



PERIODIC TRANSACTION REPORT

Clerk of the House of Representatives • Legislative Resource Center • 135 Cannon Building • Washington, DC 20515

FILER INFORMATION

Name: Hon. Roger W. Marshall**Status:** Member**State/District:** KS01

TRANSACTIONS

ID	Owner Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
DC	Advanced Micro Devices, Inc. (AMD) [ST] FILING STATUS: New	S	10/30/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Advanced Micro Devices, Inc. (AMD) [ST] FILING STATUS: New	P	10/27/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	AEterna Zentaris Inc. (AEZS) [ST] FILING STATUS: New	P	07/19/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	AEterna Zentaris Inc. (AEZS) [ST] FILING STATUS: New	S	07/20/2017	08/01/2018	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DC	Appliance Recycling Centers of America, Inc. (ARCI) [ST] FILING STATUS: New	P	08/21/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Appliance Recycling Centers of America, Inc. (ARCI) [ST] FILING STATUS: New	S	08/21/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Atossa Genetics Inc. (ATOS) [ST] FILING STATUS: New COMMENTS: Entire asset sold 10/30/2017, sale did not meet reporting threshold & there were no reportable capital gains.	P	10/25/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Capricor Therapeutics, Inc. (CAPR)	P	07/27/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>

ID	Owner Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
	[ST] FILING STATUS: New					
DC	Capricor Therapeutics, Inc. (CAPR) [ST] FILING STATUS: New	S	07/27/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Caseys General Stores, Inc. (CASY) [ST] FILING STATUS: New	S	03/02/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Caseys General Stores, Inc. (CASY) [ST] FILING STATUS: New	P	03/17/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Caseys General Stores, Inc. (CASY) [ST] FILING STATUS: New	S	03/21/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Celsion Corporation (CLSN) [ST] FILING STATUS: New	P	06/05/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Celsion Corporation (CLSN) [ST] FILING STATUS: New	S	06/05/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Celsion Corporation (CLSN) [ST] FILING STATUS: New	P	06/16/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Celsion Corporation (CLSN) [ST] FILING STATUS: New	S	06/16/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Chipotle Mexican Grill, Inc. (CMG) [ST] FILING STATUS: New	P	02/07/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Chipotle Mexican Grill, Inc. (CMG) [ST] FILING STATUS: New	S	03/03/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Chipotle Mexican Grill, Inc. (CMG) [ST] FILING STATUS: New	P	08/28/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>

ID	Owner Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
DC	Chipotle Mexican Grill, Inc. (CMG) [ST] FILING STATUS: New	S	10/16/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	CymaBay Therapeutics Inc. (CBAY) [ST] FILING STATUS: New	P	07/19/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	CymaBay Therapeutics Inc. (CBAY) [ST] FILING STATUS: New	S	07/19/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	CytRx Corporation (CYTR) [ST] FILING STATUS: New COMMENTS: Entire asset sold 8/4/2017, sale did not meet reporting threshold & there were no reportable capitol gains.	P	07/31/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Delcath Systems, Inc. (DCTH) [ST] FILING STATUS: New COMMENTS: Asset purchased 6/9/2017, purchase did not meet reporting threshold.	S	06/09/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Dextera Surgical Inc. (DXTR) [ST] FILING STATUS: New	P	10/01/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Dextera Surgical Inc. (DXTR) [ST] FILING STATUS: New	S	10/23/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Direxion Daily Junior Gold Miners Index Bull 3X Shares (JNUG) [ST] FILING STATUS: New	P	05/01/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Direxion Daily Junior Gold Miners Index Bull 3X Shares (JNUG) [ST] FILING STATUS: New	S	05/01/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Direxion Daily Junior Gold Miners Index Bull 3X Shares (JNUG) [ST] FILING STATUS: New	P	05/05/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Direxion Daily Junior Gold Miners Index Bull 3X Shares (JNUG) [ST] FILING STATUS: New	S	05/05/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>

ID	Owner Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
DC	First NBC Bank Holding Company (FNBC) [ST] FILING STATUS: New	P	05/04/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	First NBC Bank Holding Company (FNBC) [ST] FILING STATUS: New	S	05/04/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Hertz Global Holdings, Inc (HTZ) [ST] FILING STATUS: New	P	05/22/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Hertz Global Holdings, Inc (HTZ) [ST] FILING STATUS: New	S	05/22/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Infinity Pharmaceuticals, Inc. (INFI) [ST] FILING STATUS: New COMMENTS: Entire asset sold 10/16/2017, sale did not meet reporting threshold & there were no reportable capitol gains.	P	10/12/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Inotek Pharmaceuticals Corporation (ITEK) [ST] FILING STATUS: New	P	09/13/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Inotek Pharmaceuticals Corporation (ITEK) [ST] FILING STATUS: New	S	09/13/2017	08/01/2018	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DC	Intra-Cellular Therapies Inc. (ITCI) [ST] FILING STATUS: New COMMENTS: Entire asset sold 5/2/2017, sale did not meet reporting threshold & there were no reportable capitol gains.	P	05/01/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Leading Brands Inc - Common Shares (LBIX) [ST] FILING STATUS: New COMMENTS: Asset purchased 10/13/2017, purchase did not meet reporting threshold.	S	10/13/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	lululemon athletica inc. (LULU) [ST] FILING STATUS: New COMMENTS: Entire asset sold 4/24 & 5/1/2017, sales did not meet reporting threshold & there were no reportable capitol gains.	P	04/17/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>

