

UNITED STATES HOUSE OF REPRESENTATIVES

Periodic Transaction Report

REGULATORY OFFICE CENTER
HAND Page 1 of 1
DELIVERED

2019 FEB 23 PM 4:10

NAME:

MICHAEL T. MCCAUL

OFFICE TELEPHONE:

202-225-2401

☒ Member of the U.S. House of Representatives

State: TX District: 10

File an original and 2 copies.

☐ Officer or Employee

Employing Office: _____

File an original and 1 copy.

A \$200 penalty shall be assessed against anyone who files more than 30 days late.

Please indicate whether this is an initial report or an amended report. For amendments, please provide the date of the report you are amending.

Did you purchase any shares that were allocated as a part of an Initial Public Offering? ☐ YES ☒ NO

☒ Initial Report ☐ Amendment
 Date of Report being Amended: _____

(For Official Use Only)

FULL ASSET NAME	TYPE OF TRANS-ACTION			DATE OF TRANS-ACTION	DATE NOTIFIED OF TRANS-ACTION	AMOUNT OF TRANSACTION									
	PURCHASE	SALE	EXCHANGE			A	B	C	D	E	F	G	H	I	J
JT SP DC						\$1,000-\$15,000									
Provide full name, not ticker symbol.						\$15,001-\$50,000	X								
JT Example: Mega Corp. Common Stock	X			8/14/12	8/14/12	\$50,001-\$100,000									
SEE SCHEDULES ATTACHED						\$100,001-\$250,000									
						\$250,001-\$500,000									
						\$500,001-\$1,000,000									
						\$1,000,001-\$5,000,000									
						\$5,000,001-\$25,000,000									
						\$25,000,001-\$50,000,000									
						Over \$50,000,000									

(This page will be publicly disclosed.)

NAME:
MICHAEL MCCAUL

FULL ASSET NAME		Type of transaction		Date of Transaction	Date Notified of Transaction	Amount of Transaction									
Provide full name, not ticker symbol		PURCHASE	SALE	(MM/DD/YY)	(MM/DD/YY)	A	B	C	D	E	F	G	H	I	J
JT						\$1,000-\$15,000									
SP	LLM FAMILY INVESTMENTS LP (11.9603% INTEREST)														
SP	VANGUARD ENERGY ETF	X		01/02/2019	2/6/2019							X			
SP	VANGUARD INDEX FUNDS S&P 500 ETF	X		01/02/2019	2/6/2019							X			
SP	VANGUARD FTSE DEVELOPED MARKETS	X		01-02-2019	2/6/2019							X			
SP	iShares Core MSCI Emerging Markets ETF	X		01/02/2019	2/6/2019							X			
SP	OREGON ST HSG &CMNTY SVCS DEPT MTGREV MTG REV BDS A	X		01/09/2019	2/6/2019							X			
SP	DENVER COLO CITY &CNTY ARPT REV ARPTSYS REV BDS DENVERINTL ARPT 2016B	X		01/07/2019	2/6/2019			X							
SP	EPAM SYS INC	X		01-22-2019	2/6/2019		X								
SP	EPAM SYS INC	X		01-16-2019	2/6/2019		X								
SP	NEUROCRINE BIOSCIENCES INC	X		01-17-2019	2/6/2019		X								
SP	NEUROCRINE BIOSCIENCES INC	X		01-15-2019	2/6/2019		X								
SP	First Data Corp	X		01/22/2019	2/6/2019		X								
SP	NEUROCRINE BIOSCIENCES INC	X		01-18-2019	2/6/2019		X								
SP	NEUROCRINE BIOSCIENCES INC	X		01-16-2019	2/6/2019		X								
SP	DOLLAR TREE INC	X		01-16-2019	2/6/2019		X								
SP	EPAM SYS INC	X		01-17-2019	2/6/2019		X								
SP	EPAM SYS INC	X		01-15-2019	2/6/2019		X								
SP	HONOLULU HAWAII CITY& CNTY G O BDS	X		01/22/2019	2/6/2019		X								
SP	NORTHSHIDE TEX INDPITSCH DIST G O REF BDS	X		01/22/2019	2/6/2019		X								
SP	WILLIAMSON CNTY TEXTLTD TAX PARK BDS	X		01/22/2019	2/6/2019		X								
SP	WILLIAMSON CNTY TEXTLTD TAX PARK BDS	X		01/22/2019	2/6/2019		X								
SP	MOORE NORMANTECHNOLOGY CTR SCHDIST NO 17 CLEVELANDCNTY OK LA BLDG BDS	X		01/18/2019	2/6/2019		X								
SP	TCF Financial Corporation	X		01/07/2019	2/6/2019		X								
SP	NEW YORK N Y	X		01-18-2019	2/6/2019		X								
SP	MASCO CORP	X		01-16-2019	2/6/2019		X								
SP	Eagle Materials, Inc.	X		01/31/2019	2/6/2019		X								
SP	Hudson Ltd	X		01/07/2019	2/6/2019		X								
SP	Eagle Materials, Inc.	X		01/03/2019	2/6/2019		X								
SP	MURPHY USA	X		01/07/2019	2/6/2019		X								
SP	ASSURANT INC	X		01/02/2019	2/6/2019		X								
SP	Peapack-Gladstone Financial Corporation	X		01/11/2019	2/6/2019		X								
SP	Peapack-Gladstone Financial Corporation	X		01/16/2019	2/6/2019		X								
SP	Peapack-Gladstone Financial Corporation	X		01/14/2019	2/6/2019		X								
SP	ECHOSTAR CORP	X		01/02/2019	2/6/2019		X								
SP	Magellan Health Inc	X		01/02/2019	2/6/2019		X								
SP	Hudson Ltd	X		01/02/2019	2/6/2019		X								

