

# PERIODIC TRANSACTION REPORT

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## FILER INFORMATION

Name: Hon. K. Michael Conaway

Status: Member State/District: TX11

### **TRANSACTIONS**

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		3M Company (MMM) [ST]  FILING STATUS: New SUBHOLDING OF: WF 69 (Wells Fargo Fi	S nancial)	03/11/2020	03/13/2020	\$1,001 - \$15,000	П
		American Electric Power Company, Inc. (AEP) [ST] FILING STATUS: New SUBHOLDING OF: WF 69 (Wells Fargo Fi	S nancial)	03/18/2020	03/20/2020	\$15,001 - \$50,000	
		BANK NOVA SCOTIA 0% BLS BC CAPPED LEVERAGED INDX RETURN MTY 03/27/20 CPN 0.000% DUE 03/27/20 [OT]  FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Fit Location: US DESCRIPTION: BANK NOVA SCOTIA 0% 03/27/20 Transfer from WF 95	nancial)		02/28/2020 INDX RETURN M	\$50,001 - \$100,000 TY 03/27/20 CPN 0	.000% DUE
		BANK NOVA SCOTIA 0% BLS BC CAPPED LEVERAGED INDX RETURN MTY 03/27/20 CPN 0.000% DUE 03/27/20 [OT] FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Fi LOCATION: US	nancial)	, "	02/28/2020	\$50,001 - \$100,000	
		DESCRIPTION: BANK NOVA SCOTIA 0% 03/27/20 Transfer to WF 10	BLS BC CAPPED	LEVERAGED 1	INDX RETURN M	TY 03/27/20 CPN 0	.000% DUE

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		BANK NOVA SCOTIA 0% EDP BC CAPPED LEVERAGED INDX RETURN MTY 03/27/20 CPN 0.000% DUE 03/27/20 [OT] FILING STATUS: New		03/27/2020	03/31/2020	\$50,001 - \$100,000	П
		SUBHOLDING OF: WF 10 (Wells Fargo Fit LOCATION: US DESCRIPTION: BANK NOVA SCOTIA 0% 03/27/20 Redemption		LEVERAGED	INDX RETURN M	TY 03/27/20 CPN (	0.000% DUE
		BARCLAYS BK PLC 0% BLS CAPPED LEVERAGE INDEX RETURN NT MTY 02/28/2020 [OT] FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Fit	E nancial)	02/24/2020	02/28/2020	\$50,001 - \$100,000	П
		DESCRIPTION: BARCLAYS BK PLC 0% B	LS CAPPED LEVE	ERAGE INDEX	RETURN NT MTY	7 02/28/2020 Trans	efer to WF 10
		BARCLAYS BK PLC 0% BLS CAPPED LEVERAGE INDEX RETURN NT MTY 02/28/2020 CPN 0.000% DUE 02/28/20 [OT] FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Fin LOCATION: US	E nancial)	02/24/2020	02/28/2020	\$50,001 - \$100,000	П
		DESCRIPTION: BARCLAYS BK PLC 0% B 02/28/20 Transfer from WF 95	LS CAPPED LEVE	ERAGE INDEX	RETURN NT MTY	7 02/28/2020 CPN (	0.000% DUE
		BOFA FIN LLC 0% BLS LKD TO S&P 500 INDEX DUE 04/24/2020 CPN 0.000% DUE 04/24/20 [OT] FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Fin LOCATION: US	E nancial)	02/24/2020	02/28/2020	\$50,001 - \$100,000	
		DESCRIPTION: BOFA FIN LLC 0% BLS L from WF 95	KD TO S&P 500 II	NDEX DUE 04,	/24/2020 CPN 0.0	000% DUE 04/24/2	o Transfer
		BOFA FIN LLC 0% BLS LKD TO S&P 500 INDEX DUE 04/24/2020 CPN 0.000% DUE 04/24/20 [OT] FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Fig.	E nancial)	02/24/2020	02/28/2020	\$50,001 - \$100,000	
		LOCATION: US DESCRIPTION: BOFA FIN LLC 0% BLS L WF 10	KD TO S&P 500 II	NDEX DUE 04,	/24/2020 CPN o.c	000% DUE 04/24/2	o Transfer to

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		Diageo plc (DEO) [ST] FILING STATUS: New SUBHOLDING OF: WF 69 (Wells Fargo Fin	S (partial)	03/18/2020	03/20/2020	\$1,001 - \$15,000	П
		Diageo plc (DEO) [ST] FILING STATUS: New SUBHOLDING OF: WF 69 (Wells Fargo Fin	S nancial)	03/18/2020	03/20/2020	\$1,001 - \$15,000	
		First Trust DJ Internet Index Fund (FDN) [ST]  FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Find Description: Transfer to WF 10		02/24/2020	02/28/2020	\$50,001 - \$100,000	П
		First Trust DJ Internet Index Fund (FDN) [ST]  FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Find Description: Transfer from WF 95		02/24/2020	02/28/2020	\$50,001 - \$100,000	П
		First Trust DJ Internet Index Fund (FDN) [ST] FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Fin		03/10/2020	03/12/2020	\$50,001 - \$100,000	П
		First Trust Morningstar ETF (FDL) [ST] FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Fin Description: BOFA FIN LLC 0% BLS LLWF 10	nancial)		<b>02/28/2020</b> /24/2020 CPN 0.0	\$50,001 - \$100,000 000% DUE 04/24/20	o Transfer to
		First Trust Morningstar ETF (FDL) [ST] FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Fin DESCRIPTION: Transfer from WF 95		02/24/2020	02/28/2020	\$50,001 - \$100,000	П
		Goldman Sachs ActiveBeta U.S. Large Cap Equity ETF (GSLC) [ST] FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Fin	S nancial)	03/11/2020	03/13/2020	\$50,001 - \$100,000	Г

