl - I (APCTX) [MF]		None	None		
- Trust 5 ⇒ AMG MG Pictet Intl-Z (APCZX) [MF] DESCRIPTION: Conversion from APCTX		\$15,001 - \$50,000	Capital Gains, Dividends	None	\$1,001 - \$2,500
- Trust 5 ⇒ BBH Core Select Fund - N (BBTEX) [MF]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$2,501 - \$5,000
- Trust 5 ⇒ Blackrock High Yield PT - BLAC (BRHYX) [MF]		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
- Trust 5 ⇒ Brown ADV Japan Alph Opp - IS (BAFJX) [MF]		\$1,001 - \$15,000	Capital Gains	None	\$201 - \$1,000
- Trust 5 ⇒ Dodge & Cox Income Fund (DODIX) [MF]		\$1,001 - \$15,000	None		
- Trust 5 ⇒ Dodge & Cox Intl Stock Fund (DODFX) [MF]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
- Trust 5 ⇒ Doubleline Totl Ret Bnd - I (DBLTX) [MF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
- Trust 5 ⇒ Fidelity 500 Index FD -AI (FXAIX) [MF]		\$15,001 - \$50,000	None		
- Trust 5 ⇒ iShares Barclays 1-3 Year Treasury Bond (SHY) [MF]		\$1,001 - \$15,000	None		
- Trust 5 ⇒ Ishares Core MSCI EAFE ETF (IEFA) [EF]		\$15,001 - \$50,000	None		
- Trust 5 ⇒ Ishares JP Morgan USD Emerg (EMB) [EF]		None	Dividends	\$1 - \$200	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 5 ⇒ Ishares MSCI EAFE Index Fund (EFA) [EF]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
- Trust 5 ⇒ Ishares Russell 1000 Growth (IWF) [EF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
- Trust 5 ⇒ Ishares Russell Mid-Cap ETF (IWR) [EF]		None	Capital Gains, Dividends	None	\$5,001 - \$15,000
- Trust 5 ⇒ JPM Gbl Bd Opp Fd - R6 (GBONX) [MF]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
- Trust 5 ⇒ JPM Global Bond Opport - I (GBOSX) [MF]		None	Dividends	None	\$201 - \$1,000
- Trust 5 ⇒ JPM Tax Free MMkt Inst Sweep Fd [MF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
DESCRIPTION: EIF					
- Trust 5 ⇒ JPMorgan Gbl RES ENH Idx - R6 (JEIYX) [MF]		\$15,001 - \$50,000	Dividends	None	\$201 - \$1,000
DESCRIPTION: Conversion from JEITX					
- Trust 5 ⇒ JPMorgan Interm T/F Bnd - I (JITIX) [MF]		None	Capital Gains, Dividends	None	\$201 - \$1,000
- Trust 5 ⇒ JPMorgan Interm T/F Bnd- R6 (JITZX) [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None
- Trust 5 ⇒ JPMorgan Intrepid Amer - I (JPIAX) [MF]		\$1,001 - \$15,000	Capital Gains, Dividends	None	\$201 - \$1,000
- Trust 5 ⇒ JPMorgan Intrepid Growth - I (JPGSX) [MF]		None	Capital Gains, Dividends	\$2,501 - \$5,000	\$1 - \$200
- Trust 5 ⇒ MFS Intl Value - R6 (MINJX) [MF]		\$15,001 - \$50,000	Dividends	None	\$201 - \$1,000
- Trust 5 ⇒ Pimco Short-Term Fund - Instl (PTSHX) [MF]		\$1,001 - \$15,000	None		
- Trust 5 ⇒ Rational Energies LLC [OL]		\$15,001 - \$50,000	None		
LOCATION: Plymouth/Hennepin, MN, US					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
DESCRIPTION: Developer of technologies to convert municipal waste flows into sustainable sources of green energy.					
- Trust 5 ⇒ SPDR S&P ETF Trust (SPY) [EF]		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
- Trust 5 ⇒ Vanguard Intm Trm Inv G-ADM (VFIDX) [MF]		None	Capital Gains, Dividends	None	\$1 - \$200
- Trust 6 ⇒ Midland National Life insurance Policy [WU]		\$500,001 - \$1,000,000	None		
DESCRIPTION: Universal Life Insurance Policy					
- Trust 6 ⇒ North American Life Insurance Policy [WU]		\$250,001 - \$500,000	None		
DESCRIPTION: Universal Life Insurance Policy					
- Trust 7 ⇒ Ishares Russell Mid-Cap ETF (IWR) [EF]		None	Capital Gains, Dividends	None	\$1,001 - \$2,500
- Trust 7 ⇒ John Hancock Life Insurance Policy [WU]		\$250,001 - \$500,000	None		
DESCRIPTION: Universal Life Insurance Policy					
- Trust 7 ⇒ John Hancock LRF CP Core - R6 (JLCWX) [EF]		None	Capital Gains, Dividends	None	\$201 - \$1,000
- Trust 7 ⇒ JPMorgan Intrepid Growth - I (JPGSX) [MF]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1,001 - \$2,500
- Trust 7 ⇒ SPDR S&P 500 ETF Trust (SPY) [EF]		\$1,001 - \$15,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$201 - \$1,000
- Trust 8 ⇒ Ishares Core S&P MidCap ETF (IJH) [EF]		None	Capital Gains, Dividends	None	\$1,001 - \$2,500
- Trust 8 ⇒ JPM Tax Free MMkt Inst Sweep Fd [MF]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
DESCRIPTION: EIF					
- Trust 8 ⇒ MFS Intl Value - R6 (MINJX) [MF]		None	Capital Gains, Dividends	None	\$1,001 - \$2,500
- Trust 8 ⇒ SPDR S&P 500 ETF Trust (SPY) [EF]		None	Capital Gains, Dividends	None	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 8 ⇒ T Rowe Pr Summ Muni Int (PRSMX) [MF]		None	Capital Gains, Dividends	None	\$201 - \$1,000
3M Company (MMM) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Abbott Laboratories (ABT) [ST]		None	Capital Gains, Dividends	\$2,501 - \$5,000	\$1 - \$200
AbbVie Inc. (ABBV) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Accenture plc Class A Ordinary Shares (ACN) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Activision Blizzard, Inc (ATVI) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Adam Smith Fund, LLC [OL]		\$100,001 - \$250,000	None		
LOCATION: Minnetonka/Hennepin, MN, US DESCRIPTION: Private equity investment fund. Fund manager letter on file with the Committee on Ethics.					
Adobe Systems Incorporated (ADBE) [ST]		\$1,001 - \$15,000	None		
Aetna Inc. (AET) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
AFLAC Incorporated (AFL) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Agilent Technologies, Inc. (A) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Air Products and Chemicals, Inc. (APD) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1 - \$200
Akamai Technologies, Inc. (AKAM) [ST]		None	Capital Gains	\$201 - \$1,000	None
Allergan plc Ordinary Shares (AGN) [ST]		None	Dividends	None	\$1 - \$200
Allstate Corporation (ALL) [ST]		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Alphabet Inc. - Class A (GOOGL) [ST]		\$15,001 - \$50,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Alphabet Inc. - Class C Capital Stock (GOOG) [ST]		\$15,001 - \$50,000	None		
Altria Group, Inc. (MO) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$201 - \$1,000
Amazon.com, Inc. (AMZN) [ST]		\$50,001 - \$100,000	None		
Amer Funds T/E BND Fund Am-F3 (TFEBX) [MF]		\$500,001 - \$1,000,000	Dividends	None	\$201 - \$1,000
American Airlines Group, Inc. (AAL) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
American Electric Power Company, Inc. (AEP) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
American Express Company (AXP) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	None	\$1 - \$200
American International Group, Inc. New (AIG) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
American Intl Group VAR RT 04/01/48 [CS]		\$15,001 - \$50,000	None		
DESCRIPTION: Corporate Bond					
American Tower Corporation (AMT) [ST]		\$15,001 - \$50,000	Dividends	None	\$1 - \$200
American United Life Insurance Company - Policy 1 [WU]		\$1,001 - \$15,000	None		
DESCRIPTION: Whole Life Insurance Policy					
American United Life Insurance Company - Policy 2 [WU]		\$1,001 - \$15,000	None		
DESCRIPTION: Whole Life Insurance Policy					
American Water Works Company, Inc. (AWK) [ST]		\$1,001 - \$15,000	None		
AmerisourceBergen Corporation (ABC) [ST]		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
AMG MG Pictet Intl - Z (APCZX) [MF]		\$250,001 - \$500,000	Capital Gains, Dividends	None	\$15,001 - \$50,000
DESCRIPTION: Class exchange from APCTX to APCZX					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Amgen Inc. (AMGN) [ST]		\$15,001 - \$50,000	Dividends	\$15,001 - \$50,000	\$201 - \$1,000
Amphenol Corporation (APH) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Anadarko Petroleum Corporation (APC) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1 - \$200
Analog Devices, Inc. (ADI) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Antero Midstream Partners LP Common Units representing limited partner interests (AM) [ST]		None	Partnership Income	\$5,001 - \$15,000	\$201 - \$1,000
Anthem, Inc. (ANTM) [ST]		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Aon plc Class A Ordinary Shares (AON) [ST]		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Apache Corporation (APA) [ST]		None	Dividends	None	\$1 - \$200
Apollo EPF III Private Investors, LLC (Onshore) [HE]		\$100,001 - \$250,000	None		
Apple Inc. (AAPL) [ST]		None	Capital Gains, Dividends	\$15,001 - \$50,000	\$1,001 - \$2,500
Applied Materials, Inc. (AMAT) [ST]		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Archer-Daniels-Midland Company (ADM) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Arconic Inc. (ARNC) [ST]		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Aston/Pictet International - I (APCTX) [MF]		None	Capital Gains	None	\$15,001 - \$50,000
DESCRIPTION: EIF					
AT&T Inc. (T) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Automatic Data Processing, Inc. (ADP) [ST]		\$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
AvalonBay Communities, Inc. (AVB) [ST]		\$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 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$1,001 - \$2,500
Baker Hughes Incorporated (BHI) [ST]		None	Dividends	None	\$201 - \$1,000
Bank of America Corp Var Rt 03/05/2166 dtd 09/05/2014 [CS] DESCRIPTION: Preferred security		\$50,001 - \$100,000	Interest	\$5,001 - \$15,000	\$2,501 - \$5,000
Bank of America Corp Var Rt 09/17/2165 dtd 03/17/2015 [CS] DESCRIPTION: Preferred security		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000	\$5,001 - \$15,000
Bank of America Corporation (BAC) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Bank of New York Mellon Corporation (BK) [ST]		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Bank of NY Mellon Corp 03/20/2166 dtd 08/01/2016 [CS] DESCRIPTION: Preferred security		\$15,001 - \$50,000	Capital Gains, Interest	\$201 - \$1,000	\$1,001 - \$2,500
Bank of NY Mellon Corp Var Rt 12/20/2165 dtd 04/28/2015 [CS] DESCRIPTION: Preferred security		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Baxter International Inc. (BAX) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1 - \$200
BB&T Corporation (BBT) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Becton, Dickinson and Company (BDX) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Bellevue WA Ref-Ltd Tax Limited Tax 4% 12/01/2017 dtd 04/17/2012 [GS]		None	Interest	None	\$201 - \$1,000
Benefit Street Partners IV LLC (Providence Onshore) [HE] DESCRIPTION: EIF		\$250,001 - \$500,000	Partnership Income	\$5,001 - \$15,000	None

