

FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

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Status: Member State/District: KY03

FILING INFORMATION

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SCHEDULE A: ASSETS AND "UNEARNED" INCOME

| Asset | Owner Value | of Asset Income Type(s) | | Tx. > \$1,000? |
|---|--------------------|----------------------------------|---------------------------------|----------------|
| 3M Company (MMM) [ST] | \$1,001 | - \$15,000 Dividend | s \$1 - \$200 | ∀ |
| Accenture plc. Class A Ordinary Shares (ACN) [ST] | None | Capital G Dividend | | 00 |
| Allergan plc Ordinary Shares (AGN) [ST] | None | Dividend | s \$1 - \$200 | ~ |
| Almost Family Inc (AFAM) [ST] | \$1,000 \$5,000 | | ains \$100,001 - \$1,000,000 | <u></u> |
| Alphabet Inc Class A (GOOGL) [ST] | \$1,001 | - \$15,000 None | | П |
| Altria Group, Inc. (MO) [ST] | \$1,001 | - \$15,000 Capital G Dividend | | <u></u> |
| Amazon.com, Inc. (AMZN) [ST] | \$1,001 | - \$15,000 None | | ~ |
| American International Group, Inc. New (AIG) | None | Capital G Dividend | | <u></u> |

| Asset | Owner Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|----------------------|-----------------------------|-------------------|----------------|
| Amgen Inc. (AMGN) [ST] | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | ▽ |
| Apple Inc. (AAPL) [ST] | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | |
| AT&T Inc. (T) [ST] | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | |
| Automatic Data Processing, Inc. (ADP) [ST] | None | Capital Gains, Dividends | \$1,001 - \$2,500 | V |
| Bank of America Corporation (BAC) [ST] | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | |
| Berkshire Hathaway Inc. New (BRK.B) [ST] | \$1,001 - \$15,000 | None | | |
| BlackRock, Inc. (BLK) [ST] | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | V |
| Boeing Company (BA) [ST] | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | П |
| Bristol-Myers Squibb Company (BMY) [ST] | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | V |
| Caterpillar, Inc. (CAT) [ST] | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | П |
| Celgene Corporation (CELG) [ST] | \$1,001 - \$15,000 | None | | |
| Chevron Corporation (CVX) [ST] | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | П |
| Cisco Systems, Inc. (CSCO) [ST] | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | |
| Citigroup, Inc. (C) [ST] | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <u> </u> |
| CME Group Inc Class A (CME) [ST] | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <u>~</u> |
| CMS Energy Corporation (CMS) [ST] | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | V |
| Coca-Cola Company (KO) [ST] | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | V |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------------|--------------------------|-----------------------------|---------------------|----------------|
| Comcast Corporation - Class A (CMCSA) [ST] | | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | ▽ |
| ConocoPhillips (COP) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | |
| Description: Made two purchases of this stock in 2017, l | ooth purcha | ases were for amounts | under \$1,000. | | |
| CSX Corporation (CSX) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <u>~</u> |
| CVS Health Corporation (CVS) [ST] | | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1 - \$200 | |
| Dana Large Cap Equity [MF] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | |
| Danaher Corporation (DHR) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | |
| Delta Air Lines, Inc. (DAL) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | ∀ |
| Doonbeg Property [RP] | | \$250,001 - \$500,000 | Rent | \$15,001 - \$50,000 | |
| Location: Doonbeg, IE | | | | | |
| DowDuPont Inc. (DWDP) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | ✓ |
| Duke Energy Corporation (DUK) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <u>~</u> |
| E*TRADE Financial Corporation (ETFC) [ST] | | \$1,001 - \$15,000 | None | | |
| Ecolab Inc. (ECL) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | |
| Entrustpermal Alternative Core [MF] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <u></u> |
| EOG Resources, Inc. (EOG) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <u>~</u> |
| Estee Lauder Companies, Inc. (EL) [ST] | | None | Capital Gains, Dividends | \$201 - \$1,000 | <u>~</u> |
| Europacific Growth FD CL F-2 [MF] | | \$50,001 - \$100,000 | Capital Gains, Dividends | \$5,001 - \$15,000 | ∀ |
| | | | | | |

