



PERIODIC TRANSACTION REPORT

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FILER INFORMATION

Name: Hon. Dean Phillips
Status: Member
State/District: MN03

TRANSACTIONS

ID	Owner Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
	3M Company (MMM) [ST] FILING STATUS: New	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	A.O. Smith Corporation (AOS) [ST] FILING STATUS: New	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	AbbVie Inc. (ABBV) [ST] FILING STATUS: New	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	ABIOMED, Inc. (ABMD) [ST] FILING STATUS: New	S	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Affiliated Managers Group, Inc. (AMG) [ST] FILING STATUS: New	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Align Technology, Inc. (ALGN) [ST] FILING STATUS: New	S (partial)	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Allstate Corp PFD 5.1% [CS] FILING STATUS: New DESCRIPTION: Preferred Security	P	08/01/2019	09/09/2019	\$15,001 - \$50,000	<input type="checkbox"/>
	Alpharetta GA Dev Auth 5.0%	P	08/22/2019	09/09/2019	\$15,001 -	<input type="checkbox"/>

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	5/01/2023 dtd 5/03/2016 [GS] FILING STATUS: New				\$50,000	
	American Airlines Group, Inc. (AAL) [ST] FILING STATUS: New	S	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Bank of New York Mellon Corporation (BK) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	P	08/29/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Bank of New York Mellon Corporation (BK) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	S (partial)	08/16/2019	09/09/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	Bank of New York Mellon Corporation (BK) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	S (partial)	08/19/2019	09/09/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	Bank of New York Mellon Corporation (BK) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	S (partial)	08/21/2019	09/09/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	Bank of New York Mellon Corporation (BK) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	S (partial)	08/22/2019	09/09/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	Bank of New York Mellon Corporation (BK) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	S (partial)	08/28/2019	09/09/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	Baxter International Inc. (BAX) [ST] FILING STATUS: New	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	BB&T Corporation 5.85% [CS] FILING STATUS: New DESCRIPTION: Preferred security	S	08/02/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>

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	Biogen Inc. (BIIB) [ST] FILING STATUS: New	S (partial)	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Caterpillar, Inc. (CAT) [ST] FILING STATUS: New	S (partial)	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Cerner Corporation (CERN) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	S (partial)	08/01/2019	09/09/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	Cerner Corporation (CERN) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	S (partial)	08/02/2019	09/09/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	Charles Schwab Corporation (SCHW) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Charles Schwab Corporation (SCHW) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	P	08/14/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Charles Schwab Corporation (SCHW) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	P	08/15/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Charles Schwab Corporation (SCHW) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	P	08/19/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Chubb Limited (CB) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Corteva, Inc. (CTVA) [ST] FILING STATUS: New	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>

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	Coty Inc. Class A (COTY) [ST] FILING STATUS: New	S (partial)	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Discover Financial Svs Var Rt 04/30/2166 DTD 10/31/2017 [CS] FILING STATUS: New DESCRIPTION: Corporate Bond	S (partial)	08/29/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Discover Financial Svs Var Rt 04/30/2166 DTD 10/31/2017 [CS] FILING STATUS: New DESCRIPTION: Corporate Bond	S (partial)	08/22/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Dow Inc. (DOW) [ST] FILING STATUS: New	S	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	eBay Inc. (EBAY) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	S (partial)	08/20/2019	09/09/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	eBay Inc. (EBAY) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	S (partial)	08/22/2019	09/09/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	eBay Inc. (EBAY) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	S (partial)	08/23/2019	09/09/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	eBay Inc. (EBAY) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	S (partial)	08/21/2019	09/09/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	Ecolab Inc. (ECL) [ST] FILING STATUS: New	S (partial)	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	FedEx Corporation (FDX) [ST] FILING STATUS: New	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Franklin Resources, Inc. (BEN) [ST] FILING STATUS: New	S	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>

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	Gap, Inc. (GPS) [ST] FILING STATUS: New	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Harris Cnty Tx Sr Lien-Toll Rd-Ser A 5% 8/15/2028 dtd 05/14/2009 [GS] FILING STATUS: New	S	08/15/2019	09/09/2019	\$15,001 - \$50,000	<input type="checkbox"/>
	Honeywell International Inc. (HON) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	S (partial)	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	International Paper Company (IP) [ST] FILING STATUS: New	S (partial)	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Invesco Ltd (IVZ) [ST] FILING STATUS: New	S	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	JP Morgan Chase & Co. (JPM) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	P	08/12/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Kellogg Company (K) [ST] FILING STATUS: New	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Kohl's Corporation (KSS) [ST] FILING STATUS: New	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	L Brands, Inc. (LB) [ST] FILING STATUS: New	S	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	LyondellBasell Industries NV Ordinary Shares Class A (LYB) [ST] FILING STATUS: New	S (partial)	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Macy's Inc (M) [ST] FILING STATUS: New	S	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>

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	Mohawk Industries, Inc. (MHK) [ST] FILING STATUS: New	S	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Morgan Stanley (MS) [ST] FILING STATUS: New	S (partial)	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Mosaic Company (MOS) [ST] FILING STATUS: New	S (partial)	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	NetApp, Inc. (NTAP) [ST] FILING STATUS: New	S (partial)	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Newell Brands Inc. (NWL) [ST] FILING STATUS: New	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Nielsen N.V. Ordinary Shares (NLSN) [ST] FILING STATUS: New	S	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Nordstrom, Inc. (JWN) [ST] FILING STATUS: New	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Northern Trust Corporation (NTRS) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	P	08/14/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Northern Trust Corporation (NTRS) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	P	08/23/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Northern Trust Corporation (NTRS) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	P	08/19/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Northern Trust Corporation (NTRS) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	P	08/15/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>

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	<p>Omnicom Group Inc. (OMC) [ST]</p> <p>FILING STATUS: New SUBHOLDING OF: - Trust 1</p>	P	08/20/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	<p>PACCAR Inc. (PCAR) [ST]</p> <p>FILING STATUS: New SUBHOLDING OF: - Trust 1</p>	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	<p>Philip Morris International Inc (PM) [ST]</p> <p>FILING STATUS: New</p>	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	<p>PNC Financial Services VAR RT 12/31/2049 dtd 05/07/2013 [CS]</p> <p>FILING STATUS: New DESCRIPTION: Preferred Security</p>	S	08/27/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	<p>Regeneron Pharmaceuticals, Inc. (REGN) [ST]</p> <p>FILING STATUS: New</p>	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	<p>Schlumberger N.V. (SLB) [ST]</p> <p>FILING STATUS: New SUBHOLDING OF: - Trust 1</p>	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	<p>State Street Corporation (STT) [ST]</p> <p>FILING STATUS: New</p>	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	<p>The Kraft Heinz Company (KHC) [ST]</p> <p>FILING STATUS: New</p>	S	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	<p>Transdigm Group Incorporated Transdigm Group Inc. (TDG) [ST]</p> <p>FILING STATUS: New</p>	S (partial)	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	<p>Walgreens Boots Alliance, Inc. (WBA) [ST]</p> <p>FILING STATUS: New</p>	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	<p>Westinghouse Air Brake Technologies Corporation (WAB) [ST]</p>	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>

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	FILING STATUS: New DESCRIPTION: Formerly known as Wabtec Corporation					
	Westrock Company (WRK) [ST]	P	08/13/2019	09/09/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	FILING STATUS: New					

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

ASSET CLASS DETAILS

- o - Trust 1 (100% Interest)

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. Dean Phillips , 09/16/2019