

HAND DELIVERED

18 AUG-9 PM 12:41

Initial Report ☒ Amendment ☐

Date of Report being Amended: _____

NAME:
DAVID PHILLIP ROE

State: **TN** District: **01**

Officer or Employee

Employing Office:

File an original and 1 copy.

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

☐ YES

NO

[illegible]

| FULL ASSET NAME | | TYPE OF TRANS-ACTION | | | DATE OF TRANS-ACTION | DATE NOTIFIED OF TRANS-ACTION | AMOUNT OF TRANSACTION | | | | | | | | | | |
|---------------------------------------|-----------------------------------|-------------------------------------|-------------------------------------|--------------------------|----------------------|-------------------------------|-------------------------------------|-------------------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|---------------------------|--------------------------|--|
| Provide full name, not ticker symbol. | | PURCHASE | SALE | EXCHANGE | (MO/DAY/YR) | (MO/DAY/YR) | A | B | C | D | E | F | G | H | I | J | |
| | | | | | | | \$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 | |
| JT | | | | | | | | | | | | | | | | | |
| | CARREFOUR SA SPON ADR UNSOLICITED | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/16/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | LOCKHEED MARTIN CORP UNSOLICITED | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/13/18 | 8/9/18 | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | COMPAGNIE DE SAINT-GOBAIN ADR | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/13/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | RENAULT SA UNSPONSORED ADR | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/6/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | LILLY ELI & CO UNSOLICITED | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/2/18 | 8/9/18 | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | TARGET CORP UNSOLICITED | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/2/18 | 8/9/18 | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | BB&T CORP UNSOLICITED | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | 7/30/18 | 8/9/18 | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

| FOOTNOTE NUMBER | FILER NOTES (optional) |
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| FULL ASSET NAME | | TYPE OF TRANS-ACTION | | | DATE OF TRANS-ACTION | DATE NOTIFIED OF TRANS-ACTION | AMOUNT OF TRANSACTION | | | | | | | | | | |
|-----------------|--|-------------------------------------|------|----------|----------------------|-------------------------------|-------------------------------------|-------------------------------------|--------------------|---------------------|---------------------|-----------------------|-------------------------|--------------------------|---------------------------|-------------------|--|
| | | PURCHASE | SALE | EXCHANGE | (MO/DAY/YR) | (MO/DAY/YR) | A | B | C | D | E | F | G | H | I | J | |
| | | | | | | | \$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 | |
| JT | Provide full name, not ticker symbol. | | | | | | | | | | | | | | | | |
| | DAICHI SANKYO CO LTD SPON ADR Trade#: | <input checked="" type="checkbox"/> | | | 7/27/18 | 8/9/18 | <input checked="" type="checkbox"/> | | | | | | | | | | |
| | REPSOL SA SPON ADR UNSOLICITED Trade#: | <input checked="" type="checkbox"/> | | | 7/26/18 | 8/9/18 | <input checked="" type="checkbox"/> | | | | | | | | | | |
| | ERICSSON SEK 10 NEW 2002 ADR Trade#: | <input checked="" type="checkbox"/> | | | 7/26/18 | 8/9/18 | <input checked="" type="checkbox"/> | | | | | | | | | | |
| | UNITED PARCEL SERVICE INC CL B Trade#: | <input checked="" type="checkbox"/> | | | 7/25/18 | 8/9/18 | | <input checked="" type="checkbox"/> | | | | | | | | | |
| | DAICHI SANKYO CO LTD SPON ADR Trade#: | <input checked="" type="checkbox"/> | | | 7/19/18 | 8/9/18 | <input checked="" type="checkbox"/> | | | | | | | | | | |
| | ABBVIE INC COM UNSOLICITED Trade#: | <input checked="" type="checkbox"/> | | | 7/19/18 | 8/9/18 | | <input checked="" type="checkbox"/> | | | | | | | | | |
| | VF CORP UNSOLICITED Trade#:90749 Bio | <input checked="" type="checkbox"/> | | | 7/18/18 | 8/9/18 | <input checked="" type="checkbox"/> | | | | | | | | | | |

