



FINANCIAL DISCLOSURE REPORT

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FILER INFORMATION

Name: Hon. Dean Phillips
Status: Member
State/District: MN03

FILING INFORMATION

Filing Type: Amendment Report
Filing Year: 2018
Filing Date: 08/30/2019
Period Covered: 01/01/2018– 12/31/2018

SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- 100 University Family Limited Partnership ⇒ Artwork [CO] DESCRIPTION: Collection of paintings, photographs, prints & sculptures.		\$100,001 - \$250,000	None		
- 100 University Family Limited Partnership ⇒ Commercial Property [RP] LOCATION: Minneapolis/Hennepin, MN, US		\$5,000,001 - \$25,000,000	None		
- Cash Accounts ⇒ Cash in JP Morgan checking accounts [BA]		\$100,001 - \$250,000	Interest	Not Applicable	\$1 - \$200
- Cash Accounts ⇒ Cash in JP Morgan investment accounts [BA]		\$1,000,001 - \$5,000,000	Interest	Not Applicable	\$1,001 - \$2,500
- Cash Accounts ⇒ Cash in U.S. Bank checking accounts [BA]		\$1,001 - \$15,000	Interest	Not Applicable	\$1 - \$200
- Fialko, LLC ⇒ AIF VI Private Investors LLC [HE] DESCRIPTION: EIF		\$50,001 - \$100,000	Partnership Income	Not Applicable	\$5,001 - \$15,000
- Fialko, LLC ⇒ AP Europe VII (APAX) Private Investors Onshore LLC [HE] DESCRIPTION: EIF		\$50,001 - \$100,000	Partnership Income	Not Applicable	\$2,501 - \$5,000
- Fialko, LLC ⇒ Carlyle Asia Partners II Private Investors LLC [HE]		\$1,001 - \$15,000	Partnership Income	Not Applicable	\$15,001 - \$50,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
DESCRIPTION: EIF					
- Fialko, LLC ⇒ Cash in JP Morgan checking account [BA]		\$15,001 - \$50,000	Interest	Not Applicable	\$1 - \$200
- Fialko, LLC ⇒ Cash in JP Morgan investment account [BA]		\$250,001 - \$500,000	Interest	Not Applicable	\$1,001 - \$2,500
- Fialko, LLC ⇒ Euro Principal Currency [OT]		\$15,001 - \$50,000	None		
DESCRIPTION: Currency					
- Fialko, LLC ⇒ Highbridge Mezzanine Partners, LP [HE]		\$50,001 - \$100,000	Partnership Income	Not Applicable	\$5,001 - \$15,000
DESCRIPTION: EIF					
- Fialko, LLC ⇒ JP Morgan Alternative Property Fund Domestic 1 LP [HE]		\$1,001 - \$15,000	None		
DESCRIPTION: EIF					
- Fialko, LLC ⇒ JP Morgan India Property Fund, LP [HE]		\$50,001 - \$100,000	Partnership Income	Not Applicable	\$15,001 - \$50,000
DESCRIPTION: EIF					
- Fialko, LLC ⇒ JPM Prime MM Fd - Instl Fund 829 1.18% (JINXX) [MF]		\$250,001 - \$500,000	Dividends	Not Applicable	\$5,001 - \$15,000
- Fialko, LLC ⇒ KKR 2006 Private Investors, LLC (Onshore) [HE]		\$100,001 - \$250,000	Partnership Income	Not Applicable	\$50,001 - \$100,000
DESCRIPTION: EIF					
- Fialko, LLC ⇒ Outsell, Inc. [OL]		\$250,001 - \$500,000	None		
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Developer of consumer engagement technologies for the automotive industry.					
- Fialko, LLC ⇒ Penny's Coffee LLC [OL]		\$100,001 - \$250,000	None		
LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Coffee shops.					
- Fialko, LLC ⇒ Rational Energies LLC [OL]		\$250,001 - \$500,000	None		
LOCATION: Plymouth/Hennepin, MN, US DESCRIPTION: Developer of technologies to convert municipal waste flows into sustainable sources of green energy.					
- Fialko, LLC ⇒ Residential Property [RP]		None	None		
LOCATION: Minnetonka/Hennepin, MN, US					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Phillips Family Properties, LLC ⇒ Cash in JP Morgan checking account [BA]		\$1,001 - \$15,000	Interest	Not Applicable	\$1 - \$200
- Phillips Family Properties, LLC ⇒ 100 University Family Limited Partnership ⇒ Artwork [OL] LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Collection of paintings, photographs, prints & sculptures.		\$1,001 - \$15,000	None		
- Phillips Family Properties, LLC ⇒ 100 University Family Limited Partnership ⇒ Commercial Property [OL] LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Commercial Property		\$15,001 - \$50,000	None		
- Privately-Held Business Entities ⇒ DTP, LLC [OL] LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Developer of philanthropic giving platforms for individuals and organizations.		None	None		
- Privately-Held Business Entities ⇒ Geniecast, LLC [OL] LOCATION: St.Louis/St. Louis, MO, US DESCRIPTION: Developer of a live, two-way video conferencing portal connecting people, ideas and inspiration.		\$500,001 - \$1,000,000	None		
- Privately-Held Business Entities ⇒ MyMeds, Inc. [OL] LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: C-Corp - MyMeds, Inc. is a developer of solutions to address the human and economic costs of medication non-adherence.		\$50,001 - \$100,000	None		
- Privately-Held Business Entities ⇒ Penny's Coffee LLC [OL] LOCATION: Minneapolis/Hennepin, MN, US DESCRIPTION: Coffee shops.		\$100,001 - \$250,000	None		
- Privately-Held Business Entities ⇒ Rational Energies LLC [OL] LOCATION: Plymouth / Hennepin, MN, US DESCRIPTION: Developer of technologies to convert municipal waste flows into sustainable sources of green energy.		\$250,001 - \$500,000	None		
- Privately-Held Business Entities ⇒ Spark Boulder 24, LLC [OL] LOCATION: Boulder / Boulder, CO, US DESCRIPTION: LEED Platinum Neighborhood Development Community in Boulder, Colorado.		\$250,001 - \$500,000	None		
- Retirement Account 1 ⇒ Fidelity Freedom K 2035 Fund (FSNUX) [MF] DESCRIPTION: EIF		\$15,001 - \$50,000	Tax-Deferred		
- Retirement Account 2 ⇒ Fidelity Target Date 2035 Fund [MF] DESCRIPTION: EIF		\$15,001 - \$50,000	Tax-Deferred		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 1 ⇒ Accenture plc Class A Ordinary Shares (ACN) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
- Trust 1 ⇒ Aetna Inc. (AET) [ST]		None	Capital Gains	Not Applicable	\$1,001 - \$2,500
- Trust 1 ⇒ Amer Funds T/E BND Am-F3 (TFEBX) [MF]		\$250,001 - \$500,000	Dividends	Not Applicable	\$1,001 - \$2,500
- Trust 1 ⇒ AMG MG Pictet Intl - Z (APCZX) [MF]		\$250,001 - \$500,000	Dividends	Not Applicable	\$5,001 - \$15,000
- Trust 1 ⇒ Bank of New York Mellon Corporation (BK) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 1 ⇒ Berkshire Hathaway Inc. New (BRK.B) [ST]		\$50,001 - \$100,000	None		
- Trust 1 ⇒ Blackrock High Yield PT - BLAC (BRHYX) [MF]		\$100,001 - \$250,000	Capital Gains, Dividends	Not Applicable	\$15,001 - \$50,000
- Trust 1 ⇒ Blackstone Partners Investment Fund LP Class B [HE] DESCRIPTION: EIF		\$250,001 - \$500,000	None		
