



Filing ID #10018662

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: John Robert Chrin
Status: Congressional Candidate
State/District: PA17

FILING INFORMATION

Filing Type: Amendment Report
Filing Year: 2017
Filing Date: 08/16/2017
Period Covered: 01/01/2016– 07/11/2017

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|-----------------------|----------------|-------------------------------|-----------------------|
| 401K ⇒ Bank Deposit - GS Bank USA | SP | \$50,001 - \$100,000 | Tax-Deferred | | |
| 401K ⇒ DFA US SMALL CAP VALUE PORTFOLIO | | \$1,001 - \$15,000 | Tax-Deferred | | |
| 401K ⇒ DODGE & COX INTERNATIONAL STOCK FUND | SP | \$15,001 - \$50,000 | Tax-Deferred | | |
| 401K ⇒ EMERGING MARKETS - T. ROWE | SP | \$1,001 - \$15,000 | Tax-Deferred | | |
| 401K ⇒ EMERGING MARKETS INDEX - SSGA | SP | \$100,001 - \$250,000 | Tax-Deferred | | |
| 401K ⇒ Goldman Sachs Group, Inc. (GS) | SP | \$100,001 - \$250,000 | Tax-Deferred | | |
| 401K ⇒ GOLDMAN SACHS HIGH YIELD FUND CLASS R6 | SP | None | Tax-Deferred | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|-----------------------|----------------|-------------------------------|-----------------------|
| 401K ⇒ GOLDMAN SACHS MID CAP VALUE FUND CLASS R6 | SP | None | Tax-Deferred | | |
| 401K ⇒ GUGGENHEIM HIGH YIELD FUND CLASS R6 | SP | \$50,001 - \$100,000 | Tax-Deferred | | |
| 401K ⇒ INTL GROWTH EQ - HARDING LOEVNER | SP | \$1,001 - \$15,000 | Tax-Deferred | | |
| 401K ⇒ ISHARES CORE AGGRESSIVE ALLOCATION ETF | | \$15,001 - \$50,000 | Tax-Deferred | | |
| 401K ⇒ MID CAP EQ INDEX - SSGA | SP | \$50,001 - \$100,000 | Tax-Deferred | | |
| 401K ⇒ MID CAP GROWTH EQ - ARTISAN | SP | \$1,001 - \$15,000 | Tax-Deferred | | |
| 401K ⇒ MID CAP VALUE EQ - SYCAMORE | SP | \$1,001 - \$15,000 | Tax-Deferred | | |
| 401K ⇒ OAKMARK INTERNATIONAL FUND INVESTOR CLASS | | \$1,001 - \$15,000 | Tax-Deferred | | |
| 401K ⇒ OPPENHEIMER DEVELOPING MARKETS FUND CLASS Y | | \$1,001 - \$15,000 | Tax-Deferred | | |
| 401K ⇒ REAL ESTATE EQ - CENTERSQUARE | SP | \$15,001 - \$50,000 | Tax-Deferred | | |
| 401K ⇒ S&P 500 INDEX - SSGA | SP | \$250,001 - \$500,000 | Tax-Deferred | | |
| 401K ⇒ SMALL CAP EQ - WELLINGTON | SP | \$50,001 - \$100,000 | Tax-Deferred | | |
| 401K ⇒ SMALL CAP EQ INDEX - SSGA | SP | \$50,001 - \$100,000 | Tax-Deferred | | |
| 401K ⇒ SPDR S&P 500 | | \$1,001 - \$15,000 | Tax-Deferred | | |

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|--|-------|----------------------|----------------|-------------------------------|-----------------------|
| 401K ⇒ VANGUARD HEALTH CARE FUND ADMIRAL SHARES | | \$1,001 - \$15,000 | Tax-Deferred | | |
| 401K ⇒ VANGUARD TOTAL STOCK MARKET ETF | | \$15,001 - \$50,000 | Tax-Deferred | | |
| 401K ⇒ WISDOMTREE EUROPE HEDGED EQUITY ETF | | \$1 - \$1,000 | Tax-Deferred | | |
| 401K - 2 ⇒ DODGE & COX BALANCED FUND | SP | \$1,001 - \$15,000 | Tax-Deferred | | |
| 401K - 2 ⇒ EATON VANCE FLOATING-RATE ADVANTAGED FUND CLASS I | SP | \$1,001 - \$15,000 | Tax-Deferred | | |
| 401K - 2 ⇒ ISHARES CORE AGGRESSIVE ALLOCATION ETF | SP | \$1,001 - \$15,000 | Tax-Deferred | | |
| 401K - 2 ⇒ OAKMARK INTERNATIONAL FUND INVESTOR CLASS | SP | \$1,001 - \$15,000 | Tax-Deferred | | |
| 401K - 2 ⇒ OPPENHEIMER DEVELOPING MARKETS FUND CLASS Y | SP | \$1,001 - \$15,000 | Tax-Deferred | | |
| 401K - 2 ⇒ SPDR S&P 500 ETF | SP | \$1,001 - \$15,000 | Tax-Deferred | | |
| 401K - 2 ⇒ VANGUARD HEALTH CARE FUND ADMIRAL SHARES | SP | \$1,001 - \$15,000 | Tax-Deferred | | |
| 401K - 2 ⇒ VANGUARD TOTAL STOCK MARKET ETF | SP | \$15,001 - \$50,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 1 ⇒ FDIC-INSURED ACCOUNT | DC | \$50,001 - \$100,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 1 ⇒ VANGUARD DEVELOPED MARKETS INDEX INSTITUTIONAL PLUS | DC | \$1,001 - \$15,000 | Tax-Deferred | | |

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|--|-------|----------------------|----------------|-------------------------------|-----------------------|
| 529 College Savings Plan - DC 1 ⇒ VANGUARD DEVELOPED MARKETS INDEX INSTITUTIONAL PLUS | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 1 ⇒ VANGUARD EMERGING MKT STOCK INDEX | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 1 ⇒ VANGUARD INSTITUTIONAL INDEX FUND INSTITUTIONAL PLUS SHARES | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 1 ⇒ VANGUARD MID-CAP INDEX FUND INSTI PLUS | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 1 ⇒ VANGUARD SHORT-TERM BOND INDEX FD INSTL PLUS | DC | \$15,001 - \$50,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 1 ⇒ VANGUARD SHORT-TERM INVESTMENT GRADE FUND INSTI SHRS | DC | \$15,001 - \$50,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 1 ⇒ VANGUARD SMALL-CAP INDEX FUND INSTI PLUS | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 1 ⇒ VANGUARD TOTAL BOND MARKET INSTI PLUS SHARES | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 1 ⇒ VANGUARD TOTAL INTL STOCK INDEX FUND INST PLUS | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 1 ⇒ VANGUARD TOTAL STOCK MARKET INDEX | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 1 ⇒ VANGUARD TOTAL STOCK MARKET INDEX | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 2 ⇒ FDIC-INSURED ACCOUNT | DC | \$50,001 - \$100,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 2 ⇒ VANGUARD DEVELOPED MARKETS INDEX | DC | \$1,001 - \$15,000 | Tax-Deferred | | |

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|---|-------|---------------------|----------------|-------------------------------|-----------------------|
| INSTITUTIONAL PLUS | | | | | |
| 529 College Savings Plan - DC 2 ⇒ VANGUARD DEVELOPED MARKETS INDEX INSTITUTIONAL PLUS | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 2 ⇒ VANGUARD EMERGING MKT STOCK INDEX | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 2 ⇒ VANGUARD INSTITUTIONAL INDEX FUND INSTITUTIONAL PLUS SHARES | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 2 ⇒ VANGUARD MID-CAP INDEX FUND INSTI PLUS | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 2 ⇒ VANGUARD SHORT-TERM BOND INDEX FD INSTL PLUS | DC | \$15,001 - \$50,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 2 ⇒ VANGUARD SHORT-TERM INVESTMENT GRADE FUND INSTI SHRS | DC | \$15,001 - \$50,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 2 ⇒ VANGUARD SMALL-CAP INDEX FUND INSTI PLUS | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 2 ⇒ VANGUARD TOTAL BOND MARKET INSTI PLUS SHARES | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 2 ⇒ VANGUARD TOTAL INTL STOCK INDEX FUND INST PLUS | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 2 ⇒ VANGUARD TOTAL STOCK MARKET INDEX | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - DC 2 ⇒ VANGUARD TOTAL STOCK MARKET INDEX | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - Self ⇒ VANGAURD TOTAL BOND MARKET INSTI PLUS SHARES | | \$1,001 - \$15,000 | Tax-Deferred | | |

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|--|-------|----------------------|----------------|-------------------------------|-----------------------|
| 529 College Savings Plan - Self ⇒ VANGUARD DEVELOPED MARKETS INDEX INSTITUTIONAL PLUS | | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - Self ⇒ VANGUARD MID-CAP INDEX FUND INSTI PLUS | | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - Self ⇒ VANGUARD SMALL-CAP INDEX FUND INSTI PLUS | | \$15,001 - \$50,000 | Tax-Deferred | | |
| 529 College Savings Plan - Self ⇒ VANGUARD TOTAL INTL STOCK INDEX FUND INST PLUS | | \$1,001 - \$15,000 | Tax-Deferred | | |
| 529 College Savings Plan - Self ⇒ VANGUARD TOTAL STOCK MARKET INDEX | | \$1,001 - \$15,000 | Tax-Deferred | | |
| Bank Account ⇒ BOILING SPRINGS SAVINGS BANK | JT | \$1 - \$1,000 | None | | |
| Bank Account ⇒ CHARLES SCHWAB - JRC | | None | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account ⇒ CHARLES SCHWAB - MODEL PORTFOLIO CASH | JT | \$1 - \$1,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account ⇒ CHARLES SCHWAB - MUNIS | JT | None | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account ⇒ CHARLES SCHWAB - PFDS PORTFOLIO CASH | JT | None | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account ⇒ CHASE - CHECKING 1 | JT | \$50,001 - \$100,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account ⇒ CHASE - CHECKING 2 | JT | \$15,001 - \$50,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account ⇒ CHASE - MONEY MARKET | JT | \$1,001 - \$15,000 | None | | |
| Bank Account ⇒ CHASE - SAVINGS | JT | \$50,001 - \$100,000 | Interest | \$1 - \$200 | \$1 - \$200 |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|----------------------|----------------|-------------------------------|-----------------------|
| Bank Account ⇒ DOLLAR SAVINGS DIRECT - SAVINGS 1 | JT | \$1 - \$1,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account ⇒ DOLLAR SAVINGS DIRECT - SAVINGS 2 | | \$1 - \$1,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account ⇒ DOLLAR SAVINGS DIRECT - SAVINGS 3 | SP | \$1,001 - \$15,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account ⇒ GOLDMAN SACHS - PE | JT | \$1,001 - \$15,000 | None | | |
| Bank Account ⇒ HAVENS SAVINGS BANK | JT | \$1 - \$1,000 | None | | |
| Bank Account ⇒ INVESTORS BANK - CHECKING 1 | JT | None | None | | |
| Bank Account ⇒ INVESTORS BANK - CHECKING 2 | JT | None | Interest | \$201 - \$1,000 | \$201 - \$1,000 |
| Bank Account ⇒ INVESTORS BANK - SAVINGS | JT | None | Interest | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Bank Account ⇒ JT BANK | JT | \$1 - \$1,000 | None | | |
| Bank Account ⇒ MILLBURN TOWNSHIP ESCROW | JT | \$1 - \$1,000 | None | | |
| DESCRIPTION: CONSTRUCTION PERMIT ESCROW HELD WITH MILLBURN TOWNSHIP, NJ | | | | | |
| Bank Account ⇒ RSI SAVINGS BANK | JT | \$1 - \$1,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account ⇒ SPENCER SAVINGS BANK | JT | \$1 - \$1,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account ⇒ WILMINGTON TRUST ESCROW | JT | \$50,001 - \$100,000 | None | | |
| DESCRIPTION: NON-INTEREST BEARING ESCROW HELD WITH WILMINGTON TRUST COMPANY | | | | | |
| Bank Account - DC 1 ⇒ BOILING SPRINGS SAVINGS BANK - SAVINGS | DC | \$1 - \$1,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| DESCRIPTION: DC 1 | | | | | |

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| Bank Account - DC 1 ⇒ CHARLES SCHWAB - DC 1 TRUST | DC | None | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account - DC 1 ⇒ CHARLES SCHWAB - LV GRAT DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account - DC 1 ⇒ CHASE - CHECKING DC 1 | DC | \$1,001 - \$15,000 | None | | |
| Bank Account - DC 1 ⇒ HAVEN SAVINGS BANK - SAVINGS DESCRIPTION: DC 1 | DC | \$1 - \$1,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account - DC 1 ⇒ INVESTORS BANK - SAVINGS DESCRIPTION: DC 1 | DC | \$1 - \$1,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account - DC 1 ⇒ SPENCER SAVINGS BANK - SAVINGS DESCRIPTION: DC 1 | DC | \$1 - \$1,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account - DC 2 ⇒ BOILING SPRINGS SAVINGS BANK - SAVINGS DESCRIPTION: DC 2 | DC | \$1 - \$1,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account - DC 2 ⇒ CHARLES SCHWAB - DC 2 TRUST | DC | None | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account - DC 2 ⇒ CHASE - CHECKING DC 2 | DC | \$1,001 - \$15,000 | None | | |
| Bank Account - DC 2 ⇒ HAVEN SAVINGS BANK - SAVINGS DESCRIPTION: DC 2 | DC | \$1 - \$1,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account - DC 2 ⇒ INVESTORS BANK - SAVINGS DESCRIPTION: DC 2 | DC | \$1 - \$1,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Bank Account - DC 2 ⇒ SPENCER SAVINGS BANK - SAVINGS DESCRIPTION: DC 2 | DC | \$1 - \$1,000 | Interest | \$1 - \$200 | \$1 - \$200 |

