



Filing ID #10018986

# FINANCIAL DISCLOSURE REPORT

---

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

---

## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Amendment Report  
**Filing Year:** 2017  
**Filing Date:** 10/25/2017  
**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		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
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 ⇒ WISDOWMTREE 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		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
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		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
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 - Other ⇒ VANGUARD DEVELOPED MARKETS INDEX		\$1,001 - \$15,000	Tax-Deferred		
529 College Savings Plan - Other ⇒		\$15,001 - \$50,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
VANGUARD DEVELOPED MARKETS INDEX					
529 College Savings Plan - Other ⇒ VANGUARD EMERGING MKT STOCK INDEX		\$1 - \$1,000	Tax-Deferred		
529 College Savings Plan - Other ⇒ VANGUARD TOTAL STOCK MARKET INDEX		\$50,001 - \$100,000	Tax-Deferred		
529 College Savings Plan - Other ⇒ VANGUARD TOTAL STOCK MARKET INDEX		\$1,001 - \$15,000	Tax-Deferred		
529 College Savings Plan - Self ⇒ VANGAURD TOTAL BOND MARKET INSTI PLUS SHARES		\$1,001 - \$15,000	Tax-Deferred		
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

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
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
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 ⇒ GLEN ROCK SAVINGS BANK	JT	\$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		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
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					
Bank Account - DC 1 ⇒ CHARLES SCHWAB - DC 1 TRUST	DC	None	Interest	\$1 - \$200	\$1 - \$200
Bank Account - DC 1 ⇒ CHARLES SCHWAB - LV GRAT	DC	\$1,001 - \$15,000	Interest	\$1 - \$200	\$1 - \$200
DESCRIPTION: HELD IN TRUST					
Bank Account - DC 1 ⇒ CHASE - CHECKING DC 1	DC	\$1,001 - \$15,000	None		
Bank Account - DC 1 ⇒ HAVEN SAVINGS BANK - SAVINGS	DC	\$1 - \$1,000	Interest	\$1 - \$200	\$1 - \$200
DESCRIPTION: DC 1					
Bank Account - DC 1 ⇒ INVESTORS BANK - ILIT	DC	\$1,001 - \$15,000	None		
DESCRIPTION: HELD IN TRUST (ILIT).					
Bank Account - DC 1 ⇒ INVESTORS BANK - SAVINGS	DC	\$1 - \$1,000	Interest	\$1 - \$200	\$1 - \$200
DESCRIPTION: DC 1					
Bank Account - DC 1 ⇒ SPENCER SAVINGS BANK - SAVINGS	DC	\$1 - \$1,000	Interest	\$1 - \$200	\$1 - \$200
DESCRIPTION: DC 1					



Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
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 - ILIT  DESCRIPTION: HELD IN TRUST (ILIT).	DC	\$1,001 - \$15,000	None		
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
Club Membership ⇒ EQUITY CERTIFICATE 1  DESCRIPTION: Club Membership Equity Certificate		\$1,001 - \$15,000	None		
Club Membership ⇒ EQUITY CERTIFICATE 2  DESCRIPTION: Club Membership Equity Certificate.		\$1,001 - \$15,000	None		
Club Membership ⇒ EQUITY CERTIFICATE 3  DESCRIPTION: Club Membership Equity Certificate		\$1,001 - \$15,000	None		
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

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
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	None	Capital Gains, Interest	None	\$1 - \$200
DESCRIPTION: SOLD IN 2016					
Common Stock ⇒ AmeriGas Partners, L.P. (APU)	JT	\$50,001 - \$100,000	Interest	\$1 - \$200	\$1 - \$200
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
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		

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income Current Year to Filing</b>	<b>Income Preceding Year</b>
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
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

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
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 DESCRIPTION: TICKER HLND	SP	\$50,001 - \$100,000	None		
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		

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income Current Year to Filing</b>	<b>Income Preceding Year</b>
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)		\$1,001 - \$15,000	Dividends	\$1 - \$200	\$1 - \$200
Common Stock ⇒ MetLife, Inc. (MET)	JT	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	\$2,501 - \$5,000
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

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
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) DESCRIPTION: SOLD IN 2016	JT	None	Capital Gains, PARTNERSHIP	None	\$1 - \$200
Common Stock ⇒ Summit Midstream Partners, LP Common Units Representing Limited Partner Interests (SMLP)	JT	\$50,001 - \$100,000	None		
Common Stock ⇒ Sunoco Logistics Partners LP Common Units representing limited partner interests (SXL)	JT	\$1,001 - \$15,000	Dividends, Interest	\$1 - \$200	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
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) DESCRIPTION: DISPOSED IN 2016	JT	None	Dividends	None	\$1 - \$200
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		
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		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
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)	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) ⇒ 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		
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



Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
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	\$1 - \$1,000	Dividends	\$1 - \$200	\$1 - \$200
Common Stock (DC1) ⇒ Exxon Mobil Corporation (XOM)	DC	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	\$1,001 - \$2,500
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)  DESCRIPTION: HELD IN TRUST	DC	\$1,001 - \$15,000	None		
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

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
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
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		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
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					
Common Stock (DC2) ⇒ Alphabet Inc. - Class C Capital Stock (GOOG)	DC	\$1,001 - \$15,000	None		
DESCRIPTION: HELD IN TRUST					
Common Stock (DC2) ⇒ Amazon.com, Inc. (AMZN)	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) ⇒ 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
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		

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

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
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)  DESCRIPTION: HELD IN TRUST	DC	\$1,001 - \$15,000	None		
Common Stock (DC2) ⇒ Viacom Inc. - Class B (VIAB)	DC	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
Common Stock (DC2) ⇒	DC	\$100,001 -	Dividends	\$1,001 -	\$1,001 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Walt Disney Company (DIS)		\$250,000		\$2,500	\$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
ETF (DC1) ⇒ SCHWAB U.S. BROAD MARKET ETF	DC	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
DESCRIPTION: HELD IN TRUST					
ETF (DC1) ⇒ SPDR SELECT SECTOR FUND - TECHNOLOGY	DC	\$1,001 - \$15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
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	DC	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	\$201 - \$1,000
DESCRIPTION: HELD IN TRUST					
ETF (DC2) ⇒ SPDR SELECT SECTOR FUND - TECHNOLOGY	DC	\$1,001 - \$15,000	None		
ETF (DC2) ⇒ VANGUARD HEALTH CARE ETF	DC	None	Capital Gains, Dividends	\$1 - \$200	\$1 - \$200
DESCRIPTION: DISPOSED IN 2016					
GOLDMAN SACHS TRADITIONAL PENSION	SP	\$15,001 - \$50,000	None		
DESCRIPTION: TRADITIONAL PENSION COMMENCING ON OCTOBER 1, 2029. ANNUAL RECEIPTS OF \$3,660.					
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		
Hedge Funds & Private Equity Funds (EIF) ⇒ ACCOLADE PARTNERS V LP	JT	\$100,001 - \$250,000	Capital Gains, Dividends, Interest,	\$1,001 - \$2,500	\$1,001 - \$2,500



Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
			PARTNERSHIP		
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
Hedge Funds & Private Equity Funds (EIF) ⇒ MCNALLY CAPITAL MEZZANINE FUND II LP	JT	\$250,001 - \$500,000	Capital Gains, Dividends, Interest,	\$50,001 - \$100,000	\$50,001 - \$100,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
			PARTNERSHIP		
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 SHARES		\$1 - \$1,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
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 SELECT SHS A SERIES OF SCHWAB	SP	\$1,001 - \$15,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
IRA ⇒ SCHWAB US BROAD MARKET ETF	SP	\$1,001 - \$15,000	Tax-Deferred		
JPMORGAN TRADITIONAL PENSION		\$50,001 - \$100,000	None		
DESCRIPTION: TRADITIONAL PENSION COMMENCING ON JUNE 1, 2028. ANNUAL RECEIPTS OF \$7,056.					
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 ⇒	JT	\$1,001 - \$15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
FORNEY TEX INDPT SCH DIST 0.000% 08/15/44					
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%	JT	None	Interest	None	\$1 - \$200
DESCRIPTION: DISPOSED IN 2016					
Municipal Bonds ⇒ NJ ST EDL FAC AUTH 5%	JT	None	Interest	None	\$201 - \$1,000
DESCRIPTION: DISPOSED IN 2016					
Municipal Bonds ⇒ NORTH CAROLINA CAP FAC FA	JT	None	Interest	None	\$5,001 - \$15,000
DESCRIPTION: DISPOSED IN 2016					
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 ⇒	DC	None	Interest	\$201 -	\$1,001 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
CT ST HLTH & ED 5.05%				\$1,000	\$2,500
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

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income Current Year to Filing</b>	<b>Income Preceding Year</b>
Mutual Funds ⇒ DOUBLELINE FDS TR TOTAL RETURN BD FD CL I	JT	None	Dividends	None	\$201 - \$1,000
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



Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Mutual Funds ⇒ MATTHEWS PACIFIC TIGER FUND INVESTOR CLASS	JT	\$50,001 - \$100,000	Capital Gains, Dividends	\$1,001 - \$2,500	\$1,001 - \$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