- Trust 1 ⇒ BNP CBEN XOP US 7/31/18 85% Barrier [HE]		None	Capital Gains	Not Applicable	\$15,001 - \$50,000
- Trust 1 ⇒ Carlyle Asia Partners II Private Investors LLC [HE] DESCRIPTION: EIF		\$1,001 - \$15,000	Partnership Income	Not Applicable	\$2,501 - \$5,000
- Trust 1 ⇒ Cash in JP Morgan investment account [BA]		\$100,001 - \$250,000	Interest	Not Applicable	\$201 - \$1,000
- Trust 1 ⇒ CenturyLink, Inc. (CTL) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$1,001 - \$2,500
- Trust 1 ⇒ Cerner Corporation (CERN) [ST]		\$15,001 - \$50,000	None		
- Trust 1 ⇒ Chubb Limited (CB) [ST]		\$15,001 - \$50,000	None		
- Trust 1 ⇒ Comcast Corporation - Class A (CMCSA) [ST]		None	Capital Gains, Dividends	Not Applicable	\$5,001 - \$15,000
- Trust 1 ⇒ Corbin Capital Partners - Pinehurst Partners LP [HE] DESCRIPTION: EIF		\$250,001 - \$500,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 1 ⇒ Dodge & Cox Income Fund (DODIX) [MF]		\$50,001 - \$100,000	Dividends	Not Applicable	\$1,001 - \$2,500
- Trust 1 ⇒ Dodge & Cox Intl Stock Fund (DODFX) [MF]		\$250,001 - \$500,000	Capital Gains, Dividends	Not Applicable	\$15,001 - \$50,000
- Trust 1 ⇒ Dollar General Corporation (DG) [ST]		\$50,001 - \$100,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 1 ⇒ Dollar Tree, Inc. (DLTR) [ST]		\$15,001 - \$50,000	None		
- Trust 1 ⇒ Doubleline Total Return Bond - I (DBLTX) [MF]		\$100,001 - \$250,000	Dividends	Not Applicable	\$5,001 - \$15,000
- Trust 1 ⇒ eBay Inc. (EBAY) [ST]		\$15,001 - \$50,000	None		
- Trust 1 ⇒ Eton Park Fund, LP Class E - New Issue Ineligible Non-Self Dealing [HE] DESCRIPTION: EIF		\$1,001 - \$15,000	None		
- Trust 1 ⇒ Expeditors International of Washington, Inc. (EXPD) [ST]		None	Capital Gains, Dividends	Not Applicable	\$2,501 - \$5,000
- Trust 1 ⇒ Franklin Resources, Inc. (BEN) [ST]		\$1,001 - \$15,000	None		
- Trust 1 ⇒ Highbridge Mezzanine Partners LP [HE] DESCRIPTION: EIF		\$15,001 - \$50,000	Partnership Income	Not Applicable	\$5,001 - \$15,000
- Trust 1 ⇒ Honeywell International Inc. (HON) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
- Trust 1 ⇒ HPS Mezzanine Private Investors II LLC [HE] DESCRIPTION: EIF		\$100,001 - \$250,000	Partnership Income	Not Applicable	\$50,001 - \$100,000
- Trust 1 ⇒ iShares Barclays 1-3 Year Treasury Bond Fund (SHY) [EF]		\$100,001 - \$250,000	None		
- Trust 1 ⇒ Ishares Core MSCI EAFE ETF (IEFA) [EF]		None	Dividends	Not Applicable	\$5,001 - \$15,000
- Trust 1 ⇒ Ishares MSCI ACWI Index Fund (ACWI) [MF]		\$100,001 - \$250,000	Dividends	Not Applicable	\$5,001 - \$15,000
- Trust 1 ⇒		\$500,001 -	Capital Gains,	Not	\$15,001 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Ishares MSCI EAFE Index Fund (EFA) [EF]		\$1,000,000	Dividends	Applicable	\$50,000
- Trust 1 ⇒ Ishares MSCI Japan New (EWJ) [EF]		\$100,001 - \$250,000	Capital Gains, Dividends	Not Applicable	\$2,501 - \$5,000
- Trust 1 ⇒ Ishares Russell 1000 Growth (IWF) [EF]		\$100,001 - \$250,000	Dividends	Not Applicable	\$1,001 - \$2,500
- Trust 1 ⇒ iShares S&P 500 Growth Index (IVW) [EF]		\$100,001 - \$250,000	None		
- Trust 1 ⇒ iShares S&P 500 Value Index (IVE) [EF]		\$100,001 - \$250,000	None		
- Trust 1 ⇒ JP Morgan Chase & Co. (JPM) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 1 ⇒ JPM Interm T/F Bond - R6 (JITZX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$5,001 - \$15,000
- Trust 1 ⇒ JPM Strat Inc Opp Fd - Cl I Fund (JSOSX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
- Trust 1 ⇒ JPM Tax Free MMkt Inst Sweep Fd [BA] DESCRIPTION: EIF		\$500,001 - \$1,000,000	Dividends	Not Applicable	\$2,501 - \$5,000
- Trust 1 ⇒ JPMorgan Betabuilders Canada ETF (BBCA) [EF]		\$250,001 - \$500,000	None		
- Trust 1 ⇒ JPMorgan Betabuilders Developed Asia Ex-Japan ETF (BBAX) [EF]		\$15,001 - \$50,000	None		
- Trust 1 ⇒ JPMorgan Betabuilders Europe ETF (BBEU) [EF]		\$100,001 - \$250,000	None		
- Trust 1 ⇒ JPMorgan Betabuilders Japan ETF (BBJP) [EF]		\$50,001 - \$100,000	None		
- Trust 1 ⇒ JPMorgan Glbl RES ENH Idx - R6 (JEIYX) [MF]		\$250,001 - \$500,000	Capital Gains, Dividends	Not Applicable	\$5,001 - \$15,000
- Trust 1 ⇒ JPMorgan Intrepid Growth Cl L (JPGSX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$15,001 - \$50,000
- Trust 1 ⇒ Masco Corporation (MAS) [ST]		\$1,001 - \$15,000	None		
- Trust 1 ⇒ Matthews Pacific Tiger - Inst (MIPTX) [MF]		\$50,001 - \$100,000	Dividends	Not Applicable	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 1 ⇒ Metropolitan West T/R Bond - I (MWTIX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
- Trust 1 ⇒ MFS Emerging Markets Debt Fund R6 (MEDHX) [MF]		None	Capital Gains	Not Applicable	\$1,001 - \$2,500
- Trust 1 ⇒ MFS Emerging Mkts Debt Fd - I (MEDIX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
- Trust 1 ⇒ MFS Intl Value - R6 (MINJX) [MF]		\$500,001 - \$1,000,000	Dividends	Not Applicable	\$5,001 - \$15,000
- Trust 1 ⇒ Microsoft Corporation (MSFT) [ST]		None	Capital Gains, Dividends	Not Applicable	\$5,001 - \$15,000
- Trust 1 ⇒ National Oilwell Varco, Inc. (NOV) [ST]		None	Dividends	Not Applicable	\$201 - \$1,000
- Trust 1 ⇒ Nestle SA Sponsored ADR representing Registered Shares Series B (NSRGY) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 1 ⇒ Nutrien Ltd. Common Shares (NTR) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 1 ⇒ Omnicom Group Inc. (OMC) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 1 ⇒ Oracle Corporation (ORCL) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 1 ⇒ PACCAR Inc. (PCAR) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	Not Applicable	\$2,501 - \$5,000
- Trust 1 ⇒ Pepsico, Inc. (PEP) [ST]		\$15,001 - \$50,000	None		
- Trust 1 ⇒ Potash Corporation of Saskatchewan Inc. (POT) [ST]		None	Dividends	Not Applicable	\$1 - \$200
- Trust 1 ⇒ PPG Industries, Inc. (PPG) [ST]		\$1,001 - \$15,000	None		
- Trust 1 ⇒ Progressive Corporation (PGR) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
- Trust 1 ⇒ Quest Diagnostics Incorporated (DGX) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 1 ⇒		\$15,001 -	Dividends	Not	\$201 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Schlumberger N.V. (SLB) [ST]		\$50,000		Applicable	\$1,000
- Trust 1 ⇒ Smith & Nephew SNATS, Inc. (SNN) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 1 ⇒ SPDR S&P 500 ETF Trust (SPY) [EF]		\$500,001 - \$1,000,000	Dividends	Not Applicable	\$5,001 - \$15,000