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|---|-------|---------------------------|--------------------------|-------------------------------|-----------------------|
| Common Stock ⇒ Abbott Laboratories (ABT) | JT | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ ADVIZR INC. | JT | \$100,001 - \$250,000 | OTHER | \$5,001 - \$15,000 | \$5,001 - \$15,000 |
| DESCRIPTION: FINANCIAL SECTOR SOFTWARE DEVELOPMENT CORPORATION. INCOME IS THE VESTING OF SHARES - OPTIONS GRANTED FOR PROVIDING STRATEGIC ADVISORY SERVICES. | | | | | |
| Common Stock ⇒ Aerie Pharmaceuticals, Inc. (AERI) | JT | \$100,001 - \$250,000 | None | | |
| Common Stock ⇒ AIRE LTD. | JT | \$250,001 - \$500,000 | OTHER | None | \$15,001 - \$50,000 |
| DESCRIPTION: COMBINATION OF COMMON AND CONVERTIBLE PREFERRED STOCK IN UNITED KINGDOM BASED START-UP. PRODUCT OFFERED IS AN ALGORITHMIC CREDIT SCORING ENGINE THAT EMULATES THE HUMAN INTELLIGENCE OF UNDERWRITERS. INCOME IS VESTING OF SHARES - OPTIONS GRANTED FOR PROVIDING STRATEGIC ADVISORY SERVICES. | | | | | |
| Common Stock ⇒ Alcoa Corporation (AA) | JT | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock ⇒ Alibaba Group Holding Limited American Depositary Shares each representing one Ordinary share (BABA) | SP | \$1,001 - \$15,000 | None | | |
| Common Stock ⇒ AmeriGas Partners, L.P. (APU) | JT | \$50,001 - \$100,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ AmeriGas Partners, L.P. (APU) | JT | None | Capital Gains, Interest | None | \$1 - \$200 |
| DESCRIPTION: SOLD IN 2016 | | | | | |
| Common Stock ⇒ Antero Midstream Partners LP Common Units representing limited partner interests (AM) | JT | \$1,001 - \$15,000 | None | | |
| Common Stock ⇒ Aralez Pharmaceuticals Inc. - Common Shares (ARLZ) | JT | \$15,001 - \$50,000 | None | | |
| Common Stock ⇒ Arconic Inc. (ARNC) | JT | None | Capital Gains, Dividends | None | \$201 - \$1,000 |
| Common Stock ⇒ Astoria Financial Corporation (AF) | JT | \$1,000,001 - \$5,000,000 | Dividends | \$5,001 - \$15,000 | \$5,001 - \$15,000 |

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|---|--------------|-----------------------|----------------------------------|--------------------------------------|------------------------------|
| Common Stock ⇒ Astoria Financial Corporation (AF) | JT | \$250,001 - \$500,000 | Dividends | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Common Stock ⇒ Astoria Financial Corporation (AF) | | \$100,001 - \$250,000 | None | | |
| Common Stock ⇒ AT&T Inc. (T) | JT | \$1 - \$1,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ Blackrock MuniYield New Jersey Fund, Inc (MYJ) | JT | \$100,001 - \$250,000 | Dividends | \$5,001 - \$15,000 | \$5,001 - \$15,000 |
| Common Stock ⇒ Boston Private Financial Holdings, Inc. - Depositary Shares representing 1/40th Interest in a Share (BPFHP) | SP | \$15,001 - \$50,000 | None | | |
| Common Stock ⇒ Buckeye Partners L.P. (BPL) | JT | \$1,001 - \$15,000 | Capital Gains | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ Capital One Financial Corporation Warrants expiring November 14, 2018 (COF.W) | JT | \$50,001 - \$100,000 | None | | |
| Common Stock ⇒ Chemours Company (CC) | JT | \$1 - \$1,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ Cisco Systems, Inc. (CSCO) | JT | \$50,001 - \$100,000 | Dividends | \$2,501 - \$5,000 | \$2,501 - \$5,000 |
| Common Stock ⇒ Cohen & Steers Inc (CNS) | JT | None | Capital Gains, Dividends | None | \$1,001 - \$2,500 |
| Common Stock ⇒ Comcast Corporation - Class A (CMCSA) | JT | \$250,001 - \$500,000 | Dividends | \$2,501 - \$5,000 | \$2,501 - \$5,000 |
| Common Stock ⇒ E.I. du Pont de Nemours and Company (DD) | JT | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ Energy Transfer Equity, L.P. Energy Transfer Equity, L.P. Common Units representing Limited Partners (ETE) | JT | \$1,001 - \$15,000 | Dividends, Interest, PARTNERSHIP | \$1 - \$200 | \$1 - \$200 |

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| Common Stock ⇒ Energy Transfer Partners, L.P. Common Units representing limited partner interests (ETP) | JT | \$1,001 - \$15,000 | Dividends, Interest | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ EnLink Midstream Partners, LP Common Units Representing Limited Partnership Interests (ENLK) | JT | \$1,001 - \$15,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ EnLink Midstream, LLC Common Units representing Limited Partner Interests (ENLC) | JT | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Common Stock ⇒ Enterprise Products Partners L.P. (EPD) | JT | \$15,001 - \$50,000 | Interest, PARTNERSHIP | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ EQT Midstream Partners, LP Common Units representing Limited Partner Interests (EQM) | JT | \$1,001 - \$15,000 | Interest, PARTNERSHIP | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ Exxon Mobil Corporation (XOM) | | \$100,001 - \$250,000 | Dividends | \$5,001 - \$15,000 | \$5,001 - \$15,000 |
| Common Stock ⇒ General Electric Company (GE) | JT | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock ⇒ General Motors Company (GM) | JT | \$100,001 - \$250,000 | Dividends | \$2,501 - \$5,000 | \$2,501 - \$5,000 |
| Common Stock ⇒ General Motors Company Warrant (GM.B) | JT | \$50,001 - \$100,000 | None | | |
| Common Stock ⇒ Genesis Energy, L.P. Common Units (GEL) | JT | \$1,001 - \$15,000 | Dividends, Interest, PARTNERSHIP | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ Goldman Sachs Group, Inc. (GS) | SP | \$1,000,001 - \$5,000,000 | Dividends | \$15,001 - \$50,000 | \$15,001 - \$50,000 |
| Common Stock ⇒ Halyard Health, Inc. (HYH) | JT | \$1,001 - \$15,000 | None | | |
| Common Stock ⇒ HIGHLANDS BK SHARES COM USD5 | SP | \$50,001 - \$100,000 | None | | |
| DESCRIPTION: TICKER HLND | | | | | |

