



Filing ID #10025905

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Hon. Brian Babin
Status: Member
State/District: TX36

FILING INFORMATION

Filing Type: Annual Report
Filing Year: 2018
Filing Date: 08/13/2019

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|-----------------------|----------------|---------------------|--------------------------|
| Brian Babin DDS Dental Practice [RP] | | \$100,001 - \$250,000 | sale | \$15,001 - \$50,000 | <input type="checkbox"/> |
| LOCATION: Woodville, TX, US | | | | | |
| Chevron Corporation (CVX) [ST] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| Citizen State Bank [BA] | | \$1,001 - \$15,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| Community Bank of Texas [BA] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Community Bank of Woodville [BA] | JT | \$1,001 - \$15,000 | Interest | \$1 - \$200 | <input type="checkbox"/> |
| Education First Bank Account [BA] | JT | \$100,001 - \$250,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Education First Federal Credit Union [BA] | | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| Exxon Mobil Corporation (XOM) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|-----------------------|-----------------------------|-----------------|-------------------------------------|
| land parcel [RP] LOCATION: Woodville, TX, US | | \$250,001 - \$500,000 | None | | <input type="checkbox"/> |
| Lincoln Financial Life Insurance [WU] DESCRIPTION: cash value | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| Summit Brokerage Services ⇒ Fidelity Select Ports Defense & Aerospace FSDAX [MF] | | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| Summit Brokerage Services ⇒ Franklin Cust Dyna Tech FKDNX [MF] | | \$50,001 - \$100,000 | None | | <input type="checkbox"/> |
| Summit Brokerage Services ⇒ Franklin Custodian Growth FKGRX [MF] | | \$50,001 - \$100,000 | None | | <input type="checkbox"/> |
| Summit Brokerage Services ⇒ Franklin Income Fund [MF] | | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| Summit Brokerage Services ⇒ Franklin Money Fund Class A [MF] | | \$15,001 - \$50,000 | None | | <input type="checkbox"/> |
| TD Ameritrade Bank Account [BA] | JT | \$100,001 - \$250,000 | Interest | \$201 - \$1,000 | <input type="checkbox"/> |
| UBS IRA 3 ⇒ iShares Core MSCI EAFE ETF (IEFA) [ST] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS IRA 3 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST] | SP | \$1 - \$1,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS IRA 3 ⇒ Schwab U.S. Broad Market ETF (SCHB) [ST] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS IRA 3 ⇒ Vanguard Total Stock Market ETF (VTI) [ST] | SP | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS Resource Management Account ⇒ Aberdeen Ultra Short Municipal Income Fund ATOIX [MF] | JT | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| UBS Resource Management Account ⇒ Alpine Income Short Municipal Income Fund- ATOIX [IH] | JT | \$1,001 - \$15,000 | Capital Gains, Dividends | None | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|---------------------|--------------------------|-------------------|-------------------------------------|
| UBS Resource Management Account ⇒ American Century Inflation Adjusted [IH] | JT | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1 - \$200 | <input type="checkbox"/> |
| UBS Resource Management Account ⇒ Blackrock Equity Dividend Fund C MCDVX [IH] | JT | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| UBS Resource Management Account ⇒ Blackrock High Yield Bond C BHYCX [IH] | JT | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| UBS Resource Management Account ⇒ Blackrock National Municipal Fund- MANLX [IH] | JT | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| UBS Resource Management Account ⇒ Growth Fund of America GFFFX [IH] | JT | \$15,001 - \$50,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| UBS Resource Management Account ⇒ Henderson International Opportunities Fund- HFOIX [IH] | JT | \$15,001 - \$50,000 | Capital Gains, Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| UBS Resource Management Account ⇒ Hi-Crush Partners- HCLP [IH] | JT | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| UBS Resource Management Account ⇒ Invesco Convertible Securities Fund Class C CNSCX [IH] | JT | \$15,001 - \$50,000 | Capital Gains, Dividends | \$1 - \$200 | <input type="checkbox"/> |
| UBS Resource Management Account ⇒ Janus Henderson Mid Cap Value Fund JMVAX [MF] | JT | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| UBS Resource Management Account ⇒ Oppenheimer Developing Markets- ODVYX [IH] | JT | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | <input type="checkbox"/> |
| UBS Resource Management Account ⇒ PACE Government Money Market Investment Fund- PCEXX [BA] | JT | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| UBS Resource Management Account ⇒ Perkins Mid Cap Value [IH] | JT | \$1,001 - \$15,000 | Capital Gains, Dividends | None | <input type="checkbox"/> |
| UBS Resource Management Account ⇒ Plains All Amer Pipeline- NYSE [IH] | JT | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| UBS Resource Management Account ⇒ UBS Bank [IH] | JT | \$15,001 - \$50,000 | None | | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|---------------------|-----------------------------|-------------------|-------------------------------------|
| UBS Resource Management Account ⇒ US Small Cap Growth Fund [IH] | JT | \$15,001 - \$50,000 | Capital Gains, Dividends | \$2,501 - \$5,000 | <input type="checkbox"/> |
| UBS Resource Management Account ⇒ Virtus Multi-Sector Short Term Bond- PSTCX [IH] | JT | \$15,001 - \$50,000 | Capital Gains, Dividends | \$1 - \$200 | <input type="checkbox"/> |
| UBS Resource Management Account ⇒ Voya Corporate Leaders Trust- LEXCX [IH] | JT | \$15,001 - \$50,000 | Capital Gains, Dividends | \$2,501 - \$5,000 | <input type="checkbox"/> |