- Trust 1 ⇒ Stanley Black & Decker, Inc. (SWK) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 1 ⇒ TE Connectivity Ltd. New Switzerland Registered Shares (TEL) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	Not Applicable	\$5,001 - \$15,000
- Trust 1 ⇒ TJX Companies, Inc. (TJX) [ST]		\$50,001 - \$100,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 1 ⇒ Twenty-First Century Fox, Inc. - Class B (FOX) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 1 ⇒ Unilever PLC (UL) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	Not Applicable	\$2,501 - \$5,000
- Trust 1 ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	Not Applicable	\$5,001 - \$15,000
- Trust 1 ⇒ Vanguard Intm Trm T/E ADM (VWIUX) [MF]		\$250,001 - \$500,000	Dividends	Not Applicable	\$1,001 - \$2,500
- Trust 2 ⇒ Cash in JP Morgan investment account [BA]		\$1,001 - \$15,000	None		
- Trust 2 ⇒ Ishares MSCI ACWI Index Fund (ACWI) [MF]		\$250,001 - \$500,000	Dividends	Not Applicable	\$5,001 - \$15,000
- Trust 2 ⇒ JPMorgan Invest Balance Fd - Cl I (OIBFX) [MF]		\$100,001 - \$250,000	Capital Gains, Dividends	Not Applicable	\$15,001 - \$50,000
- Trust 2 ⇒ JPMorgan Investor Grow Fd - Cl I (ONIFX) [MF]		\$1,000,001 - \$5,000,000	Capital Gains, Dividends	Not Applicable	\$100,001 - \$1,000,000
- Trust 3 ⇒ Met Life / New England Financial Life Insurance Policy [WU] DESCRIPTION: Universal Life Insurance Policy		\$250,001 - \$500,000	None		
- Trust 4 ⇒ Amer Funds T/E Bnd Fund Am-F3 (TFEBX) [MF]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 4 ⇒ AMG MG Pictet Intl - I (APCTX) [MF]		None	Capital Gains, Dividends	None	\$1,001 - \$2,500
- Trust 4 ⇒ AMG MG Pictet Intl-Z (APCZX) [MF]		\$15,001 - \$50,000	None		
- Trust 4 ⇒ BBH Core Select Fund - N (BBTEX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$2,501 - \$5,000
- Trust 4 ⇒ Blackrock High Yield PT - BLAC (BRHYX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
- Trust 4 ⇒ Brown ADV Japan Alpha Opp -IS (BAFJX) [MF]		None	Capital Gains	None	\$201 - \$1,000
- Trust 4 ⇒ Dodge & Cox Income Fund (DODIX) [MF]		\$1,001 - \$15,000	None		
- Trust 4 ⇒ Dodge & Cox Intl Stock Fund (DODFX) [MF]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 4 ⇒ Doubleline Totl Ret Bnd - I (DBLTX) [MF]		\$1,001 - \$15,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 4 ⇒ Fidelity 500 Index Fund AI (FXAIX) [MF]		None	None		
- Trust 4 ⇒ iShares Barclays 1-3 Year Treasury Bond Fund (SHY) [MF]		\$15,001 - \$50,000	None		
- Trust 4 ⇒ Ishares Core MSCI EAFE ETF (IEFA) [EF]		None	Dividends	Not Applicable	\$201 - \$1,000
- Trust 4 ⇒ Ishares JP Morgan USD Emerging (EMB) [EF]		None	Dividends	Not Applicable	\$201 - \$1,000
- Trust 4 ⇒ Ishares MSCI EAFE Index Fund (EFA) [EF]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1,001 - \$2,500
- Trust 4 ⇒ Ishares MSCI Japan (EWJ) [EF]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
- Trust 4 ⇒ Ishares Russell 1000 Growth (IWF) [EF]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
- Trust 4 ⇒ iShares S&P 500 Growth Index (IVW) [EF]		\$15,001 - \$50,000	None		
- Trust 4 ⇒ iShares S&P 500 Value Index (IVE) [EF]		\$15,001 - \$50,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 4 ⇒ JPM Gbl Bd Opp Fd - R6 (GBONX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
- Trust 4 ⇒ JPM Tax Free MMkt Inst Sweep Fd [MF] DESCRIPTION: EIF		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
- Trust 4 ⇒ JPMorgan Betabuilders Canada ETF (BBCA) [EF]		\$1,001 - \$15,000	None		
- Trust 4 ⇒ JPMorgan Betabuilders Developed Asia Ex-Japan ETF (BBAX) [EF]		\$1,001 - \$15,000	None		
- Trust 4 ⇒ JPMorgan Betabuilders Europe ETF (BBEU) [EF]		\$15,001 - \$50,000	None		
- Trust 4 ⇒ JPMorgan Betabuilders Japan ETF (BBJP) [EF]		\$15,001 - \$50,000	None		
- Trust 4 ⇒ JPMorgan Gbl RES ENH Idx - R6 (JEIYX) [MF]		\$15,001 - \$50,000	Dividends	Not Applicable	\$2,501 - \$5,000
- Trust 4 ⇒ JPMorgan Interm T/F Bond-R6 (JITZX) [MF]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 4 ⇒ JPMorgan Intrepid Amer - I (JPIAX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$2,501 - \$5,000
- Trust 4 ⇒ JPMorgan Intrepid Growth - I (JPGSX) [MF]		None	Capital Gains	Not Applicable	\$5,001 - \$15,000
- Trust 4 ⇒ MFS Intl Value - R6 (MINJX) [MF]		\$15,001 - \$50,000	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
- Trust 4 ⇒ PIMCO Short-Term Fund - Instl (PTSHX) [MF]		\$1,001 - \$15,000	None		
- Trust 4 ⇒ Rational Energies LLC [OL] LOCATION: Plymouth/Hennepin, MN, US DESCRIPTION: Developer of technologies to convert municipal waste flows into sustainable sources of green energy.		\$15,001 - \$50,000	None		
- Trust 4 ⇒ SPDR S&P 500 ETF Trust (SPY) [EF]		\$100,001 - \$250,000	Dividends	Not Applicable	\$1,001 - \$2,500
- Trust 5 ⇒ Amer Funds T/E BND Fund Am-F3 (TFEBX) [MF]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 5 ⇒ AMG MG Pictet Intl - I (APCTX) [MF]		None	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 5 ⇒ AMG MG Pictet Intl-Z (APCZX) [MF] DESCRIPTION: Conversion from APCTX		\$1,001 - \$15,000	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
- Trust 5 ⇒ BBH Core Select Fund - N (BBTEX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$2,501 - \$5,000
- Trust 5 ⇒ Blackrock High Yield PT - BLAC (BRHYX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
- Trust 5 ⇒ Brown ADV Japan Alph Opp - IS (BAFJX) [MF]		None	Capital Gains	None	\$201 - \$1,000
- Trust 5 ⇒ Dodge & Cox Income Fund (DODIX) [MF]		\$1,001 - \$15,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 5 ⇒ Dodge & Cox Intl Stock Fund (DODFX) [MF]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 5 ⇒ Doubleline Totl Ret Bnd - I (DBLTX) [MF]		\$1,001 - \$15,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 5 ⇒ Fidelity 500 Index FD -AI (FXAIX) [MF]		None	Dividends	Not Applicable	\$201 - \$1,000
- Trust 5 ⇒ iShares Barclays 1-3 Year Treasury Bond (SHY) [MF]		\$15,001 - \$50,000	None		
- Trust 5 ⇒ Ishares Core MSCI EAFE ETF (IEFA) [EF]		None	None		
- Trust 5 ⇒ Ishares JP Morgan USD Emerg (EMB) [EF]		None	Dividends	Not Applicable	\$201 - \$1,000
- Trust 5 ⇒ Ishares MSCI EAFE Index Fund (EFA) [EF]		\$1,001 - \$15,000	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
- Trust 5 ⇒ Ishares Russell 1000 Growth (IWF) [EF]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
- Trust 5 ⇒ iShares S&P 500 Growth Index (IVW) [EF]		\$15,001 - \$50,000	None		
- Trust 5 ⇒ iShares S&P 500 Value Index (IVE) [EF]		\$15,001 - \$50,000	None		