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|---|-------|---------------------------|----------------------------|-------------------------------|-----------------------|
| Common Stock ⇒ HIGHLANDS BK SHARES COM USD5 DESCRIPTION: TICKER HLND | JT | \$1,001 - \$15,000 | None | | |
| Common Stock ⇒ Howard Bancorp, Inc. (HBMD) | JT | \$50,001 - \$100,000 | None | | |
| Common Stock ⇒ Intel Corporation (INTC) | JT | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ J P Morgan Chase & Co Warrant expiring October 28, 2018 (JPM.W) | JT | \$100,001 - \$250,000 | None | | |
| Common Stock ⇒ J.M. Smucker Company (SJM) | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ Johnson & Johnson (JNJ) | JT | \$100,001 - \$250,000 | Dividends | \$2,501 - \$5,000 | \$2,501 - \$5,000 |
| Common Stock ⇒ JP Morgan Chase & Co. (JPM) | JT | \$1,000,001 - \$5,000,000 | Dividends | \$15,001 - \$50,000 | \$15,001 - \$50,000 |
| Common Stock ⇒ JP Morgan Chase & Co. (JPM) | SP | \$250,001 - \$500,000 | Dividends | \$5,001 - \$15,000 | \$5,001 - \$15,000 |
| Common Stock ⇒ Kayne Anderson MLP Investment Company (KYN) | JT | \$50,001 - \$100,000 | None | | |
| Common Stock ⇒ Kimberly-Clark Corporation (KMB) | JT | \$100,001 - \$250,000 | Dividends | \$5,001 - \$15,000 | \$5,001 - \$15,000 |
| Common Stock ⇒ Magellan Midstream Partners L.P. Limited Partnership (MMP) | JT | \$1,001 - \$15,000 | Capital Gains, PARTNERSHIP | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Common Stock ⇒ Merck & Company, Inc. Common Stock (MRK) | JT | \$100,001 - \$250,000 | Dividends | \$2,501 - \$5,000 | \$2,501 - \$5,000 |
| Common Stock ⇒ MetLife, Inc. (MET) | JT | \$100,001 - \$250,000 | Dividends | \$2,501 - \$5,000 | \$2,501 - \$5,000 |
| Common Stock ⇒ MetLife, Inc. (MET) | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|-----------------------|--------------------------------------|-------------------------------|-----------------------|
| Common Stock ⇒ Mosaic Company (MOS) | JT | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock ⇒ MPLX LP Common Units Representing Limited Partner Interests (MPLX) | JT | \$1,001 - \$15,000 | Dividends, Interest, PARTNERSHIP | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ ONEOK Partners, L.P. (OKS) | JT | \$1,001 - \$15,000 | None | | |
| Common Stock ⇒ Paychex, Inc. (PAYX) | JT | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ Phillips 66 Partners LP Common Units representing limited partner interest in the Partnership (PSXP) | JT | \$1,001 - \$15,000 | Dividends, PARTNERSHIP | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ Plains All American Pipeline, L.P. (PAA) | JT | \$1,001 - \$15,000 | Capital Gains, Interest, PARTNERSHIP | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ PNC Financial Services Group, Inc. Warrant expiring December 31, 2018 (PNC.W) | JT | \$100,001 - \$250,000 | None | | |
| Common Stock ⇒ Pozen, Inc. (POZN) | JT | None | Capital Gains | None | \$15,001 - \$50,000 |
| Common Stock ⇒ Procter & Gamble Company (PG) | JT | \$1 - \$1,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ Shell Midstream Partners, L.P. Common Units representing Limited Partner Interests (SHLX) | JT | \$1,001 - \$15,000 | Dividends, PARTNERSHIP | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ Skytop Lodge Corporation (SKTP) | JT | \$1,001 - \$15,000 | None | | |
| Common Stock ⇒ Spectra Energy Partners, LP Common Units representing Limited Partner Interests (SEP) | JT | None | Capital Gains, PARTNERSHIP | None | \$1 - \$200 |
| DESCRIPTION: SOLD IN 2016 | | | | | |
| Common Stock ⇒ | JT | \$50,001 - | None | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|-------------------------|--------------------------------------|-------------------------------|-----------------------|
| Summit Midstream Partners, LP Common Units Representing Limited Partner Interests (SMLP) | | \$100,000 | | | |
| Common Stock ⇒ Sunoco Logistics Partners LP Common Units representing limited partner interests (SXL) | JT | \$1,001 - \$15,000 | Dividends, Interest | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ Tallgrass Energy Partners, LP Common Units representing limited partner interests (TEP) | JT | \$1,001 - \$15,000 | Dividends, Interest, PARTNERSHIP | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ Tiffany & Co. (TIF) | JT | None | Dividends | None | \$1 - \$200 |
| DESCRIPTION: DISPOSED IN 2016 | | | | | |
| Common Stock ⇒ Under Armour, Inc. Class C (UA) | JT | \$50,001 - \$100,000 | None | | |
| Common Stock ⇒ Union Pacific Corporation (UNP) | JT | \$500,001 - \$1,000,000 | Dividends | \$5,001 - \$15,000 | \$5,001 - \$15,000 |
| Common Stock ⇒ Viacom Inc. - Class B (VIAB) | JT | \$50,001 - \$100,000 | Dividends | \$2,501 - \$5,000 | \$2,501 - \$5,000 |
| Common Stock ⇒ Walt Disney Company (DIS) | JT | \$100,001 - \$250,000 | Dividends | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Common Stock ⇒ Webster Financial Corporation (WBS) | JT | \$500,001 - \$1,000,000 | Dividends | \$15,001 - \$50,000 | \$15,001 - \$50,000 |
| Common Stock ⇒ Webster Financial Corporation (WBS) | SP | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock ⇒ Wells Fargo & Company (WFC) | JT | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Common Stock ⇒ Western Gas Equity Partners, LP Common Units Representing Limited Partner Interests (WGP) | JT | \$1,001 - \$15,000 | Capital Gains, Interest, PARTNERSHIP | \$1 - \$200 | \$1 - \$200 |
| Common Stock ⇒ Williams Partners, L.P. Common Units Representing Limited Partner Interests (WPZ) | JT | \$1,001 - \$15,000 | None | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|---------------------|----------------|-------------------------------|-----------------------|
| Common Stock (DC1) ⇒ Alphabet Inc. - Class A (GOOGL) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC1) ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC1) ⇒ Amazon.com, Inc. (AMZN) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC1) ⇒ Aralez Pharmaceuticals Inc. - Common Shares (ARLZ) DESCRIPTION: HELD IN TRUST | DC | \$1 - \$1,000 | None | | |
| Common Stock (DC1) ⇒ Aralez Pharmaceuticals Inc. - Common Shares (ARLZ) | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC1) ⇒ AT&T Inc. (T) | DC | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC1) ⇒ Boston Private Financial Holdings, Inc. - Depositary Shares representing 1/40th Interest in a Share (BPFHP) DESCRIPTION: HELD IN TRUST | DC | \$15,001 - \$50,000 | Dividends | \$1,001 - \$2,500 | None |
| Common Stock (DC1) ⇒ Capital One Financial Corporation Warrants expiring November 14, 2018 (COF.W) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC1) ⇒ Chemours Company (CC) | DC | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC1) ⇒ Cisco Systems, Inc. (CSCO) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock (DC1) ⇒ Comcast Corporation - Class A (CMCSA) | DC | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC1) ⇒ Discovery Communications, Inc. - Series A (DISCA) | DC | \$1 - \$1,000 | None | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|----------------------|----------------|-------------------------------|-----------------------|
| Common Stock (DC1) ⇒ Discovery Communications, Inc. - Series C (DISCK) | DC | \$1 - \$1,000 | None | | |
| Common Stock (DC1) ⇒ E.I. du Pont de Nemours and Company (DD) | DC | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock (DC1) ⇒ Eaton Vance Floating Rate Income Trust Common Shares of Beneficial Interest (EFT) | DC | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock (DC1) ⇒ Exxon Mobil Corporation (XOM) | DC | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Common Stock (DC1) ⇒ Exxon Mobil Corporation (XOM) | DC | \$1 - \$1,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC1) ⇒ First Solar, Inc. (FSLR) | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC1) ⇒ General Electric Company (GE) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC1) ⇒ General Motors Company (GM) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC1) ⇒ General Motors Company (GM) | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC1) ⇒ General Motors Company Warrant (GM.B) | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC1) ⇒ General Motors Company Warrant (GM.B) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC1) ⇒ Goldman Sachs Group, Inc. (GS) DESCRIPTION: HELD IN TRUST | DC | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock (DC1) ⇒ International Business Machines Corporation (IBM) | DC | \$1,001 - \$15,000 | None | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|---------------------|--------------------------|-------------------------------|-----------------------|
| DESCRIPTION: HELD IN TRUST | | | | | |
| Common Stock (DC1) ⇒ Johnson & Johnson (JNJ) | DC | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC1) ⇒ Johnson & Johnson (JNJ) | DC | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock (DC1) ⇒ JP Morgan Chase & Co. (JPM) | DC | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| DESCRIPTION: HELD IN TRUST | | | | | |
| Common Stock (DC1) ⇒ Liberty Global plc - Class A Ordinary Shares (LBTYA) | DC | \$1 - \$1,000 | Capital Gains | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC1) ⇒ Liberty Global plc - Class C Ordinary Shares (LBTYK) | DC | \$1 - \$1,000 | Capital Gains | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC1) ⇒ Liberty Global plc - Class C Ordinary Shares (LILAK) | DC | \$1 - \$1,000 | Capital Gains | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC1) ⇒ Liberty Media Corporation - Series A Liberty SiriusXM (LSXMA) | DC | \$1 - \$1,000 | None | | |
| Common Stock (DC1) ⇒ Liberty Media Corporation - Series C Liberty SiriusXM (LSXMK) | DC | \$1 - \$1,000 | None | | |
| Common Stock (DC1) ⇒ Merck & Company, Inc. Common Stock (MRK) | DC | \$15,001 - \$50,000 | Capital Gains, Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock (DC1) ⇒ Mosaic Company (MOS) | DC | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock (DC1) ⇒ MPLX LP Common Units Representing Limited Partner Interests (MPLX) | DC | \$1,001 - \$15,000 | Dividends, Interest | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC1) ⇒ PayPal Holdings, Inc. (PYPL) | DC | \$1,001 - \$15,000 | None | | |
| DESCRIPTION: HELD IN TRUST | | | | | |
| Common Stock (DC1) ⇒ Pozen, Inc. (POZN) | DC | None | Capital Gains | None | \$2,501 - \$5,000 |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|-----------------------|----------------|-------------------------------|-----------------------|
| DESCRIPTION: DISPOSED IN 2016 | | | | | |
| Common Stock (DC1) ⇒ Procter & Gamble Company (PG) | DC | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC1) ⇒ Skytop Lodge Corporation (SKTP) | DC | \$1 - \$1,000 | None | | |
| DESCRIPTION: HELD IN TRUST | | | | | |
| Common Stock (DC1) ⇒ Snap Inc. Class A (SNAP) | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC1) ⇒ Starz - Series A (STRZA) | DC | None | Capital Gains | \$1 - \$200 | \$1 - \$200 |
| DESCRIPTION: DISPOSED IN 2016 | | | | | |
| Common Stock (DC1) ⇒ Summit Midstream Partners, LP Common Units Representing Limited Partner Interests (SMLP) | DC | \$15,001 - \$50,000 | None | | |
| Common Stock (DC1) ⇒ Tiffany & Co. (TIF) | DC | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC1) ⇒ Tiffany & Co. (TIF) | DC | \$1 - \$1,000 | None | | |
| DESCRIPTION: HELD IN TRUST | | | | | |
| Common Stock (DC1) ⇒ Under Armour, Inc. Class A (UAA) | DC | \$1,001 - \$15,000 | None | | |
| DESCRIPTION: HELD IN TRUST | | | | | |
| Common Stock (DC1) ⇒ Viacom Inc. - Class B (VIAB) | DC | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock (DC1) ⇒ Walt Disney Company (DIS) | DC | \$100,001 - \$250,000 | Dividends | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Common Stock (DC1) ⇒ Webster Financial Corporation (WBS) | DC | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock (DC2) ⇒ Alphabet Inc. - Class A (GOOGL) | DC | \$1,001 - \$15,000 | None | | |
| DESCRIPTION: HELD IN TRUST | | | | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|--------------|-----------------------|-----------------------|--------------------------------------|------------------------------|
| Common Stock (DC2) ⇒ Alphabet Inc. - Class C Capital Stock (GOOG) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC2) ⇒ Amazon.com, Inc. (AMZN) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC2) ⇒ Aralez Pharmaceuticals Inc. - Common Shares (ARLZ) DESCRIPTION: HELD IN TRUST | DC | \$1 - \$1,000 | None | | |
| Common Stock (DC2) ⇒ Aralez Pharmaceuticals Inc. - Common Shares (ARLZ) | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC2) ⇒ Capital One Financial Corporation Warrants expiring November 14, 2018 (COF.W) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC2) ⇒ Cisco Systems, Inc. (CSCO) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock (DC2) ⇒ Citigroup Capital VIII 7.875% Fixed rate Floating Rate trust Preferred Securities (C\$N) DESCRIPTION: HELD IN TRUST | DC | \$50,001 - \$100,000 | Interest | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock (DC2) ⇒ Discovery Communications, Inc. - Series A (DISCA) | DC | \$1 - \$1,000 | None | | |
| Common Stock (DC2) ⇒ Discovery Communications, Inc. - Series C (DISCK) | DC | \$1 - \$1,000 | None | | |
| Common Stock (DC2) ⇒ Eaton Vance Floating Rate Income Trust Common Shares of Beneficial Interest (EFT) | DC | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC2) ⇒ Express Scripts Holding Company (ESRX) | DC | \$1 - \$1,000 | None | | |
| Common Stock (DC2) ⇒ Exxon Mobil Corporation (XOM) | DC | \$15,001 - \$50,000 | Dividends | \$1,001 - \$2,500 | \$1,001 - \$2,500 |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|---------------------|----------------|-------------------------------|-----------------------|