| Asset | Owner Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------------------------------|-----------------------------|-------------------|-------------------|
| Exxon Mobil Corporation (XOM) [ST] | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <u> </u> |
| Facebook, Inc Class A (FB) [ST] | \$1,001 - \$15,000 | Capital Gains | \$1,001 - \$2,500 | <u>~</u> |
| Federated Treasury Obligation Fund [GS] | \$1,001 - \$15,000 | Interest | \$1 - \$200 | |
| Federated Treasury Obligation Fund [GS] | \$100,001 - \$250,000 | Interest | \$1 - \$200 | |
| FedEx Corporation (FDX) [ST] | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <u>~</u> |
| Fortive Corporation (FTV) [ST] | None | Capital Gains, Dividends | \$201 - \$1,000 | <u> </u> |
| Description: Made two purchases of this stock in 2017, be | oth purchases were for amount | s under \$1,000. | | |
| General Dynamics Corporation (GD) [ST] | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <u></u> |
| General Electric Company (GE) [ST] | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | |
| General Motors Company (GM) [ST] | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <u> </u> |
| Gilead Sciences, Inc. (GILD) [ST] | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | |
| Goldman Sachs ABS Return Tracker [MF] | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | ▽ |
| Goldman Sachs Group, Inc. (GS) [ST] | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <u> </u> |
| Home Depot, Inc. (HD) [ST] | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | V |
| Honeywell International Inc. (HON) [ST] | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | ∀ |
| Illinois Tool Works Inc. (ITW) [ST] | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | ✓ |
| Intel Corporation (INTC) [ST] | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | <u> </u> |
| Ishares Barclays 1-3 year Credit BD FD [EF] | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <u>~</u> |
| | | | | |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|---------------------|-----------------------------|--------------------|----------------|
| Ishares Barclays TIPS Bond Fund [EF] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <u></u> |
| Ishares National Muni Bond ETF [EF] | | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | <u>~</u> |
| Johnson & Johnson (JNJ) [ST] | | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | <u>~</u> |
| JP Morgan Chase & Co. (JPM) [ST] | | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | |
| Litman Gregory Masters Alt [MF] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | ∀ |
| Lowe's Companies, Inc. (LOW) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | ▽ |
| Mairs & Power Small Cap [MF] | | \$15,001 - \$50,000 | Capital Gains, Dividends | \$5,001 - \$15,000 | ▽ |
| Marathon Petroleum Corporation (MPC) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | |
| Mastercard Incorporated (MA) [ST] | | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | ▽ |
| McDonald's Corporation (MCD) [ST] | | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | ~ |
| McKesson Corporation (MCK) [ST] | | None | Dividends | \$1 - \$200 | ✓ |
| Merck & Company, Inc. Common Stock (MRK) | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | |
| Microsoft Corporation (MSFT) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | |
| Mondelez International, Inc Class A (MDLZ) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <u> </u> |
| Morgan Stanley (MS) [ST] | | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | <u>~</u> |
| NextEra Energy, Inc. (NEE) [ST] | | \$1,001 - \$15,000 | Capital Gains, Dividends | \$2,501 - \$5,000 | ∀ |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|--------------|--------------------------|-----------------------------|--------------------|-------------------|
| Nike, Inc. (NKE) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <u> </u> |
| Northwestern Mutual annuity [FN] | | \$100,001 - \$250,000 | None | | |
| Oppenheimer DVLPING MKTS-Y [MF] | | \$15,001 - \$50,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | <u> </u> |
| Oppenheimer Intl Bond Fund I [MF] | | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | $\overline{\lor}$ |
| Oracle Corporation (ORCL) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | ▽ |
| Packaging Corporation of America (PKG) [ST] | | None | Capital Gains, Dividends | \$1,001 - \$2,500 | <u> </u> |
| Penn Mutual whole life insurance policy [OT] | | \$100,001 - \$250,000 | None | | |
| DESCRIPTION: This is a whole life insurance policy. | | | | | |
| Pepsico, Inc. (PEP) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | \checkmark |
| Pfizer, Inc. (PFE) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | ▽ |
| Pioneer Natural Resources Company (PXD) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <u> </u> |
| PNC Checking Account [BA] | | \$15,001 - \$50,000 | Interest | \$1 - \$200 | |
| Principal Midcap Blend Fund [MF] | | \$15,001 - \$50,000 | Capital Gains, Dividends | \$5,001 - \$15,000 | V |
| Procter & Gamble Company (PG) [ST] | | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | V |
| Sameul Klein Trust [OT] | | Undetermined | Excepted/Blind Trust | \$5,001 - \$15,000 | |
| Description: Beneficiary of trust established by grandparts | rents for ed | lucation | | | |
| SBA Communications Corporation - Class A (SBAC) [ST] | | None | Capital Gains | \$201 - \$1,000 | <u>~</u> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|--|-------|-------------------------------|-----------------------------|----------------------------|----------------|
| Schlumberger N.V. (SLB) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | ▽ |
| Seafarer Overseas GR & Income Institutional Shares [MF] | | \$15,001 - \$50,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | ▽ |
| Sherwin-Williams Company (SHW) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <u>~</u> |
| Signet Jewelers Limited Common Shares (SIG) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | |
| Sonny's Barbeque, Orlando, Florida [PS] DESCRIPTION: Interest in subchapter S corporation | | \$5,000,001 - \$25,000,000 | Royalties and income | \$100,001 - \$1,000,000 | |
| Starbucks Corporation (SBUX) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | П |
| T Rowe Price High Yield FD-INV [MF] | | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | <u>~</u> |
| Target Corporation (TGT) [ST] | | None | Dividends | \$1 - \$200 | ∀ |
| The Kraft Heinz Company (KHC) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | <u>~</u> |
| The Priceline Group Inc. (PCLN) [ST] | | \$1,001 - \$15,000 | None | | ✓ |
| Touchstone Small Cap Core Fund Class Y [MF] | | \$50,001 - \$100,000 | Dividends | \$201 - \$1,000 | |
| U.S. Bancorp (USB) [ST] | | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | <u>~</u> |
| UBS E-Tracs Alerian MLP Infrastr [EF] | | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | ✓ |
| Union Pacific Corporation (UNP) [ST] | | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | ▽ |
| United Parcel Service, Inc. (UPS) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | ✓ |
| United Technologies Corporation (UTX) [ST] | | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | <u>~</u> |