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Berkshire Hathaway Inc. New (BRK.B) [ST]		\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000	None
Biogen Inc. (BIIB) [ST]		\$15,001 - \$50,000	None		
Bioverativ Inc. (BIVV) [ST]		None	Dividends	\$201 - \$1,000	None
BlackRock National Muni-BR (BNMLX) [MF]		None	Dividends	\$2,501 - \$5,000	\$1,001 - \$2,500
BlackRock, Inc. (BLK) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Blackstone Commercial Real Estate Debt Fund - NQ L.P. [HE]		\$15,001 - \$50,000	None		
Blackstone Commercial Real Estate Debt Fund LP [HE]		\$1,001 - \$15,000	None		
DESCRIPTION: EIF					
Bloom Tree Fund QP, LP Series E [HE]		\$250,001 - \$500,000	None		
DESCRIPTION: EIF					
Boeing Company (BA) [ST]		None	Capital Gains, Dividends	\$5,001 - \$15,000	\$201 - \$1,000
Booking Holdings Inc. (BKNG) [ST]		\$1,001 - \$15,000	None		
Boston Scientific Corporation (BSX) [ST]		\$1,001 - \$15,000	None		
BP Midstream Partners LP Common Units representing Limited Partner Interests (BPMP) [ST]		\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000	None
Bristol-Myers Squibb Company (BMY) [ST]		None	Capital Gains, Dividends	\$2,501 - \$5,000	\$1 - \$200
Broadcom Limited - Ordinary Shares (AVGO) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Brown Adv Japan Alpha Opp - IS (BAFJX) [MF]		\$100,001 - \$250,000	Capital Gains	None	\$5,001 - \$15,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Buckeye Partners L.P. (BPL) [ST]		None	Partnership Income	\$1,001 - \$2,500	\$1,001 - \$2,500
C.H. Robinson Worldwide, Inc. (CHRW) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
C.R. Bard, Inc. (BCR) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1 - \$200
C3i [OT]		None	Escrow Disbursement	None	\$5,001 - \$15,000
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) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Cabot Oil & Gas Corporation (COG) [ST]		None	Dividends	\$201 - \$1,000	\$1 - \$200
Capital One Financial Co Var Rt 12/01/2165 dtd 05/14/2015 [PS]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	\$2,501 - \$5,000
DESCRIPTION: Preferred security					
Capital One Financial Corporation (COF) [ST]		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
CarMax Inc (KMX) [ST]		\$1,001 - \$15,000	None		
Caterpillar, Inc. (CAT) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
CBRE Group Inc Common Stock Class A (CBG) [ST]		\$1,001 - \$15,000	None		
CD&R Fund X Private Investors, Cayman LP [HE]		\$100,001 - \$250,000	None		
DESCRIPTION: EIF					
Celgene Corporation (CELG) [ST]		\$1,001 - \$15,000	None		
CenturyLink, Inc. (CTL) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Cerberus VI Private Investors, LLC [HE]		\$250,001 -	Partnership	\$1,001 -	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
		\$500,000	Income	\$2,500	
DESCRIPTION: EIF					
Charles Schwab Corp 03/01/2166 dtd 10/31/2016 [CS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
DESCRIPTION: Preferred security					
Charles Schwab Corporation (SCHW) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	None	\$1 - \$200
Charles Schwab Corporation PFD 5.95% [PS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$1,001 - \$2,500
DESCRIPTION: Preferred security					
Charter Communications, Inc. - Class A (CHTR) [ST]		\$1,001 - \$15,000	Capital Gains	None	\$201 - \$1,000
Chesterfield Cnty VA Cops Ref 5.0%; Due 11/01/21 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
Chevron Corporation (CVX) [ST]		None	Capital Gains, Dividends	\$2,501 - \$5,000	\$201 - \$1,000
Chubb Limited (CB) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Cigna Corporation (CI) [ST]		\$1,001 - \$15,000	None		
Cimarex Energy Co (XEC) [ST]		None	Dividends	\$201 - \$1,000	\$1 - \$200
Cincinnati Financial Corporation (CINF) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Cisco Systems, Inc. (CSCO) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
CIT Group Inc Var Rt 12/15/2165 dtd 06/07/2017 [CS]		None	Capital Gains	None	\$201 - \$1,000
DESCRIPTION: Preferred security					
CitiGroup Inc 02/15/2166 dtd 04/25/2016 [CS]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$2,501 - \$5,000
DESCRIPTION: Preferred security					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
CitiGroup Inc Var Rt 02/15/2166 dtd 08/12/2015 [CS]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
DESCRIPTION: Preferred security					
CitiGroup Inc Var Rt 05/15/2166 dtd 11/13/2015 [CS]		\$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 [CS]		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
DESCRIPTION: Preferred security					
Citigroup, Inc. (C) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Citizens Financial Group, Inc. (CFG) [ST]		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Citizens Finl Group Var Rt Prep Mat Dtd 05/24/18 [CS]		\$15,001 - \$50,000	None		
DESCRIPTION: Preferred Security					
Clark County NV Limited Tax-Flood Control Ltd 5%; Due 11/1/22 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Clarksville TN Wtr Swr & Gas Rev Ref 5.0%; Due 02/01/22 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
Clorox Company (CLX) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
CME Group Inc. - Class A (CME) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
CMS Energy Corporation (CMS) [ST]		\$1,001 - \$15,000	None		
Coca-Cola Company (KO) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Cognizant Technology Solutions Corporation - Class A (CTSH) [ST]		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Colgate-Palmolive Company (CL) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Comcast Corporation - Class A (CMCSA) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
					\$1,000
ConAgra Brands, Inc. (CAG) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
ConocoPhillips (COP) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1 - \$200
CONSOL Energy Inc. (CNX) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	None
Consolidated Edison, Inc. (ED) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	None
Constellation Brands, Inc. (STZ) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Corning Incorporated (GLW) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Costco Wholesale Corporation (COST) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Crown Castle International Corp. (REIT) (CCI) [RE]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$1 - \$200
CS CBEN SPX 5/16/18 85% Barrier - 7.5% CPN 7.5% CAP Init lvl-2/10/17 SPX 2316.1 [OP]		None	Capital Gains	\$15,001 - \$50,000	None
DESCRIPTION: Structured Note					
CSX Corporation (CSX) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Cummins Inc. (CMI) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
CVS Health Corporation (CVS) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Dallas Tex Area Rapid Tran Sales Tax Rev Sr Lein 5% Dec 1 2019 Dtd [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$1,001 - \$2,500
Danaher Corporation (DHR) [ST]		\$15,001 - \$50,000	Dividends	None	\$1 - \$200
Deere & Company (DE) [ST]		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Dell Technologies Inc. Class V (DVMT) [ST]		None	Capital Gains	\$201 - \$1,000	None

