



Filing ID #20016346

# PERIODIC TRANSACTION REPORT

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

## 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 Financial)	S	03/11/2020	03/13/2020	\$1,001 - \$15,000	<input type="checkbox"/>
		American Electric Power Company, Inc. (AEP) [ST]  FILING STATUS: New SUBHOLDING OF: WF 69 (Wells Fargo Financial)	S	03/18/2020	03/20/2020	\$15,001 - \$50,000	<input type="checkbox"/>
		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 Financial) LOCATION: US DESCRIPTION: BANK NOVA SCOTIA 0% BLS BC CAPPED LEVERAGED INDX RETURN MTY 03/27/20 CPN 0.000% DUE 03/27/20 Transfer from WF 95	E	02/24/2020	02/28/2020	\$50,001 - \$100,000	<input type="checkbox"/>
		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 Financial) LOCATION: US DESCRIPTION: BANK NOVA SCOTIA 0% BLS BC CAPPED LEVERAGED INDX RETURN MTY 03/27/20 CPN 0.000% DUE 03/27/20 Transfer to WF 10	E	02/24/2020	02/28/2020	\$50,001 - \$100,000	<input type="checkbox"/>

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		BANK NOVA SCOTIA 0% EDP BC S CAPPED LEVERAGED INDX RETURN MTY 03/27/20 CPN 0.000% DUE 03/27/20 [OT]	S	03/27/2020	03/31/2020	\$50,001 - \$100,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Financial) LOCATION: US DESCRIPTION: BANK NOVA SCOTIA 0% EDP BC CAPPED LEVERAGED INDX RETURN MTY 03/27/20 CPN 0.000% DUE 03/27/20 Redemption					
		BARCLAYS BK PLC 0% BLS CAPPED LEVERAGE INDEX RETURN NT MTY 02/28/2020 [OT]	E	02/24/2020	02/28/2020	\$50,001 - \$100,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Financial) LOCATION: US DESCRIPTION: BARCLAYS BK PLC 0% BLS CAPPED LEVERAGE INDEX RETURN NT MTY 02/28/2020 Transfer 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]	E	02/24/2020	02/28/2020	\$50,001 - \$100,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Financial) LOCATION: US DESCRIPTION: BARCLAYS BK PLC 0% BLS CAPPED LEVERAGE INDEX RETURN NT MTY 02/28/2020 CPN 0.000% DUE 02/28/20 Transfer from WF 95					
		BOFA FIN LLC 0% BLS LKD TO S&P 500 INDEX DUE 04/24/2020 CPN 0.000% DUE 04/24/20 [OT]	E	02/24/2020	02/28/2020	\$50,001 - \$100,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Financial) LOCATION: US DESCRIPTION: BOFA FIN LLC 0% BLS LKD TO S&P 500 INDEX DUE 04/24/2020 CPN 0.000% DUE 04/24/20 Transfer from WF 95					
		BOFA FIN LLC 0% BLS LKD TO S&P 500 INDEX DUE 04/24/2020 CPN 0.000% DUE 04/24/20 [OT]	E	02/24/2020	02/28/2020	\$50,001 - \$100,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Financial) LOCATION: US DESCRIPTION: BOFA FIN LLC 0% BLS LKD TO S&P 500 INDEX DUE 04/24/2020 CPN 0.000% DUE 04/24/20 Transfer to WF 10					

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		Diageo plc (DEO) [ST]	S (partial)	03/18/2020	03/20/2020	\$1,001 - \$15,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 69 (Wells Fargo Financial)					
		Diageo plc (DEO) [ST]	S	03/18/2020	03/20/2020	\$1,001 - \$15,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 69 (Wells Fargo Financial)					
		First Trust DJ Internet Index Fund (FDN) [ST]	E	02/24/2020	02/28/2020	\$50,001 - \$100,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Financial) DESCRIPTION: Transfer to WF 10					
		First Trust DJ Internet Index Fund (FDN) [ST]	E	02/24/2020	02/28/2020	\$50,001 - \$100,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Financial) DESCRIPTION: Transfer from WF 95					
		First Trust DJ Internet Index Fund (FDN) [ST]	S	03/10/2020	03/12/2020	\$50,001 - \$100,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Financial)					
		First Trust Morningstar ETF (FDL) [ST]	E	02/24/2020	02/28/2020	\$50,001 - \$100,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Financial) DESCRIPTION: BOFA FIN LLC 0% BLS LKD TO S&P 500 INDEX DUE 04/24/2020 CPN 0.000% DUE 04/24/20 Transfer to WF 10					
		First Trust Morningstar ETF (FDL) [ST]	E	02/24/2020	02/28/2020	\$50,001 - \$100,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Financial) DESCRIPTION: Transfer from WF 95					
		Goldman Sachs ActiveBeta U.S. Large Cap Equity ETF (GSLC) [ST]	S	03/11/2020	03/13/2020	\$50,001 - \$100,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Financial)					