| Asset | Owner | Value of Asset | Income Type(s) | Income | Tx. > \$1,000? |
|---|-------|-------------------------|-----------------------------|-------------------|-------------------------|
| UnitedHealth Group Incorporated Common Stock (UNH) [ST] | | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | V |
| Vanguard FTSE Developed Markets ETF (VEA) [ST] | | \$50,001 - \$100,000 | Dividends | \$1,001 - \$2,500 | ▽ |
| Vanguard FTSE Emerging Markets ETF (VWO) [ST] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | ▽ |
| Vanguard REIT ETF [RE] | | \$15,001 - \$50,000 | Capital Gains, Dividends | \$2,501 - \$5,000 | <u> </u> |
| Vanguard Utilities ETF (VPU) [ST] | | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | ▽ |
| Verizon Communications Inc. (VZ) [ST] | | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 | <u> </u> |
| Visa Inc. (V) [ST] | | \$1,001 - \$15,000 | Capital Gains, Dividends | \$1,001 - \$2,500 | ▽ |
| Walmart Inc. (WMT) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | $\overline{\checkmark}$ |
| Walt Disney Company (DIS) [ST] | | \$1,001 - \$15,000 | Dividends | \$1 - \$200 | |
| Wells Fargo & Company (WFC) [ST] | | \$1,001 - \$15,000 | Capital Gains, Dividends | \$201 - \$1,000 | <u>~</u> |
| William Blair FDS Alloc I [MF] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | |
| WisdomTree Europe Hedged Equity Fund (HEDJ) [ST] | | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 | |
| Yum! Brands, Inc. (YUM) [ST] | | None | Capital Gains, Dividends | \$2,501 - \$5,000 | V |

^{*} For the complete list of asset type abbreviations, please visit $\underline{\text{https://fd.house.gov/reference/asset-type-codes.aspx}}.$