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Delta Air Lines, Inc. (DAL) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
DENTSPLY SIRONA Inc. (XRAY) [ST]		None	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Deutsche X-Trackers MSCI EAF (DBEF) [EF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$5,001 - \$15,000
Devon Energy Corporation (DVN) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Digital Realty Trust Inc PFD 6.35% [CS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
DESCRIPTION: Preferred security					
Digital Realty Trust, Inc. (DLR) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1,001 - \$2,500
Discover Financial Svs Var Rt 04/30/2166 DTD 10/31/2017 [CS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
DESCRIPTION: Corporate Bond					
Dodge & Cox Income Fund (DODIX) [MF]		\$100,001 - \$250,000	Capital Gains, Dividends	None	\$5,001 - \$15,000
Dodge & Cox Intl Stock Fund (DODFX) [MF]		\$250,001 - \$500,000	Dividends	None	\$5,001 - \$15,000
Dollar General Corporation (DG) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Dollar Tree, Inc. (DLTR) [ST]		\$1,001 - \$15,000	None		
Dominion Energy Midstream Partners, LP Common Units representing Limited Partner Interests (DM) [ST]		None	Partnership Income	\$5,001 - \$15,000	\$201 - \$1,000
Dominion Energy, Inc. (D) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Doubleline Total Ret Bnd - I (DBLTX) [MF]		None	Dividends	None	\$15,001 - \$50,000
Dow Chemical Company (DOW) [ST]		None	Dividends	None	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
DowDuPont Inc. (DWDP) [ST]		None	Capital Gains, Dividends	\$5,001 - \$15,000	\$1 - \$200
Duke Energy Corporation (DUK) [ST]		None	Dividends	\$201 - \$1,000	\$201 - \$1,000
DXC Technology Company (DXC) [ST]		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
E*Trade Financial Corp VAR RT 09/15/2166 DTD 12/06/2017 [CS] DESCRIPTION: Corporate Bond		\$15,001 - \$50,000	None		
E.I. du Pont de Nemours and Company (DD) [ST]		None	Dividends	None	\$1 - \$200
Eaton Corporation, PLC Ordinary Shares (ETN) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Ecolab Inc. (ECL) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Edison International (EIX) [ST]		None	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Edwards Lifesciences Corporation (EW) [ST]		\$1,001 - \$15,000	None		
Electronic Arts Inc. (EA) [ST]		\$1,001 - \$15,000	None		
Eli Lilly and Company (LLY) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Emerson Electric Company (EMR) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Enbridge Inc (ENB) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Energy Transfer Equity, L.P. Energy Transfer Equity, L.P. Common Units representing Limited Partners (ETE) [ST]		None	Capital Gains, Partnership Income	\$5,001 - \$15,000	\$2,501 - \$5,000
Energy Transfer Partners, L.P. Common Units representing limited partner interests (ETP) [ST]		None	Partnership Income	None	\$2,501 - \$5,000
EnLink Midstream Partners, LP Common Units		None	Capital Gains,	\$1,001 -	\$1,001 -