- Trust 5 ⇒ JPM Gbl Bd Opp Fd - R6 (GBONX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 5 ⇒ JPM Tax Free MMkt Inst Sweep Fd [MF] DESCRIPTION: EIF		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
- Trust 5 ⇒ JPMorgan Betabuilders Canada ETF (BBCA) [EF]		\$1,001 - \$15,000	None		
- Trust 5 ⇒ JPMorgan Betabuilders Developed Asia Ex-Japan ETF (BBAX) [EF]		\$1,001 - \$15,000	None		
- Trust 5 ⇒ JPMorgan Betabuilders Europe ETF (BBEU) [EF]		\$15,001 - \$50,000	None		
- Trust 5 ⇒ JPMorgan Betabuilders Japan ETF (BBJP) [EF]		\$15,001 - \$50,000	None		
- Trust 5 ⇒ JPMorgan Gbl RES ENH Idx - R6 (JEIYX) [MF] DESCRIPTION: Conversion from JEITX		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 5 ⇒ JPMorgan Interm T/F Bnd- R6 (JITZX) [MF]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 5 ⇒ JPMorgan Intrepid Amer - I (JPIAX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
- Trust 5 ⇒ JPMorgan Intrepid Growth - I (JPGSX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$2,501 - \$5,000
- Trust 5 ⇒ MFS Intl Value - R6 (MINJX) [MF]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
- Trust 5 ⇒ Pimco Short-Term Fund - Instl (PTSHX) [MF]		\$1,001 - \$15,000	None		
- Trust 5 ⇒ Rational Energies LLC [OL] LOCATION: Plymouth/Hennepin, MN, US DESCRIPTION: Developer of technologies to convert municipal waste flows into sustainable sources of green energy.		\$15,001 - \$50,000	None		
- Trust 5 ⇒ SPDR S&P ETF Trust (SPY) [EF]		\$100,001 - \$250,000	Dividends	Not Applicable	\$1,001 - \$2,500
- Trust 6 ⇒ Midland National Life insurance Policy [WU] DESCRIPTION: Universal Life Insurance Policy		\$500,001 - \$1,000,000	None		
- Trust 6 ⇒ North American Life Insurance Policy [WU] DESCRIPTION: Universal Life Insurance Policy		\$250,001 - \$500,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
- Trust 7 ⇒ John Hancock Life Insurance Policy [WU] DESCRIPTION: Universal Life Insurance Policy		\$250,001 - \$500,000	None		
- Trust 7 ⇒ JPMorgan Intrepid Growth - I (JPGSX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
- Trust 7 ⇒ SPDR S&P 500 ETF Trust (SPY) [EF] DESCRIPTION: 12/31/18 value below the reporting threshold		None	Capital Gains, Dividends	Not Applicable	\$2,501 - \$5,000
3M Company (MMM) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$1,001 - \$2,500
Abbott Laboratories (ABT) [ST]		None	Capital Gains, Dividends	Not Applicable	\$2,501 - \$5,000
AbbVie Inc. (ABBV) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
Accenture plc Class A Ordinary Shares (ACN) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Activision Blizzard, Inc (ATVI) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Adobe Systems Incorporated (ADBE) [ST]		\$1,001 - \$15,000	None		
Aetna Inc. (AET) [ST]		None	Capital Gains, Dividends	Not Applicable	\$5,001 - \$15,000
AFLAC Incorporated (AFL) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Agilent Technologies, Inc. (A) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Air Products and Chemicals, Inc. (APD) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
Akamai Technologies, Inc. (AKAM) [ST]		None	Capital Gains	Not Applicable	\$201 - \$1,000
Allstate Corporation (ALL) [ST]		\$1,001 - \$15,000	None		
Alphabet Inc. - Class A (GOOGL) [ST]		\$15,001 - \$50,000	None		
Alphabet Inc. - Class C Capital Stock (GOOG) [ST]		\$15,001 - \$50,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Altria Group, Inc. (MO) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
Amazon.com, Inc. (AMZN) [ST]		\$50,001 - \$100,000	None		
Amer Funds T/E BND Fund Am-F3 (TFEBX) [MF] DESCRIPTION: Sold for a loss		None	None		
American Airlines Group, Inc. (AAL) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
American Electric Power Company, Inc. (AEP) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
American Express Company (AXP) [ST]		\$1,001 - \$15,000	None		
American International Group, Inc. New (AIG) [ST] DESCRIPTION: sold for a loss		None	None		
American Intl Group VAR RT 04/01/48 [CS] DESCRIPTION: Corporate Bond		\$15,001 - \$50,000	None		
American Tower Corporation (AMT) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
American United Life Insurance Company - Policy 1 [WU] DESCRIPTION: Whole Life Insurance Policy		\$1,001 - \$15,000	None		
American United Life Insurance Company - Policy 2 [WU] DESCRIPTION: Whole Life Insurance Policy		\$15,001 - \$50,000	None		
American Water Works Company, Inc. (AWK) [ST]		\$1,001 - \$15,000	None		
AmerisourceBergen Corporation (ABC) [ST]		\$1,001 - \$15,000	None		
AMG MG Pictet Intl - Z (APCZX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$15,001 - \$50,000
Amgen Inc. (AMGN) [ST] DESCRIPTION: Partial sale for a loss		\$15,001 - \$50,000	None		
Amphenol Corporation (APH) [ST] DESCRIPTION: Partial sale for a loss		\$1,001 - \$15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Anadarko Petroleum Corporation (APC) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
Analog Devices, Inc. (ADI) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Antero Midstream Partners LP Common Units representing limited partner interests (AM) [ST]		None	Partnership Income	Not Applicable	\$5,001 - \$15,000
Anthem, Inc. (ANTM) [ST]		\$1,001 - \$15,000	None		
Aon plc Class A Ordinary Shares (AON) [ST]		\$1,001 - \$15,000	None		
Apollo EPF III Private Investors, LLC (Onshore) [HE]		\$250,001 - \$500,000	None		
DESCRIPTION: EIF					
Apple Inc. (AAPL) [ST]		\$50,001 - \$100,000	Capital Gains, Dividends	Not Applicable	\$15,001 - \$50,000
DESCRIPTION: Additional purchases					
Applied Materials, Inc. (AMAT) [ST]		\$1,001 - \$15,000	None		
Archer-Daniels-Midland Company (ADM) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
Arconic Inc. (ARNC) [ST]		\$1,001 - \$15,000	None		
AT&T Inc. (T) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
Automatic Data Processing, Inc. (ADP) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
AvalonBay Communities, Inc. (AVB) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Avon OH Ser B Ltd Tax 4.5% 12/01/2029 dtd 05/13/2009 PreRefunded [GS]		None	Interest	Not Applicable	\$201 - \$1,000
DESCRIPTION: sold					
Bank of America Corp Var Rt 03/05/2166 dtd 09/05/2014 [CS]		\$15,001 - \$50,000	Interest	Not Applicable	\$5,001 - \$15,000
DESCRIPTION: Preferred security					
Bank of America Corp Var Rt 09/15/2166 [CS]		\$1,001 - \$15,000	None		
DESCRIPTION: Preferred security					
