

Periodic Transaction Report

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| | | Periodic | Periodic Transaction Report | пкероп | | | | LEGI | MIVTS | E RES | LEGISLATIVE RESOURCE CENTER | ENTE | · <u>· · · · · · · · · · · · · · · · · · </u> | 3 |
| NAME: | | OFFICE TELEPHONE: | Ë | | Pleas amer | Please indicate whether this is an initial report or an amended report. For amendments, please provide the date of the report you are amending. | whether | this is all ovide-the | n initial rep | eport or the repo | it you aire an amen | ded repo | rt. For ing. | |
| DA | DAVID PHILLIP ROE 4 | 423-929-7671 | | | | | | Initial Report | | Amen | Amendment | | | |
| | | | | | | Date of I | Date of Report being Amended: | ng Amend | <u>ē</u> . | | | | | |
| $\overline{\times}$ | Member of the U.S. H | Officer or Employee | уве | | Did yo | id you purchase any shares that were allocated as a part of an | ase any s | shares th | at were | allocate | ed as a p | art of an | _ | |
| State: | District 01 | Employing Office: | | | Initia | Initial Public Offering? | ffering? | | YES | I | X 8 | O | | |
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| | FULL ASSET NAME | TYPE OF TRANS-ACTION | DATE OF TRANS- ACTION | DATE NOTIFIED OF TRANS- | | | AM(| TNUC | OF TR | ANSA | AMOUNT OF TRANSACTION | _ | | |
| | | | ACTION | ACTION | | | | | | | | | | |
| 7 | Dravida full name not ticker symbol | | (MODAVB) | (MO/DA/VR) | Α | В | 0 | D | ш | | | · = | 1- 0 | 0 - |
| | | PURCH, SALE EXCHAN | - | ,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,, | \$1,000- \$15,000 | \$15,001- \$50,000 | \$50,001- \$100,000 | \$100,001- \$250,000 | \$250,001- \$500,000 | \$500,001- \$1,000,000 | \$1,000,001 \$5,000,000 | \$5,000,001 \$25,000,00 | \$25,000,00 \$50,000,00 | Over \$50,000,00 |
| JT | Example: Mega Corp. Common Stock | × | 8/14/12 | 8/14/12 | | × | | | | | | | | |
| · - | FNMA PMA3385 04 50%2048 AMORTIZED F | D F(X | 6/8/18 | 7/10/18 | \boxtimes | | | : | | | | w w | - | |
| | FHLMC G0 8817 04%2048 AMORTIZED FCR | FCR X | 6/7/18 | 7/10/18 | X | | ; | | - | | | | | |
| | REPUBLIC SERVICES INC DE Trade#:4835 | 4835. | 6/19/18 | 7/10/18 | X | | | | :] | | | | | |
| | VF CORP DE Trade#:48354 Blot:85 | | 6/19/18 | 7/10/18 | \boxtimes | | | | | 1 | | | | |
| | AMERIPRISE FINANCIAL INC DE Trade | Trade#:31 | 6/19/18 | 7/10/18 | X | , | | | | | |] | | |

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| FOOTNOTE NUMBER | | |
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| FULL ASSET NAME | | | JT Provide full nam | REPUBLIC | | | | | |
|--------------------------------|---|---------------------------------------|---------------------|-------------------------|---------|---|--|--|--|
| ET NAME | | Provide full name, not ticker symbol. | | CES INC DE Trade#:4835: | | CES INC DE Trade#:4835; MATION INC NEW Trade Trade#:31610 Blot:85 | RVICES INC DE Trade#:4835; JTOMATION INC NEW Trade DE Trade#:31610 Blot:85 Trade#:48354 Blot:85 | REPUBLIC SERVICES INC DE Trade#:4835: ROCKWELL AUTOMATION INC NEW Trade INVESCO LTD DE Trade#:31610 Blot:85 VF CORP DE Trade#:48354 Blot:85 COMCAST CORP NEW CL A UNSOLICITED | REPUBLIC SERVICES INC DE Trade#:4835: ROCKWELL AUTOMATION INC NEW Trade INVESCO LTD DE Trade#:31610 Blot:85 VF CORP DE Trade#:48354 Blot:85 COMCAST CORP NEW CL A UNSOLICITED COMPAGNIE DE SAINT-GOBAIN ADR Trade |