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		FULL ASSET NAME			Type of transaction	Date of Transaction	Date Notified of Transaction	Amount of Transaction										
								A	B	C	D	E	F	G	H	I	J	
JT SP DC		Provide full name, not ticker symbol				PURCHASE	(MM/DD/YY)	(MM/DD/YY)	\$1,000-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$250,000	\$250,001-\$500,000	\$500,001-\$1,000,000	\$1,000,001-\$5,000,000	\$5,000,001-\$25,000,000	\$25,000,001-\$50,000,000	Over \$50,000,000
SP	DICKS SPORTING GOODS	X				01/02/2019	2/6/2019	X										
SP	Spectrum Brands, Inc	X				01/02/2019	2/6/2019	X										
SP	Pacific Premier Bancorp, Inc.	X				01/02/2019	2/6/2019	X										
SP	Mueller Water Products Inc	X				01/31/2019	2/6/2019	X										
SP	Smart Global Holdings Inc	X				01/02/2019	2/6/2019	X										
SP	NEXSTAR BROADCASTING GROUP	X				01/02/2019	2/6/2019	X										
SP	Simpson Manufacturing Co	X				01/02/2019	2/6/2019	X										
SP	EXTENDED STAY AMERICA INC	X				01/02/2019	2/6/2019	X										
SP	Mueller Water Products Inc	X				01/02/2019	2/6/2019	X										
SP	CORE MARK HOLDING CO	X				01/02/2019	2/6/2019	X										
SP	Eagle Materials, Inc.	X				01/02/2019	2/6/2019	X										
SP	Essential Properties Realty Trust Inc	X				01/02/2019	2/6/2019	X										
SP	Waddell & Reed Financial, Inc.	X				01/02/2019	2/6/2019	X										
SP	Lydell, Inc.	X				01/16/2019	2/6/2019	X										
SP	Potlatchdeltic Corp	X				01/02/2019	2/6/2019	X										
SP	National Bank Holdings	X				01/02/2019	2/6/2019	X										
SP	Lydell, Inc.	X				01/07/2019	2/6/2019	X										
SP	RENASANT CORP	X				01/02/2019	2/6/2019	X										
SP	TRIUMPH BANCORP	X				01/03/2019	2/6/2019	X										
SP	Lydell, Inc.	X				01/18/2019	2/6/2019	X										
SP	Riviera Resources Inc	X				01/03/2019	2/6/2019	X										
SP	Tile Shop Holdings Inc	X				01/02/2019	2/6/2019	X										
SP	Lydell, Inc.	X				01/23/2019	2/6/2019	X										
SP	XENIA HOTELS & RESORTS	X				01/02/2019	2/6/2019	X										
SP	MRC Global	X				01/02/2019	2/6/2019	X										
SP	Peapack-Gladstone Financial Corporation	X				01/09/2019	2/6/2019	X										
SP	Virtus Investment Partners Inc	X				01/02/2019	2/6/2019	X										
SP	TriState Capital Holdings Inc	X				01/17/2019	2/6/2019	X										
SP	TriState Capital Holdings Inc	X				01/10/2019	2/6/2019	X										
SP	TriState Capital Holdings Inc	X				01/02/2019	2/6/2019	X										
SP	Washington Federal Inc.	X				01/03/2019	2/6/2019	X										
SP	Peapack-Gladstone Financial Corporation	X				01/10/2019	2/6/2019	X										
SP	Lydell, Inc.	X				01/11/2019	2/6/2019	X										
SP	Washington Federal Inc.	X				01/02/2019	2/6/2019	X										
SP	TriState Capital Holdings Inc	X				01/09/2019	2/6/2019	X										
SP	Peapack-Gladstone Financial Corporation	X				01/17/2019	2/6/2019	X										