SCHEDULE B: TRANSACTIONS

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-------|------------|----------------|----------------------------|---------------------|
| 3M Company (MMM) [ST] | | 03/23/2017 | P | \$1,001 - \$15,000 | |
| Accenture plc Class A Ordinary Shares (ACN) [ST] | | 06/12/2017 | S (partial) | \$1,001 - \$15,000 | ∀ |
| Accenture plc Class A Ordinary Shares (ACN) [ST] | | 08/15/2017 | S | \$1,001 - \$15,000 | ∀ |
| Air Products and Chemicals, Inc. (APD) [ST] | | 03/23/2017 | P | \$1,001 - \$15,000 | |
| Air Products and Chemicals, Inc. (APD) [ST] | | 06/12/2017 | S | \$1,001 - \$15,000 | |
| Allergan plc Ordinary Shares (AGN) [ST] | | 11/9/2017 | S (partial) | \$1,001 - \$15,000 | П |
| Allergan plc Ordinary Shares (AGN) [ST] | | 12/21/2017 | S | \$1,001 - \$15,000 | |
| Almost Family Inc (AFAM) [ST] | | 03/13/2017 | S (partial) | \$100,001 - \$250,000 | ▽ |
| Almost Family Inc (AFAM) [ST] | | 06/12/2017 | S (partial) | \$500,001 - \$1,000,000 | ∀ |
| Altria Group, Inc. (MO) [ST] | | 09/11/2017 | S (partial) | \$1,001 - \$15,000 | ▽ |
| Amazon.com, Inc. (AMZN) [ST] | | 03/31/2017 | P | \$1,001 - \$15,000 | |
| Amazon.com, Inc. (AMZN) [ST] | | 07/24/2017 | P | \$1,001 - \$15,000 | |
| American International Group, Inc. New (AIG) [ST] | | 06/12/2017 | S | \$1,001 - \$15,000 | ▽ |
| Amgen Inc. (AMGN) [ST] | | 11/9/2017 | S (partial) | \$1,001 - \$15,000 | П |
| Automatic Data Processing, Inc. (ADP) [ST] | | 06/12/2017 | S (partial) | \$1,001 - \$15,000 | <u>~</u> |
| Automatic Data Processing, Inc. (ADP) [ST] | | 08/15/2017 | S | \$1,001 - \$15,000 | ▼ |
| BlackRock, Inc. (BLK) [ST] | | 09/14/2017 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------------|--------------------|---------------------|
| Boeing Company (BA) [ST] | | 03/23/2017 | S (partial) | \$1,001 - \$15,000 | V |
| Boeing Company (BA) [ST] | | 06/12/2017 | S (partial) | \$1,001 - \$15,000 | V |
| Boeing Company (BA) [ST] | | 09/11/2017 | P | \$1,001 - \$15,000 | |
| Bristol-Myers Squibb Company (BMY) [ST] COMMENTS: This purchase was mistakenly not reported on a PTR. | | 12/21/2017 | P | \$1,001 - \$15,000 | |
| Caterpillar, Inc. (CAT) [ST] | | 03/23/2017 | P | \$1,001 - \$15,000 | |
| Chevron Corporation (CVX) [ST] | | 11/9/2017 | P | \$1,001 - \$15,000 | |
| Citigroup, Inc. (C) [ST] | | 06/12/2017 | P | \$1,001 - \$15,000 | |
| CME Group Inc Class A (CME) [ST] | | 09/20/2017 | P | \$1,001 - \$15,000 | |
| CMS Energy Corporation (CMS) [ST] | | 11/9/2017 | P | \$1,001 - \$15,000 | |
| Coca-Cola Company (KO) [ST] | | 09/27/2017 | S (partial) | \$1,001 - \$15,000 | <u>~</u> |
| Comcast Corporation - Class A (CMCSA) [ST] | | 09/11/2017 | S (partial) | \$1,001 - \$15,000 | ▽ |
| Comcast Corporation - Class A (CMCSA) [ST] | | 11/9/2017 | P | \$1,001 - \$15,000 | |
| Comcast Corporation - Class A Special (CMCSK) [ST] | | 03/23/2017 | P | \$1,001 - \$15,000 | |
| CSX Corporation (CSX) [ST] | | 09/27/2017 | P | \$1,001 - \$15,000 | |
| CVS Health Corporation (CVS) [ST] | | 09/11/2017 | S (partial) | \$1,001 - \$15,000 | П |
| Delta Air Lines, Inc. (DAL) [ST] COMMENTS: This purchase was mistakenly not reported on a PTR. | | 05/31/2017 | P | \$1,001 - \$15,000 | |