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

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Extra Space Storage Inc (EXR) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Exxon Mobil Corporation (XOM) [ST]		None	Dividends	None	\$1,001 - \$2,500
F.N.B. Corporation (FNB) [ST]		\$1,001 - \$15,000	None		
Facebook, Inc. - Class A (FB) [ST]		\$1,001 - \$15,000	None		
Fastenal Company (FAST) [ST]		\$15,001 - \$50,000	Dividends	None	\$1 - \$200
FedEx Corporation (FDX) [ST]		None	Dividends	None	\$1 - \$200
Fifth Third Bancorp 09/30/2165 DTD 06/05/2014 [CS] DESCRIPTION: Corporate Bond		\$1,001 - \$15,000	Interest	\$201 - \$1,000	None
Fifth Third Bancorp 12/31/2166 DTD 05/16/2013 [CS] DESCRIPTION: Corporate Bond		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
FirstEnergy Corporation (FE) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Fluor Corporation (FLR) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
FMC Corporation (FMC) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1 - \$200
Ford Motor Company (F) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Fortive Corporation (FTV) [ST]		None	Dividends	None	\$1 - \$200
Franklin Resources, Inc. (BEN) [ST]		None	Dividends	\$1 - \$200	\$1 - \$200
Freeport-McMoRan, Inc. (FCX) [ST]		None	Capital Gains	\$2,501 - \$5,000	None
FUJIFILM Holdings Corporation American Depositary		None	Dividends	\$201 -	None