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		Goldman Sachs ActiveBeta U.S. Large Cap Equity ETF (GSLC) [ST] FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Find Description: Transfer to WF 10	E nancial)	02/24/2020	02/28/2020	\$100,001 - \$250,000	П
		Goldman Sachs ActiveBeta U.S. Large Cap Equity ETF (GSLC) [ST] FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Fin DESCRIPTION: Transfer from WF 95	E nancial)	02/24/2020	02/28/2020	\$100,001 - \$250,000	
		HSBC USA INC 0% BLS AUTOCALL LKD EURO STOXX 50 IDX DUE 08/25/2022 CPN 0.000% DUE 08/25/22 DTD 08/31/17 [OT] FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Fit Location: US		02/24/2020		\$50,001 - \$100,000	
		DESCRIPTION: HSBC USA INC 0% BLS A 08/25/22 DTD 08/31/17 Transfer from		URO STOXX 50	o IDX DUE 08/25	/2022 CPN 0.000%	DUE
		HSBC USA INC 0% BLS AUTOCALL LKD EURO STOXX 50 IDX DUE 08/25/2022 CPN 0.000% DUE 08/25/22 DTD 08/31/17 [OT] FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Fit LOCATION: US DESCRIPTION: HSBC USA INC 0% BLS A		02/24/2020 JURO STOXX 5		\$50,001 - \$100,000 /2022 CPN 0.000%	DUE
		O8/25/22 DTD O8/31/17 Transfer to WHSBC USA INC O% EDP NTS LKD TO EURO STOXX 50 INDEX MTY O3/27/20 CPN 0.000% DUE O3/27/20 [OT]  FILING STATUS: NEW SUBHOLDING OF: WF 53 (Wells Fargo Fit Location: US DESCRIPTION: HSBC USA INC O% EDP Note that the second control of	S nancial)	03/27/2020 O STOXX 50 IN		\$15,001 - \$50,000 /20 CPN 0.000% DU	JE 03/27/20
		Northrop Grumman Corporation (NOC) [ST] FILING STATUS: New	S	03/18/2020	03/20/2020	\$15,001 - \$50,000	П

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		Subholding Of: WF 69 (Wells Fargo Fi	nancial)				
		Principal U.S. Mega-Cap Multi- Factor Index ETF (USMC) [ST]	E	02/24/2020	02/28/2020	\$100,001 - \$250,000	
		FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Fi DESCRIPTION: Transfer to WF 10	nancial)				
		Principal U.S. Mega-Cap Multi-Factor Index ETF (USMC) [ST]	E	02/24/2020	02/28/2020	\$100,001 - \$250,000	
		FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Fit DESCRIPTION: Transfer from WF 95	nancial)				
	SP	Southwest Airlines Company (LUV) [ST] FILING STATUS: New	S	03/18/2020	03/20/2020	\$15,001 - \$50,000	<b>▽</b>
		Subholding Of: WF 31 (Wells Fargo Fin	nancial)				
		Southwest Airlines Company (LUV) [ST]	S	03/18/2020	03/20/2020	\$15,001 - \$50,000	<u>~</u>
		FILING STATUS: New SUBHOLDING OF: WF 25 (Wells Fargo Fi	nancial)				
		SPDR Dow Jones Industrial Average ETF (DIA) [ST]	S (partial)	03/18/2020	03/20/2020	\$1,001 - \$15,000	
		FILING STATUS: New SUBHOLDING OF: WF 53 (Wells Fargo Fi	nancial)				
		SPDR Dow Jones Industrial Average ETF (DIA) [ST]	S	03/18/2020	03/20/2020	\$1,001 - \$15,000	
		FILING STATUS: New Subholding Of: WF 53 (Wells Fargo Fi	nancial)				
		SPDR S&P 500 (SPY) [ST]	E	02/24/2020	02/28/2020	\$100,001 - \$250,000	
		FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Find Description: Transfer from WF 95	nancial)				
		SPDR S&P 500 (SPY) [ST]	E	02/24/2020	02/28/2020	\$100,001 - \$250,000	
		FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Fi DESCRIPTION: Transfer to WF 10	nancial)				