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Mutual Funds ⇒ THIRD AVENUE FOCUSED CREDIT FUND - INSTITUTIONAL CL	JT	\$1 - \$1,000	None		
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	DC	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	\$201 - \$1,000
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 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

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Mutual Funds (DC1) ⇒ 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
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	JT	None	Dividends	\$201 - \$1,000	\$201 - \$1,000
DESCRIPTION: CUSIP 172967HZ7, DISPOSED IN 2017					
Preferred Stock ⇒ Citigroup Inc. Dep Shs Repstg 1/1000th Pfd Ser K (C\$K)	SP	None	Dividends	None	\$1,001 - \$2,500
DESCRIPTION: DISPOSED IN 2016					
Preferred Stock ⇒ CITIZENS FINL GROUP INC 5.500% 12/29/99	JT	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	None
DESCRIPTION: CUSIP 174610AH8					
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	JT	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000	\$2,501 - \$5,000
DESCRIPTION: CUSIP 48127FAA1					
Preferred Stock ⇒ JPMORGAN CHASE & CO 5.000% 12/31/99	SP	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	None
DESCRIPTION: CUSIP 48127FAA1					
Preferred Stock ⇒ JPMORGAN CHASE & CO 5.300% 12/31/99	JT	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	None
DESCRIPTION: CUSIP 46625HKK5					
Preferred Stock ⇒ JPMORGAN CHASE & CO 7.900% 12/31/99	JT	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000	\$2,501 - \$5,000
DESCRIPTION: CUSIP 46625HHA1					
Preferred Stock ⇒ JPMORGAN CHASE & CO 7.900% 12/31/99	SP	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	None
DESCRIPTION: CUSIP 46625HHA1					
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)	SP	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000	None
Preferred Stock ⇒ MB Financial Inc. - Perpetual Non-Cumulative Preferred Stock, Series A (MBFIP)	JT	\$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)  DESCRIPTION: SOLD IN 2016	SP	None	Capital Gains, Dividends	None	\$5,001 - \$15,000
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 - DC 1 ⇒ BANK AMER CORP 8.000% 12/31/99  DESCRIPTION: CUSIP 060505DR2	DC	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	None
Preferred Stock - DC 1 ⇒ CAPITAL ONE FINL CORP 5.550% 12/29/99  DESCRIPTION: CUSIP 14040HBH7	DC	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None
Preferred Stock - DC 1 ⇒ CITIGROUP INC 5.800% 12/31/99  DESCRIPTION: CUSIP 172967HZ7	DC	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	None
Preferred Stock - DC 1 ⇒ JPMORGAN CHASE & CO 5.000% 12/31/99  DESCRIPTION: CUSIP 48127FAA1	DC	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None
Preferred Stock - DC 1 ⇒ JPMORGAN CHASE & CO 7.900% 12/31/99  DESCRIPTION: CUSIP 46625HHA1	DC	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	None
Preferred Stock - DC 2 ⇒ BANK AMER CORP 8.000% 12/31/99  DESCRIPTION: CUSIP 060505DR2	DC	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	None
Preferred Stock - DC 2 ⇒ CAPITAL ONE FINL CORP 5.550% 12/29/99  DESCRIPTION: CUSIP 14040HBH7	DC	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None
Preferred Stock - DC 2 ⇒ CITIGROUP INC 5.800% 12/31/99  DESCRIPTION: CUSIP 172967HZ7	DC	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	None
Preferred Stock - DC 2 ⇒ JPMORGAN CHASE & CO 5.000% 12/31/99  DESCRIPTION: CUSIP 48127FAA1	DC	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	None

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: DISPOSED IN 2017	DC	None	Capital Gains, Interest	\$201 - \$1,000	\$1,001 - \$2,500
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 ⇒	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	None		
DESCRIPTION: DC 2 - HELD IN TRUST					
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 ⇒ 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 ⇒ DC 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 ⇒ DC 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 ⇒ DC 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  DESCRIPTION: SBIC FUND OF FUNDS MEZZANINE LENDERS		\$1,001 - \$15,000	Tax-Deferred		
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		

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income Current Year to Filing</b>	<b>Income Preceding Year</b>
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
May 1987	JP MORGAN CHASE & MYSELF	PARTICIPATION IN TRADITIONAL PENSION PLAN.

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"><li>401K (Owner: SP)</li><li>401K</li><li>401K - 2 (Owner: SP)</li><li>529 College Savings Plan - DC 1 (Owner: DC) LOCATION: UT</li><li>529 College Savings Plan - DC 2 (Owner: DC)</li></ul>
---

LOCATION: UT

- 529 College Savings Plan - Other  
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
- Club Membership  
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 , 10/25/2017