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Shares (FUJIY) [ST]				\$1,000	
Gap, Inc. (GPS) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
General Dynamics Corporation (GD) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1 - \$200
General Electric Co 5% 6/15/2166 dtd 01/20/2016 [SA]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
DESCRIPTION: Preferred security					
General Electric Company (GE) [ST]		None	Dividends	None	\$201 - \$1,000
General Mills, Inc. (GIS) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
General Motors Company (GM) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
Genesis Energy, L.P. Common Units (GEL) [ST]		None	Capital Gains, Partnership Income	None	\$2,501 - \$5,000
Genuine Parts Company (GPC) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
GIF IV Private Investors Onshore LLC Class A [HE]		\$100,001 - \$250,000	Partnership Income	\$2,501 - \$5,000	\$50,001 - \$100,000
DESCRIPTION: EIF					
Gilead Sciences, Inc. (GILD) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Goldman Sachs Capital II 5.793% Dec 03 2165 dtd 05/08/2007 [CS]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
DESCRIPTION: Preferred security					
Goldman Sachs Group, Inc Var Rt 05/10/2166 dtd 11/01/2017 [CS]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None
DESCRIPTION: Preferred Security					
Goldman Sachs Group, Inc Var Rt 11/10/2165 dtd 04/23/2015 [CS]		\$250,001 - \$500,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
DESCRIPTION: Preferred security					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Goldman Sachs Group, Inc Var Rt 11/10/2165 dtd 07/27/2016 [CS] DESCRIPTION: Preferred Security		\$1,001 - \$15,000	None		
Goldman Sachs Group, Inc. (GS) [ST]		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Goldman Sachs Strat Inc - Inst (GSZIX) [MF]		None	Dividends	None	\$1,001 - \$2,500
GSO Private Investors II, LLC Class B [HE] DESCRIPTION: EIF		\$100,001 - \$250,000	Partnership Income	\$15,001 - \$50,000	\$15,001 - \$50,000
Halliburton Company (HAL) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1 - \$200
Harris Cnty Tx Sr Lien-Toll Rd-Ser A 5% 08/15/2028 dtd 05/14/2009 [GS]		\$15,001 - \$50,000	Interest	None	\$1,001 - \$2,500
Hartford Financial Services Group, Inc. (HIG) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
HB Multi-Strategy Holdings LP (HCLP Class A 12.31.13 RED) [HE]		None	Income distribution	None	\$1,001 - \$2,500
HCA Healthcare, Inc. (HCA) [ST]		\$1,001 - \$15,000	None		
Hess Corporation (HES) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Hewlett Packard Enterprise Company (HPE) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
HI St Prerefdded-Ser DZ Unlimited Tax 5% 12/01/2019 dtd 12/07/2011 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Home Depot, Inc. (HD) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Honeywell International Inc. (HON) [ST]		None	Capital Gains, Dividends	\$2,501 - \$5,000	\$1 - \$200
Honolulu City & Cnty HI Wstwtr Sys Rev 5% A Jul 01 2025 Dtd [GS]		\$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
Host Hotels & Resorts, Inc. (HST) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
HP Inc. (HPQ) [ST]		\$15,001 - \$50,000	None		
HPS Mezzanine Private Investors III LLC Onshore [HE] DESCRIPTION: EIF		\$500,001 - \$1,000,000	None		
Humana Inc. (HUM) [ST]		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
IA St Fin Auth Rev Ref-Green Bond 5.0%; Due 08/01/23 [GS]		\$15,001 - \$50,000	None		
Illinois Tool Works Inc. (ITW) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Illumina, Inc. (ILMN) [ST]		\$1,001 - \$15,000	None		
Ingersoll-Rand plc (IR) [ST]		\$1,001 - \$15,000	None		
Intel Corporation (INTC) [ST]		\$15,001 - \$50,000	Dividends	None	\$201 - \$1,000
Intercontinental Exchange Inc. (ICE) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
International Business Machines Corporation (IBM) [ST]		\$1,001 - \$15,000	Dividends	None	\$201 - \$1,000
International Paper Company (IP) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Interpublic Group of Companies, Inc. (IPG) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Intuit Inc. (INTU) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Intuitive Surgical, Inc. (ISRG) [ST]		\$1,001 - \$15,000	None		
Invesco Ltd (IVZ) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
IPG Photonics Corporation (IPGP) [ST]		\$1,001 - \$15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Iron Mountain Incorporated (IRM) [ST]		None	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
iShares Barclays 1-3 Year Treasury Bond Fund (SHY) [EF]		\$100,001 - \$250,000	None		
Ishares Core MSCI EAFE ETF (IEFA) [EF]		\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
Ishares JP Morgan USD Emerg (EMB) [EF]		None	Dividends	\$201 - \$1,000	\$5,001 - \$15,000
Ishares MSCI EAFE Index Fund (EFA) [EF]		\$500,001 - \$1,000,000	Capital Gains, Dividends	\$15,001 - \$50,000	\$15,001 - \$50,000
Ishares MSCI Japan (EWJ) [EF]		None	Capital Gains, Dividends	None	\$1,001 - \$2,500
Ishares Russell Mid-Cap ETF (IWR) [EF]		None	Capital Gains, Dividends	None	\$100,001 - \$1,000,000
J.B. Hunt Transport Services, Inc. (JBHT) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Jacksonville Florida Special Rev Jacksonville 5% B-1A Oct 01 2024 Dtd [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$1,001 - \$2,500
Jana Partners Qualified, LP Class A [HE]		\$250,001 - \$500,000	Partnership Income	\$5,001 - \$15,000	None
DESCRIPTION: EIF					
JH II Strat Inc Opport - I (JIPRX) [MF]		None	Dividends	None	\$1,001 - \$2,500
JH Strat Inc Opp - I (JIPIX) [MF]		None	Dividends	None	\$2,501 - \$5,000
Johnson & Johnson (JNJ) [ST]		None	Capital Gains, Dividends	\$5,001 - \$15,000	\$201 - \$1,000
Johnson Controls International plc Ordinary Share (JCI) [ST]		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
JP Morgan Alternative Property Fd Domestic 1 LP [HE]		\$1,001 - \$15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
DESCRIPTION: EIF					
JP Morgan Chase & Co Var Rt 10/30/2165 dtd 03/10/2014 [PS]		\$100,001 - \$250,000	Interest	\$5,001 - \$15,000	\$5,001 - \$15,000
DESCRIPTION: Preferred security					
JP Morgan Chase & Co. (JPM) [ST]		\$50,001 - \$100,000	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 [OP]		None	Capital Gains	\$50,001 - \$100,000	None
DESCRIPTION: Structured Note					
JPM Floating Rate Inc Fund - I (JPHSX) [MF]		None	Dividends	None	\$2,501 - \$5,000
DESCRIPTION: EIF					
JPM Money Market Inst Class (JTFXX) [MF]		None	Capital Gains, Dividends	None	\$2,501 - \$5,000
JPM Strat Inc Opp Fd - Cl I Fund 3844 3.01% (JSOSX) [MF]		None	Dividends	None	\$5,001 - \$15,000
JPM Tax Free MMkt Inst Sweep Fd [MF]		\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	\$2,501 - \$5,000
DESCRIPTION: EIF					
JPM Tr I Tax Free Premier Sweep Fd [MF]		None	Dividends	None	\$201 - \$1,000
DESCRIPTION: EIF					
JPM US Real Estate Income & Growth Direct LP [HE]		\$500,001 - \$1,000,000	Partnership Income	None	\$15,001 - \$50,000
DESCRIPTION: EIF					
JPMorgan Gbl RES ENH IDX - R6 (JEITX) [MF]		None	Capital Gains, Dividends	\$5,001 - \$15,000	\$15,001 - \$50,000
DESCRIPTION: Conversion from JEITX to JEIYX					
JPMorgan Gbl RES ENH Idx - R6 (JEIYX) [MF]		\$500,001 - \$1,000,000	None		
JPMorgan Managed Income - L share Clas Fd 2119 1.33% (JMGIX) [MF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$2,501 - \$5,000	\$15,001 - \$50,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
JPMorgan US L/C Core Pl - I (JLPSX) [MF]		\$100,001 - \$250,000	Capital Gains, Dividends	\$15,001 - \$50,000	\$15,001 - \$50,000
DESCRIPTION: Conversion from JLPSX to JLPYX					
Kansas City Southern (KSU) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
KeyCorp (KEY) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
KeyCorp Var Rt 12/15/2165 dtd 09/09/2016 [SA]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$1,001 - \$2,500
DESCRIPTION: Preferred security					
Kimberly-Clark Corporation (KMB) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Kimco Realty Corporation (KIM) [ST]		None	Dividends	None	\$1 - \$200
Kinder Morgan, Inc. (KMI) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
King Cnty WA Swr Revenue Ref 5% B Jan 01 2017 dtd 10/05/2011 [GS]		None	Interest	None	\$201 - \$1,000
KLA-Tencor Corporation (KLAC) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Kohl's Corporation (KSS) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Kroger Company (KR) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
KS St. Dept of Transprtn Hwy Rev Ser C 5.0%; Due 09/01/20 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
LA St Gas & Fuels Tax Revenue 4.0%; Due 05/01/22 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Lake Travis TX Indep Sch Dist Perm Sch Gtd Fund Unlimited Tax 5% Feb [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$1,001 - \$2,500
Lamb Weston Holdings, Inc. (LW) [ST]		None	Capital Gains	\$201 - \$1,000	None