Bank of America Corp Var Rt 09/17/2165 dtd 03/17/2015 [CS]		\$250,001 - \$500,000	Interest	Not Applicable	\$5,001 - \$15,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
DESCRIPTION: Preferred security					
Bank of America Corporation (BAC) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
Bank of New York Mellon Corporation (BK) [ST]		\$1,001 - \$15,000	None		
Bank of NY Mellon Corp 03/20/2166 dtd 08/01/2016 [CS]		\$15,001 - \$50,000	Capital Gains, Interest	Not Applicable	\$201 - \$1,000
DESCRIPTION: Preferred security					
Bank of NY Mellon Corp Var Rt 12/20/2165 dtd 04/28/2015 [CS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
DESCRIPTION: Preferred security					
Baxter International Inc. (BAX) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
BB&T Corporation (BBT) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Becton, Dickinson and Company (BDX) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
Benefit Street Partners IV LLC (Providence Onshore) [HE]		\$500,001 - \$1,000,000	Partnership Income	Not Applicable	\$5,001 - \$15,000
DESCRIPTION: EIF					
Berkshire Hathaway Inc. New (BRK.B) [ST]		\$100,001 - \$250,000	Capital Gains	Not Applicable	\$5,001 - \$15,000
Biogen Inc. (BIIB) [ST]		\$15,001 - \$50,000	None		
Bioverativ Inc. (BIVV) [ST]		None	Dividends	Not Applicable	\$201 - \$1,000
BlackRock National Muni-BR (BNMLX) [MF]		None	Dividends	Not Applicable	\$2,501 - \$5,000
BlackRock, Inc. (BLK) [ST]		\$1,001 - \$15,000	None		
Blackstone Commercial Real Estate Debt Fund - NQ L.P. [HE]		\$1,001 - \$15,000	None		
DESCRIPTION: EIF					
Blackstone Commercial Real Estate Debt Fund LP [HE]		\$1,001 - \$15,000	None		
DESCRIPTION: EIF					
Bloom Tree Fund QP, LP Series E [HE]		\$250,001 - \$500,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
DESCRIPTION: EIF					
Boeing Company (BA) [ST]		None	Capital Gains, Dividends	Not Applicable	\$5,001 - \$15,000
Booking Holdings Inc. (BKNG) [ST]		\$1,001 - \$15,000	None		
Boston Scientific Corporation (BSX) [ST]		\$1,001 - \$15,000	None		
BP Midstream Partners LP Common Units representing Limited Partner Interests (BPMP) [ST]		\$15,001 - \$50,000	Capital Gains	Not Applicable	\$2,501 - \$5,000
Brighthouse Financial, Inc. (BHF) [ST]		\$1,001 - \$15,000	None		
Bristol-Myers Squibb Company (BMY) [ST]		None	Capital Gains, Dividends	None	\$2,501 - \$5,000
Broadcom Limited - Ordinary Shares (AVGO) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
Brown Adv Japan Alpha Opp - IS (BAFJX) [MF]		None	Capital Gains	Not Applicable	\$5,001 - \$15,000
Buckeye Partners L.P. (BPL) [ST]		None	Partnership Income	Not Applicable	\$1,001 - \$2,500
C.H. Robinson Worldwide, Inc. (CHRW) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
C.R. Bard, Inc. (BCR) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
CA Inc. (CA) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
Cabot Oil & Gas Corporation (COG) [ST]		None	Dividends	Not Applicable	\$201 - \$1,000
Capital One Financial Co Var Rt 12/01/2165 dtd 05/14/2015 [PS]		\$15,001 - \$50,000	Dividends	Not Applicable	\$1,001 - \$2,500
DESCRIPTION: Preferred security					
Capital One Financial Corporation (COF) [ST]		\$1,001 - \$15,000	None		
CarMax Inc (KMX) [ST]		\$1,001 - \$15,000	None		
Caterpillar, Inc. (CAT) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
CBRE Group Inc Common Stock Class A (CBG) [ST]		\$1,001 - \$15,000	None		
CD&R Fund X Private Investors, Cayman LP [HE]		\$250,001 - \$500,000	None		
DESCRIPTION: EIF					
Celgene Corporation (CELG) [ST]		None	None		
DESCRIPTION: sold for a loss					
Centerpoint Energy Inc SR NTS VAR RT Perp Mat dtd 08/22/2018 [CS]		\$15,001 - \$50,000	None		
DESCRIPTION: Preferred security					
CenturyLink, Inc. (CTL) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$201 - \$1,000
Cerberus VI Private Investors, LLC [HE]		\$500,001 - \$1,000,000	Partnership Income	Not Applicable	\$1,001 - \$2,500
DESCRIPTION: EIF					
Charles Schwab Corp 03/01/2166 dtd 10/31/2016 [CS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
DESCRIPTION: Preferred security					
Charles Schwab Corporation (SCHW) [ST]		\$1,001 - \$15,000	None		
Charles Schwab Corporation PFD 5.95% [PS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
DESCRIPTION: Preferred security					
Charter Communications, Inc. - Class A (CHTR) [ST]		\$1,001 - \$15,000	None		
Chesterfield Cnty VA Cops Ref 5.0%; Due 11/01/21 [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Chevron Corporation (CVX) [ST]		None	Capital Gains, Dividends	Not Applicable	\$2,501 - \$5,000
Chipotle Mexican Grill, Inc. (CMG) [ST]		\$1,001 - \$15,000	None		
Chubb Limited (CB) [ST]		\$15,001 - \$50,000	None		
Cigna Corporation (CI) [ST]		\$15,001 - \$50,000	None		
Cimarex Energy Co (XEC) [ST]		None	Dividends	Not Applicable	\$201 - \$1,000
Cincinnati Financial Corporation (CINF) [ST]		\$1,001 - \$15,000	Dividends	Not	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
				Applicable	
Cisco Systems, Inc. (CSCO) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
Citigroup Capital XIII PFD 7.875% [CS] DESCRIPTION: Preferred security		\$1,001 - \$15,000	None		
CitiGroup Inc 02/15/2166 dtd 04/25/2016 [CS] DESCRIPTION: Preferred security		\$15,001 - \$50,000	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
CitiGroup Inc Var Rt 02/15/2166 dtd 08/12/2015 [CS] DESCRIPTION: Preferred security		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
CitiGroup Inc Var Rt 05/15/2166 dtd 11/13/2015 [CS] DESCRIPTION: Preferred security		\$15,001 - \$50,000	Dividends	Not Applicable	\$1,001 - \$2,500
CitiGroup Inc Var Rt 11/15/2165 dtd 04/24/2015 [CS] DESCRIPTION: Preferred security		\$250,001 - \$500,000	Dividends	Not Applicable	\$5,001 - \$15,000
Citigroup, Inc. (C) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Citizens Financial Group, Inc. (CFG) [ST]		\$1,001 - \$15,000	None		
Citizens Finl Group Var Rt Prep Mat Dtd 05/24/18 [CS] DESCRIPTION: Preferred Security		\$15,001 - \$50,000	None		
Clark County NV Limited Tax-Flood Control Ltd 5%; Due 11/1/22 [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Clarksville TN Wtr Swr & Gas Rev Ref 5.0%; Due 02/01/22 [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Clorox Company (CLX) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
CME Group Inc. - Class A (CME) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