| Common Stock (DC2) ⇒ General Electric Company (GE) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC2) ⇒ General Motors Company (GM) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC2) ⇒ General Motors Company (GM) | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC2) ⇒ General Motors Company Warrant (GM.B) | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC2) ⇒ General Motors Company Warrant (GM.B) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC2) ⇒ GMAC Capital Trust I Fixed Rate Floating Rate Trust Preferred Securities, Series 2 (ALLY\$A) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC2) ⇒ Goldman Sachs Group, Inc. (GS) DESCRIPTION: HELD IN TRUST | DC | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock (DC2) ⇒ International Business Machines Corporation (IBM) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC2) ⇒ Johnson & Johnson (JNJ) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC2) ⇒ Johnson & Johnson (JNJ) | DC | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock (DC2) ⇒ JP Morgan Chase & Co. (JPM) DESCRIPTION: HELD IN TRUST | DC | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock (DC2) ⇒ Liberty Global plc - Class A Ordinary Shares (LBTYA) | DC | \$1 - \$1,000 | Capital Gains | \$1 - \$200 | \$1 - \$200 |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|---------------------|-----------------------------|-------------------------------|-----------------------|
| Common Stock (DC2) ⇒ Liberty Global plc - Class C Ordinary Shares (LILAK) | DC | \$1 - \$1,000 | None | | |
| Common Stock (DC2) ⇒ Liberty Global plc - Class C Ordinary Shares (LBTYK) | DC | \$1 - \$1,000 | Capital Gains | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC2) ⇒ Merck & Company, Inc. Common Stock (MRK) | DC | \$15,001 - \$50,000 | Capital Gains, Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock (DC2) ⇒ Mosaic Company (MOS) | DC | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC2) ⇒ MPLX LP Common Units Representing Limited Partner Interests (MPLX) | DC | \$1,001 - \$15,000 | Dividends, Interest | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC2) ⇒ PayPal Holdings, Inc. (PYPL) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC2) ⇒ Pozen, Inc. (POZN) DESCRIPTION: MERGER IN 2016 | DC | None | Capital Gains | None | \$1,001 - \$2,500 |
| Common Stock (DC2) ⇒ Skytop Lodge Corporation (SKTP) DESCRIPTION: HELD IN TRUST | DC | \$1 - \$1,000 | None | | |
| Common Stock (DC2) ⇒ Snap Inc. Class A (SNAP) | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC2) ⇒ Summit Midstream Partners, LP Common Units Representing Limited Partner Interests (SMLP) | DC | \$1,001 - \$15,000 | None | | |
| Common Stock (DC2) ⇒ Tiffany & Co. (TIF) | DC | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC2) ⇒ Tiffany & Co. (TIF) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Common Stock (DC2) ⇒ Under Armour, Inc. Class A (UAA) | DC | \$1,001 - \$15,000 | None | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|-----------------------|-----------------------------|-------------------------------|-----------------------|
| DESCRIPTION: HELD IN TRUST | | | | | |
| Common Stock (DC2) ⇒ Viacom Inc. - Class B (VIAB) | DC | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Common Stock (DC2) ⇒ Walt Disney Company (DIS) | DC | \$100,001 - \$250,000 | Dividends | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Common Stock (DC2) ⇒ Webster Financial Corporation (WBS) | DC | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Convertible Note ⇒ BEVISIBLE | JT | \$1,001 - \$15,000 | None | | |
| DESCRIPTION: SEED/ANGEL CAPITAL INVESTMENT. BEVISIBLE IS HEADQUARTERED IN BOULDER, COLORADO AND IS A PROFESSIONAL CAREER NETWORK FOR LATINX. | | | | | |
| ETF ⇒ Barron's 400 | JT | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| ETF ⇒ SCHWAB U.S. BROAD MARKET ETF | JT | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| ETF ⇒ SPDR GOLD TRUST | JT | \$15,001 - \$50,000 | None | | |
| ETF ⇒ SPDR S&P 500 | JT | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| ETF ⇒ VANECK VECTORS RUSSIA ETF | JT | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| ETF ⇒ VANGUARD REIT ETF - DNQ | JT | \$15,001 - \$50,000 | Capital Gains, Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| ETF ⇒ VANGUARD TOTAL STOCK MARKET ETF | JT | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| ETF ⇒ VANGUARD TOTAL STOCK MARKET ETF | JT | \$100,001 - \$250,000 | Dividends | \$2,501 - \$5,000 | \$2,501 - \$5,000 |
| ETF ⇒ WISDOMTREE EUROPE HEDGED EQUITY FUND | JT | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|---------------------|--------------------------|-------------------------------|-----------------------|
| ETF (DC1) ⇒ SCHWAB U.S. BROAD MARKET ETF DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| ETF (DC1) ⇒ SPDR SELECT SECTOR FUND - TECHNOLOGY | DC | \$1,001 - \$15,000 | None | | |
| ETF (DC1) ⇒ VANGUARD TOTAL STOCK MARKET ETF | DC | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| ETF (DC2) ⇒ SCHWAB U.S. BROAD MARKET ETF DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| ETF (DC2) ⇒ SPDR SELECT SECTOR FUND - TECHNOLOGY | DC | \$1,001 - \$15,000 | None | | |
| ETF (DC2) ⇒ VANGUARD HEALTH CARE ETF DESCRIPTION: DISPOSED IN 2016 | DC | None | Capital Gains, Dividends | \$1 - \$200 | \$1 - \$200 |
| Health Savings Account (HSA) ⇒ Citigroup Capital VIII 7.875% Fixed rate Floating Rate trust Preferred Securities (C\$N) | SP | \$15,001 - \$50,000 | Tax-Deferred | | |
| Health Savings Account (HSA) ⇒ DOUBLELINE TOTAL RETURN BOND FUND CLASS N | SP | \$1 - \$1,000 | Tax-Deferred | | |
| Health Savings Account (HSA) ⇒ FPA CRESCENT FUND | SP | \$1,001 - \$15,000 | Tax-Deferred | | |
| Health Savings Account (HSA) ⇒ GMAC Capital Trust I Fixed Rate Floating Rate Trust Preferred Securities, Series 2 (ALLY\$A) | SP | \$1,001 - \$15,000 | Tax-Deferred | | |
| Health Savings Account (HSA) ⇒ HSA SAVINGS | SP | \$1 - \$1,000 | None | | |
| Health Savings Account (HSA) ⇒ ISHARES S&P AGGRESSIVE ALLOCATION FD ETF | SP | \$15,001 - \$50,000 | Tax-Deferred | | |
| Health Savings Account (HSA) ⇒ VANGUARD TOTAL STOCK MARKET ETF | SP | \$1,001 - \$15,000 | Tax-Deferred | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|---------------------------|---|-------------------------------|-------------------------|
| Hedge Funds & Private Equity Funds (EIF) ⇒ ACCOLADE PARTNERS V LP | JT | \$100,001 - \$250,000 | Capital Gains, Dividends, Interest, PARTNERSHIP | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Hedge Funds & Private Equity Funds (EIF) ⇒ ACCOLADE PARTNERS VI LP | JT | \$1,001 - \$15,000 | Capital Gains, Dividends, Interest, PARTNERSHIP | None | None |
| Hedge Funds & Private Equity Funds (EIF) ⇒ ANDALUSIAN CORPORATE OPPORTUNITIES FUND LP | JT | None | Capital Gains, Dividends, Interest, PARTNERSHIP | None | \$5,001 - \$15,000 |
| DESCRIPTION: DISPOSED IN 2016 | | | | | |
| Hedge Funds & Private Equity Funds (EIF) ⇒ CENTURY FOCUSED FUND III LP | JT | \$100,001 - \$250,000 | Capital Gains, Dividends, PARTNERSHIP | \$2,501 - \$5,000 | \$2,501 - \$5,000 |
| Hedge Funds & Private Equity Funds (EIF) ⇒ CENTURY FOCUSED FUND IV LP | JT | \$15,001 - \$50,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Hedge Funds & Private Equity Funds (EIF) ⇒ ENERGY CAPITAL PARTNERS MEZZANINE OPPORTUNITIES FUND A LP | JT | \$250,001 - \$500,000 | Capital Gains, Dividends, Interest, PARTNERSHIP | \$100,001 - \$1,000,000 | \$100,001 - \$1,000,000 |
| Hedge Funds & Private Equity Funds (EIF) ⇒ FENWAY SUMMER VENTURES LP | JT | \$100,001 - \$250,000 | Dividends, Interest, PARTNERSHIP | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Hedge Funds & Private Equity Funds (EIF) ⇒ GS CONCENTRATED MEZZANINE & DISTRESSED FUND LP | JT | \$15,001 - \$50,000 | Capital Gains, Dividends, Interest, PARTNERSHIP | \$5,001 - \$15,000 | \$5,001 - \$15,000 |
| Hedge Funds & Private Equity Funds (EIF) ⇒ GS VINTAGE II EMPLOYEE FUND LP | JT | \$1,001 - \$15,000 | Capital Gains, Dividends, Interest, PARTNERSHIP | \$201 - \$1,000 | \$201 - \$1,000 |
| Hedge Funds & Private Equity Funds (EIF) ⇒ HEC ONSHORE FUND LP | JT | \$1,000,001 - \$5,000,000 | Capital Gains, Dividends, Interest, PARTNERSHIP | \$15,001 - \$50,000 | \$15,001 - \$50,000 |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|-------------------------|---|-------------------------------|-------------------------|
| Hedge Funds & Private Equity Funds (EIF) ⇒ MCNALLY CAPITAL MEZZANINE FUND II LP | JT | \$250,001 - \$500,000 | Capital Gains, Dividends, Interest, PARTNERSHIP | \$50,001 - \$100,000 | \$50,001 - \$100,000 |
| Hedge Funds & Private Equity Funds (EIF) ⇒ STERLING AMERICAN PROPERTY V LP | JT | \$250,001 - \$500,000 | Capital Gains, Interest, PARTNERSHIP, Rent | \$100,001 - \$1,000,000 | \$100,001 - \$1,000,000 |
| Hedge Funds & Private Equity Funds (EIF) ⇒ STONE STREET PEP TECHNOLOGY FUND 2000 LP | JT | \$1,001 - \$15,000 | Capital Gains, Dividends, Interest, PARTNERSHIP | \$2,501 - \$5,000 | \$2,501 - \$5,000 |
| Hedge Funds & Private Equity Funds (EIF) ⇒ THE LUCERNE CAPITAL FUND LP | JT | \$500,001 - \$1,000,000 | Capital Gains, Dividends, Interest, PARTNERSHIP | \$50,001 - \$100,000 | \$50,001 - \$100,000 |
| Hedge Funds & Private Equity Funds (EIF) ⇒ USFRT KINSTON PARTNERS II LP | | \$250,001 - \$500,000 | Interest, FARM INCOME, Rent | \$2,501 - \$5,000 | \$2,501 - \$5,000 |
| Hedge Funds & Private Equity Funds (EIF) ⇒ USFRT KINSTON PARTNERS II-A LP | JT | \$250,001 - \$500,000 | FARM INCOME, Rent | \$2,501 - \$5,000 | \$2,501 - \$5,000 |
| Hedge Funds & Private Equity Funds (EIF) ⇒ WHITEHALL STREET GLOBAL EMPLOYEE FUND 2001 LP | JT | \$1,001 - \$15,000 | Capital Gains, Dividends, Interest, PARTNERSHIP | \$201 - \$1,000 | \$201 - \$1,000 |
| Hedge Funds & Private Equity Funds (NON-EIF) ⇒ CENTURY FOCUSED FUND III, GP | | \$100,001 - \$250,000 | Capital Gains, Dividends, PARTNERSHIP | \$15,001 - \$50,000 | \$15,001 - \$50,000 |
| DESCRIPTION: SOLE ASSET HELD IN FUND IS A LIMITED PARTNER INTEREST IN CENTURY FOCUSED FUND III LP WHICH QUALIFIES AS AN EIF. | | | | | |
| Hedge Funds & Private Equity Funds (NON-EIF) ⇒ CENTURY FOCUSED FUND IV, GP | | \$1,001 - \$15,000 | PARTNERSHIP | None | None |
| DESCRIPTION: SOLE ASSET HELD IN FUND IS A LIMITED PARTNER INTEREST IN CENTURY FOCUSED FUND IV LP WHICH QUALIFIES AS AN EIF. | | | | | |
| IRA ⇒ Aralez Pharmaceuticals Inc. - Common Shares (ARLZ) | | \$1 - \$1,000 | Tax-Deferred | | |
| IRA ⇒ ARTISAN GLOBAL VALUE FUND INVESTOR | | \$1 - \$1,000 | Tax-Deferred | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|----------------------|----------------|-------------------------------|-----------------------|
| SHARES | | | | | |
| IRA ⇒ ARTISAN SMALL CAP FUND INVESTOR SHARES | | \$1,001 - \$15,000 | Tax-Deferred | | |
| IRA ⇒ Citigroup Capital VIII 7.875% Fixed rate Floating Rate trust Preferred Securities (C\$N) | | \$50,001 - \$100,000 | Tax-Deferred | | |
| IRA ⇒ Citigroup Capital VIII 7.875% Fixed rate Floating Rate trust Preferred Securities (C\$N) | SP | \$15,001 - \$50,000 | Tax-Deferred | | |
| IRA ⇒ DOUBLELINE TOTAL RETURN BOND FUND CLASS N | SP | \$1 - \$1,000 | Tax-Deferred | | |
| IRA ⇒ DOUBLELINE TOTAL RETURN BOND FUND CLASS N | | \$1 - \$1,000 | Tax-Deferred | | |
| IRA ⇒ FMI LARGE CAP INVESTOR CLASS | | \$1,001 - \$15,000 | Tax-Deferred | | |
| IRA ⇒ GENERAL MOTORS CO 19 WTS WARRANTS EXP 07/10/19 | | \$1,001 - \$15,000 | Tax-Deferred | | |
| IRA ⇒ GMAC Capital Trust I Fixed Rate Floating Rate Trust Preferred Securities, Series 2 (ALLY\$A) | | \$1,001 - \$15,000 | Tax-Deferred | | |
| IRA ⇒ MATTHEWS ASIAN GROWTH AND INCOME FUND INVESTOR CLASS | | \$1,001 - \$15,000 | Tax-Deferred | | |
| IRA ⇒ PARNASSUS CORE EQUITY FUND - INVESTOR SHARES | | \$1,001 - \$15,000 | Tax-Deferred | | |
| IRA ⇒ SCHWAB TOTAL STOCK MARKET INDEX FD SELECT SHS A SERIES OF SCHWAB | | \$1,001 - \$15,000 | Tax-Deferred | | |
| IRA ⇒ SCHWAB TOTAL STOCK MARKET INDEX FD | SP | \$1,001 - \$15,000 | Tax-Deferred | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|-------------------------|----------------|-------------------------------|-----------------------|
| SELECT SHS A SERIES OF SCHWAB | | | | | |
| IRA ⇒ SCHWAB US BROAD MARKET ETF | SP | \$1,001 - \$15,000 | Tax-Deferred | | |
| Life Insurance ⇒ METLIFE - WHOLE LIFE #1 | | \$1,001 - \$15,000 | None | | |
| Life Insurance ⇒ METLIFE - WHOLE LIFE #2 | | \$1,001 - \$15,000 | None | | |
| Life Insurance ⇒ NORTHWESTERN MUTUAL - ESTATE COMPLIFE | | \$500,001 - \$1,000,000 | None | | |
| Life Insurance ⇒ NORTHWESTERN MUTUAL - WHOLE LIFE | | \$15,001 - \$50,000 | None | | |
| Life Insurance - DC 1 ⇒ NORTHWESTERN MUTUAL - CASH VALUE | DC | \$15,001 - \$50,000 | Tax-Deferred | | |
| Life Insurance - DC 1 ⇒ NORTHWESTERN MUTUAL - ILIT | DC | \$100,001 - \$250,000 | Tax-Deferred | | |
| DESCRIPTION: HELD IN TRUST (ILIT). SECOND TO DIE POLICY. | | | | | |
| Life Insurance - DC 2 ⇒ NORTHWESTERN MUTUAL - CASH VALUE | DC | \$15,001 - \$50,000 | Tax-Deferred | | |
| Life Insurance - DC 2 ⇒ NORTHWESTERN MUTUAL - ILIT | DC | \$100,001 - \$250,000 | Tax-Deferred | | |
| DESCRIPTION: HELD IN TRUST (ILIT). SECOND TO DIE POLICY. | | | | | |
| Municipal Bonds ⇒ CALIFNORNIA EDL FACS AUTH REV 0.000% | JT | \$15,001 - \$50,000 | None | | |
| Municipal Bonds ⇒ CT ST HLTH & ED FA | JT | None | Interest | None | \$1,001 - \$2,500 |
| DESCRIPTION: DISPOSED IN 2016 | | | | | |
| Municipal Bonds ⇒ EL PASO TEX 4.500% 08/15/32 | JT | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 | \$201 - \$1,000 |
| Municipal Bonds ⇒ FORNEY TEX INDPT SCH DIST 0.000% 08/15/44 | JT | \$1,001 - \$15,000 | None | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|-------------------------|----------------|-------------------------------|-----------------------|
| Municipal Bonds ⇒ HOUSTON TEX HIGHER ED FIN CORP 4.500% 11/15/37 | JT | \$1,001 - \$15,000 | Interest | \$5,001 - \$15,000 | \$5,001 - \$15,000 |
| Municipal Bonds ⇒ LEANDER TEX INDPT SCH DIST 0.000% | JT | \$100,001 - \$250,000 | None | | |
| Municipal Bonds ⇒ LUBBOCK COOPER TEX INDPT SCH D 0.000% | JT | \$15,001 - \$50,000 | None | | |
| Municipal Bonds ⇒ MILLBURN TWP NJ BRD ED | JT | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | \$201 - \$1,000 |
| Municipal Bonds ⇒ MISSOURI HEALTH & EDL FACS | JT | \$15,001 - \$50,000 | Interest | \$2,501 - \$5,000 | \$2,501 - \$5,000 |