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Leidos Holdings, Inc. (LDOS) [ST]		None	Capital Gains, Dividends	\$2,501 - \$5,000	\$1 - \$200
Liberty Mutual Group Inc 7.8% 03/15/2037 dtd 03/07/2007 [MF]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None
DESCRIPTION: Preferred security					
Lincoln National Corporation (LNC) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Lockheed Martin Corporation (LMT) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1 - \$200
Loews Corporation (L) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Lowe's Companies, Inc. (LOW) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
LyondellBasell Industries NV Ordinary Shares Class A (LYB) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
M&T Bank Corporation (MTB) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
M&T Bank Corporation 05/01/2166 dtd 10/28/2016 [SA]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
DESCRIPTION: Preferred security					
MA St Wtr Res Auth A 5.25% Aug 01 2020 dtd 04/14/2005 Held by B/E Only [GS]		None	Interest	\$1,001 - \$2,500	None
Mackay Municipal Strategic Opportunities Fd, LP Cl A Interests 03-17 [HE]		\$1,000,001 - \$5,000,000	None		
DESCRIPTION: EIF					
Madison AL Prerefunded-Warrants Unltd Tax 5.15% 02/01/2039 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$1,001 - \$2,500
Magellan Midstream Partners L.P. Limited Partnership (MMP) [ST]		\$1,001 - \$15,000	Partnership Income	None	\$1,001 - \$2,500
Managed Futures LLC 04-15 [HE]		\$250,001 - \$500,000	None		
DESCRIPTION: EIF					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Marathon Petroleum Corporation (MPC) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1 - \$200
Maricopa Cnty AZ Cmnty College Dist Unlimited Tax 5% C Jul 01 2018 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Marriott International - Class A (MAR) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Marsh & McLennan Companies, Inc. (MMC) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Martin Marietta Materials, Inc. (MLM) [ST]		\$1,001 - \$15,000	None		
Mastercard Incorporated (MA) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Mattel, Inc. (MAT) [ST]		\$1,001 - \$15,000	None		
McCormick & Company, Incorporated (MKC) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
McDonald's Corporation (MCD) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
McKesson Corporation (MCK) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Medtronic plc. Ordinary Shares (MDT) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Merck & Company, Inc. Common Stock (MRK) [ST]		None	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
MetLife, Inc Var Rt 12/15/2165 dtd 06/01/2015 [CS]		\$250,001 - \$500,000	Interest	\$5,001 - \$15,000	\$5,001 - \$15,000
DESCRIPTION: Preferred security					
MetLife, Inc. (MET) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Metropolitan West T/R BD-PLN (MWTSX) [MF]		\$250,001 - \$500,000	None		
MFS Intl Value - R6 (MINJX) [MF]		\$500,001 - \$1,000,000	Capital Gains, Dividends	None	\$15,001 - \$50,000
Micron Technology, Inc. (MU) [ST]		\$1,001 - \$15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Microsoft Corporation (MSFT) [ST]		\$50,001 - \$100,000	Dividends	\$201 - \$1,000	\$1,001 - \$2,500
MN St Gen Fd Rev 5% 03/01/2022 dtd 11/21/2012 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
MO St Hwys & Trnst Ref-1st Lien-Ser A 5% 05/01/2021 dtd 06/03/2014 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$1,001 - \$2,500
Molson Coors Brewing Company Class B (TAP) [ST]		None	Dividends	None	\$1 - \$200
Mondelez International, Inc. - Class A (MDLZ) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Monsanto Company (MON) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Monster Beverage Corporation (MNST) [ST]		\$1,001 - \$15,000	None		
Morgan Stanley (MS) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Morgan Stanley PFD 5.85% [CS]		\$1,001 - \$15,000	Capital Gains, Interest	\$1 - \$200	\$201 - \$1,000
DESCRIPTION: Preferred security					
Morgan Stanley PFD 6.375% [PS]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
DESCRIPTION: Preferred security					
Morgan Stanley Var Rt 07/15/2165 dtd 03/19/2015 [CS]		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	\$15,001 - \$50,000
DESCRIPTION: Preferred security					
Mosaic Company (MOS) [ST]		\$1,001 - \$15,000	None		
MPLX LP Common Units Representing Limited Partner Interests (MPLX) [ST]		\$15,001 - \$50,000	Partnership Income	\$2,501 - \$5,000	\$201 - \$1,000
MS St Dev BK SPL OBLG Pearl Public School Dist 4.0%; Due 04/01/21 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
Mylan N.V. (MYL) [ST]		None	Capital Gains	\$201 -	None