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JT SP DC	Provide full name, not ticker symbol	PURCHASE	SALE	(MM/DD/YY)	(MM/DD/YY)	A	B	C	D	E	F	G	H	I	J
		EXCHANGE				\$1,000-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$250,000	\$250,001-\$500,000	\$500,001-\$1,000,000	\$1,000,001-\$5,000,000	\$5,000,001-\$25,000,000	\$25,000,001-\$50,000,000	Over \$50,000,000
SP	OCEANFIRST FINANCIAL CORP	X		01/03/2019	2/6/2019	X									
SP	Tile Shop Holdings Inc	X		01/03/2019	2/6/2019	X									
SP	Lydell, Inc.	X		01/09/2019	2/6/2019	X									
SP	Peapack-Gladstone Financial Corporation	X		01/15/2019	2/6/2019	X									
SP	National General Holdings Corp	X		01/03/2019	2/6/2019	X									
SP	National General Holdings Corp	X		01/02/2019	2/6/2019	X									
SP	Peapack-Gladstone Financial Corporation	X		01/18/2019	2/6/2019	X									
SP	TCF Financial Corporation	X		01/03/2019	2/6/2019	X									
SP	OCEANFIRST FINANCIAL CORP	X		01/02/2019	2/6/2019	X									
SP	Peapack-Gladstone Financial Corporation	X		01/07/2019	2/6/2019	X									
SP	CRA International, Inc.	X		01/02/2019	2/6/2019	X									
SP	Peapack-Gladstone Financial Corporation	X		01/23/2019	2/6/2019	X									
SP	GCI Liberty Inc Class A	X		01/02/2019	2/6/2019	X									
SP	TCF Financial Corporation	X		01/02/2019	2/6/2019	X									
SP	Lydell, Inc.	X		01/15/2019	2/6/2019	X									
SP	Lydell, Inc.	X		01/14/2019	2/6/2019	X									
SP	Tristate Capital Holdings Inc	X		01/11/2019	2/6/2019	X									
SP	Tristate Capital Holdings Inc	X		01/14/2019	2/6/2019	X									
SP	Tristate Capital Holdings Inc	X		01/16/2019	2/6/2019	X									
SP	Tristate Capital Holdings Inc	X		01/15/2019	2/6/2019	X									
SP	Tile Shop Holdings Inc	X		01/17/2019	2/6/2019	X									
SP	Tile Shop Holdings Inc	X		01/18/2019	2/6/2019	X									
SP	GCI Liberty Inc Class A	X		01/03/2019	2/6/2019	X									
SP	Tile Shop Holdings Inc	X		01/23/2019	2/6/2019	X									
SP	Tile Shop Holdings Inc	X		01/30/2019	2/6/2019	X									
SP	Lydell, Inc.	X		01/17/2019	2/6/2019	X									
SP	Tile Shop Holdings Inc	X		01/29/2019	2/6/2019	X									
SP	KADANT INC	X		01/02/2019	2/6/2019	X									
SP	Tile Shop Holdings Inc	X		01/25/2019	2/6/2019	X									
SP	Lydell, Inc.	X		01/22/2019	2/6/2019	X									
SP	Tile Shop Holdings Inc	X		01/22/2019	2/6/2019	X									
SP	Peapack-Gladstone Financial Corporation	X		01/22/2019	2/6/2019	X									
SP	Lydell, Inc.	X		01/10/2019	2/6/2019	X									
SP	Peapack-Gladstone Financial Corporation	X		01/24/2019	2/6/2019	X									
SP	TRUMPF BANCORP	X		01/02/2019	2/6/2019	X									
SP	Peapack-Gladstone Financial Corporation	X		01/28/2019	2/6/2019	X									