| Dow Chemical Company (DOW) [ST] | | 06/12/2017 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-----------|----------------------|----------------|---------------------|---------------------|
| DowDuPont Inc. (DWDP) [ST] | | 11/9/2017 | S (partial) | \$1,001 - \$15,000 | <u>~</u> |
| COMMENTS: Didn't account for merger, and mistakenly reported as | E I Dupon | t instead of DowDupo | nt. | | |
| Duke Energy Corporation (DUK) [ST] | | 11/9/2017 | P | \$1,001 - \$15,000 | |
| E.I. du Pont de Nemours and Company (DD) [ST] | | 03/23/2017 | P | \$1,001 - \$15,000 | |
| Ecolab Inc. (ECL) [ST] | | 03/23/2017 | S (partial) | \$1,001 - \$15,000 | ▽ |
| Entrustpermal Alternative Core [MF] | | 03/8/2017 | P | \$1,001 - \$15,000 | |
| EOG Resources, Inc. (EOG) [ST] | | 03/23/2017 | P | \$1,001 - \$15,000 | |
| Estee Lauder Companies, Inc. (EL) [ST] | | 03/23/2017 | S | \$1,001 - \$15,000 | <u>~</u> |
| Europacific Growth Fund CL F-2 [MF] | | 11/8/2017 | S (partial) | \$15,001 - \$50,000 | ▽ |
| Exxon Mobil Corporation (XOM) [ST] | | 12/7/2017 | S (partial) | \$1,001 - \$15,000 | П |
| Facebook, Inc Class A (FB) [ST] | | 11/9/2017 | S (partial) | \$1,001 - \$15,000 | <u>~</u> |
| FedEx Corporation (FDX) [ST] | | 09/27/2017 | P | \$1,001 - \$15,000 | |
| Fortive Corporation (FTV) [ST] | | 03/23/2017 | S | \$1,001 - \$15,000 | ~ |
| General Dynamics Corporation (GD) [ST] | | 03/23/2017 | P | \$1,001 - \$15,000 | |
| General Electric Company (GE) [ST] | | 11/9/2017 | P | \$1,001 - \$15,000 | |
| General Motors Company (GM) [ST] | | 03/31/2017 | P | \$1,001 - \$15,000 | |
| General Motors Company (GM) [ST] | | 06/12/2017 | P | \$1,001 - \$15,000 | |
| Goldman Sachs ABS Return Tracked [MF] | | 08/11/2017 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------------|--------------------|---------------------|
| Goldman Sachs Group, Inc. (GS) [ST] | | 10/4/2017 | P | \$1,001 - \$15,000 | |
| Home Depot, Inc. (HD) [ST] | | 03/31/2017 | S (partial) | \$1,001 - \$15,000 | ∀ |
| Home Depot, Inc. (HD) [ST] | | 10/4/2017 | S (partial) | \$1,001 - \$15,000 | ∀ |
| Home Depot, Inc. (HD) [ST] | | 11/9/2017 | P | \$1,001 - \$15,000 | |
| Honeywell International Inc. (HON) [ST] | | 03/23/2017 | S (partial) | \$1,001 - \$15,000 | ✓ |
| Honeywell International Inc. (HON) [ST] | | 06/12/2017 | S (partial) | \$1,001 - \$15,000 | V |
| Honeywell International Inc. (HON) [ST] | | 11/9/2017 | P | \$1,001 - \$15,000 | |
| Illinois Tool Works Inc. (ITW) [ST] | | 03/23/2017 | P | \$1,001 - \$15,000 | |
| Intel Corporation (INTC) [ST] | | 11/9/2017 | S (partial) | \$1,001 - \$15,000 | <u>~</u> |
| Ishares Barclays 1-3 year Credit BD [EF] | | 03/10/2017 | P | \$1,001 - \$15,000 | |
| Ishares Barclays TIPS Bond Fund [EF] | | 03/10/2017 | P | \$1,001 - \$15,000 | |
| Ishares National Muni Bond ETF [EF] | | 12/7/2017 | P | \$1,001 - \$15,000 | |
| Johnson & Johnson (JNJ) [ST] | | 11/9/2017 | S (partial) | \$1,001 - \$15,000 | V |
| JP Morgan Chase & Co. (JPM) [ST] | | 06/12/2017 | S (partial) | \$1,001 - \$15,000 | V |
| Litman Gregory Masters Alt [MF] | | 03/8/2017 | P | \$1,001 - \$15,000 | |
| Lowe's Companies, Inc. (LOW) [ST] | | 03/31/2017 | P | \$1,001 - \$15,000 | |