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
				\$1,000	
National Oilwell Varco, Inc. (NOV) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Navient Corporation (NAVI) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
NetApp, Inc. (NTAP) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Netflix, Inc. (NFLX) [ST]		\$15,001 - \$50,000	None		
Newmont Mining Corporation (NEM) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1 - \$200
News Corporation - Class A (NWSA) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
NextEra Energy, Inc. (NEE) [ST]		None	Capital Gains, Dividends	\$2,501 - \$5,000	\$201 - \$1,000
Nike, Inc. (NKE) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Norfolk Southern Corporation (NSC) [ST]		\$1,001 - \$15,000	None		
Northern AZ Univ Ref-Sys 5.0%; Due 06/01/19 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
Northrop Grumman Corporation (NOC) [ST]		None	Capital Gains, Dividends	\$2,501 - \$5,000	\$1 - \$200
Note Receivable from Glick Gallery, Minneapolis, MN [DO]		\$100,001 - \$250,000	None		
NRG Energy, Inc. (NRG) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
NVIDIA Corporation (NVDA) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
NY Community Bancorp Inc PFD 6.375% [CS]		\$1,001 - \$15,000	Interest	\$201 - \$1,000	\$201 - \$1,000
DESCRIPTION: Preferred security					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
NY St Dorm Auth St Personal Inc Tax Rev Ref-Ser E 5.0%; Due 03/15/22 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
Occidental Petroleum Corporation (OXY) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Ohio St Ref-Ser A Ltd Tax 5.0%; Due 09/01/23 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
Omnicom Group Inc. (OMC) [ST]		None	Dividends	None	\$1 - \$200
Oracle Corporation (ORCL) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
O'Reilly Automotive, Inc. (ORLY) [ST]		\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	None
PA St Higher Edl Facs Auth Rev Trustees Univ PA 5% Sep 01 2026 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
PACCAR Inc. (PCAR) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Palm Beach Cnty Fl Ref-Rec & Cultural Facs Unltd Tax 5% [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$1,001 - \$2,500
Paranassus Core Equity FD-INS (PRILX) [MF]		\$100,001 - \$250,000	None		
Parker-Hannifin Corporation (PH) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Paychex, Inc. (PAYX) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
PayPal Holdings, Inc. (PYPL) [ST]		\$15,001 - \$50,000	None		
PEG Secondary Private Equity Investors III LP [HE]		\$100,001 - \$250,000	Partnership Income	None	\$201 - \$1,000
DESCRIPTION: EIF					
Pepsico, Inc. (PEP) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Pfizer, Inc. (PFE) [ST]		None	Capital Gains, Dividends	\$2,501 - \$5,000	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Philip Morris International Inc (PM) [ST]		\$1,001 - \$15,000	Dividends	None	\$201 - \$1,000
Phillips 66 (PSX) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Phillips 66 Partners LP Common Units representing limited partner interest in the Partnership (PSXP) [ST]		None	Partnership Income	\$201 - \$1,000	\$1,001 - \$2,500
Phoenix AZ Ref Unlimited Tax 4% 07/01/2021 dtd 06/24/2014 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
PIMCO Fd PAC Inv Mgmt Series High Yield Fd - I (PHIYX) [MF]		None	Dividends	\$5,001 - \$15,000	\$15,001 - \$50,000
Pimco Short Term Fund Instl (PTSHX) [MF]		\$100,001 - \$250,000	Dividends	\$201 - \$1,000	None
Plains All American Pipeline, L.P. (PAA) [ST]		None	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) [ST]		None	Capital Gains, Dividends	None	\$2,501 - \$5,000
PNC Financial Services 6 3/4% 02/01/2166 dtd 07/27/2011 [PS] DESCRIPTION: Preferred security		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$2,501 - \$5,000
PNC Financial Services Group, Inc. (PNC) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
PNC Financial Services VAR RT 12/31/2049 dtd 05/07/2013 [CS] DESCRIPTION: Preferred Security		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None
PPG Industries, Inc. (PPG) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
PPL Corporation (PPL) [ST]		None	Dividends	None	\$1 - \$200
Praxair, Inc. (PX) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Principal Financial Group Inc (PFG) [ST]		\$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
Procter & Gamble Company (PG) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Progressive Corp 6.7%; Due 6/15/37 [CS]		None	Interest	None	\$201 - \$1,000
DESCRIPTION: Corporate Bond					
Progressive Corporation (PGR) [ST]		\$1,001 - \$15,000	Dividends	None	\$201 - \$1,000
ProLogis, Inc. (PLD) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Public Service Enterprise Group Incorporated (PEG) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Public Storage (PSA) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$1 - \$200
PulteGroup, Inc. (PHM) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
PVH Corp. (PVH) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
QUALCOMM Incorporated (QCOM) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Quest Diagnostics Incorporated (DGX) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Raleigh NC Comb Enterprise Sys Rev 5% Mar 01 2021 dtd 02/10/2011 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$1,001 - \$2,500
Raytheon Company (RTN) [ST]		None	Capital Gains, Dividends	\$2,501 - \$5,000	\$1 - \$200
Red Hat, Inc. (RHT) [ST]		\$1,001 - \$15,000	None		
Regeneron Pharmaceuticals, Inc. (REGN) [ST]		\$1,001 - \$15,000	None		
Regions Financial Corporation (RF) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
Republic Services, Inc. (RSG) [ST]		\$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
Reynolds American Inc (RAI) [ST]		None	Capital Gains, Dividends	None	\$1,001 - \$2,500
Rockwell Automation, Inc. (ROK) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Rockwell Collins, Inc. (COL) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1 - \$200
Roper Technologies, Inc. (ROP) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Ross Stores, Inc. (ROST) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Rutherford Cnty TN consol Util Dist Wtrwks Rev Ref 4% [GS]		None	Interest	\$201 - \$1,000	\$201 - \$1,000
S&P Global Inc. (SPGI) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Salesforce.com Inc (CRM) [ST]		\$1,001 - \$15,000	None		
Schlumberger N.V. (SLB) [ST]		None	Dividends	\$1 - \$200	\$201 - \$1,000
Scripps Networks Interactive, Inc - Class A (SNI) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1 - \$200
SD St BRD of Rghts HSG & Auxillary Fac Sys Rev 5.0%; Due 04/01/19 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
Seagate Technology PLC - Ordinary Shares (STX) [ST]		\$1,001 - \$15,000	None		
Semgroup Corporation Class A (SEMG) [ST]		None	Dividends	None	\$2,501 - \$5,000
Sempra Energy (SRE) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Shell Midstream Partners, L.P. Common Units representing Limited Partner Interests (SHLX) [ST]		None	Capital Gains, Partnership Income	None	\$1,001 - \$2,500
Sherwin-Williams Company (SHW) [ST]		\$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) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$201 - \$1,000
SLM Corp Var Rate PFD [CS]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
DESCRIPTION: Preferred security					
Southern Company (SO) [ST]		None	Capital Gains, Dividends	\$1 - \$200	\$201 - \$1,000
Southwest Airlines Company (LUV) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
SPDR Euro STOXX 50 ETF (FEZ) [EF]		\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	\$2,501 - \$5,000
SPDR S&P 500 ETF Trust (SPY) [EF]		\$1,000,001 - \$5,000,000	Capital Gains, Dividends	\$100,001 - \$1,000,000	\$100,001 - \$1,000,000
Starbucks Corporation (SBUX) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
State of Texas Transportation Comm Mobility Fund Unlimited Tax [GS]		None	Interest	None	\$201 - \$1,000