CMS Energy Corporation (CMS) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$201 - \$1,000
Coca-Cola Company (KO) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$1,001 - \$2,500

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Cognizant Technology Solutions Corporation - Class A (CTSH) [ST]		\$1,001 - \$15,000	None		
Colgate-Palmolive Company (CL) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
Comcast Corporation - Class A (CMCSA) [ST]		\$15,001 - \$50,000	None		
ConAgra Brands, Inc. (CAG) [ST]		\$1 - \$1,000	Dividends	Not Applicable	\$1 - \$200
DESCRIPTION: 12/31/18 value is below the reporting threshold					
ConocoPhillips (COP) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
CONSOL Energy Inc. (CNX) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
Consolidated Edison, Inc. (ED) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$201 - \$1,000
Constellation Brands, Inc. (STZ) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Corning Incorporated (GLW) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Costco Wholesale Corporation (COST) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Coty Inc. Class A (COTY) [ST]		\$1,001 - \$15,000	None		
Crown Castle International Corp. (REIT) (CCI) [RE]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
CS CBEN SPX 5/16/18 85% Barrier - 7.5% CPN 7.5% CAP Init lvl-2/10/17 SPX 2316.1 [OP]		None	Capital Gains	Not Applicable	\$15,001 - \$50,000
DESCRIPTION: Structured Note					
CSX Corporation (CSX) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Cummins Inc. (CMI) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Cushing MLP Opportunity Fund 1 LP [HE]		\$15,001 - \$50,000	None		
CVS Health Corporation (CVS) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Dallas Tex Area Rapid Tran Sales Tax Rev Sr Lein 5% Dec 1 2019 Dtd [GS]		None	Interest	Not Applicable	\$201 - \$1,000
Danaher Corporation (DHR) [ST]		\$15,001 - \$50,000	None		
Deere & Company (DE) [ST]		\$1,001 - \$15,000	None		
Dell Technologies Inc. Class V (DVMT) [ST]		None	Capital Gains	Not Applicable	\$201 - \$1,000
Delta Air Lines, Inc. (DAL) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
DENTSPLY SIRONA Inc. (XRAY) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1 - \$200
Deutsche X-Trackers MSCI EAF (DBEF) [EF]		\$100,001 - \$250,000	Capital Gains, Dividends	Not Applicable	\$15,001 - \$50,000
Devon Energy Corporation (DVN) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
Digital Realty Trust Inc PFD 6.35% [CS] DESCRIPTION: Preferred security		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Digital Realty Trust PFD 6.625% [CS] DESCRIPTION: Preferred security		\$1,001 - \$15,000	None		
Digital Realty Trust, Inc. (DLR) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Discover Financial Svs Var Rt 04/30/2166 DTD 10/31/2017 [CS] DESCRIPTION: Corporate Bond		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Dodge & Cox Income Fund (DODIX) [MF] DESCRIPTION: sold for a loss		None	None		
Dodge & Cox Intl Stock Fund (DODFX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$15,001 - \$50,000
Dollar General Corporation (DG) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Dollar Tree, Inc. (DLTR) [ST]		\$1,001 - \$15,000	None		
Dominion Energy Midstream Partners, LP Common		None	Partnership	Not	\$5,001 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Units representing Limited Partner Interests (DM) [ST]			Income	Applicable	\$15,000
Dominion Energy, Inc. (D) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
DowDuPont Inc. (DWDP) [ST]		None	Capital Gains, Dividends	Not Applicable	\$5,001 - \$15,000
Duke Energy Corporation (DUK) [ST]		None	Dividends	Not Applicable	\$201 - \$1,000
DXC Technology Company (DXC) [ST]		\$1,001 - \$15,000	None		
E*Trade Financial Corp VAR RT 09/15/2166 DTD 12/06/2017 [CS] DESCRIPTION: Corporate Bond		\$15,001 - \$50,000	None		
Eaton Corporation, PLC Ordinary Shares (ETN) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Ecolab Inc. (ECL) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$1 - \$200
Edison International (EIX) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1 - \$200
Edwards Lifesciences Corporation (EW) [ST]		\$1,001 - \$15,000	None		
Electronic Arts Inc. (EA) [ST] DESCRIPTION: sold for a loss		None	None		
Eli Lilly and Company (LLY) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
Emerson Electric Company (EMR) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Enbridge Inc (ENB) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
Energy Transfer Equity, L.P. Energy Transfer Equity, L.P. Common Units representing Limited Partners (ETE) [ST]		None	Capital Gains, Partnership Income	Not Applicable	\$5,001 - \$15,000
EnLink Midstream Partners, LP Common Units Representing Limited Partnership Interests (ENLK) [ST]		None	Capital Gains, Partnership Income	Not Applicable	\$1,001 - \$2,500
EnLink Midstream, LLC Common Units representing Limited Partner Interests (ENLC) [ST]		None	Capital Gains, Partnership	Not Applicable	\$5,001 - \$15,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
			Income		
Entergy Corporation (ETR) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
Enterprise Products Partners L.P. (EPD) [ST]		None	Capital Gains, Partnership Income	Not Applicable	\$2,501 - \$5,000
Envision Healthcare Corporation (EVHC) [ST]		None	Capital Gains	Not Applicable	\$1,001 - \$2,500
EOG Resources, Inc. (EOG) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
EQT GP Holdings, LP Common Units representing limited partner interests (EQGP) [ST]		None	Capital Gains, Partnership Income	Not Applicable	\$2,501 - \$5,000
EQT Midstream Partners, LP Common Units representing Limited Partner Interests (EQM) [ST]		None	Partnership Income	Not Applicable	\$1 - \$200
Equifax, Inc. (EFX) [ST]		\$1,001 - \$15,000	None		
Equinix, Inc. (EQIX) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Equity Residential Common Shares of Beneficial Interest (EQR) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Everest Reinsurance Hldg Var Rt 05/15/2037 dtd 05/03/2007 [CS] DESCRIPTION: Preferred security		None	Capital Gains, Interest	Not Applicable	\$1,001 - \$2,500
Eversource Energy (ES) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$201 - \$1,000
Express Scripts Holding Company (ESRX) [ST]		None	Capital Gains	Not Applicable	\$2,501 - \$5,000
Extra Space Storage Inc (EXR) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