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JT SP DC	Provide full name, not ticker symbol				(MM/DD/YY)	(MM/DD/YY)	A	B	C	D	E	F	G	H	I	J
		PURCHASE	SALE	EXCHANGE			\$1,000-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$250,000	\$250,001-\$500,000	\$500,001-\$1,000,000	\$1,000,001-\$5,000,000	\$5,000,001-\$25,000,000	\$25,000,001-\$50,000,000	Over \$50,000,000
SP	Lydell, Inc.	X			01/24/2019	2/6/2019	X									
SP	Riviera Resources Inc	X			01/02/2019	2/6/2019	X									
SP	Peapack-Gladstone Financial Corporation	X			01/29/2019	2/6/2019	X									
SP	Tile Shop Holdings Inc	X			01/24/2019	2/6/2019	X									
SP	Lydell, Inc.	X			01/02/2019	2/6/2019	X									
SP	Pacific Premier Bancorp, Inc.	X			01/03/2019	2/6/2019	X									
SP	CTS CORP		X		01/31/2019	2/6/2019	X									
SP	MCGRATH RENT		X		01/07/2019	2/6/2019	X									
SP	ALBANY INTL CORP		X		01/07/2019	2/6/2019	X									
SP	FEDERAL SIGNAL CORP		X		01/09/2019	2/6/2019	X									
SP	FEDERAL SIGNAL CORP		X		01/08/2019	2/6/2019	X									
SP	FEDERAL SIGNAL CORP		X		01/07/2019	2/6/2019	X									
SP	MCGRATH RENT		X		01/31/2019	2/6/2019	X									
SP	ALBANY INTL CORP		X		01/08/2019	2/6/2019	X									
SP	MCGRATH RENT		X		01/08/2019	2/6/2019	X									
SP	Ares Capital Corporation		X		01/07/2019	2/6/2019	X									
SP	Washington Federal Inc.		X		01/07/2019	2/6/2019	X									
SP	GRAYSON CNTY TEX		X		01-02-2019	2/6/2019	X									
SP	NEW JERSEY ST HIGHERED ASSISTANCE AUTHSTUDENT LN REVRFDG-SER 1A		X		01/03/2019	2/6/2019	X									
SP	Simpson Manufacturing Co		X		01/31/2019	2/6/2019	X									
SP	INDEPENDENCE KY RFDG		X		01/02/2019	2/6/2019	X									
SP	NEW YORK N Y CITYHSG DEV CORPMULTIFAMILY HSG REVREV BDS		X		01/25/2019	2/6/2019		X								
SP	MINNESOTA ST HSG FINAGY E 60415N ETCAXABLE RESIDENTIALHSG FIN BDS		X		01/02/2019	2/6/2019		X								
SP	WILLIAMSON CNTY ILLCMNTY UNIT SCH DISTNO 5 CARTERVILLE SCHDIST BDS		X		01/02/2019	2/6/2019		X								
SP	DOLLAR GEN CORP		X		01-22-2019	2/6/2019		X								
SP	PENNSYLVANIAECONOMIC DEV FINGAUTH UNEMPLOYMENTCOMPENSATION REV		X		01/02/2019	2/6/2019		X								
SP	NEW YORK N Y CITYTRANSITIONAL FINAULT BLDG AID REVREV BDS		X		01/15/2019	2/6/2019		X								
SP	TORONTO DOMINION BK ONTARIO		X		01-17-2019	2/6/2019		X								
SP	TORONTO DOMINION BK ONTARIO		X		01-15-2019	2/6/2019		X								
SP	TORONTO DOMINION BK ONTARIO		X		01-16-2019	2/6/2019		X								
SP	ECOLAB INC		X		01/02/2019	2/6/2019		X								
SP	BOOKING HLDGS INC		X		01-18-2019	2/6/2019			X							
DC	LLM FAMILY INVESTMENTS LP (13.4655% INTEREST)															
DC	VANGUARD INDEX FUNDS S&P 500 ETF	X			01/02/2019	2/6/2019							X			
DC	VANGUARD ENERGY ETF	X			01/02/2019	2/6/2019							X			
DC	VANGUARD FTSE DEVELOPED MARKETS	X			01-02-2019	2/6/2019							X			