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DC	lululemon athletica inc. (LULU) [ST] FILING STATUS: New	P	09/05/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	lululemon athletica inc. (LULU) [ST] FILING STATUS: New	S	10/09/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Medical Transcription Billing, Corp. (MTBC) [ST] FILING STATUS: New	P	04/27/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Medical Transcription Billing, Corp. (MTBC) [ST] FILING STATUS: New	S	04/27/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Medical Transcription Billing, Corp. (MTBC) [ST] FILING STATUS: New	P	05/01/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Medical Transcription Billing, Corp. (MTBC) [ST] FILING STATUS: New	S	05/01/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Neothetics, Inc. (NEOT) [ST] FILING STATUS: New	P	10/17/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Neothetics, Inc. (NEOT) [ST] FILING STATUS: New	S	10/17/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Net Element, Inc. (NETE) [ST] FILING STATUS: New COMMENTS: Asset purchased 10/13/2017, purchase did not meet reporting threshold.	S	10/13/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Ocwen Financial Corporation NEW (OCN) [ST] FILING STATUS: New	P	05/01/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Ocwen Financial Corporation NEW (OCN) [ST] FILING STATUS: New	S	05/04/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Otonomy, Inc. (OTIC) [ST]	P	05/01/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>

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		FILING STATUS: New					
DC	Otonomy, Inc. (OTIC) [ST]		S	10/09/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
		FILING STATUS: New					
DC	Pareteum Corporation (TEUM) [ST]		P	10/23/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
		FILING STATUS: New					
DC	Pareteum Corporation (TEUM) [ST]		S	10/30/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
		FILING STATUS: New					
DC	Philip Morris International Inc (PM) [ST]		P	03/21/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
		FILING STATUS: New					
DC	Philip Morris International Inc (PM) [ST]		S	04/11/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
		FILING STATUS: New					
DC	Recon Technology, Ltd. - Ordinary Shares (RCON) [ST]		P	10/16/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
		FILING STATUS: New					
DC	Recon Technology, Ltd. - Ordinary Shares (RCON) [ST]		S	10/16/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
		FILING STATUS: New					
DC	Roku, Inc. - Class A (ROKU) [ST]		P	09/28/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
		FILING STATUS: New					
DC	Roku, Inc. - Class A (ROKU) [ST]		S	09/28/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
		FILING STATUS: New					
DC	root9B Holdings, Inc. (RTNB) [ST]		P	08/24/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
		FILING STATUS: New					
DC	root9B Holdings, Inc. (RTNB) [ST]		S	08/25/2017	08/01/2018	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
		FILING STATUS: New					
DC	Rosetta Genomics Ltd. - ordinary		P	10/12/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>

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	shares (ROSG) [ST] FILING STATUS: New COMMENTS: Entire asset sold 10/16/2017, sale did not meet reporting threshold & there were no reportable capitol gains.					
DC	Snap Inc. Class A (SNAP) [ST] FILING STATUS: New	P	03/02/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Snap Inc. Class A (SNAP) [ST] FILING STATUS: New	P	03/03/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Snap Inc. Class A (SNAP) [ST] FILING STATUS: New	S	05/04/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	TearLab Corporation (TEAR) [ST] FILING STATUS: New	P	07/21/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	TearLab Corporation (TEAR) [ST] FILING STATUS: New	S	07/21/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Tesla, Inc. (TSLA) [ST] FILING STATUS: New	S	01/30/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	The Bon-Ton Stores, Inc. (BONT) [ST] FILING STATUS: New COMMENTS: Asset purchased 10/01/2017, purchase did not meet reporting .	S	10/25/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	TransEnterix, Inc. (TRXC) [ST] FILING STATUS: New	P	10/17/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	TransEnterix, Inc. (TRXC) [ST] FILING STATUS: New	S	10/17/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	United States Steel Corporation (X) [ST] FILING STATUS: New	P	04/26/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	United States Steel Corporation (X) [ST] FILING STATUS: New	S	09/05/2017	08/01/2018	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

ID	Owner Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
DC	Vince Holding Corp. (VNCE) [ST] FILING STATUS: New	P	05/25/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Vince Holding Corp. (VNCE) [ST] FILING STATUS: New	S	05/30/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Yield10 Bioscience, Inc. (YTEN) [ST] FILING STATUS: New COMMENTS: Asset purchased 3/14/2018, purchase did not meet reporting threshold.	S	03/14/2018	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Zion Oil & Gas Inc (ZN) [ST] FILING STATUS: New	P	07/13/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>
DC	Zion Oil & Gas Inc (ZN) [ST] FILING STATUS: New	S	07/18/2017	08/01/2018	\$1,001 - \$15,000	<input type="checkbox"/>

* For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

COMMENTS

INITIAL PUBLIC OFFERINGS

Yes No

CERTIFICATION AND SIGNATURE

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

Digitally Signed: Hon. Roger W. Marshall , 08/06/2018