



# PERIODIC TRANSACTION REPORT

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

## FILER INFORMATION

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

## TRANSACTIONS

ID	Owner Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
	Align Technology, Inc. (ALGN) [ST] FILING STATUS: New	S (partial)	09/11/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Alliance Data Systems Corporation (ADS) [ST] FILING STATUS: New	S	09/11/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Arista Networks, Inc. (ANET) [ST] FILING STATUS: New	P	09/11/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Bank of New York Mellon Corporation (BK) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	S (partial)	09/03/2019	10/08/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	Bank of New York Mellon Corporation (BK) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	S	09/04/2019	10/08/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	Baxter International Inc. (BAX) [ST] FILING STATUS: New	S (partial)	09/11/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Biogen Inc. (BIIB) [ST] FILING STATUS: New	S (partial)	09/11/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>

ID	Owner Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
	Capital One Financial CO PFD 5.00% [CS] FILING STATUS: New DESCRIPTION: Preferred security	P	09/04/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Capital One Financial Co Var Rt 12/01/2165 dtd 05/14/2015 [CS] FILING STATUS: New DESCRIPTION: Preferred security	S (partial)	09/04/2019	10/08/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	Citigroup Capital XIII PFD 7.875% [CS] FILING STATUS: New DESCRIPTION: Preferred security	S	09/05/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Citigroup Inc Var RT 05/15/2166 dtd 11/13/2015 [CS] FILING STATUS: New DESCRIPTION: Preferred security	S (partial)	09/05/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Citigroup Inc Var RT Prep Mat DTD 09/12/2019 [CS] FILING STATUS: New DESCRIPTION: Preferred security	P	09/05/2019	10/08/2019	\$15,001 - \$50,000	<input type="checkbox"/>
	Corteva, Inc. (CTVA) [ST] FILING STATUS: New	S	09/11/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Duke Energy Corp SR NTS Var RT Perp Mat DTD 09/12/2019 [CS] FILING STATUS: New DESCRIPTION: Preferred security	P	09/09/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Fifth Third Bancorp 12/31/2166 DTD 05/16/2013 [CS] FILING STATUS: New DESCRIPTION: Corporate Bond	S (partial)	09/09/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Fox Corporation - Class A (FOXA) [ST] FILING STATUS: New	P	09/11/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Huntington Bancshares VAR RT 07/15/2167 [CS]	S (partial)	09/10/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>

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	FILING STATUS: New DESCRIPTION: Preferred security					
	Newmont Goldcorp Corporation (NEM) [ST] FILING STATUS: New	P	09/11/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Philip Morris International Inc (PM) [ST] FILING STATUS: New	S	09/11/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Regeneron Pharmaceuticals, Inc. (REGN) [ST] FILING STATUS: New	P	09/11/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Southwest Airlines Company (LUV) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	P	09/11/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Southwest Airlines Company (LUV) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	P	09/13/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Southwest Airlines Company (LUV) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	P	09/17/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Southwest Airlines Company (LUV) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	P	09/18/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Southwest Airlines Company (LUV) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	P	09/24/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Stanley Black & Decker, Inc. (SWK) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	S (partial)	09/11/2019	10/08/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

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	Stanley Black & Decker, Inc. (SWK) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	S (partial)	09/12/2019	10/08/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	Stanley Black & Decker, Inc. (SWK) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	S (partial)	09/16/2019	10/08/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
	State Street Corporation (STT) [ST] FILING STATUS: New	S (partial)	09/11/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	UnitedHealth Group Incorporated Common Stock (UNH) [ST] FILING STATUS: New	P	09/11/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	UnitedHealth Group Incorporated Common Stock (UNH) [ST] FILING STATUS: New SUBHOLDING OF: - Trust 1	P	09/24/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Wells Fargo & Company 7.98% PFD Stk 09/15/2165 dtd 02/08/2008 [CS] FILING STATUS: New DESCRIPTION: Preferred security	S (partial)	09/16/2019	10/08/2019	\$1,001 - \$15,000	<input type="checkbox"/>
	Western Digital Corporation (WDC) [ST] FILING STATUS: New	S (partial)	09/11/2019	10/08/2019	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

\* 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

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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 , 10/11/2019