| Municipal Bonds ⇒ NEW JERSEY ECONOMIC DEV AUTH | JT | \$1,001 - \$15,000 | None | | |
| Municipal Bonds ⇒ NEW JERSEY ENVIRONMENTAL INFRA | JT | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | \$201 - \$1,000 |
| Municipal Bonds ⇒ NEW JERSEY ST EDL FACS AUTH RE | JT | \$500,001 - \$1,000,000 | Interest | \$15,001 - \$50,000 | \$15,001 - \$50,000 |
| Municipal Bonds ⇒ NJ ECON DEV AUTH 5% DESCRIPTION: DISPOSED IN 2016 | JT | None | Interest | None | \$1 - \$200 |
| Municipal Bonds ⇒ NJ ST EDL FAC AUTH 5% DESCRIPTION: DISPOSED IN 2016 | JT | None | Interest | None | \$201 - \$1,000 |
| Municipal Bonds ⇒ NORTH CAROLINA CAP FAC FA DESCRIPTION: DISPOSED IN 2016 | JT | None | Interest | None | \$5,001 - \$15,000 |
| Municipal Bonds ⇒ NORTHAMPTON CNTY PA GEN PURP A | JT | \$50,001 - \$100,000 | Interest | \$2,501 - \$5,000 | \$2,501 - \$5,000 |
| Municipal Bonds ⇒ PRIVATE COLLEGES & UNIVS AUTH | JT | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 | \$201 - \$1,000 |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|---------------------|----------------|-------------------------------|-----------------------|
| Municipal Bonds ⇒ RHODE ISLAND HEALTH & EDL BLDG | JT | \$15,001 - \$50,000 | Interest | \$5,001 - \$15,000 | \$5,001 - \$15,000 |
| Municipal Bonds ⇒ SUNNYVALE TEX SCH DIST 0.000% | JT | \$15,001 - \$50,000 | None | | |
| Municipal Bonds ⇒ SWARTHMORE BORO AUTH PA COLLEGE | JT | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Municipal Bonds ⇒ UNIVERSITY N C CHAPEL HILL REV 4.500% 12/01/28 | JT | None | Interest | None | \$201 - \$1,000 |
| Municipal Bonds ⇒ UNIVERSITY NC CHAPEL HILL REV | JT | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 | \$201 - \$1,000 |
| Municipal Bonds ⇒ UNIVERSITY TEX PERM UNIV FED | JT | \$15,001 - \$50,000 | Interest | \$2,501 - \$5,000 | \$2,501 - \$5,000 |
| Municipal Bonds ⇒ UNIVERSITY TEX UNIV REVS | JT | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | \$201 - \$1,000 |
| Municipal Bonds ⇒ UNIVERSITY VA UNIV REVS | JT | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Municipal Bonds ⇒ UNIVERSITY WASH UNIV REVS | JT | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 | \$201 - \$1,000 |
| Municipal Bonds ⇒ WESTWOOD NJ REGL SCH DIST | JT | \$1,001 - \$15,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Municipal Bonds ⇒ WOODLAND PK NJ | JT | \$1,001 - \$15,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Municipal Bonds - DC 1 ⇒ LEANDER TEX INDPT SCH DIST 0.000% 08/15/47 DESCRIPTION: CUSIP 521841DS2 | DC | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 | \$201 - \$1,000 |
| Municipal Bonds - DC 2 ⇒ LEANDER TEX INDPT SCH DIST 0.000% 08/15/47 DESCRIPTION: CUSIP 521841DS2 | DC | \$1,001 - \$15,000 | None | | |
| Municipal Bonds - Held in Trust ⇒ CT ST HLTH & ED 5.05% | DC | None | Interest | \$201 - \$1,000 | \$1,001 - \$2,500 |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|----------------------|--------------------------|-------------------------------|-----------------------|
| DESCRIPTION: DISPOSED IN 2017 | | | | | |
| Municipal Bonds - Held in Trust ⇒ NJ ST EDL FAC AUTH 5% | DC | None | Interest | \$1 - \$200 | \$1 - \$200 |
| DESCRIPTION: DISPOSED IN 2017 | | | | | |
| Municipal Bonds - Held in Trust ⇒ UNIVERSITY OF NORTH CAROLINA CHAPEL HILL 4.375% | DC | None | Interest | None | \$201 - \$1,000 |
| DESCRIPTION: DISPOSED IN 2016 | | | | | |
| Mutual Funds ⇒ AMG YACKTMAN FUND SVC CL | JT | None | Capital Gains | None | \$201 - \$1,000 |
| Mutual Funds ⇒ ARTISAN GLOBAL VALUE INVESTOR SHARES | JT | \$50,001 - \$100,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Mutual Funds ⇒ ARTISAN INTERNATIONAL VALUE FUND ADVISOR SHARES | JT | \$15,001 - \$50,000 | Capital Gains, Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Mutual Funds ⇒ ARTISAN INTERNATIONAL VALUE FUND ADVISOR SHARES | JT | \$1 - \$1,000 | Capital Gains, Dividends | \$1 - \$200 | \$1 - \$200 |
| Mutual Funds ⇒ ARTISAN SMALL CAP FUND INV SHS | JT | \$1,001 - \$15,000 | Capital Gains | \$1 - \$200 | \$1 - \$200 |
| Mutual Funds ⇒ ARTISAN SMALL CAP FUND INVESTOR SHARES | JT | \$15,001 - \$50,000 | Capital Gains | \$201 - \$1,000 | \$201 - \$1,000 |
| Mutual Funds ⇒ ARTISAN SMALL CAP FUND INVESTOR SHARES | JT | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Mutual Funds ⇒ DFA GLOBAL REAL ESTATE SECURITIES PTF | JT | \$15,001 - \$50,000 | Capital Gains, Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Mutual Funds ⇒ DFA U.S. SMALL CAP PORTFOLIO | JT | \$15,001 - \$50,000 | Capital Gains, Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Mutual Funds ⇒ DODGE & COX INTERNATIONAL STOCK FUND | JT | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1 - \$200 | \$1 - \$200 |
| Mutual Funds ⇒ DOUBLELINE FDS TR TOTAL RETURN BD FD CL I | JT | None | Dividends | None | \$201 - \$1,000 |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|-------------------------|--------------------------|-------------------------------|-----------------------|
| Mutual Funds ⇒ DOUBLELINE TOTAL RETURN BOND FUND CLASS I | JT | \$1,001 - \$15,000 | Dividends | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Mutual Funds ⇒ EATON VANE FLOATING-RATE ADVANTAGE FUND CLASS A | JT | \$1 - \$1,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Mutual Funds ⇒ FMI INTERNATIONAL FUND INVESTOR CLASS | JT | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1 - \$200 | \$1 - \$200 |
| Mutual Funds ⇒ FMI LARGE CAP FUND INVESTOR CLASS | JT | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Mutual Funds ⇒ FMI LARGE CAP INVESTOR CLASS | JT | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Mutual Funds ⇒ FPA FUNDS TRUST, FPA CRESCENT PORTFOLIO INSTITUTIONAL CLASS | JT | \$100,001 - \$250,000 | Capital Gains, Dividends | \$5,001 - \$15,000 | \$5,001 - \$15,000 |
| Mutual Funds ⇒ FPA FUNDS TRUST, FPA CRESCENT PORTFOLIO INSTITUTIONAL CLASS | JT | \$500,001 - \$1,000,000 | Capital Gains, Dividends | \$15,001 - \$50,000 | \$15,001 - \$50,000 |
| Mutual Funds ⇒ FPA FUNDS TRUST, FPA CRESCENT PORTFOLIO INSTITUTIONAL CLASS | JT | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Mutual Funds ⇒ GOLDMAN SACHS MLP ENERGY INFRASTRUCTURE INSTITUTIONAL SHARES | JT | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Mutual Funds ⇒ MAINGATE MLP FUND CLASS A | JT | \$1 - \$1,000 | None | | |
| Mutual Funds ⇒ MATTHEWS ASIAN GROWTH AND INCOME FUND INVESTOR CLASS | JT | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Mutual Funds ⇒ MATTHEWS PACIFIC TIGER FUND INSTI CLASS | JT | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Mutual Funds ⇒ | JT | \$50,001 - | Capital Gains, | \$1,001 - | \$1,001 - |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|--------------|-----------------------|--------------------------|--------------------------------------|------------------------------|
| MATTHEWS PACIFIC TIGER FUND INVESTOR CLASS | | \$100,000 | Dividends | \$2,500 | \$2,500 |
| Mutual Funds ⇒ OAKMARK INTERNATIONAL FUND INSTITUTIONAL CLASS | JT | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Mutual Funds ⇒ OAKMARK INTERNATIONAL FUND INVESTOR CLASS | JT | \$100,001 - \$250,000 | Dividends | \$2,501 - \$5,000 | \$2,501 - \$5,000 |
| Mutual Funds ⇒ OAKMARK INTERNATIONAL FUND INVESTOR CLASS | JT | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Mutual Funds ⇒ OPPENHEIMER DEVELOPING MARKETS FUND CLASS Y | JT | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Mutual Funds ⇒ PARNASSUS CORE EQUITY FUND-INSTITUTIONAL SHARES | JT | \$15,001 - \$50,000 | Capital Gains, Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Mutual Funds ⇒ SCHWAB NJ MUNICIPAL MONEY FUND DESCRIPTION: DISPOSED IN 2016 | JT | None | Dividends | None | \$1 - \$200 |
| Mutual Funds ⇒ SCHWAB TOTAL STOCK MARKET INDEX FD SELECT SHS A SERIES OF SCHWAB | | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Mutual Funds ⇒ SCHWAB TOTAL STOCK MARKET INDEX FD SELECT SHS A SERIES OF SCHWAB | JT | \$100,001 - \$250,000 | Capital Gains, Dividends | \$2,501 - \$5,000 | \$2,501 - \$5,000 |
| Mutual Funds ⇒ SEQUOIA FUND | JT | \$1 - \$1,000 | Capital Gains | \$1 - \$200 | \$1 - \$200 |
| Mutual Funds ⇒ SPDR SELECT SECTOR FUND - HEALTH CARE | JT | \$100,001 - \$250,000 | Dividends | \$1,001 - \$2,500 | \$1,001 - \$2,500 |
| Mutual Funds ⇒ THE SEQUOIA FUND | JT | \$1,001 - \$15,000 | Capital Gains | \$201 - \$1,000 | \$201 - \$1,000 |
| Mutual Funds ⇒ | JT | \$1 - \$1,000 | None | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|-----------------------|--------------------------|-------------------------------|-----------------------|
| THIRD AVENUE FOCUSED CREDIT FUND - INSTITUTIONAL CL | | | | | |
| Mutual Funds ⇒ VANGUARD SPECIALIZED PORTFOLIOS HEALTH CARE FUND | JT | \$250,001 - \$500,000 | Capital Gains, Dividends | \$15,001 - \$50,000 | \$15,001 - \$50,000 |
| Mutual Funds ⇒ VANGUARD SPECIALIZED PORTFOLIOS-HEALTH CARE | JT | None | Capital Gains | None | \$1 - \$200 |
| Mutual Funds (DC1) ⇒ ARTISAN GLOBAL VALUE INVESTOR SHARES DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1 - \$200 | \$1 - \$200 |
| Mutual Funds (DC1) ⇒ ARTISAN GLOBAL VALUE INVESTOR SHARES | DC | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Mutual Funds (DC1) ⇒ ARTISAN SMALL CAP FUND INVESTOR SHARES | DC | \$1,001 - \$15,000 | Capital Gains | \$1 - \$200 | \$1 - \$200 |
| Mutual Funds (DC1) ⇒ ARTISAN SMALL CAP FUND INVESTOR SHARES DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1 - \$200 | \$1 - \$200 |
| Mutual Funds (DC1) ⇒ DOUBLELINE TOTAL RETURN BOND FUND CLASS N | DC | \$1 - \$1,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Mutual Funds (DC1) ⇒ MAINGATE MLP FUND CLASS A | DC | \$1,001 - \$15,000 | None | | |
| Mutual Funds (DC1) ⇒ MATTHEWS ASIAN GROWTH AND INCOME FUND INVESTOR CLASS | DC | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Mutual Funds (DC1) ⇒ OAKMARK INTERNATIONAL FUND INVESTOR CLASS | DC | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Mutual Funds (DC1) ⇒ SCHWAB TOTAL STOCK MARKET INDEX FD SELECT SHS A SERIES OF SCHWAB | DC | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Mutual Funds (DC1) ⇒ | DC | \$15,001 - \$50,000 | Capital Gains, | \$201 - | \$201 - |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|---------------------|--------------------------|-------------------------------|-----------------------|
| Schwab Total Stock Market Index FD Select SHS A Series of Schwab Description: Held in Trust | | | Dividends | \$1,000 | \$1,000 |
| Mutual Funds (DC1) ⇒ Vanguard Health Care Description: Held in Trust, Disposed in 2016 | DC | None | Capital Gains, Dividends | None | \$1 - \$200 |
| Mutual Funds (DC2) ⇒ Artisan Global Value Investor Shares | DC | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Mutual Funds (DC2) ⇒ Artisan Global Value Investor Shares Description: Held in Trust | DC | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1 - \$200 | \$1 - \$200 |
| Mutual Funds (DC2) ⇒ Artisan Small Cap Fund Investor Shares | DC | \$1,001 - \$15,000 | Capital Gains | \$1 - \$200 | \$1 - \$200 |
| Mutual Funds (DC2) ⇒ Artisan Small Cap Fund Investor Shares | DC | \$1,001 - \$15,000 | Capital Gains | \$1 - \$200 | \$1 - \$200 |
| Mutual Funds (DC2) ⇒ MainGate MLP Fund Class A | DC | \$1,001 - \$15,000 | None | | |
| Mutual Funds (DC2) ⇒ Matthews Asian Growth and Income Fund Investor Class | DC | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Mutual Funds (DC2) ⇒ Oakmark International Fund Investor Class | DC | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \$1 - \$200 |
| Mutual Funds (DC2) ⇒ Schwab Total Stock Market Index FD Select SHS A Series of Schwab | DC | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Mutual Funds (DC2) ⇒ Schwab Total Stock Market Index FD Select SHS A Series of Schwab Description: Held in Trust | DC | \$15,001 - \$50,000 | Capital Gains, Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Options ⇒ Call Aerie Pharmaceutical \$70 Exp 08/18/17 Description: Call \$70 Exp 08/18/17 | JT | None | None | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|---------------------|----------------|-------------------------------|-----------------------|
| Options ⇒ CALL ARALEX PHARMA INC \$5 EXP 09/16/16 DESCRIPTION: CALL \$5 EXP 09/16/16, CLOSED IN 2016 | JT | None | Capital Gains | None | \$1,001 - \$2,500 |
| Options ⇒ CALL CBS CORP \$45 EXP 01/19/18 DESCRIPTION: CALL \$45 EXP 01/19/18 | JT | \$1,001 - \$15,000 | None | | |
| Options ⇒ CALL GENERAL ELECTRIC CO \$20 EXP 01/15/16 DESCRIPTION: CALL \$20 EXP 01/15/16, CLOSED IN 2016 | JT | None | Capital Gains | None | \$1,001 - \$2,500 |
| Options ⇒ CALL GENERAL ELECTRIC CO \$20 EXP 01/18/19 DESCRIPTION: CALL \$20 EXP 01/18/19 | JT | \$15,001 - \$50,000 | None | | |
| Options ⇒ CALL GENERAL ELECTRIC CO \$25 EXP 01/18/19 DESCRIPTION: CALL \$25 EXP 01/18/19 | JT | \$1,001 - \$15,000 | None | | |
| Options ⇒ CALL GENERAL MOTORS CO \$25 EXP 01/20/17 DESCRIPTION: CALL \$25 EXP 01/20/17, CLOSED IN 2016 | JT | None | Capital Gains | None | \$5,001 - \$15,000 |
| Options ⇒ CALL GENERAL MOTORS CO \$30 EXP 01/22/17 DESCRIPTION: CALL \$30 EXP 01/22/17, CLOSED IN 2016 | JT | None | Capital Gains | None | \$1,001 - \$2,500 |
| Options ⇒ CALL IBM CORP \$145 EXP 01/18/19 DESCRIPTION: CALL \$145 EXP 01/18/19 | JT | \$1,001 - \$15,000 | None | | |
| Options ⇒ CALL MOSAIC CO \$20 EXP 01/18/19 DESCRIPTION: CALL \$20 EXP 01/18/19 | SP | \$15,001 - \$50,000 | None | | |
| Options ⇒ CALL PAYPAL HOLDINGS INC \$25 EXP 01/19/18 DESCRIPTION: CALL \$25 EXP 01/19/18 | JT | \$15,001 - \$50,000 | None | | |
| Options ⇒ CALL SPDR S&P 500 \$200 EXP 12/21/18 DESCRIPTION: CALL \$200 EXP 12/21/18 | JT | \$15,001 - \$50,000 | None | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|----------------|----------------|-------------------------------|-----------------------|
| Options ⇒ CALL WALT DISNEY CO \$135 EXP 01/15/16 DESCRIPTION: CALL \$135 EXP 01/15/16, CLOSED IN 2016 | JT | None | Capital Gains | None | \$201 - \$1,000 |
| Options ⇒ CALL WEBSTER FINANCIAL \$40 EXP 07/15/16 DESCRIPTION: CALL \$40 EXP 07/15/16, CLOSED IN 2016 | JT | None | Capital Gains | None | \$201 - \$1,000 |