F.N.B. Corporation (FNB) [ST] DESCRIPTION: sold for a loss		None	None		
Facebook, Inc. - Class A (FB) [ST]		\$15,001 - \$50,000	None		
Fastenal Company (FAST) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
FedEx Corporation (FDX) [ST] DESCRIPTION: additional purchases		\$1,001 - \$15,000	None		
Fifth Third Bancorp 09/30/2165 DTD 06/05/2014 [CS] DESCRIPTION: Corporate Bond		\$1,001 - \$15,000	Interest	Not Applicable	\$201 - \$1,000
Fifth Third Bancorp 12/31/2166 DTD 05/16/2013 [CS] DESCRIPTION: Corporate Bond		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
FirstEnergy Corporation (FE) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
Fiserv, Inc. (FISV) [ST]		\$1,001 - \$15,000	None		
Fluor Corporation (FLR) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
FMC Corporation (FMC) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
Ford Motor Company (F) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$201 - \$1,000
Fortive Corporation (FTV) [ST] DESCRIPTION: appreciated over reporting threshold		\$1,001 - \$15,000	None		
Franklin Resources, Inc. (BEN) [ST] DESCRIPTION: Appreciated over reporting threshold		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Freeport-McMoRan, Inc. (FCX) [ST]		None	Capital Gains	Not Applicable	\$2,501 - \$5,000
FUJIFILM Holdings Corporation American Depositary Shares (FUJIY) [ST]		None	Dividends	Not Applicable	\$201 - \$1,000
Gap, Inc. (GPS) [ST]		\$1 - \$1,000	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
General Dynamics Corporation (GD) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
General Electric Co 5% 6/15/2166 dtd 01/20/2016 [SA] DESCRIPTION: Preferred security		None	Dividends	Not Applicable	\$201 - \$1,000
General Mills, Inc. (GIS) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
General Motors Company (GM) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$1 - \$200
Genuine Parts Company (GPC) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
GIF IV Private Investors Onshore LLC Class A [HE] DESCRIPTION: EIF		\$50,001 - \$100,000	Partnership Income	Not Applicable	\$2,501 - \$5,000
Gilead Sciences, Inc. (GILD) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$1 - \$200
Goldman Sachs Capital II 5.793% Dec 03 2165 dtd 05/08/2007 [CS] DESCRIPTION: Preferred security		\$1,001 - \$15,000	Dividends	Not Applicable	\$201 - \$1,000
Goldman Sachs Group, Inc Var Rt 05/10/2166 dtd 11/01/2017 [CS] DESCRIPTION: Preferred Security		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
Goldman Sachs Group, Inc Var Rt 11/10/2165 dtd 04/23/2015 [CS] DESCRIPTION: Preferred security		\$250,001 - \$500,000	Capital Gains, Dividends	Not Applicable	\$5,001 - \$15,000
Goldman Sachs Group, Inc Var Rt 11/10/2165 dtd 07/27/2016 [CS] DESCRIPTION: Preferred Security		\$15,001 - \$50,000	None		
Goldman Sachs Group, Inc. (GS) [ST]		\$1,001 - \$15,000	None		
GSO Private Investors II, LLC Class B [HE] DESCRIPTION: EIF		\$50,001 - \$100,000	Partnership Income	Not Applicable	\$15,001 - \$50,000
Halliburton Company (HAL) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
Harris Cnty Tx Sr Lien-Toll Rd-Ser A 5% 08/15/2028 dtd 05/14/2009 [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$1,001 - \$2,500
Hartford Financial Services Group, Inc. (HIG) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
HCA Healthcare, Inc. (HCA) [ST]		\$1,001 - \$15,000	None		
Hess Corporation (HES) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Hewlett Packard Enterprise Company (HPE) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
HI St Prerefdd-Ser DZ Unlimited Tax 5% 12/01/2019 dtd 12/07/2011 [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Home Depot, Inc. (HD) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
Honeywell International Inc. (HON) [ST]		None	Capital Gains, Dividends	Not Applicable	\$2,501 - \$5,000
Honolulu City & Cnty HI Wstwtr Sys Rev 5% A Jul 01 2025 Dtd [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Host Hotels & Resorts, Inc. (HST) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
HP Inc. (HPQ) [ST]		\$1,001 - \$15,000	None		
HPS Mezzanine Private Investors III LLC Onshore [HE] DESCRIPTION: EIF		\$500,001 - \$1,000,000	None		
Humana Inc. (HUM) [ST]		\$1,001 - \$15,000	None		
Huntington Bancshares VAR RT 07/15/2167 [CS] DESCRIPTION: Preferred security		\$15,001 - \$50,000	None		
IA St Fin Auth Rev Ref-Green Bond 5.0%; Due 08/01/23 [GS]		\$15,001 - \$50,000	None		
Illinois Tool Works Inc. (ITW) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Illumina, Inc. (ILMN) [ST]		\$1,001 - \$15,000	None		
Incyte Corporation (INCY) [ST]		\$1,001 - \$15,000	None		
Ingersoll-Rand plc (IR) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$201 - \$1,000
Intel Corporation (INTC) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$1 - \$200
Intercontinental Exchange Inc. (ICE) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
International Business Machines Corporation (IBM)		\$1,001 - \$15,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
[ST]					
International Paper Company (IP) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Interpublic Group of Companies, Inc. (IPG) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Intuit Inc. (INTU) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Intuitive Surgical, Inc. (ISRG) [ST]		\$1,001 - \$15,000	None		
Invesco Ltd (IVZ) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
IPG Photonics Corporation (IPGP) [ST]		\$1,001 - \$15,000	None		
Iron Mountain Incorporated (IRM) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1 - \$200
iShares Barclays 1-3 Year Treasury Bond Fund (SHY) [EF]		None	Dividends	Not Applicable	\$201 - \$1,000
DESCRIPTION: sold for a loss					
Ishares Core MSCI EAFE ETF (IEFA) [EF]		None	Dividends	Not Applicable	\$5,001 - \$15,000
Ishares JP Morgan USD Emerg (EMB) [EF]		None	Dividends	Not Applicable	\$201 - \$1,000
Ishares MSCI EAFE Index Fund (EFA) [EF]		None	Capital Gains, Dividends	Not Applicable	\$15,001 - \$50,000
iShares S&P 500 Growth Index Fund (IVW) [EF]		\$15,001 - \$50,000	None		
iShares S&P 500 Value Index Fund (IVE) [EF]		\$15,001 - \$50,000	None		
J.B. Hunt Transport Services, Inc. (JBHT) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Jacksonville Florida Special Rev Jacksonville 5% B-1A Oct 01 2024 Dtd [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$1,001 - \$2,500