| Lowe's Companies, Inc. (LOW) [ST] | | 07/24/2017 | S (partial) | \$1,001 - \$15,000 | П |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-------------|------------|----------------|---------------------|---------------------|
| Lowe's Companies, Inc. (LOW) [ST] | | 11/9/2017 | P | \$1,001 - \$15,000 | |
| Mairs & Power Small Cap [MF] | | 08/11/2017 | P | \$15,001 - \$50,000 | |
| Mairs and Power Small Cap [MF] | | 08/11/2017 | S (partial) | \$1,001 - \$15,000 | ▽ |
| Mairs and Power Small Cap [MF] | | 12/6/2017 | S (partial) | \$1,001 - \$15,000 | ∀ |
| Marathon Oil Corporation (MRO) [ST] | | 03/23/2017 | S (partial) | \$1,001 - \$15,000 | ▽ |
| Mastercard Incorporated (MA) [ST] | | 11/9/2017 | S (partial) | \$1,001 - \$15,000 | V |
| McDonald's Corporation (MCD) [ST] | | 03/31/2017 | P | \$1,001 - \$15,000 | |
| McDonald's Corporation (MCD) [ST] | | 09/20/2017 | S (partial) | \$1,001 - \$15,000 | ▽ |
| COMMENTS: Mistakenly reported as McDonalds Tokyo instead of M | IcDonalds (| Corp. | | | |
| McDonald's Corporation (MCD) [ST] | | 11/9/2017 | P | \$1,001 - \$15,000 | |
| McKesson Corporation (MCK) [ST] | | 06/12/2017 | S | \$1,001 - \$15,000 | |
| Merck & Company, Inc. Common Stock (MRK) [ST] | | 11/9/2017 | P | \$1,001 - \$15,000 | |
| Microsoft Corporation (MSFT) [ST] | | 12/7/2017 | P | \$1,001 - \$15,000 | |
| Mondelez International, Inc Class A (MDLZ) [ST] | | 06/12/2017 | P | \$1,001 - \$15,000 | |
| Morgan Stanley (MS) [ST] | | 06/12/2017 | S (partial) | \$1,001 - \$15,000 | ✓ |
| NextEra Energy, Inc. (NEE) [ST] | | 11/9/2017 | S (partial) | \$1,001 - \$15,000 | <u>~</u> |
| Nike, Inc. (NKE) [ST] | | 03/31/2017 | P | \$1,001 - \$15,000 | |
| Nike, Inc. (NKE) [ST] | | 06/12/2017 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|--|-------|------------|----------------|---------------------|---------------------|
| Nike, Inc. (NKE) [ST] | | 10/3/2017 | S (partial) | \$1,001 - \$15,000 | П |
| Nike, Inc. (NKE) [ST] | | 11/9/2017 | P | \$1,001 - \$15,000 | |
| Oppenheimer DVLPING MKTS-Y [MF] | | 11/8/2017 | S (partial) | \$1,001 - \$15,000 | <u></u> |
| Oppenheimer Intl Bond Fund I [MF] | | 07/31/2017 | P | \$1,001 - \$15,000 | |
| Oracle Corporation (ORCL) [ST] | | 09/19/2017 | P | \$1,001 - \$15,000 | |
| Oracle Corporation (ORCL) [ST] | | 11/9/2017 | P | \$1,001 - \$15,000 | |
| Packaging Corporation of America (PKG) [ST] | | 03/23/2017 | S (partial) | \$1,001 - \$15,000 | <u></u> |
| Packaging Corporation of America (PKG) [ST] | | 06/12/2017 | S | \$1,001 - \$15,000 | <u>~</u> |
| Pepsico, Inc. (PEP) [ST] | | 06/12/2017 | P | \$1,001 - \$15,000 | |
| Pfizer, Inc. (PFE) [ST] | | 06/12/2017 | P | \$1,001 - \$15,000 | |
| Pioneer Natural Resources Company (PXD) [ST] | | 03/23/2017 | P | \$1,001 - \$15,000 | |
| Principal Midcap Blend fund [MF] | | 07/31/2017 | S (partial) | \$1,001 - \$15,000 | ▽ |
| Principal Midcap Blend fund [MF] | | 08/11/2017 | S (partial) | \$1,001 - \$15,000 | ▽ |
| Principal Midcap Blend fund [MF] | | 12/6/2017 | S (partial) | \$1,001 - \$15,000 | ▽ |
| Principal Midcap Blend fund [MF] | | 07/31/2017 | P | \$15,001 - \$50,000 | |
| Procter & Gamble Company (PG) [ST] | | 09/11/2017 | S (partial) | \$1,001 - \$15,000 | ▽ |