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JT SP DC	Provide full name, not ticker symbol	PURCHASE	SALE	(MM/DD/YY)	(MM/DD/YY)	A	B	C	D	E	F	G	H	I	J
		EXCHANGE													
DC	iShares Core MSCI Emerging Markets ETF	X		01/02/2019	2/6/2019										
DC	DENVER COLO CITY &CNTY ARPT REV ARPTSYS REV BDS DENVERINTL ARPT 2016B	X		01/07/2019	2/6/2019			X							
DC	OREGON ST HSG &CMNTY SVCS DEPT MTGREV MTG REV BDS A	X		01/09/2019	2/6/2019				X						
DC	EPAM SYS INC	X		01-22-2019	2/6/2019				X						
DC	EPAM SYS INC	X		01-16-2019	2/6/2019					X					
DC	DOLLAR TREE INC	X		01-16-2019	2/6/2019						X				
DC	First Data Corp	X		01/22/2019	2/6/2019					X					
DC	NEUROCRINE BIOSCIENCES INC	X		01-17-2019	2/6/2019							X			
DC	NEUROCRINE BIOSCIENCES INC	X		01-15-2019	2/6/2019							X			
DC	NEUROCRINE BIOSCIENCES INC	X		01-18-2019	2/6/2019							X			
DC	NEUROCRINE BIOSCIENCES INC	X		01-16-2019	2/6/2019							X			
DC	EPAM SYS INC	X		01-17-2019	2/6/2019							X			
DC	EPAM SYS INC	X		01-15-2019	2/6/2019							X			
DC	HONOLULU HAWAII CITY& CNTY G O BDS	X		01/22/2019	2/6/2019										
DC	NORTHSIDE TEX INDPSTCH DIST G O REF BDS	X		01/22/2019	2/6/2019										
DC	WILLIAMSON CNTY TEXTLD TAX PARK BDS	X		01/22/2019	2/6/2019										
DC	WILLIAMSON CNTY TEXTLD TAX PARK BDS	X		01/22/2019	2/6/2019										
DC	MOORE NORMANTECHNOLOGY CTR SCHDIST NO 17 CLEVELANDCNTY OK LA BLDG BDS	X		01/18/2019	2/6/2019										
DC	MASCO CORP	X		01-16-2019	2/6/2019										
DC	TCF Financial Corporation	X		01/07/2019	2/6/2019										
DC	NEW YORK N Y	X		01-18-2019	2/6/2019										
DC	Eagle Materials, Inc.	X		01/31/2019	2/6/2019										
DC	Hudson Ltd	X		01/07/2019	2/6/2019										
DC	Eagle Materials, Inc.	X		01/03/2019	2/6/2019										
DC	MURPHY USA	X		01/07/2019	2/6/2019										
DC	ASSURANT INC	X		01/02/2019	2/6/2019										
DC	Peapack-Gladstone Financial Corporation	X		01/11/2019	2/6/2019										
DC	Peapack-Gladstone Financial Corporation	X		01/16/2019	2/6/2019										
DC	Peapack-Gladstone Financial Corporation	X		01/14/2019	2/6/2019										
DC	ECHOSTAR CORP	X		01/02/2019	2/6/2019										
DC	Magellan Health Inc	X		01/02/2019	2/6/2019										
DC	Hudson Ltd	X		01/02/2019	2/6/2019										
DC	DICKS SPORTING GOODS	X		01/02/2019	2/6/2019										
DC	Spectrum Brands, Inc	X		01/02/2019	2/6/2019										
DC	Pacific Premier Bancorp, Inc.	X		01/02/2019	2/6/2019										
DC	Mueller Water Products Inc	X		01/31/2019	2/6/2019										