| Options ⇒ CALL WEBSTER FINANCIAL \$40 EXP 10/21/16 DESCRIPTION: CALL \$40 EXP 10/21/16, CLOSED IN 2016 | JT | None | Capital Gains | None | \$201 - \$1,000 |
| Options ⇒ CALL WEBSTER FINANCIAL \$45 EXP 04/15/16 DESCRIPTION: CALL \$45 EXP 04/15/16, CLOSED IN 2016 | JT | None | Capital Gains | None | \$2,501 - \$5,000 |
| Options ⇒ CALL WEBSTER FINANCIAL \$45 EXP 10/21/16 DESCRIPTION: CALL \$45 EXP 10/21/16, CLOSED IN 2016 | JT | None | Capital Gains | None | \$1,001 - \$2,500 |
| Options ⇒ PUT GENERAL ELECTRIC CO \$23 EXP 01/18/19 DESCRIPTION: PUT \$23 EXP 01/18/19 | JT | None | None | | |
| Options ⇒ PUT GENERAL ELECTRIC CO \$25 EXP 01/18/19 DESCRIPTION: PUT \$25 EXP 01/18/19 | JT | None | None | | |
| Options ⇒ PUT GENERAL ELECTRIC CO \$31 EXP 10/21/16 DESCRIPTION: PUT \$31 EXP 10/21/16, CLOSED IN 2016 | JT | None | Capital Gains | None | \$1 - \$200 |
| Options ⇒ PUT IBM CORP \$110 EXP 01/19/18 DESCRIPTION: PUT \$110 EXP 01/19/18 | JT | None | None | | |
| Options ⇒ PUT IBM CORP \$125 EXP 01/18/19 DESCRIPTION: PUT \$125 EXP 01/18/19 | JT | None | None | | |
| Options ⇒ PUT MOSAIC CO \$18 EXP 01/18/19 DESCRIPTION: PUT \$18 EXP 01/18/19 | SP | None | None | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|--------------------|----------------|-------------------------------|-----------------------|
| Options ⇒ PUT MOSAIC CO \$20 EXP 01/19/18 DESCRIPTION: PUT \$20 EXP 01/19/18 | SP | None | None | | |
| Options ⇒ PUT PAYPAL HOLDINGS INC \$50 EXP 01/18/19 DESCRIPTION: PUT \$50 EXP 01/18/19 | JT | \$1,001 - \$15,000 | None | | |
| Options ⇒ PUT SPDR S&P 500 - 11/18/16, \$196.00 DESCRIPTION: 11/18/16, \$196.00 | JT | None | Capital Gains | None | \$1,001 - \$2,500 |
| Options ⇒ PUT SPDR S&P 500 - 11/18/16, \$198.00 DESCRIPTION: 11/18/16, \$198.00 | JT | None | Capital Gains | None | \$1,001 - \$2,500 |
| Options ⇒ PUT SPDR S&P 500 - 11/18/16, \$199.00 DESCRIPTION: 11/18/16, \$199.00 | JT | None | Capital Gains | None | \$1,001 - \$2,500 |
| Options ⇒ PUT SPDR S&P 500 - 11/18/16, \$200.00 DESCRIPTION: 11/18/16, \$200.00 | JT | None | Capital Gains | None | \$1,001 - \$2,500 |
| Options ⇒ PUT SPDR S&P 500 - 11/18/16, \$205.00 DESCRIPTION: 11/18/16, \$205.00 | JT | None | Capital Gains | None | \$1,001 - \$2,500 |
| Options ⇒ PUT SPDR S&P 500 - 11/18/16, \$210.00 DESCRIPTION: 11/18/16, \$210.00 | JT | None | Capital Gains | None | \$2,501 - \$5,000 |
| Options ⇒ PUT UNION PACIFIC CORP \$110 EXP 01/15/16 DESCRIPTION: PUT \$110 EXP 01/15/16, CLOSED IN 2016 | JT | None | Capital Gains | None | \$50,001 - \$100,000 |
| Options ⇒ PUT UNION PACIFIC CORP \$115 EXP 01/15/16 DESCRIPTION: PUT \$115 EXP 01/15/16, CLOSED IN 2016 | JT | None | Capital Gains | None | \$50,001 - \$100,000 |
| Options ⇒ PUT UNION PACIFIC CORP \$63 EXP 02/19/16 DESCRIPTION: PUT \$63 EXP 02/19/16, CLOSED IN 2016 | JT | None | Capital Gains | None | \$201 - \$1,000 |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|---------------------|----------------|-------------------------------|-----------------------|
| Options ⇒ PUT UNION PACIFIC CORP \$64 EXP 02/19/16 DESCRIPTION: PUT \$64 EXP 02/19/16, CLOSED IN 2016 | JT | None | Capital Gains | None | \$1,001 - \$2,500 |
| Options ⇒ PUT UNION PACIFIC CORP \$65 EXP 02/19/16 DESCRIPTION: PUT \$65 EXP 02/19/16, CLOSED IN 2016 | JT | None | Capital Gains | None | \$201 - \$1,000 |
| Options ⇒ PUT UNION PACIFIC CORP \$66 EXP 02/19/16 DESCRIPTION: PUT \$66 EXP 02/19/16, CLOSED IN 2016 | JT | None | Capital Gains | None | \$201 - \$1,000 |
| Options ⇒ PUT UNION PACIFIC CORP \$66 EXP 02/19/16 DESCRIPTION: PUT \$66 EXP 02/19/16, CLOSED IN 2016 | JT | None | Capital Gains | None | \$201 - \$1,000 |
| Options ⇒ PUT UNION PACIFIC CORP \$70 EXP 02/19/16 DESCRIPTION: PUT \$70 EXP 02/19/16, CLOSED IN 2016 | JT | None | Capital Gains | None | \$1,001 - \$2,500 |
| Options ⇒ PUT WALT DISNEY CO \$115 EXP 01/15/16 DESCRIPTION: PUT \$115 EXP 01/15/16, CLOSED IN 2016 | JT | None | Capital Gains | None | \$1,001 - \$2,500 |
| Options ⇒ PUT WW GAINGER INC \$160 EXP 01/19/18 DESCRIPTION: PUT \$160 EXP 01/19/18 | SP | \$1,001 - \$15,000 | None | | |
| Options ⇒ PUT WW GRAINGER INC \$180 EXP 01/19/18 DESCRIPTION: PUT \$180 EXP 01/19/18 | SP | \$1,001 - \$15,000 | None | | |
| Options ⇒ PUT WW GRAINGER INC \$185 EXP 01/19/18 DESCRIPTION: PUT \$185 EXP 01/19/18 | SP | \$1,001 - \$15,000 | None | | |
| Other Retirement Plans ⇒ Citigroup Capital VIII 7.875% Fixed rate Floating Rate trust Preferred Securities (C\$N) DESCRIPTION: WITHIN CWM CASH BALANCE PLAN | | \$15,001 - \$50,000 | Tax-Deferred | | |
| Other Retirement Plans ⇒ Citigroup Capital VIII 7.875% Fixed rate Floating Rate trust Preferred Securities (C\$N) DESCRIPTION: WITHIN CWM CASH BALANCE PLAN | SP | \$15,001 - \$50,000 | Tax-Deferred | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|---------------------------|----------------|-------------------------------|-----------------------|
| Other Retirement Plans ⇒ Eaton Vance Floating Rate Income Trust Common Shares of Beneficial Interest (EFT) DESCRIPTION: WITHIN CWM CASH BALANCE PLAN | SP | \$1,001 - \$15,000 | Tax-Deferred | | |
| Other Retirement Plans ⇒ Eaton Vance Floating Rate Income Trust Common Shares of Beneficial Interest (EFT) DESCRIPTION: WITHIN CWM CASH BALANCE PLAN | | \$1,001 - \$15,000 | Tax-Deferred | | |
| Other Retirement Plans ⇒ GMAC Capital Trust I Fixed Rate Floating Rate Trust Preferred Securities, Series 2 (ALLY\$A) DESCRIPTION: WITHIN CWM CASH BALANCE PLAN | SP | \$1 - \$1,000 | Tax-Deferred | | |
| Other Retirement Plans ⇒ GMAC Capital Trust I Fixed Rate Floating Rate Trust Preferred Securities, Series 2 (ALLY\$A) DESCRIPTION: WITHIN CWM CASH BALANCE PLAN | | \$1 - \$1,000 | Tax-Deferred | | |
| Other Retirement Plans ⇒ GOLDMAN SACHS GRO VAR 99 DUE 12/31/99 DESCRIPTION: CUSIP 38148BAB4 | | \$1,001 - \$15,000 | Tax-Deferred | | |
| Other Retirement Plans ⇒ GOLDMAN SACHS GRO VAR 99 DUE 12/31/99 DESCRIPTION: CUSIP 38148BAB4 | SP | \$1,001 - \$15,000 | Tax-Deferred | | |
| Other Retirement Plans ⇒ JPMORGAN CASH BALANCE PLAN DESCRIPTION: JPMORGAN CHASE CASH BALANCE PLAN IS EXPRESSED AS A CASH BALANCE BENEFIT THAT GROWS IN A NOTIONAL BOOKKEEPING ACCOUNT OVER TIME THROUGH PAY CREDITS (DURING ACTIVE EMPLOYMENT) AND INTEREST CREDITS. THE RETIREMENT PLAN ACCOUNT BALANCE GROWS THROUGH INTEREST CREDITS. THE RATE OF THE INTEREST CREDIT IS BASED ON A ONE-YEAR TREASURY BILL RATE FOR THE MONTH OF OCTOBER OF THE PRIOR YEAR PLUS 1% - WITH A MINIMUM INTEREST CREDIT RATE OF 4.5%. | | \$100,001 - \$250,000 | Tax-Deferred | | |
| Other Retirement Plans ⇒ JPMORGAN DEFERRED COMPENSATION DESCRIPTION: JPMORGAN DEFERRED COMPENSATION RETIREMENT ANNUITY (PRE 2005) BEING PAID OVER A 15 YEAR PERIOD BEGINNING IN 2010. SEE SCHEDULE C. | | \$1,000,001 - \$5,000,000 | SEE SCHEDULE C | Not Applicable | Not Applicable |
| Other Retirement Plans ⇒ JPMORGAN INFLATION PROTECTED DEFERRED COMPENSATION | | \$250,001 - \$500,000 | Tax-Deferred | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|-------------------------|--------------------------|-------------------------------|-----------------------|
| DESCRIPTION: INFLATION PROTECTED DEFERRED COMPENSATION (PRE 2005) - INFLATION PLUS 380BP BOND | | | | | |
| Preferred Stock ⇒ Ally Financial Inc Fixed Rate Floating Rate Perpetual Preferred Stock, Series A (ALLY\$B) | JT | None | Capital Gains, Dividends | None | \$1 - \$200 |
| Preferred Stock ⇒ Associated Banc-Corp Depository Sh Repstg 1/40th Int Sh Perpetual Pfd Stk Ser B (ABW\$B) | JT | None | Dividends | None | \$5,001 - \$15,000 |
| Preferred Stock ⇒ Astoria Financial Corporation Depository Shs Repstg 1/40th Int Perp Pfd Ser C 6.5% (AF\$C) | JT | \$100,001 - \$250,000 | Dividends | \$5,001 - \$15,000 | \$5,001 - \$15,000 |
| Preferred Stock ⇒ BANK AMER CORP 8.000% 12/31/99 DESCRIPTION: CUSIP 060505DR2 | JT | \$100,001 - \$250,000 | Dividends | \$15,001 - \$50,000 | None |
| Preferred Stock ⇒ BANK AMER CORP 8.000% 12/31/99 DESCRIPTION: CUSIP 060505DR2 | SP | \$1,001 - \$15,000 | Dividends | \$1,001 - \$2,500 | None |
| Preferred Stock ⇒ CAPITAL ONE FINL CORP 5.550% 12/29/99 DESCRIPTION: CUSIP 14040HBH7 | SP | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | None |
| Preferred Stock ⇒ CAPITAL ONE FINL CORP 5.550% 12/29/99 DESCRIPTION: CUSIP 14040HBH7 | JT | \$100,001 - \$250,000 | Dividends | \$5,001 - \$15,000 | None |
| Preferred Stock ⇒ Citigroup Capital VIII 7.875% Fixed rate Floating Rate trust Preferred Securities (C\$N) | JT | \$100,001 - \$250,000 | Interest | \$5,001 - \$15,000 | \$5,001 - \$15,000 |
| Preferred Stock ⇒ Citigroup Capital VIII 7.875% Fixed rate Floating Rate trust Preferred Securities (C\$N) | SP | \$500,001 - \$1,000,000 | Interest | \$15,001 - \$50,000 | None |
| Preferred Stock ⇒ CITIGROUP INC 5.800% 12/31/99 DESCRIPTION: CUSIP 172967HZ7 | JT | \$250,001 - \$500,000 | Dividends | \$15,001 - \$50,000 | \$5,001 - \$15,000 |
| Preferred Stock ⇒ CITIGROUP INC 5.800% 12/31/99 DESCRIPTION: CUSIP 172967HZ7 | SP | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | None |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|-------------------------|----------------|-------------------------------|-----------------------|
| Preferred Stock ⇒ CITIGROUP INC VAR DESCRIPTION: CUSIP 172967HZ7, DISPOSED IN 2017 | JT | None | Dividends | \$201 - \$1,000 | \$201 - \$1,000 |
| Preferred Stock ⇒ Citigroup Inc. Dep Shs Repstg 1/1000th Pfd Ser K (C\$K) DESCRIPTION: DISPOSED IN 2016 | SP | None | Dividends | None | \$1,001 - \$2,500 |
| Preferred Stock ⇒ CITIZENS FINL GROUP INC 5.500% 12/29/99 DESCRIPTION: CUSIP 174610AH8 | JT | \$250,001 - \$500,000 | Dividends | \$5,001 - \$15,000 | None |
| Preferred Stock ⇒ GMAC Capital Trust I Fixed Rate Floating Rate Trust Preferred Securities, Series 2 (ALLY\$A) | SP | \$15,001 - \$50,000 | None | | |
| Preferred Stock ⇒ JP Morgan Chase & Co Depositary Shares Representing 1/400th Preferred Series T (JPM\$B) | SP | \$100,001 - \$250,000 | Dividends | \$5,001 - \$15,000 | \$2,501 - \$5,000 |
| Preferred Stock ⇒ JPMORGAN CHASE & CO 5.000% 12/31/99 DESCRIPTION: CUSIP 48127FAA1 | JT | \$250,001 - \$500,000 | Dividends | \$15,001 - \$50,000 | \$2,501 - \$5,000 |
| Preferred Stock ⇒ JPMORGAN CHASE & CO 5.000% 12/31/99 DESCRIPTION: CUSIP 48127FAA1 | SP | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | None |
| Preferred Stock ⇒ JPMORGAN CHASE & CO 5.300% 12/31/99 DESCRIPTION: CUSIP 46625HKK5 | JT | \$100,001 - \$250,000 | Dividends | \$5,001 - \$15,000 | None |
| Preferred Stock ⇒ JPMORGAN CHASE & CO 7.900% 12/31/99 DESCRIPTION: CUSIP 46625HHA1 | JT | \$500,001 - \$1,000,000 | Dividends | \$15,001 - \$50,000 | \$2,501 - \$5,000 |
| Preferred Stock ⇒ JPMORGAN CHASE & CO 7.900% 12/31/99 DESCRIPTION: CUSIP 46625HHA1 | SP | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | None |
| Preferred Stock ⇒ KeyCorp Fixed-to-Floating Rate Perpetual Noncumulative Preferred Stock, Series C (KEY\$H) | JT | None | Dividends | None | \$1,001 - \$2,500 |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|-----------------------|--------------------------|-------------------------------|-----------------------|
| Preferred Stock ⇒ MB Financial Inc. - Perpetual Non-Cumulative Preferred Stock, Series A (MBFIP) | JT | \$15,001 - \$50,000 | None | | |
| Preferred Stock ⇒ MB Financial Inc. - Perpetual Non-Cumulative Preferred Stock, Series A (MBFIP) | SP | \$250,001 - \$500,000 | Dividends | \$15,001 - \$50,000 | None |
| Preferred Stock ⇒ NEXTGENVEST | | \$15,001 - \$50,000 | None | | |
| DESCRIPTION: CONVERTIBLE PREFERRED SECURITY. NEXTGENVEST IS A NEW YORK CITY START-UP WHICH UTILIZES A SMS TEXT MESSAGING PLATFORM TO HELP GUIDE HIGH SCHOOL STUDENTS ON HOW TO PAY FOR COLLEGE UTILIZING AVAILABLE SCHOLARSHIPS AND LOANS. | | | | | |
| Preferred Stock ⇒ Skytop Lodge Corporation Preferred Stock (SKTPP) | JT | \$100,001 - \$250,000 | None | | |
| Preferred Stock ⇒ Synovus Financial Corp. Perp Pfd Ser C Fxd To Fltg (SNV\$C) | JT | None | Capital Gains, Dividends | None | \$15,001 - \$50,000 |
| Preferred Stock ⇒ TCF Financial Corporation Perp Pfd Ser B (TCB\$C) | JT | None | Capital Gains, Dividends | None | \$201 - \$1,000 |
| Preferred Stock ⇒ US Bancorp Del DEPOSITARY SH S G (USB\$N) | JT | None | Dividends | None | \$1,001 - \$2,500 |
| Preferred Stock ⇒ US Bancorp Del DEPOSITARY SH S G (USB\$N) | SP | None | Dividends | None | \$1,001 - \$2,500 |
| DESCRIPTION: DISPOSED IN 2016 | | | | | |
| Preferred Stock ⇒ Webster Financial Corporation Dep Shs Repstg 1/1000th Perp Pfd Ser E (WBS\$E) | SP | \$100,001 - \$250,000 | Dividends | \$5,001 - \$15,000 | None |
| Preferred Stock ⇒ Wells Fargo & Company Wells Fargo & Company 8.00% Non-Cumulative Perpetual Class A Preferred Stock, (WFC\$J) | JT | None | Capital Gains, Dividends | None | \$5,001 - \$15,000 |
| Preferred Stock ⇒ Wells Fargo & Company Wells Fargo & Company 8.00% Non-Cumulative Perpetual Class A Preferred Stock, (WFC\$J) | JT | None | Dividends | None | \$201 - \$1,000 |
| DESCRIPTION: DISPOSED IN 2016 | | | | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|---------------------|--------------------------|-------------------------------|-----------------------|
| Preferred Stock ⇒ Zions Bancorporation Dep Shs Repstg 1/40th Perp Pfd Ser G (ZB\$G) | JT | None | Capital Gains, Dividends | None | \$5,001 - \$15,000 |
| Preferred Stock ⇒ Zions Bancorporation Dep Shs Repstg 1/40th Perp Pfd Ser G (ZB\$G) | SP | None | Capital Gains, Dividends | None | \$5,001 - \$15,000 |
| DESCRIPTION: SOLD IN 2016 | | | | | |
| Preferred Stock - DC 1 ⇒ BANK AMER CORP 8.000% 12/31/99 | DC | \$15,001 - \$50,000 | Dividends | \$1,001 - \$2,500 | None |
| DESCRIPTION: CUSIP 060505DR2 | | | | | |
| Preferred Stock - DC 1 ⇒ CAPITAL ONE FINL CORP 5.550% 12/29/99 | DC | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | None |
| DESCRIPTION: CUSIP 14040HBH7 | | | | | |
| Preferred Stock - DC 1 ⇒ CITIGROUP INC 5.800% 12/31/99 | DC | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | None |
| DESCRIPTION: CUSIP 172967HZ7 | | | | | |