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		Goldman Sachs ActiveBeta U.S. Large Cap Equity ETF (GSLC) [ST]	E	02/24/2020	02/28/2020	\$100,001 - \$250,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Financial) DESCRIPTION: Transfer to WF 10					
		Goldman Sachs ActiveBeta U.S. Large Cap Equity ETF (GSLC) [ST]	E	02/24/2020	02/28/2020	\$100,001 - \$250,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Financial) DESCRIPTION: Transfer from WF 95					
		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]	E	02/24/2020	02/28/2020	\$50,001 - \$100,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Financial) LOCATION: US DESCRIPTION: 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 Transfer from WF 95					
		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]	E	02/24/2020	02/28/2020	\$50,001 - \$100,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Financial) LOCATION: US DESCRIPTION: 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 Transfer to WF 10					
		HSBC USA INC 0% EDP NTS LKD TO EURO STOXX 50 INDEX MTY 03/27/20 CPN 0.000% DUE 03/27/20 [OT]	S	03/27/2020	03/31/2020	\$15,001 - \$50,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 53 (Wells Fargo Financial) LOCATION: US DESCRIPTION: HSBC USA INC 0% EDP NTS LKD TO EURO STOXX 50 INDEX MTY 03/27/20 CPN 0.000% DUE 03/27/20 Redemption					
		Northrop Grumman Corporation (NOC) [ST]	S	03/18/2020	03/20/2020	\$15,001 - \$50,000	<input type="checkbox"/>
		FILING STATUS: New					

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

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 Financial) DESCRIPTION: Transfer from WF 95	E	02/24/2020	02/28/2020	\$50,001 - \$100,000	<input type="checkbox"/>
		SPDR S&P Dividend ETF (SDY) [ST] FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Financial) DESCRIPTION: Transfer to WF 10	E	02/24/2020	02/28/2020	\$50,001 - \$100,000	<input type="checkbox"/>
		SPDR S&P Dividend ETF (SDY) [ST] FILING STATUS: New SUBHOLDING OF: WF 69 (Wells Fargo Financial)	S	03/11/2020	03/13/2020	\$15,001 - \$50,000	<input type="checkbox"/>
		SPDR S&P Dividend ETF (SDY) [ST] FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Financial)	S	03/11/2020	03/13/2020	\$100,001 - \$250,000	<input type="checkbox"/>
		SPDR S&P Dividend ETF (SDY) [ST] FILING STATUS: New SUBHOLDING OF: WF 25 (Wells Fargo Financial)	S	03/11/2020	03/13/2020	\$50,001 - \$100,000	<input type="checkbox"/>
		The Travelers Companies, Inc. (TRV) [ST] FILING STATUS: New SUBHOLDING OF: WF 69 (Wells Fargo Financial)	S	03/11/2020	03/13/2020	\$1,001 - \$15,000	<input type="checkbox"/>
		Vanguard Consumer Staples ETF (VDC) [ST] FILING STATUS: New SUBHOLDING OF: WF 69 (Wells Fargo Financial)	S	03/11/2020	03/13/2020	\$15,001 - \$50,000	<input type="checkbox"/>
		Vanguard Consumer Staples ETF (VDC) [ST] FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Financial) DESCRIPTION: Transfer from WF 95	E	02/24/2020	02/28/2020	\$100,001 - \$250,000	<input type="checkbox"/>
		Vanguard Consumer Staples ETF (VDC) [ST]	E	02/24/2020	02/28/2020	\$100,001 - \$250,000	<input type="checkbox"/>

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

ID	Owner	Asset	Transaction Type	Date	Notification Date	Amount	Cap. Gains > \$200?
		Vanguard Utilities ETF (VPU) [ST]	E	02/24/2020	02/28/2020	\$15,001 - \$50,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Financial) DESCRIPTION: Transfer from WF 95					
		Vanguard Utilities ETF (VPU) [ST]	E	02/24/2020	02/28/2020	\$15,001 - \$50,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 95 (Wells Fargo Financial) DESCRIPTION: Transfer to WF 10					
		Vanguard Utilities ETF (VPU) [ST]	S	03/18/2020	03/20/2020	\$15,001 - \$50,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 25 (Wells Fargo Financial)					
		Vanguard Utilities ETF (VPU) [ST]	S	03/10/2020	03/12/2020	\$15,001 - \$50,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 10 (Wells Fargo Financial)					
		Walt Disney Company (DIS) [ST]	S	03/18/2020	03/20/2020	\$1,001 - \$15,000	<input type="checkbox"/>
		FILING STATUS: New SUBHOLDING OF: WF 69 (Wells Fargo Financial)					

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

## 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

☐ 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. K. Michael Conaway , 04/06/2020