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JT SP DC	Provide full name, not ticker symbol	PURCHASE	SALE	(MM/DD/YY)	(MM/DD/YY)	A	B	C	D	E	F	G	H	I	J
		EXCHANGE				\$1,000-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$250,000	\$250,001-\$500,000	\$500,001-\$1,000,000	\$1,000,001-\$5,000,000	\$5,000,001-\$25,000,000	\$25,000,001-\$50,000,000	Over \$50,000,000
DC	Smart Global Holdings Inc	X		01/02/2019	2/6/2019	X									
DC	NEXSTAR BROADCASTING GROUP	X		01/02/2019	2/6/2019	X									
DC	Simpson Manufacturing Co	X		01/02/2019	2/6/2019	X									
DC	EXTENDED STAY AMERICA INC	X		01/02/2019	2/6/2019	X									
DC	Mueller Water Products Inc	X		01/02/2019	2/6/2019	X									
DC	CORE MARK HOLDING CO	X		01/02/2019	2/6/2019	X									
DC	Eagle Materials, Inc.	X		01/02/2019	2/6/2019	X									
DC	Essential Properties Realty Trust Inc	X		01/02/2019	2/6/2019	X									
DC	Waddell & Reed Financial, Inc.	X		01/02/2019	2/6/2019	X									
DC	Lydell, Inc.	X		01/16/2019	2/6/2019	X									
DC	Potlatchdeltic Corp	X		01/02/2019	2/6/2019	X									
DC	National Bank Holdings	X		01/02/2019	2/6/2019	X									
DC	Lydell, Inc.	X		01/07/2019	2/6/2019	X									
DC	RENASANT CORP	X		01/02/2019	2/6/2019	X									
DC	TRIUMPH BANCORP	X		01/03/2019	2/6/2019	X									
DC	Lydell, Inc.	X		01/18/2019	2/6/2019	X									
DC	Riviera Resources Inc	X		01/03/2019	2/6/2019	X									
DC	Tile Shop Holdings Inc	X		01/02/2019	2/6/2019	X									
DC	Lydell, Inc.	X		01/23/2019	2/6/2019	X									
DC	XENIA HOTELS & RESORTS	X		01/02/2019	2/6/2019	X									
DC	MRC Global	X		01/02/2019	2/6/2019	X									
DC	Peapack-Gladstone Financial Corporation	X		01/09/2019	2/6/2019	X									
DC	Virtus Investment Partners Inc	X		01/02/2019	2/6/2019	X									
DC	Tristate Capital Holdings Inc	X		01/17/2019	2/6/2019	X									
DC	Tristate Capital Holdings Inc	X		01/10/2019	2/6/2019	X									
DC	Tristate Capital Holdings Inc	X		01/02/2019	2/6/2019	X									
DC	Washington Federal Inc.	X		01/03/2019	2/6/2019	X									
DC	Peapack-Gladstone Financial Corporation	X		01/10/2019	2/6/2019	X									
DC	Lydell, Inc.	X		01/11/2019	2/6/2019	X									
DC	Washington Federal Inc.	X		01/02/2019	2/6/2019	X									
DC	Tristate Capital Holdings Inc	X		01/09/2019	2/6/2019	X									
DC	Peapack-Gladstone Financial Corporation	X		01/17/2019	2/6/2019	X									
DC	OCEANFIRST FINANCIAL CORP	X		01/03/2019	2/6/2019	X									
DC	Tile Shop Holdings Inc	X		01/03/2019	2/6/2019	X									
DC	Lydell, Inc.	X		01/09/2019	2/6/2019	X									
DC	Peapack-Gladstone Financial Corporation	X		01/15/2019	2/6/2019	X									