| Preferred Stock - DC 1 ⇒ JPMORGAN CHASE & CO 5.000% 12/31/99 | DC | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | None |
| DESCRIPTION: CUSIP 48127FAA1 | | | | | |
| Preferred Stock - DC 1 ⇒ JPMORGAN CHASE & CO 7.900% 12/31/99 | DC | \$15,001 - \$50,000 | Dividends | \$1,001 - \$2,500 | None |
| DESCRIPTION: CUSIP 46625HHA1 | | | | | |
| Preferred Stock - DC 2 ⇒ BANK AMER CORP 8.000% 12/31/99 | DC | \$15,001 - \$50,000 | Dividends | \$1,001 - \$2,500 | None |
| DESCRIPTION: CUSIP 060505DR2 | | | | | |
| Preferred Stock - DC 2 ⇒ CAPITAL ONE FINL CORP 5.550% 12/29/99 | DC | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | None |
| DESCRIPTION: CUSIP 14040HBH7 | | | | | |
| Preferred Stock - DC 2 ⇒ CITIGROUP INC 5.800% 12/31/99 | DC | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | None |
| DESCRIPTION: CUSIP 172967HZ7 | | | | | |
| Preferred Stock - DC 2 ⇒ JPMORGAN CHASE & CO 5.000% 12/31/99 | DC | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | None |
| DESCRIPTION: CUSIP 48127FAA1 | | | | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|----------------------|--------------------------|-------------------------------|-----------------------|
| Preferred Stock - DC 2 ⇒ JPMORGAN CHASE & CO 7.900% 12/31/99 DESCRIPTION: CUSIP 46625HHA1 | DC | \$15,001 - \$50,000 | Dividends | \$1,001 - \$2,500 | None |
| Preferred Stock - Held In Trust ⇒ Ally Financial Inc Fixed Rate Floating Rate Perpetual Preferred Stock, Series A (ALLY\$B) DESCRIPTION: DISPOSED IN 2017 | DC | None | Dividends | \$2,501 - \$5,000 | \$5,001 - \$15,000 |
| Preferred Stock - Held In Trust ⇒ Associated Banc-Corp Depository Sh Repstg 1/40th Int Sh Perpetual Pfd Stk Ser B (ASB\$B) DESCRIPTION: DISPOSED IN 2016 | DC | None | Dividends | None | \$5,001 - \$15,000 |
| Preferred Stock - Held In Trust ⇒ Boston Private Financial Holdings, Inc. - Depository Shares representing 1/40th Interest in a Share (BPFHP) DESCRIPTION: DC 2 - HELD IN TRUST | DC | \$15,001 - \$50,000 | None | | |
| Preferred Stock - Held In Trust ⇒ Boston Private Financial Holdings, Inc. - Depository Shares representing 1/40th Interest in a Share (BPFHP) | DC | None | Capital Gains, Dividends | \$201 - \$1,000 | \$1,001 - \$2,500 |
| Preferred Stock - Held In Trust ⇒ Citigroup Capital VIII 7.875% Fixed rate Floating Rate trust Preferred Securities (C\$N) DESCRIPTION: DISPOSED IN 2016 | DC | None | Interest | None | \$15,001 - \$50,000 |
| Preferred Stock - Held In Trust ⇒ Citigroup Capital VIII 7.875% Fixed rate Floating Rate trust Preferred Securities (C\$N) DESCRIPTION: HELD IN TRUST | DC | \$50,001 - \$100,000 | Interest | \$5,001 - \$15,000 | \$201 - \$1,000 |
| Preferred Stock - Held In Trust ⇒ GMAC Capital Trust I Fixed Rate Floating Rate Trust Preferred Securities, Series 2 (ALLY\$A) DESCRIPTION: HELD IN TRUST | DC | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 | None |
| Preferred Stock - Held In Trust ⇒ GMAC Capital Trust I Fixed Rate Floating Rate Trust Preferred Securities, Series 2 (ALLY\$A) DESCRIPTION: DISPOSED IN 2017 | DC | None | Capital Gains, Interest | \$201 - \$1,000 | \$1,001 - \$2,500 |
| Preferred Stock - Held In Trust ⇒ | DC | None | Capital Gains, | None | \$5,001 - |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|---------------------|--------------------------|-------------------------------|-----------------------|
| Huntington Bancshares Incorporated - Non Cumulative Perp Conv Pfd Ser A (HBANP) | | | Dividends | | \$15,000 |
| DESCRIPTION: DISPOSED IN 2016 | | | | | |
| Preferred Stock - Held In Trust ⇒ J P Morgan Chase & Co Depository Shares Representing 1/400th Int Perp Pfd Ser W (JPM\$E) | DC | None | Capital Gains, Dividends | None | \$2,501 - \$5,000 |
| DESCRIPTION: DISPOSED IN 2016 | | | | | |
| Preferred Stock - Held In Trust ⇒ MB Financial Inc. - Perpetual Non-Cumulative Preferred Stock, Series A (MBFIP) | DC | None | Capital Gains, Dividends | \$15,001 - \$50,000 | \$15,001 - \$50,000 |
| DESCRIPTION: DISPOSED IN 2017 | | | | | |
| Preferred Stock - Held In Trust ⇒ MB Financial Inc. - Perpetual Non-Cumulative Preferred Stock, Series A (MBFIP) | DC | \$15,001 - \$50,000 | Dividends | \$2,501 - \$5,000 | None |
| DESCRIPTION: HELD IN TRUST | | | | | |
| Preferred Stock - Held In Trust ⇒ MB Financial Inc. - Perpetual Non-Cumulative Preferred Stock, Series A (MBFIP) | DC | \$15,001 - \$50,000 | None | | |
| DESCRIPTION: DC 2 - HELD IN TRUST | | | | | |
| Preferred Stock - Held In Trust ⇒ Synovus Financial Corp. Perp Pfd Ser C Fxd To Fltg (SNV\$C) | DC | None | Capital Gains, Dividends | None | \$5,001 - \$15,000 |
| DESCRIPTION: DISPOSED IN 2016 | | | | | |
| Preferred Stock - Held In Trust ⇒ US Bancorp Del DEPOSITARY SH S G (USB\$N) | DC | None | Capital Gains, Dividends | \$201 - \$1,000 | \$1,001 - \$2,500 |
| Preferred Stock - Held In Trust ⇒ Webster Financial Corporation Dep Shs Repstg 1/1000th Perp Pfd Ser E (WBS\$E) | DC | None | Capital Gains, Dividends | \$2,501 - \$5,000 | \$5,001 - \$15,000 |
| DESCRIPTION: DISPOSED IN 2017 | | | | | |
| Preferred Stock - Held In Trust ⇒ Webster Financial Corporation Dep Shs Repstg 1/1000th Perp Pfd Ser E (WBS\$E) | DC | \$15,001 - \$50,000 | None | | |
| DESCRIPTION: DC 2 - HELD IN TRUST | | | | | |
| Preferred Stock - Held In Trust ⇒ Webster Financial Corporation Dep Shs Repstg 1/1000th Perp Pfd Ser E (WBS\$E) | DC | \$15,001 - \$50,000 | None | | |
| DESCRIPTION: HELD IN TRUST | | | | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|-------------------------------|-----------------------------|-------------------------------|----------------------------|
| Preferred Stock - Held In Trust ⇒ Wells Fargo & Company Wells Fargo & Company 8.00% Non-Cumulative Perpetual Class A Preferred Stock, (WFC\$J) | DC | None | Capital Gains, Dividends | \$1,001 - \$2,500 | \$2,501 - \$5,000 |
| DESCRIPTION: DISPOSED IN 2017 | | | | | |
| Preferred Stock - Held In Trust ⇒ Zions Bancorporation Dep shs Repstg 1/40th Int Sh Ser F Fxd Rate Non Cum (ZB\$F) | DC | None | Capital Gains, Dividends | \$1,001 - \$2,500 | \$2,501 - \$5,000 |
| DESCRIPTION: DISPOSED IN 2017 | | | | | |
| Privately-Held Company Engaged in Trade or Business ⇒ CIRCLE WEALTH MANAGEMENT LLC | | \$500,001 - \$1,000,000 | PARTNERSHIP | \$100,001 - \$1,000,000 | \$100,001 - \$1,000,000 |
| LOCATION: SUMMIT, NJ, US DESCRIPTION: CIRCLE WEALTH MANAGEMENT LLC IS A WEALTH MANAGEMENT FIRM WITH OFFICES IN SUMMIT,NJ AND NEW YORK, NY. | | | | | |
| Privately-Held Company Engaged in Trade or Business ⇒ CIRCLE WEALTH MANAGEMENT, LLC | SP | \$5,000,001 - \$25,000,000 | PARTNERSHIP | \$100,001 - \$1,000,000 | \$100,001 - \$1,000,000 |
| LOCATION: SUMMIT, NJ, US DESCRIPTION: CIRCLE WEALTH MANAGEMENT, LLC IS A WEALTH MANAGEMENT FIRM WITH OFFICES IN SUMMIT, NJ AND NEW YORK, NY. | | | | | |
| Privately-Held Company Engaged in Trade or Business ⇒ PARTNERSHIP INTEREST - CIRCLE VENCAP LLC, 50% Interest | | \$1 - \$1,000 | PARTNERSHIP | Not Applicable | Not Applicable |
| LOCATION: New York, NY, US DESCRIPTION: PARTNERSHIP PROVIDES STRATEGIC FINANCIAL ADVICE TO EARLY-STAGE COMPANIES. EARNED INCOME REPORTED ON SCHEDULE C. | | | | | |
| Privately-Held Company Holding Investments ⇒ INVESTORS BANK - EL JORO | | \$1 - \$1,000 | None | | |
| DESCRIPTION: CHECKING ACCOUNT OF EL JORO LLC - PRIVATELY HELD COMPANY FORMED FOR THE PURPOSE OF HOLDING INVESTMENTS | | | | | |
| Privately-Held Company Holding Investments ⇒ PORT ST. LUCIE FLORIDA - LOT 1 | | \$1 - \$1,000 | None | | |
| LOCATION: PORT ST. LUCIE, FL, US DESCRIPTION: 1% PARTNERSHIP INTEREST IN EL JORO LLC - PARTNERSHIP OWNS VACANT LOT HELD IN PORT ST. LUCIE FLORIDA. (1 OF 2) | | | | | |
| Privately-Held Company Holding Investments ⇒ PORT ST. LUCIE FLORIDA - LOT 2 | | \$1 - \$1,000 | None | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|---------------------|----------------|-------------------------------|-----------------------|
| LOCATION: PORT ST. LUCIE, FL, US DESCRIPTION: 1% PARTNERSHIP INTEREST IN EL JORO LLC - PARTNERSHIP OWNS VACANT LOT HELD IN PORT ST. LUCIE FLORIDA. (2 OF 2) | | | | | |
| Privately-Held Company Holding Investments - DC 1 ⇒ INVESTORS BANK - EL JORO | DC | \$1,001 - \$15,000 | None | | |
| DESCRIPTION: CHECKING ACCOUNT OF EL JORO LLC - PRIVATELY HELD COMPANY FORMED FOR THE PURPOSE OF HOLDING INVESTMENTS | | | | | |
| Privately-Held Company Holding Investments - DC 1 ⇒ PORT ST. LUCIE FLORIDA - LOT 1 | DC | \$1,001 - \$15,000 | None | | |
| LOCATION: PORT ST. LUCIE, FL, US DESCRIPTION: 33% PARTNERSHIP INTEREST IN EL JORO LLC - PARTNERSHIP OWNS VACANT LOT HELD IN PORT ST. LUCIE FLORIDA. (1 OF 2) | | | | | |
| Privately-Held Company Holding Investments - DC 1 ⇒ PORT ST. LUCIE FLORIDA - LOT 2 | DC | \$1,001 - \$15,000 | None | | |
| LOCATION: PORT ST. LUCIE, FL, US DESCRIPTION: 33% PARTNERSHIP INTEREST IN EL JORO LLC - PARTNERSHIP OWNS VACANT LOT HELD IN PORT ST. LUCIE FLORIDA. (2 OF 2) | | | | | |
| Privately-Held Company Holding Investments - DC 2 ⇒ INVESTORS BANK - EL JORO | DC | \$1,001 - \$15,000 | None | | |
| DESCRIPTION: CHECKING ACCOUNT OF EL JORO LLC - PRIVATELY HELD COMPANY FORMED FOR THE PURPOSE OF HOLDING INVESTMENTS | | | | | |
| Privately-Held Company Holding Investments - DC 2 ⇒ PORT ST. LUCIE FLORIDA - LOT 1 | DC | \$1,001 - \$15,000 | None | | |
| LOCATION: PORT ST. LUCIE , FL, US DESCRIPTION: 33% PARTNERSHIP INTEREST IN EL JORO LLC - PARTNERSHIP OWNS VACANT LOT HELD IN PORT ST. LUCIE FLORIDA. (1 OF 2) | | | | | |
| Privately-Held Company Holding Investments - DC 2 ⇒ PORT ST. LUCIE FLORIDA - LOT 2 | DC | \$1,001 - \$15,000 | None | | |
| LOCATION: PORT ST. LUCIE, FL, US DESCRIPTION: 33% PARTNERSHIP INTEREST IN EL JORO LLC - PARTNERSHIP OWNS VACANT LOT HELD IN PORT ST. LUCIE FLORIDA. (2 OF 2) | | | | | |
| Roth IRA ⇒ ARTISAN GLOBAL VALUE INVESTOR SHARES | SP | \$1,001 - \$15,000 | Tax-Deferred | | |
| Roth IRA ⇒ | SP | \$15,001 - \$50,000 | Tax-Deferred | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|-----------------------|----------------|-------------------------------|-----------------------|
| Citigroup Capital VIII 7.875% Fixed rate Floating Rate trust Preferred Securities (C\$N) | | | | | |
| Roth IRA ⇒ Citigroup Capital VIII 7.875% Fixed rate Floating Rate trust Preferred Securities (C\$N) | | \$250,001 - \$500,000 | Tax-Deferred | | |
| Roth IRA ⇒ DOUBLELINE TOTAL RETURN BOND FUND CLASS N | SP | \$1 - \$1,000 | Tax-Deferred | | |
| Roth IRA ⇒ FMI LARGE CAP INVESTOR CLASS | SP | \$1,001 - \$15,000 | Tax-Deferred | | |
| Roth IRA ⇒ GMAC Capital Trust I Fixed Rate Floating Rate Trust Preferred Securities, Series 2 (ALLY\$A) | | \$1,001 - \$15,000 | Tax-Deferred | | |
| Roth IRA ⇒ JANUS HENDERSON GLOBAL LIFE SCIENCES FUND - T SHARES | SP | \$15,001 - \$50,000 | Tax-Deferred | | |
| Roth IRA ⇒ RCP SBIC OPPORTUNITIES PRIVATE LTD PARTNERSHIP DELAWARE | | \$1,001 - \$15,000 | Tax-Deferred | | |
| DESCRIPTION: SBIC FUND OF FUNDS MEZZANINE LENDERS | | | | | |
| Roth IRA ⇒ SCHWAB TOTAL STOCK MARKET INDEX FD SELECT SHS A SERIES OF SCHWAB | SP | \$1,001 - \$15,000 | Tax-Deferred | | |
| Roth IRA (DC1) ⇒ Citigroup Capital VIII 7.875% Fixed rate Floating Rate trust Preferred Securities (C\$N) | DC | \$15,001 - \$50,000 | Tax-Deferred | | |
| Roth IRA (DC1) ⇒ SCHWAB TOTAL STOCK MARKET INDEX FD SELECT SHS A SERIES OF SCHWAB | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| Roth IRA (DC1) ⇒ SCHWAB U.S. BROAD MARKET ETF | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| Roth IRA (DC2) ⇒ Citigroup Capital VIII 7.875% Fixed rate Floating Rate trust Preferred Securities (C\$N) | DC | \$15,001 - \$50,000 | Tax-Deferred | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|--|-------|-----------------------|----------------|-------------------------------|-----------------------|
| Roth IRA (DC2) ⇒ SCHWAB TOTAL STOCK MARKET INDEX FD SELECT SHS A SERIES OF SCHWAB | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| Roth IRA (DC2) ⇒ SCHWAB U.S. BROAD MARKET ETF | DC | \$1,001 - \$15,000 | Tax-Deferred | | |
| Savings Bonds ⇒ SERIES EE SAVINGS BONDS | JT | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 | \$201 - \$1,000 |
| Savings Bonds ⇒ SERIES I SAVINGS BOND | JT | \$250,001 - \$500,000 | Interest | \$15,001 - \$50,000 | \$5,001 - \$15,000 |
| Savings Bonds - DC 1 ⇒ SERIES E SAVINGS BONDS | DC | \$1,001 - \$15,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| Savings Bonds - DC 2 ⇒ SAVINGS BONDS - SERIES E | DC | \$1,001 - \$15,000 | Interest | \$1 - \$200 | \$1 - \$200 |
| SEP IRA ⇒ ARTISAN GLOBAL VALUE FUND INVESTOR SHARES | | \$1,001 - \$15,000 | Tax-Deferred | | |
| SEP IRA ⇒ Boston Private Financial Holdings, Inc. - Depositary Shares representing 1/40th Interest in a Share (BPFHP) | | \$1,001 - \$15,000 | Tax-Deferred | | |
| SEP IRA ⇒ Citigroup Capital VIII 7.875% Fixed rate Floating Rate trust Preferred Securities (C\$N) | | \$100,001 - \$250,000 | Tax-Deferred | | |
| SEP IRA ⇒ FMI LARGE CAP FUND INVESTOR CLASS | | \$1,001 - \$15,000 | Tax-Deferred | | |
| SEP IRA ⇒ MB Financial Inc. - Perpetual Non-Cumulative Preferred Stock, Series A (MBFIP) | | \$1,001 - \$15,000 | Tax-Deferred | | |
| SEP IRA ⇒ SCHWAB TOTAL STOCK MARKET INDEX FD SELECT SHS A SERIES OF SCHWAB | | \$15,001 - \$50,000 | Tax-Deferred | | |
| SEP IRA ⇒ SCHWAB US BROAD MARKET ETF | | \$1,001 - \$15,000 | Tax-Deferred | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income Current Year to Filing | Income Preceding Year |
|---|-------|-----------------------|----------------|-------------------------------|-----------------------|
| US Treasury Notes ⇒ UNITED STATES TREAS BILLS 0.000% | JT | \$250,001 - \$500,000 | None | | |
| DESCRIPTION: 10/05/17 | | | | | |
| US Treasury Notes ⇒ US TREASURY NOTE .375% | JT | None | Interest | None | \$1 - \$200 |
| DESCRIPTION: MATURED IN 2016 | | | | | |
| US Treasury Notes ⇒ US TREASURY NOTE .5% | JT | None | Interest | None | \$201 - \$1,000 |
| DESCRIPTION: MATURED IN 2016 | | | | | |
| US Treasury Notes ⇒ US TREASURY NOTE .625% | JT | None | Interest | None | \$201 - \$1,000 |
| DESCRIPTION: MATURED IN 2016 | | | | | |