State Street Corp Var Rt 09/15/2165 dtd 05/21/2015 [SA]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
DESCRIPTION: Preferred security					
State Street Corporation (STT) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Stifel Financial Corporation PFD 6.25% [CS]		\$1,001 - \$15,000	Interest	\$201 - \$1,000	\$1,001 - \$2,500
DESCRIPTION: Preferred security					
Stryker Corporation (SYK) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Suntrust Banks Inc 12/15/2165 dtd 05/02/2017 [CS]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
DESCRIPTION: Preferred security					
SunTrust Banks, Inc. Var Rt 06/15/2166 dtd 11/07/2014 [CS]		\$250,001 - \$500,000	Capital Gains, Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
DESCRIPTION: Preferred security					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Symantec Corporation (SYMC) [ST]		\$1,001 - \$15,000	None		
Synovus Financial Corp PFD 6.3% [CS]		\$1,001 - \$15,000	None		
DESCRIPTION: Preferred Security					
Sysco Corporation (SYY) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
T. Rowe Price Group, Inc. (TROW) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Targa Resources, Inc. (TRGP) [ST]		None	Capital Gains, Dividends	\$15,001 - \$50,000	\$5,001 - \$15,000
Target Corporation (TGT) [ST]		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
TCF Financial Co. PFD [CS]		\$1,001 - \$15,000	None		
DESCRIPTION: Preferred Security					
TE Connectivity Ltd. New Switzerland Registered Shares (TEL) [ST]		\$1,001 - \$15,000	None		
Texas Instruments Incorporated (TXN) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$201 - \$1,000
Textron Financial Corp VAR RT 02/15/2067 DTD 02/08/2007 [CS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
DESCRIPTION: Corporate Bond					
Textron Inc. (TXT) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1 - \$200
The Kraft Heinz Company (KHC) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$1 - \$200
The Travelers Companies, Inc. (TRV) [ST]		\$1,001 - \$15,000	Dividends	None	\$1 - \$200
Thermo Fisher Scientific Inc (TMO) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Tiffany & Co. (TIF) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Time Warner Inc. New (TWX) [ST]		None	Capital Gains,	None	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
			Dividends		
TJX Companies, Inc. (TJX) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Transdigm Group Incorporated (TDG) [ST]	Transdigm Group Inc.	\$1,001 - \$15,000	None		
Twenty-First Century Fox, Inc. - Class A (FOXA) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$1 - \$200
Tyson Foods, Inc. (TSN) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1 - \$200
U.S. Bancorp (USB) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
U.S. Bancorp Var Rt 01/15/2166 dtd 11/23/2015 [SA]		\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	\$2,501 - \$5,000
DESCRIPTION: Preferred security					
Union Pacific Corporation (UNP) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$1 - \$200
United Continental Holdings (UAL) [ST]		\$1,001 - \$15,000	None		
United Parcel Service, Inc. (UPS) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
United Technologies Corporation (UTX) [ST]		None	Capital Gains, Dividends	\$1,001 - \$2,500	\$201 - \$1,000
UnitedHealth Group Incorporated Common Stock (UNH) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Universal Health Services, Inc. (UHS) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Unum Group (UNM) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
V.F. Corporation (VFC) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
VA St Pub Sch Auth Sch Technology & Sec NTS Ser V 5.0&; Due 04/15/20 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	None
Valero Energy Partners LP Common Units representing		None	Partnership	\$201 -	\$201 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
limited partner interests (VLP) [ST]			Income	\$1,000	\$1,000
Vanguard Intm Trm Inv G-ADM (VFIDX) [MF]		None	Capital Gains, Dividends	None	\$5,001 - \$15,000
Vanguard Intm Trm T/E - ADM (VWIUX) [MF]		\$500,001 - \$1,000,000	Dividends	\$201 - \$1,000	None
Varian Medical Systems, Inc. (VAR) [ST]		\$1,001 - \$15,000	None		
Verizon Communications Inc. (VZ) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Vertex Pharmaceuticals Incorporated (VRTX) [ST]		\$1,001 - \$15,000	None		
Viacom Inc Var Rt 02/28/2057 dtd 02/28/2017 [CS]		None	Capital Gains	None	\$201 - \$1,000
DESCRIPTION: Preferred security					
Visa Inc. (V) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Vulcan Materials Company (VMC) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
WA St Refunding Motor Vehicle Fuel Series R D [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$201 - \$1,000
Wachovia Cap Trust III Var Rt Mar 15 2166 dtd 2/1/2006 [CS]		\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	\$5,001 - \$15,000
DESCRIPTION: Preferred security					
Walgreens Boots Alliance, Inc. (WBA) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Wal-Mart Stores, Inc. (WMT) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
Walt Disney Company (DIS) [ST]		\$15,001 - \$50,000	Dividends	\$1 - \$200	\$1 - \$200
Waste Management, Inc. (WM) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Waters Corporation (WAT) [ST]		\$1,001 - \$15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Wells Fargo & Company (WFC) [ST]		\$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 [CS]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$1,001 - \$2,500
DESCRIPTION: Preferred security					
Wells Fargo & Company Var Rt 06/15/2166 dtd 01/23/2015 [CS]		\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
DESCRIPTION: Preferred security					
Wells Fargo & Company VAR RT 12/15/2165 dtd 04/22/2014 [CS]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	None
DESCRIPTION: Preferred Security					
Welltower Inc. (HCN) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Western Digital Corporation (WDC) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Western Gas Equity Partners, LP Common Units Representing Limited Partner Interests (WGP) [ST]		None	Capital Gains, Partnership Income	\$5,001 - \$15,000	\$1,001 - \$2,500
Western Gas Partners, LP Limited Partner Interests (WES) [ST]		None	Partnership Income	\$2,501 - \$5,000	\$1,001 - \$2,500
Western Union Company (WU) [ST]		None	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200
Weyerhaeuser Company (WY) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
Whirlpool Corporation (WHR) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
WI St Clean Water Revenue Refunding Series 1 [GS]		\$15,001 - \$50,000	Interest	\$201 - \$1,000	\$1,001 - \$2,500
Williams Companies, Inc. (WMB) [ST]		None	Capital Gains, Dividends	\$15,001 - \$50,000	\$5,001 - \$15,000
Willis Towers Watson Public Limited Company - Ordinary Shares (WLTW) [ST]		\$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
WV St Ser A Unltd Tax 5.0%; Due 12/01/23 [GS]		\$15,001 - \$50,000	None		
Wynn Resorts, Limited (WYNN) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Xerox Corporation (XRX) [ST]		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
XL Group Ltd. (XL) [ST]		\$1,001 - \$15,000	None		
Yahoo! Inc. (YHOO) [ST]		None	Capital Gains	None	\$201 - \$1,000
Yum! Brands, Inc. (YUM) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$1 - \$200

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE C: EARNED INCOME

Source	Type	Amount Current Year to Filing	Amount Preceding Year
U.S. Distilled Products Co.	Salary	N/A	\$1,646.25

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

Position	Name of Organization
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 Chairman, Board Member (to February 2017)	U.S. Distilled Products Co.

SCHEDULE F: AGREEMENTS

None disclosed.

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

None disclosed.

SCHEDULE A ASSET CLASS DETAILS

- o - 100 University Family Limited Partnership
LOCATION: Minneapolis/Hennepin, MN, US
- o - Cash Accounts
LOCATION: US
- o - 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 , 08/13/2018