NAME:
MICHAEL MCCAUL

FULL ASSET NAME		Type of transaction	Date of Transaction	Date Notified of Transaction	Amount of Transaction										
					A	B	C	D	E	F	G	H	I	J	
JT	Provide full name, not ticker symbol	PURCHASE	(MM/DD/YY)	(MM/DD/YY)	\$1,000-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$250,000	\$250,001-\$500,000	\$500,001-\$1,000,000	\$1,000,001-\$5,000,000	\$5,000,001-\$25,000,000	\$25,000,001-\$50,000,000	Over \$50,000,000	
SP		SALE			EXCHANGE										
DC															
DC	National General Holdings Corp	X		01/03/2019	2/6/2019	X									
DC	National General Holdings Corp	X		01/02/2019	2/6/2019	X									
DC	Peapack-Gladstone Financial Corporation	X		01/18/2019	2/6/2019	X									
DC	TCF Financial Corporation	X		01/03/2019	2/6/2019	X									
DC	OCEANFIRST FINANCIAL CORP	X		01/02/2019	2/6/2019	X									
DC	Peapack-Gladstone Financial Corporation	X		01/07/2019	2/6/2019	X									
DC	CRA International, Inc.	X		01/02/2019	2/6/2019	X									
DC	Peapack-Gladstone Financial Corporation	X		01/23/2019	2/6/2019	X									
DC	GCI Liberty Inc Class A	X		01/02/2019	2/6/2019	X									
DC	TCF Financial Corporation	X		01/02/2019	2/6/2019	X									
DC	Lydell, Inc.	X		01/15/2019	2/6/2019	X									
DC	Lydell, Inc.	X		01/14/2019	2/6/2019	X									
DC	TriState Capital Holdings Inc	X		01/11/2019	2/6/2019	X									
DC	TriState Capital Holdings Inc	X		01/14/2019	2/6/2019	X									
DC	TriState Capital Holdings Inc	X		01/16/2019	2/6/2019	X									
DC	TriState Capital Holdings Inc	X		01/15/2019	2/6/2019	X									
DC	Tile Shop Holdings Inc	X		01/17/2019	2/6/2019	X									
DC	Tile Shop Holdings Inc	X		01/18/2019	2/6/2019	X									
DC	GCI Liberty Inc Class A	X		01/03/2019	2/6/2019	X									
DC	Tile Shop Holdings Inc	X		01/23/2019	2/6/2019	X									
DC	Tile Shop Holdings Inc	X		01/30/2019	2/6/2019	X									
DC	Lydell, Inc.	X		01/17/2019	2/6/2019	X									
DC	Tile Shop Holdings Inc	X		01/29/2019	2/6/2019	X									
DC	KADANT INC	X		01/02/2019	2/6/2019	X									
DC	Tile Shop Holdings Inc	X		01/25/2019	2/6/2019	X									
DC	Lydell, Inc.	X		01/22/2019	2/6/2019	X									
DC	Tile Shop Holdings Inc	X		01/22/2019	2/6/2019	X									
DC	Peapack-Gladstone Financial Corporation	X		01/22/2019	2/6/2019	X									
DC	Lydell, Inc.	X		01/10/2019	2/6/2019	X									
DC	Peapack-Gladstone Financial Corporation	X		01/24/2019	2/6/2019	X									
DC	TRIUMPH BANCORP	X		01/02/2019	2/6/2019	X									
DC	Peapack-Gladstone Financial Corporation	X		01/28/2019	2/6/2019	X									
DC	Lydell, Inc.	X		01/24/2019	2/6/2019	X									
DC	Riviera Resources Inc	X		01/02/2019	2/6/2019	X									
DC	Peapack-Gladstone Financial Corporation	X		01/29/2019	2/6/2019	X									
DC	Tile Shop Holdings Inc	X		01/24/2019	2/6/2019	X									