| Procter & Gamble Company (PG) [ST] | | 11/9/2017 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-------|------------|----------------|--------------------|---------------------|
| SBA Communications Corporation - Class A (SBAC) [ST] | | 03/23/2017 | S | \$1,001 - \$15,000 | <u> </u> |
| Schlumberger N.V. (SLB) [ST] | | 03/23/2017 | S (partial) | \$1,001 - \$15,000 | |
| Seafarer Overseas GR & Income Institutional Shares [MF] | | 11/8/2017 | S (partial) | \$1,001 - \$15,000 | ▽ |
| Sherwin-Williams Company (SHW) [ST] | | 11/9/2017 | P | \$1,001 - \$15,000 | |
| Sherwin-Williams Company (SHW) [ST] | | 12/7/2017 | S (partial) | \$1,001 - \$15,000 | |
| Starbucks Corporation (SBUX) [ST] | | 03/20/2017 | S (partial) | \$1,001 - \$15,000 | ▽ |
| Starbucks Corporation (SBUX) [ST] | | 06/12/2017 | P | \$1,001 - \$15,000 | |
| T Rowe Price High Yield [MF] | | 08/11/2017 | S (partial) | \$1,001 - \$15,000 | П |
| Target Corporation (TGT) [ST] | | 03/31/2017 | S (partial) | \$1,001 - \$15,000 | П |
| Target Corporation (TGT) [ST] | | 07/24/2017 | S | \$1,001 - \$15,000 | П |
| The Kraft Heinz Company (KHC) [ST] | | 06/12/2017 | P | \$1,001 - \$15,000 | |
| The Priceline Group Inc. (PCLN) [ST] | | 06/12/2017 | P | \$1,001 - \$15,000 | |
| The Priceline Group Inc. (PCLN) [ST] | | 07/24/2017 | P | \$1,001 - \$15,000 | |
| TJX Companies, Inc. (TJX) [ST] | | 03/31/2017 | S (partial) | \$1,001 - \$15,000 | |
| TJX Companies, Inc. (TJX) [ST] | | 06/12/2017 | S | \$1,001 - \$15,000 | |
| TJX Companies, Inc. (TJX) [ST] COMMENTS: Accidentally missed this transaction when filing PTR. | | 03/23/2017 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|-------|------------|----------------|---------------------|---------------------|
| U.S. Bancorp (USB) [ST] | | 11/9/2017 | S (partial) | \$1,001 - \$15,000 | ▽ |
| UBS E-Tracs Alerian MLP Infrastr [EF] | | 12/7/2017 | S (partial) | \$1,001 - \$15,000 | |
| UBS E-Tracs Alerian MLP Infrastr [MF] | | 08/15/2017 | P | \$15,001 - \$50,000 | |
| Union Pacific Corporation (UNP) [ST] | | 03/23/2017 | S (partial) | \$1,001 - \$15,000 | П |
| Union Pacific Corporation (UNP) [ST] | | 11/9/2017 | S (partial) | \$1,001 - \$15,000 | П |
| United Parcel Service, Inc. (UPS) [ST] | | 03/31/2017 | P | \$1,001 - \$15,000 | |
| United Technologies Corporation (UTX) [ST] | | 03/31/2017 | S (partial) | \$1,001 - \$15,000 | ▽ |
| United Technologies Corporation (UTX) [ST] | | 12/7/2017 | S (partial) | \$1,001 - \$15,000 | ▽ |
| UnitedHealth Group Incorporated Common Stock (UNH) [ST] | | 11/9/2017 | S (partial) | \$1,001 - \$15,000 | ▽ |
| Vanguard FTSE Developed Markets ETF (VEA) [ST] | | 11/9/2017 | P | \$15,001 - \$50,000 | |
| Vanguard FTSE Emerging Markets ETF (VWO) [ST] | | 11/9/2017 | P | \$15,001 - \$50,000 | |
| Vanguard REIT ETF [MF] | | 05/15/2017 | S (partial) | \$1,001 - \$15,000 | ▽ |
| Verizon Communications Inc. (VZ) [ST] | | 06/12/2017 | P | \$1,001 - \$15,000 | |
| Verizon Communications Inc. (VZ) [ST] | | 11/9/2017 | P | \$1,001 - \$15,000 | |
| Visa Inc. (V) [ST] | | 11/9/2017 | S (partial) | \$1,001 - \$15,000 | <u></u> |
| Wal-Mart Stores, Inc. (WMT) [ST] | | 06/12/2017 | P | \$1,001 - \$15,000 | |
| Walt Disney Company (DIS) [ST] | | 03/31/2017 | P | \$1,001 - \$15,000 | |