| TYPE OF TRANS-ACTION | | PURCHASE | | X | | | | | |
| F DATE OF TRANS- | - | EXCHANGE (MO/DAYR) | | 6/19/18 | 6/19/18 | 6/19/18 | 6/19/18 6/19/18 6/19/18 | 6/19/18 6/19/18 6/19/18 6/19/18 6/29/18 | 6/19/18 6/19/18 6/19/18 6/29/18 6/29/18 |
| DATE NOTIFIED OF TRANS- ACTION | | (MO/DAYR) | 7/10/18 | | 7/10/18 | 7/10/18 | 7/10/18 7/10/18 7/10/18 | 7/10/18 7/10/18 7/10/18 7/10/18 | 7/10/18 7/10/18 7/10/18 7/10/18 7/10/18 |
| | ٨ | \$1,000- \$15,000 | | X | X | X X | X X X X | | $X \cap X X X X$ |
| | В | \$15,001- \$50,000 | 7 | _ | | | | x | |
| | ဂ | \$50,001- \$100,000 | 1 | _ | | | | | |
| AMOUNT OF TRANSACTION | D | \$100,001- \$250,000 | | | | | | | |
| · 야 큐 | | \$250,001- \$500,000 | | | . 1 | | | | |
| RANS, | 7 | \$500,001- \$1,000,000 | | | | | | | |
| ACTIO | G | \$1,000,001- \$5,000,000 | | | | ,,, | | | |
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| | Ξ | \$5,000,001- \$25,000,000 | | _ | , | | | | |
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| | FULL ASSET NAME | TYPE OF TRANS-ACTION | DATE OF TRANS- ACTION | DATE NOTIFIED OF TRANS- ACTION | | | АМ | AMOUNT OF TRANSACTION | OF T | RANS | ACTIC | ž | | |
|---|--|------------------------------|--------------------------------|--------------------------------|----------------------|-----------------------|------------------------|-------------------------|-------------------------|---------------------------|-----------------------------|--------------------------------|-------------------------------|------|
| Л | Provide full name, not ticker symbol. | PURCHASE SALE EXCHANGE | (MO/DA/YR) | (MO/DAYR) | \$1,000- \$15,000 | \$15,001- \$50,000 | \$50,001- \$100,000 | \$100,001- \$250,000 | \$250,001- \$500,000 | \$500,001- \$1,000,000 | \$1,000,001- \$5,000,000 | \$5,000,001- \$25,000,000 ± | \$25,000,001- \$50,000,000 | Over |
| : | SWISS RE LTD SPON ADR UNSOLICITED | X | 6/22/18 | 7/10/18 | X | \neg | | | | | | | | |
| | BIC SA ADR UNSOLICITED Trade#:01896 E | X | 6/22/18 | 7/10/18 | | X | | | | | | | | |
| | LILLY ELI & CO UNSOLICITED Trade#:9719 | X | 6/19/18 | 7/10/18 | | X | | | | | | | | |
| | UMPQUA HOLDINGS CORP OR UNSOLICITI | | 6/6/18 | 7/10/18 | | X | | | | | | | | Г |
| | TAKEDA PHARMACEUTICAL CO LTD SPON | X | 6/5/18 | 7/10/18 | X | | | | | | | | | |
| | OCCIDENTAL PETROLEUM CRP UNSOLICIT | | 6/5/18 | 7/10/18 | | | X | | | | | | | |
| | VERIZON COMMUNICATIONS INC Trade#:1 | X | 6/4/18 | 7/10/18 | | \boxtimes | | | | | | | | |

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| | JT | | | | | | | |
| FULL ASSET NAME | Provide full name, not ticker symbol. | WPP PLC NEW SPON ADR UNSOLICITED | MITSUBISHI UFJ FINANCIAL GROUP INC SF | TELECOM ITALIA SPA NEW REPSTG 10 OR | UBS GROUP AG CHF UNSOLICITED Trade: | DAIICHI SANKYO CO LTD SPON ADR Trade | TESCO PLC SPONS ADR UNITED KINGDON | PUBLIC SERVICE ENTERPRSE GROUP INC |
| S∄∃ | PURCHASE | <u>X</u> | X | X | X | | | \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ |
| TYPE OF TRANS-ACTION | SALE | | <u> </u> | | | | X | 쓱 |
| ', | EXCHANGE | | , | | | - | | |
| DATE OF TRANS- ACTION | (MO/DA/YR) | 6/1/18 | 6/1/18 | 6/1/18 | 6/1/18 | 6/22/18 | 6/21/18 | 6/19/18 |
| DATE NOTIFIED OF TRANS- ACTION | (MO/DA/YR) | 7/10/18 | 7/10/18 | 7/10/18 | 7/10/18 | 7/10/18 | 7/10/18 | 7/10/18 |
| | \$1,000- \$15,000 | X | \boxtimes | X | X | X | \boxtimes | X |
| | \$15,001- \$50,000 | | | | - | | | |
| AA | \$50,001- \$100,000 | | | | | | | |
| AMOUNT OF TRANSACTION | \$100,001- \$250,000 | | | | | | | |
| OF T | \$250,001- \$500,000 | | | | | | | |
| RANS | \$500,001- \$1,000,000 | | | | | | | |
| АСТІ | \$1,000,001- \$5,000,000 | | | | | | | |
| × | \$5,000,001- \$25,000,000 ± | | | | | | | |
| | \$25,000,001- \$50,000,000 | | | | | | | · 7 |
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|--|--|---|---|---|--|--|--|---|
| (MO/DAYYR) | PURCHASE SALE EXCHANGE (MO/DAY/R) (MO/DAY/R) \$1,000- \$15,000 \$15,001- | PURCHASE SALE EXCHANGE 6/19/18 7/10/18 \$1,000- \$15,000 \$15,001- \$50,000 \$50 | PURCHASE SALE EXCHANGE 6/19/18 11,000- \$15,000 \$15,001- \$50,000 \$50,001- \$100,000 | PURCHASE SALE EXCHANGE 6/19/18 \$1,000- \$15,000- \$15,000- \$50,000- \$100,001- \$250,000- \$250,000- \$250,001- | PURCHASE SALE EXCHANGE 6/19/18 11,000- \$15,000 \$15,001- \$50,000 \$100,001- \$250,000 \$250,000 \$250,000 \$500,000 \$500,000 \$500,000 | PURCHASE SALE EXCHANGE (MO/DAY/R) (MO/DAY/R) (MO/DAY/R) \$1,000- \$15,000 \$15,001- \$50,000 \$250,001- \$100,000 \$250,001- \$500,000 \$1,000,000 \$1,000,000 \$1,000,000 \$1,000,000 \$5,000,000 \$1,000,000 \$1,000,000 \$5,000,000 \$1,000,000 \$5,000,000 \$5,000,000 | PURCHASE SALE EXCHANGE (MODDAYR) 1,000- \$1,000- \$15,000 \$15,001- \$50,001- \$100,001- \$250,001- \$1,000,000 \$1,000,001- \$1,000,000 \$1,000,001- \$5,000,001- \$5,000,001- \$5,000,001- \$5,000,001- \$5,000,001- \$5,000,001- \$5,000,001- | PURCHASE SALE EXCHANGE (MO/DAYR) \$1,000- \$15,000 \$15,001- \$50,000 \$100,001- \$250,000 \$250,000 \$1,000,000 \$1,000,000 \$1,000,000 \$1,000,000 \$5,000,001- \$5,000,000 |
| SALE EXCHANGE (MO/DAYR) (MO/DAYR) \$1,000- | \$ALE EXCHANGE 6/19/18 \$1,000- \$15,000- \$15,001- | SALE EXCHANGE (MO/DA/YR) (MO/DA/YR) \$1,000- \$15,000 \$15,001- \$50,000 \$50,001- \$ | SALE EXCHANGE 6)/19/18 7/10/18 \$1,000- \$15,000 \$15,001- \$50,000 \$100,001- \$100,001- | SALE EXCHANGE 6/19/18 \$1,000- \$15,000 \$15,001- \$50,000 \$100,001- \$100,000 \$250,001- \$1250,000 | SALE EXCHANGE 6/19/18 // (MO/DAYR) // (M | SALE EXCHANGE (MO/DAY/R) (MO/DAY/R) \$1,000- \$15,000 \$15,001- \$50,000 \$100,001- \$250,000 \$250,000 \$1,000,001- \$1,000,000 \$1,000,001- \$5,000,000 \$1,000,001- \$5,000,000 | SALE EXCHANGE (MODDAY/R) (MODDAY/R) (MODDAY/R) \$1,000- \$15,000 \$15,001- \$50,000 \$50,001- \$100,000- \$250,000 \$250,001- \$1,000,000 \$1,000,000- \$5,000,000- \$5,000,000- \$5,000,001- \$5,000,001- | \$1,000- \$15,000 B \$50,001- \$100,000 B \$250,000 B \$500,001- \$500,000 B \$1,000,000 B \$1,000,000 B \$5,000,001- \$5,000,001- \$5,000,001- \$25,000,001- \$25,000,001- \$25,000,001- \$25,000,001- \$25,000,001- \$25,000,001- |