* Asset class details available at the bottom of this form.

SCHEDULE C: EARNED INCOME

| Source | Type | Amount Current Year to Filing | Amount Preceding Year |
|--|---|-------------------------------|-----------------------|
| ASTORIA BANK | BOARD FEES, RESTRICTED STOCK SHARES VESTING AND RESTRICTED STOCK DIVIDENDS EARNED | \$138,432.14 | \$198,492.00 |
| COMMENTS: COMPENSATION PROVIDED AS BOARD MEMBER/CHAIR OF THE AUDIT COMMITTEE (AS DISCLOSED ON SCHEDULE E) | | | |
| JP MORGAN SECURITIES LLC | DEFERRED COMPENSATION | \$400,277.00 | \$400,277.00 |
| COMMENTS: SEE DESCRIPTION OF DEFERRED COMPENSATION ASSET ON SCHEDULE A | | | |
| JP MORGAN CHASE & COMPANY | 401K ROLLOVER DISTRIBUTION | N/A | \$309,658.00 |
| COMMENTS: DISTRIBUTION FROM JP MORGAN CHASE & COMPANY 401K, IMMEDIATELY ROLLED OVER INTO ANOTHER QUALIFIED RETIREMENT ACCOUNT. | | | |

SCHEDULE D: LIABILITIES

None disclosed.

SCHEDULE E: POSITIONS

| Position | Name of Organization |
|------------------------------------|--|
| CHAIRMAN (UNCOMPENSATED) | DEAN'S ADVISORY COUNSEL OF LEHIGH UNIVERSITY'S COLLEGE OF BUSINESS AND ECONOMICS |
| ADVISOR/CONSULTANT (UNCOMPENSATED) | KEYSTONE FOOD PRODUCTS |

SCHEDULE F: AGREEMENTS

| Date | Parties To | Terms of Agreement |
|-------------|--|--|
| August 2015 | CIRCLE WEALTH MANAGEMENT, LLC & MYSELF | PARTICIPATION IN 401(K) PLAN (ONGOING) |
| August 2015 | CIRCLE WEALTH MANAGEMENT, LLC & MYSELF | PARTICIPATION IN CASH BALANCE DEFINED-BENEFIT PLAN (ONGOING) |
| August 1999 | JP MORGAN CHASE & MYSELF | PARTICIPATION IN CASH BALANCE DEFINED-BENEFIT PLAN (ONGOING) |
| June 2009 | JP MORGAN CHASE & MYSELF | DEFERRED COMPENSATION PLAN (PRE 2005) |
| June 2009 | JP MORGAN CHASE & MYSELF | DEFERRED COMPENSATION PLAN (PRE 2005) INFLATION-PROTECTED |

SCHEDULE J: COMPENSATION IN EXCESS OF \$5,000 PAID BY ONE SOURCE

| Source (Name and Address) | Brief Description of Duties |
|---|---|
| CERTAIN CONFIDENTIAL CLIENTS ARE NOT REPORTED (SUMMIT, NJ, US) | INVESTMENT ADVISORY AND CONSULTING |
| COMMENTS: CLIENTS OF CIRCLE WEALTH MANAGEMENT, LLC (SEE SCHEDULE A) ARE NOT REPORTED DUE TO CONFIDENTIALITY AGREEMENTS ENTERED INTO WITH EACH CLIENT. OFFICES IN SUMMIT, NJ AND NEW YORK, NY. | |
| CONFIDENTIAL CLIENT IS NOT REPORTED (2) (PITTSBURGH, PA, US) | STRATEGIC AND FINANCIAL ADVISORY SERVICES |

SCHEDULE A ASSET CLASS DETAILS

| |
|--|
| <ul style="list-style-type: none">401K (Owner: SP)401K401K - 2 (Owner: SP)529 College Savings Plan - DC 1 (Owner: DC) LOCATION: UT529 College Savings Plan - DC 2 (Owner: DC) LOCATION: UT |
|--|

- 529 College Savings Plan - Self
LOCATION: UT
- Bank Account (Owner: JT)
LOCATION: US
- Bank Account (Owner: SP)
LOCATION: US
- Bank Account
LOCATION: US
- Bank Account - DC 1 (Owner: DC)
LOCATION: US
- Bank Account - DC 2 (Owner: DC)
LOCATION: US
- Common Stock (Owner: JT)
LOCATION: US
- Common Stock
LOCATION: US
- Common Stock (Owner: SP)
LOCATION: US
- Common Stock (DC1) (Owner: DC)
LOCATION: US
- Common Stock (DC2) (Owner: DC)
LOCATION: US
- Convertible Note (Owner: JT)
LOCATION: US
- ETF (Owner: JT)
LOCATION: US
- ETF (DC1) (Owner: DC)
LOCATION: US
- ETF (DC2) (Owner: DC)
LOCATION: US
- Health Savings Account (HSA) (Owner: SP)
LOCATION: US
- Hedge Funds & Private Equity Funds (EIF) (Owner: JT)
LOCATION: US
- Hedge Funds & Private Equity Funds (EIF)
LOCATION: US
- Hedge Funds & Private Equity Funds (NON-EIF)
LOCATION: US
- IRA
- IRA (Owner: SP)
- Life Insurance
LOCATION: US
- Life Insurance - DC 1 (Owner: DC)
LOCATION: US
- Life Insurance - DC 2 (Owner: DC)

LOCATION: US

- Municipal Bonds (Owner: JT)
LOCATION: US
- Municipal Bonds - DC 1 (Owner: DC)
LOCATION: US
- Municipal Bonds - DC 2 (Owner: DC)
LOCATION: US
- Municipal Bonds - Held in Trust (Owner: DC)
LOCATION: US
- Mutual Funds (Owner: JT)
LOCATION: US
- Mutual Funds
LOCATION: US
- Mutual Funds (DC1) (Owner: DC)
LOCATION: US
- Mutual Funds (DC2) (Owner: DC)
LOCATION: US
- Options (Owner: JT)
LOCATION: US
- Options (Owner: SP)
LOCATION: US
- Other Retirement Plans
LOCATION: US
- Other Retirement Plans (Owner: SP)
LOCATION: US
- Preferred Stock (Owner: JT)
LOCATION: US
- Preferred Stock (Owner: SP)
LOCATION: US
- Preferred Stock
LOCATION: US
- Preferred Stock - DC 1 (Owner: DC)
LOCATION: US
- Preferred Stock - DC 2 (Owner: DC)
LOCATION: US
- Preferred Stock - Held In Trust (Owner: DC)
LOCATION: US
- Privately-Held Company Engaged in Trade or Business
LOCATION: US
- Privately-Held Company Engaged in Trade or Business (Owner: SP)
LOCATION: US
- Privately-Held Company Holding Investments
LOCATION: US
- Privately-Held Company Holding Investments - DC 1 (Owner: DC)
LOCATION: US

- Privately-Held Company Holding Investments - DC 2 (Owner: DC)
LOCATION: US
- Roth IRA (Owner: SP)
- Roth IRA
- Roth IRA (DC1) (Owner: DC)
- Roth IRA (DC2) (Owner: DC)
- Savings Bonds (Owner: JT)
LOCATION: US
- Savings Bonds - DC 1 (Owner: DC)
LOCATION: US
- Savings Bonds - DC 2 (Owner: DC)
LOCATION: US
- SEP IRA
- US Treasury Notes (Owner: JT)
LOCATION: US

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

Trusts: Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

☐ Yes ☒ No

Exemption: Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

☐ Yes ☒ No

CERTIFICATION AND SIGNATURE

☒ I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

Digitally Signed: John Robert Chrin , 08/16/2017