| Asset | Owner | Date | Tx. Type | Amount | Cap. Gains > \$200? |
|---|------------|------------|----------------|--------------------|---------------------|
| Wells Fargo & Company (WFC) [ST] | | 08/2/2017 | S (partial) | \$1,001 - \$15,000 | ▽ |
| Yum! Brands, Inc. (YUM) [ST] | | 03/23/2017 | S (partial) | \$1,001 - \$15,000 | ✓ |
| COMMENTS: Mistakenly entered stock name as Yum China instead | of Yum Bra | nds. | | | |
| Yum! Brands, Inc. (YUM) [ST] | | 03/31/2017 | S (partial) | \$1,001 - \$15,000 | ▽ |
| Yum! Brands, Inc. (YUM) [ST] | | 07/24/2017 | S | \$1,001 - \$15,000 | ~ |
| Yum! Brands, Inc. (YUM) [ST] Comments: This purchase was mistakenly not reported in a PTR. | | 03/8/2017 | P | \$1,001 - \$15,000 | |

^{*} For the complete list of asset type abbreviations, please visit $\underline{\text{https://fd.house.gov/reference/asset-type-codes.aspx.}}$

SCHEDULE C: EARNED INCOME

None disclosed.

SCHEDULE D: LIABILITIES

| Own | er Creditor | Date Incurred | Туре | Amount of Liability | |
|-----|------------------|---------------|-------------|----------------------------|--|
| | Fifth Third Bank | March 2012 | Demand note | \$500,001 - \$1,000,000 | |

SCHEDULE E: Positions

| Position | Name of Organization |
|-------------------|---------------------------|
| Director | First Tee of Louisville |
| Director Emeritus | Kentucky Golf Association |

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

| Trip Details | | | Inclusions | | | | |
|---------------------|---------------|-----------|--|---------------------|----------|----------|----------|
| Source | Start Date | End Date | Itinerary | Days at Own Exp. | Lodging? | Food? | Family? |
| The Aspen Institute | 05/29/2017 | 06/4/2017 | Louisville, KY - Berlin, Germany - Louisville | 0 | ▽ | ✓ | <u>~</u> |

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

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

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
 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?

C Yes No

COMMENTS

CERTIFICATION AND SIGNATURE

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

Digitally Signed: Hon. John A. Yarmuth, 08/1/2018