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FULL ASSET NAME		Type of transaction		Date of Transaction	Date Notified of Transaction	Amount of Transaction										
JT SP DC	Provide full name, not ticker symbol	PURCHASE	SALE	EXCHANGE	(MM/DD/YY)	(MM/DD/YY)	A	B	C	D	E	F	G	H	I	J
DC	Lydell, Inc.	X			01/02/2019	2/6/2019	X									
DC	Pacific Premier Bancorp. Inc.	X			01/03/2019	2/6/2019	X									
DC	CTS CORP		X		01/31/2019	2/6/2019	X									
DC	MCGRAITH RENT		X		01/07/2019	2/6/2019	X									
DC	ALBANY INTL CORP		X		01/07/2019	2/6/2019	X									
DC	FEDERAL SIGNAL CORP		X		01/09/2019	2/6/2019	X									
DC	FEDERAL SIGNAL CORP		X		01/08/2019	2/6/2019	X									
DC	FEDERAL SIGNAL CORP		X		01/07/2019	2/6/2019	X									
DC	MCGRAITH RENT		X		01/31/2019	2/6/2019	X									
DC	ALBANY INTL CORP		X		01/08/2019	2/6/2019	X									
DC	MCGRAITH RENT		X		01/08/2019	2/6/2019	X									
DC	Aes Capital Corporation		X		01/07/2019	2/6/2019	X									
DC	Washington Federal Inc.		X		01/07/2019	2/6/2019	X									
DC	GRAYSON CNTY TEX		X		01-02-2019	2/6/2019	X									
DC	NEW JERSEY ST HIGHERED ASSISTANCE AUTHSTUDENT LN REVRFDG-SER 1A		X		01/03/2019	2/6/2019	X									
DC	Simpson Manufacturing Co		X		01/31/2019	2/6/2019	X									
DC	INDEPENDENCE KY RFDG		X		01/02/2019	2/6/2019		X								
DC	NEW YORK N Y CITYHSG DEV CORPMULTIFAMILY HSG REVREV BDS		X		01/25/2019	2/6/2019		X								
DC	MINNESOTA ST HSG FINAGY E 60415N ETCTAXABLE RESIDENTIALHSG FIN BDS		X		01/02/2019	2/6/2019		X								
DC	WILLIAMSON CNTY ILLCMNTY UNIT SCH DISTNO 5 CARTERVILLE SCHDIST BDS		X		01/02/2019	2/6/2019		X								
DC	PENNSYLVANIAECONOMIC DEV FINGAUTH UNEMPLOYMENTCOMPENSATION REV		X		01/02/2019	2/6/2019			X							
DC	DOLLAR GEN CORP		X		01-22-2019	2/6/2019			X							
DC	TORONTO DOMINION BK ONTARIO		X		01-17-2019	2/6/2019			X							
DC	TORONTO DOMINION BK ONTARIO		X		01-15-2019	2/6/2019			X							
DC	TORONTO DOMINION BK ONTARIO		X		01-16-2019	2/6/2019			X							
DC	NEW YORK N Y CITYTRANSITIONAL FINAULT BLDG AID REVREV BDS		X		01/15/2019	2/6/2019			X							
DC	ECOLAB INC		X		01/02/2019	2/6/2019			X							
DC	BOOKING HLDGS INC		X		01-18-2019	2/6/2019				X						
SP	LLM FAMILY INVESTMENTS II LP (5.6617% INTEREST)															
SP	UNITED PARCEL SERVICES	X			01/25/2019	2/6/2019			X							
SP	KROGER CO	X			01/07/2019	2/6/2019		X								
SP	DXC Technology	X			01/14/2019	2/6/2019		X								
SP	DXC Technology	X			01/16/2019	2/6/2019		X								
SP	DXC Technology	X			01/07/2019	2/6/2019		X								
SP	AXA Equitable Holdings Inc	X			01/14/2019	2/6/2019		X								
SP	AXA Equitable Holdings Inc	X			01/15/2019	2/6/2019	X									

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Provide full name, not ticker symbol						\$1,000-\$15,000	\$15,001-\$50,000	\$50,001-\$100,000	\$100,001-\$250,000	\$250,001-\$500,000	\$500,001-\$1,000,000	\$1,000,001-\$5,000,000	\$5,000,001-\$25,000,000	\$25,000,001-\$50,000,000	Over \$50,000,000
SP	AXA Equitable Holdings Inc	X		01/07/2019	2/6/2019	X									
SP	AXA Equitable Holdings Inc	X		01/02/2019	2/6/2019	X									
SP	ABBOTT LABS		X	01/14/2019	2/6/2019	X									
SP	METLIFE INC		X	01/07/2019	2/6/2019	X									
SP	LILLY ELI & CO		X	01/29/2019	2/6/2019		X								
SP	CISCO SYSTEMS INC		X	01/07/2019	2/6/2019		X								
SP	QUALCOMM INC		X	01/16/2019	2/6/2019		X								
SP	CISCO SYSTEMS INC		X	01/14/2019	2/6/2019		X								
SP	METLIFE INC		X	01/14/2019	2/6/2019		X								
SP	LILLY ELI & CO		X	01/14/2019	2/6/2019		X								
SP	ABBOTT LABS		X	01/07/2019	2/6/2019		X								
SP	CISCO SYSTEMS INC		X	01/25/2019	2/6/2019			X							
DC	2010 MCCAUL CHILDREN DESCENDANT TRUSTS														
DC	Vanguard FTSE Developed Markets ETF	X		01/02/2019	2/6/2019							X			
DC	Vanguard FTSE Developed Markets ETF	X		01/02/2019	2/6/2019							X			
DC	Vanguard FTSE Developed Markets ETF	X		01/02/2019	2/6/2019							X			