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| TRANS- ACTION 7/10/18 | 7/10/18 (MODDAYR) ACTION A \$1,000- \$15,000- \$15,001- | 7/10/18 \$1,000- \$15,000 A \$15,001- \$50,001- | 7/10/18 (MODDAYR) ACTION ACTION S15,000 B S50,001- C | 7/10/18 (MO)DA/YR) ACTION \$1,000- \$15,000 A \$15,001- \$50,000- \$50,001- | 7/10/18 (MOODAAYR) ACTION A \$1,000- \$15,000 B \$50,001- C | \$1,000- \$15,000 B \$15,001- \$50,000 C \$150,001- \$100,001- \$250,000 B \$250,001- \$500,001- \$1,000,000 F \$1,000,000 G | ACTION \$1,000- \$15,000 \$15,001- \$50,001- \$100,000 \$250,001- \$250,000 \$250,001- \$1,000,000 \$5,000,001- \$5,000,000 \$5,000,001- \$5,000,001- \$5,000,001- | \$1,000- \$15,000 B \$15,001- \$50,000 B \$50,001- \$100,000 C \$100,000 D \$250,000 D \$500,001- \$5,000,000 C \$5,000,001- \$5,000,000 D \$5,000,001- \$25,000,001- \$25,000,001- |
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| | | \$50,000 | \$50,000 | \$50,000 | \$50,000 | \$50,000 B \$50,001- \$100,001- \$250,000 B \$250,001- \$250,000 B \$500,001- \$500,001- \$1,000,000 B \$1,000,001- \$5,000,000 B \$5,000,000 B | \$50,000 B \$50,001- \$100,000 C \$100,001- \$250,000 C \$250,001- \$500,000 C \$500,001- \$1,000,001- \$1,000,000 C \$5,000,001- \$5,000,001- \$5,000,001- \$5,000,001- \$5,000,001- | \$50,000 B \$50,001- \$100,000 D \$100,001- \$250,000 D \$250,001- \$500,001- \$1,000,000 D \$1,000,001- \$5,000,000 D \$5,000,001- \$25,000,001- \$25,000,001- \$25,000,001- |

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| FULL ASSET NAME | Provide full name, not ticker symbol. | | SWATCH GROUP AG ADR UNSOLICITED | SWATCH GROUP AG ADR UNSOLICITED T | CH GROUP AG ADR UNSOLIGELLBASELL INDUSTRIES N | SWATCH GROUP AG ADR UNSOLICITED TO THE SWATCH AGAIN AG AD | SWATCH GROUP AG ADR UNSOLICITED TO SWATCH ASTELLAS PHARMA INC ADR UNSOLICITED TO SWATCH ASTELLAS PHARMA INC ADR UNSOLICITED TO SWATCH AGENCY AND ADR UNSOLICITED TO SWATCH GROUP AGENCY AGENCY AND ADR UNSOLICITED TO SWATCH AGENCY AND ADDRESS OF THE SWATCH AGENCY ADDRESS OF THE SWATCH AGENCY AND ADDRESS OF THE SWATCH AGENCY A | H GROUP AG ADR UNSOLICELLBASELL INDUSTRIES N AS PHARMA INC ADR UNSOLICELLBASELL INDUSTRIES N A HOLDINGS CORP OR UNITAL PETROLEUM CRP UN |
| | PURCHASE | F | | | | | | |
| TYPE OF TRANS-ACTION | SALE | 1 | $\overline{\mathbf{x}}$ | X | | | | |
| NS & | EXCHANGE | ${1}$ | - | | | | | |
| DATE OF TRANS- ACTION | (MO/DA/YR) | 6/4/18 | 9 | 6/4/18 | 6/4/18 | 6/4/18 6/1/18 6/5/18 | 6/4/18 6/1/18 6/5/18 6/1/18 | 6/4/18 6/1/18 6/5/18 6/1/18 |
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| | \$1,000- \$15,000 | | X | X X | X X X | X X X X | | |
| | \$15,001- \$50,000 | | | $ \neg $ | $ \neg \neg \neg$ | | $ 	extstyle{	imes} $ $ $ $ $ $ $ $-$ | $ \neg $ |
| AM | \$50,001- \$100,000 | | [· | | | | | |
| AMOUNT OF TRANSACTION | \$100,001- \$250,000 | | | | | | | |
| OF TR | \$250,001- \$500,000 | | - | | | | | |
| ans, | \$500,001- \$1,000,000 | | _ | | | | | |
| СТЮ | \$1,000,001- \$5,000,000 | | | | | | | |
| _ z | \$5,000,001- \$25,000,000 ± | | | | | | | |
| | \$25,000,001- \$50,000,000 | | | | | | | |
| | Over \$50,000,000 | | 1 | | | | | |