| UBS Resource Management Account ⇒ Western Asset Municipal- LMHIX [IH] | JT | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ American Century Inflation Adjusted Treasury- ACITX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ American Funds American High Income Trust Fund Class C AHTCX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ American Funds American Mutual Fund Class C AMFCX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ American Funds Capital Income Builder Fund Class C CIBCX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ American Funds Income Fund of America Class C IFACX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ American Funds US Government Securities Fund Cl C UGSCX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ Barrick Gold Corp Cad ABX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ Deutsche Capital Growth- SCGSX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ DWS Capitol Growth Fund SCGSX [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| UBS SEP-IRA ⇒ | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|---------------------|----------------|--------|--------------------------|
| Fortress Transn & IN FTAI [IH] | | | | | |
| UBS SEP-IRA ⇒ Gabelli Small Cap Growth- GACIX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ Goldman Sachs Short Duration Gov- GSTGX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ Hartford International- IHOIX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ Invesco Mid Cap Core- GTAYAX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ Ishares US Aerospace & Defense- ITA [IH] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ MAN-AHL Diversified I Class B [IH] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ Silver Wheaton Corp- SLW [IH] | | \$1 - \$1,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ Templeton Glbal Bond- TGBAX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ Transamerica High Yield Bond- TDHIX [IH] | | \$1 - \$1,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ Virtus Emerging Markets- HIEMX [IH] | | \$1 - \$1,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ Voya Corporate Leaders- LEXCX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA ⇒ Williams Partners LP MLP WPZ [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ American Funds American High-Inc C AHTCX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ American Funds American Mutual C Fund- AMFCX [IH] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|---------------------|----------------|--------|-------------------------------------|
| UBS SEP-IRA 2 ⇒ American Funds Capital Income Builder Fund- CIBCX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ American Funds Income Fund- IFACX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ American Funds US GOV Money Market Fund AFCXX [IH] | | \$1,001 - \$15,000 | None | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ American Funds US Government Securities Fund C-UGSCX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Approach Resources- AREX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ BHP Billiton- BHP [IH] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Compass Diversified Holdings- CODI [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Deutsche Global Infrastructure Fund- TOLCX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ DWS RREEF global Infrastructure Fund TOLCX [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Enbridge Energy Partners- MLP [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Energy Transfer Equity- ETE [IH] DESCRIPTION: Exchanged | | None | Tax-Deferred | | <input checked="" type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Energy Transfer LP Units LTD Partnership- ET [MF] DESCRIPTION: exchange | | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Enterprise Products Partner- EPD [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ | | \$1 - \$1,000 | Tax-Deferred | | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|---------------------|----------------|--------|--------------------------|
| EV Energy Partners [IH] | | | | | |
| UBS SEP-IRA 2 ⇒ Fidelity Advisor Industrials C Fund- FCLCX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Fidelity Advisor Industrials- FCLAX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ First Eagle Gold- FEGOX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Goldcorp Inc- GG [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Huntington Inglas- HII [IH] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ IAMGOLD Corp- IAG [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Invesco Real Estate- IARCX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Kinder Morgan Inc [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Loomis Sayles Strategic- NEZTX [IH] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Market Vectors Gold Miners- GDX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Merk Hard Currency- MERKX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ MFS Emerging Markets- MEDCX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Newmont Mining Corp- NEM [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Permanent Portfolio Fund- PRPFX [IH] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|---------------------|----------------|--------|-------------------------------------|
| UBS SEP-IRA 2 ⇒ PGIM JENN Natural Resources PNRZX [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Prudential Jennison Natural Resources- PNRZX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Range Resources- RRC [IH] | | \$1 - \$1,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Seadrill LTD- SDRL [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ South32 LTD- SOUHY [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ TCW Emerging Markets- TGEIX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Templeton Gblal- TGBAX [IH] | | \$15,001 - \$50,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ UBS Bank [IH] | | \$15,001 - \$50,000 | None | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Virtus Real Estate- PHRCX [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Virtus Vontobel Emerging Markets Opportunities Fund PICEX [MF] | | \$1,001 - \$15,000 | Tax-Deferred | | <input checked="" type="checkbox"/> |
| UBS SEP-IRA 2 ⇒ Westshore Terms Invst Corp- WTSHF [IH] | | \$1,001 - \$15,000 | Tax-Deferred | | <input type="checkbox"/> |