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		SPDR S&P Dividend ETF (SDY) [ST]  FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Find Description: Transfer from WF 95	E nancial)	02/24/2020	02/28/2020	\$50,001 - \$100,000	П
		SPDR S&P Dividend ETF (SDY) [ST]  FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Fit DESCRIPTION: Transfer to WF 10	E nancial)	02/24/2020	02/28/2020	\$50,001 - \$100,000	П
		SPDR S&P Dividend ETF (SDY) [ST] FILING STATUS: New SUBHOLDING OF: WF 69 (Wells Fargo Fi	S nancial)	03/11/2020	03/13/2020	\$15,001 - \$50,000	П
		SPDR S&P Dividend ETF (SDY) [ST] FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Fin	S nancial)	03/11/2020	03/13/2020	\$100,001 - \$250,000	П
		SPDR S&P Dividend ETF (SDY) [ST] FILING STATUS: New SUBHOLDING OF: WF 25 (Wells Fargo Fig.	S nancial)	03/11/2020	03/13/2020	\$50,001 - \$100,000	П
		The Travelers Companies, Inc. (TRV) [ST] FILING STATUS: New SUBHOLDING OF: WF 69 (Wells Fargo Fig.	S nancial)	03/11/2020	03/13/2020	\$1,001 - \$15,000	П
		Vanguard Consumer Staples ETF (VDC) [ST] FILING STATUS: New SUBHOLDING OF: WF 69 (Wells Fargo Fig.	S nancial)	03/11/2020	03/13/2020	\$15,001 - \$50,000	П
		Vanguard Consumer Staples ETF (VDC) [ST]  FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Find Description: Transfer from WF 95	E nancial)	02/24/2020	02/28/2020	\$100,001 - \$250,000	П
		Vanguard Consumer Staples ETF (VDC) [ST]	E	02/24/2020	02/28/2020	\$100,001 - \$250,000	

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Fig. Description: Transfer to WF 10	nancial)				
		Vanguard Consumer Staples ETF (VDC) [ST] FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Fin	S (partial)	03/10/2020	03/12/2020	\$15,001 - \$50,000	П
		Vanguard Div Appreciation ETF (VIG) [ST] FILING STATUS: New SUBHOLDING OF: WF 25 (Wells Fargo Fire	S nancial)	03/11/2020	03/13/2020	\$15,001 - \$50,000	П
		Vanguard Div Appreciation ETF (VIG) [ST] FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Fin	S nancial)	03/11/2020	03/13/2020	\$50,001 - \$100,000	П
		Vanguard Div Appreciation ETF (VIG) [ST]  FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Fin DESCRIPTION: Transfer from WF 95	E nancial)	02/24/2020	02/28/2020	\$50,001 - \$100,000	Г
		Vanguard Div Appreciation ETF (VIG) [ST]  FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Fig. Description: Transfer to WF 10	E nancial)	02/24/2020	02/28/2020	\$50,001 - \$100,000	П
		Vanguard FTSE Developed Markets ETF (VEA) [ST] FILING STATUS: New SUBHOLDING OF: WF 53 (Wells Fargo Fire	S nancial)	03/18/2020	03/20/2020	\$1,001 - \$15,000	П
		Vanguard Utilities ETF (VPU) [ST]  FILING STATUS: New SUBHOLDING OF: WF 53 (Wells Fargo Fire		03/18/2020	03/20/2020	\$15,001 - \$50,000	П
		Vanguard Utilities ETF (VPU) [ST]  FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Fin		03/18/2020	03/20/2020	\$15,001 - \$50,000	П

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		Vanguard Utilities ETF (VPU) [ST]  FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Fin DESCRIPTION: Transfer from WF 95		02/24/2020	02/28/2020	\$15,001 - \$50,000	П
		Vanguard Utilities ETF (VPU) [ST]  FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Find Description: Transfer to WF 10		02/24/2020	02/28/2020	\$15,001 - \$50,000	П
		Vanguard Utilities ETF (VPU) [ST] FILING STATUS: New SUBHOLDING OF: WF 25 (Wells Fargo Fin		03/18/2020	03/20/2020	\$15,001 - \$50,000	
		Vanguard Utilities ETF (VPU) [ST]  FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Fin		03/10/2020	03/12/2020	\$15,001 - \$50,000	
		Walt Disney Company (DIS) [ST] FILING STATUS: New SUBHOLDING OF: WF 69 (Wells Fargo Fire	S nancial)	03/18/2020	03/20/2020	\$1,001 - \$15,000	

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

## ASSET CLASS DETAILS

• WF 10 (Wells Fargo Financial) LOCATION: US

• WF 25 (Wells Fargo Financial) LOCATION: US

• WF 31 (Wells Fargo Financial) (Owner: SP)

Location: US

• WF 53 (Wells Fargo Financial) LOCATION: US

• WF 69 (Wells Fargo Financial) LOCATION: US

• WF 95 (Wells Fargo Financial) LOCATION: US

## INITIAL PUBLIC OFFERINGS

C Yes C No

## CERTIFICATION AND SIGNATURE

 $\overline{\mathbb{M}}$  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. K. Michael Conaway, 04/06/2020