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|---|-------------------------------------|----------------------|-------------------------------|-------------------------------------|-------------------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|---------------------------|--------------------------|--|
| | | | | A | B | C | D | E | F | G | H | I | J | |
| | | | | \$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 | |
| JT | PURCHASE SALE EXCHANGE | (MO/DAY/YR) | (MO/DAY/YR) | | | | | | | | | | | |
| Provide full name, not ticker symbol. | | | | | | | | | | | | | | |
| VODAFONE GROUP PLC SPON ADR Trade # | <input checked="" type="checkbox"/> | 7/18/18 | 8/9/18 | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| DAICHI SANKYO CO LTD SPON ADR Trade # | <input checked="" type="checkbox"/> | 7/13/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| GENL DYNAMICS CORP UNSOLICITED Trade # | <input checked="" type="checkbox"/> | 7/13/18 | 8/9/18 | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| ASTELLAS PHARMA INC ADR UNSOLICITED Trade # | <input checked="" type="checkbox"/> | 7/10/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| VERIZON COMMUNICATIONS INC Trade # | <input checked="" type="checkbox"/> | 7/9/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| APPLE INC UNSOLICITED Trade# 54170 Bid # | <input checked="" type="checkbox"/> | 7/9/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| CARNIVAL CORP NEW (PAIRED STOCK) Trade # | <input checked="" type="checkbox"/> | 7/2/18 | 8/9/18 | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

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|-----------------|--|-------------------------------------|-------------------------------------|--------------------------|------------|------------|-------------------------------------|-------------------------------|-------------------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|---------------------------|--------------------------|--|--|--|
| JT | Provide full name, not ticker symbol. | PURCHASE | SALE | EXCHANGE | (MO/DA/YR) | (MO/DA/YR) | A | B | C | D | E | F | G | H | I | J | | | |
| | | | | | | | \$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 | | | |
| | MADISON CNTY TN SCH BE/R/ Trade#:475 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/6/18 | 8/9/18 | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | |
| | REPUBLIC SERVICES INC DE Trade#:5854 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/23/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | |
| | BLACKROCK HIGH YIELD BOND I Trade#:6 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/10/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | |
| | PRAXAIR INC DE Trade#:58544 Blot:85 | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | 7/23/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | |
| | ISHARES 3-7 YEAR TREAS BOND ETF Trade#:5 | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | 7/10/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | |
| | AMERICAN TOWER CORP REIT DE Trade#:4 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/23/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | |
| | COCA COLA CO COM DE Trade#:58543 Blot:4 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/23/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | |

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| Provide full name, not ticker symbol. | | PURCHASE | SALE | EXCHANGE | (MO/DAY/YR) | (MO/DAY/YR) | A | B | C | D | E | F | G | H | I | J | |
| | | | | | | | \$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 | |
| JT | | | | | | | | | | | | | | | | | |
| | COLGATE PALMOLIVE CO DE Trade#:6502 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/23/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | DANAHER CORP DE Trade#:65025 Biot:85 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/23/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | JOHNSON & JOHNSON COM DE Trade#:58 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/23/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | MICROSOFT CORP DE Trade#:35941 Biot:1 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/16/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | MONDELEZ INTL INC DE Trade#:36294 Biot:1 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/16/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | BLACKROCK HIGH YIELD BOND I Trade#:6 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/10/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | VISA INC CL A DE Trade#:65027 Biot:85 | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | 7/23/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

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|---------------------------------------|---------------------------------------|-------------------------------------|--------------------------|--------------------------|----------------------|-------------------------------|-------------------------------------|-------------------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|---------------------------|--------------------------|--|
| Provide full name, not ticker symbol. | | PURCHASE | SALE | EXCHANGE | (MO/DAY/YR) | (MO/DAY/YR) | A | B | C | D | E | F | G | H | I | J | |
| | | | | | | | \$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 | |
| JT | | | | | | | | | | | | | | | | | |
| | ADOBE SYSTEMS INC (DELAWARE) Trade# | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/23/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | BLACKROCK INC DE Trade#:58541 Blot:85 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/23/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | ROCKWELL AUTOMATION INC NEW Trade# | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/23/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | SUNCOR ENERGY INC NEW CAD Trade#-5 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/23/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | STARBUCKS CORP DE Trade#:35942 Blot: | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/16/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | STARBUCKS CORP DE Trade#:36295 Blot: | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/16/18 | 8/9/18 | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |
| | KNOXVILLE TN GAS SR S RV BE/R/ Trade# | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | 7/25/18 | 8/9/18 | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | |

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