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE B: TRANSACTIONS

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--------------------------------------|-------|---------|----------------|--------------------|--------------------------|
| Brian Babin DDS Dental Practice [OT] | | Monthly | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| LOCATION: Woodville, TX, US | | | | | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|--------------------|---------------------|
| DESCRIPTION: 5 year agreement to sell dental practice | | | | | |
| UBS Resource Management Account ⇒ Aberdeen Ultra Short Municipal Income Fund ATOIX [MF] | JT | 11/5/2018 | P | \$1,001 - \$15,000 | |
| UBS Resource Management Account ⇒ Blackrock National Municipal Fund MANLX [MF] | JT | 11/5/2018 | P | \$1,001 - \$15,000 | |
| UBS Resource Management Account ⇒ Growth Fund of America GFFFX [MF] | JT | 11/5/2018 | P | \$1,001 - \$15,000 | |
| UBS Resource Management Account ⇒ Henderson International Opportunities Fund [MF] | JT | 11/5/2018 | P | \$1,001 - \$15,000 | |
| UBS Resource Management Account ⇒ Janus Henderson Mid Cap Value Fund [MF] | JT | 11/5/2018 | P | \$1,001 - \$15,000 | |
| UBS Resource Management Account ⇒ Voya Corporate Leaders Trust [MF] | JT | 11/5/2018 | P | \$1,001 - \$15,000 | |
| UBS Resource Management Account ⇒ Western Asset Minicipal LMHIX [MF] | JT | 11/5/2018 | P | \$1,001 - \$15,000 | |
| UBS SEP-IRA ⇒ American Century Infl-Adj Bond Fund AIAHX [MF] | | 01/5/2018 | P | \$1,001 - \$15,000 | |
| UBS SEP-IRA ⇒ Fidelity Advisor Industrials FCLCX [MF] | | 01/8/2018 | P | \$1,001 - \$15,000 | |
| UBS SEP-IRA ⇒ Goldman Sachs Short Duration Gov FD GSTGX [MF] | | 01/5/2018 | P | \$1,001 - \$15,000 | |
| UBS SEP-IRA ⇒ Hartford International Opportunities Fund [MF] | | 01/18/2018 | P | \$1,001 - \$15,000 | |
| UBS SEP-IRA ⇒ Transamerica High Yield Bond Fund TDHIX [MF] | | 01/5/2018 | P | \$1,001 - \$15,000 | |
| UBS SEP-IRA ⇒ Voya Corporate Leaders Trust LEXCX [MF] | | 01/5/2018 | P | \$1,001 - \$15,000 | |
| UBS SEP-IRA 2 ⇒ DWS RREEF Global Infrastructure Fund TOLCX [MF] | | 11/5/2018 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------|---------------------|---------------------|
| UBS SEP-IRA 2 ⇒ Energy Transfer Equity- ETE [MF] | | 12/20/2018 | E | \$15,001 - \$50,000 | |
| DESCRIPTION: exchanged to Energy Transfer LP Unites LTD Partnership- ET | | | | | |
| UBS SEP-IRA 2 ⇒ PGIM JENN Natural Resources PNRZX [MF] | | 11/5/2018 | P | \$1,001 - \$15,000 | |
| UBS SEP-IRA 2 ⇒ Virtus Vontobel Emerging Markets Opportunities Fund PICEX [MF] | | 11/5/2018 | P | \$1,001 - \$15,000 | |

* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

SCHEDULE C: EARNED INCOME

None disclosed.

SCHEDULE D: LIABILITIES

None disclosed.

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

None disclosed.

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

- Summit Brokerage Services
- UBS IRA 3 (Owner: SP)
- UBS Resource Management Account (Owner: JT)

LOCATION: US

- UBS SEP-IRA
- UBS SEP-IRA 2

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

IPO: Did you purchase any shares that were allocated as a part of an Initial Public Offering?

☐ Yes ☒ No

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: Hon. Brian Babin , 08/13/2019