Jana Partners Qualified, LP Class A [HE]		\$250,001 - \$500,000	Partnership Income	Not Applicable	\$5,001 - \$15,000
DESCRIPTION: EIF					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Johnson & Johnson (JNJ) [ST]		None	Capital Gains, Dividends	Not Applicable	\$5,001 - \$15,000
Johnson Controls International plc Ordinary Share (JCI) [ST]		\$1,001 - \$15,000	None		
JP Morgan Alternative Property Fd Domestic 1 LP [HE] DESCRIPTION: EIF		\$1,001 - \$15,000	None		
JP Morgan Chase & Co Var Rt 10/30/2165 dtd 03/10/2014 [PS] DESCRIPTION: Preferred security		\$100,001 - \$250,000	Interest	Not Applicable	\$5,001 - \$15,000
JP Morgan Chase & Co. (JPM) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
JPM CBEN Rty 5/16/18 85% Barrier - 10.5% Cpn 10.5% Cap Init Lvl-2/10/17 Rty 1388.844 [OP] DESCRIPTION: Structured Note		None	Capital Gains	Not Applicable	\$50,001 - \$100,000
JPM Tax Free MMkt Inst Sweep Fd [MF] DESCRIPTION: EIF		\$50,001 - \$100,000	Dividends	Not Applicable	\$1,001 - \$2,500
JPM US Real Estate Income & Growth Direct LP [HE] DESCRIPTION: EIF		\$500,001 - \$1,000,000	None		
JPMorgan Betabuilders Canada ETF [EF]		None	Dividends	Not Applicable	\$1,001 - \$2,500
JPMorgan Betabuilders Developed Asia Ex-Japan ETF (BBAX) [EF]		\$100,001 - \$250,000	Dividends	Not Applicable	\$201 - \$1,000
JPMorgan Betabuilders Europe ETF (BBEU) [EF]		\$100,001 - \$250,000	Dividends	Not Applicable	\$1 - \$200
JPMorgan Betabuilders Japan ETF (BBJP) [EF]		\$250,001 - \$500,000	Dividends	Not Applicable	\$1,001 - \$2,500
JPMorgan Glbl RES ENH IDX - R6 (JEITX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$5,001 - \$15,000
JPMorgan Glbl RES ENH Idx - R6 (JEIYX) [MF]		\$500,001 - \$1,000,000	Dividends	Not Applicable	\$50,001 - \$100,000
JPMorgan Managed Income - L share Clas Fd 2119 1.33% (JMGIX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$2,501 - \$5,000
JPMorgan US L/C Core PI - R6 (JLPYX) [MF]		\$100,001 - \$250,000	Capital Gains, Dividends	Not Applicable	\$50,001 - \$100,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
JPMorgan US L/C Core Pl - I (JLPSX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$15,001 - \$50,000
DESCRIPTION: Conversion from JLPSX to JLPYX					
Kansas City Southern (KSU) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
KeyCorp (KEY) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
KeyCorp Var Rt 12/15/2165 dtd 09/09/2016 [SA]		\$1,001 - \$15,000	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
DESCRIPTION: Preferred security					
Kimberly-Clark Corporation (KMB) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
Kinder Morgan, Inc. (KMI) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
KLA-Tencor Corporation (KLAC) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$201 - \$1,000
Kohl's Corporation (KSS) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Kroger Company (KR) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
KS St. Dept of Transprt'n Hwy Rev Ser C 5.0%; Due 09/01/20 [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
LA St Gas & Fuels Tax Revenue 4.0%; Due 05/01/22 [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Lake Travis TX Indep Sch Dist Perm Sch Gtd Fund Unlimited Tax 5% Feb [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Lamb Weston Holdings, Inc. (LW) [ST]		None	Capital Gains	Not Applicable	\$201 - \$1,000
Leidos Holdings, Inc. (LDOS) [ST]		None	Capital Gains, Dividends	Not Applicable	\$2,501 - \$5,000
Liberty Mutual Group Inc 7.8% 03/15/2037 dtd 03/07/2007 [MF]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
DESCRIPTION: Preferred security					
Lincoln National Corporation (LNC) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Linde plc Ordinary Share (LIN) [ST]		\$15,001 - \$50,000	None		
Lockheed Martin Corporation (LMT) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
Loews Corporation (L) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
Lowe's Companies, Inc. (LOW) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
LyondellBasell Industries NV Ordinary Shares Class A (LYB) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
M&T Bank Corporation (MTB) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
M&T Bank Corporation 05/01/2166 dtd 10/28/2016 [SA] DESCRIPTION: Preferred security		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
MA St Wtr Res Auth A 5.25% Aug 01 2020 dtd 04/14/2005 Held by B/E Only [GS]		None	Interest	Not Applicable	\$1,001 - \$2,500
Mackay Municipal Strategic Opportunities Fd, LP Cl A Interests 03-17 [HE] DESCRIPTION: EIF		\$1,000,001 - \$5,000,000	None		
Madison AL Prerefunded-Warrants Unltd Tax 5.15% 02/01/2039 [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$1,001 - \$2,500
Magellan Midstream Partners L.P. Limited Partnership (MMP) [ST] DESCRIPTION: sold for a loss		None	None		
Managed Futures LLC 04-15 [HE] DESCRIPTION: EIF		\$250,001 - \$500,000	None		
Marathon Petroleum Corporation (MPC) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
Maricopa Cnty AZ Cmnty College Dist Unlimited Tax 5% C Jul 01 2018 [GS]		None	Interest	Not Applicable	\$201 - \$1,000
Marriott International - Class A (MAR) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Marsh & McLennan Companies, Inc. (MMC) [ST]		\$1,001 - \$15,000	Dividends	Not	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Applicable					
Martin Marietta Materials, Inc. (MLM) [ST] DESCRIPTION: sold for a loss		None	None		
Mastercard Incorporated (MA) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$1 - \$200
Mattel, Inc. (MAT) [ST]		\$1,001 - \$15,000	None		
McCormick & Company, Incorporated (MKC) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$201 - \$1,000
McDonald's Corporation (MCD) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
McKesson Corporation (MCK) [ST] DESCRIPTION: sold for a loss		None	None		
Medtronic plc. Ordinary Shares (MDT) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
Memphis TN REF- GEN IMPT SER B [GS]		\$15,001 - \$50,000	None		
Merck & Company, Inc. Common Stock (MRK) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1 - \$200
MetLife, Inc Var Rt 12/15/2165 dtd 06/01/2015 [CS] DESCRIPTION: Preferred security		\$250,001 - \$500,000	Interest	Not Applicable	\$5,001 - \$15,000
MetLife, Inc. (MET) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$1 - \$200
Metropolitan West T/R BD-PLN (MWTX) [MF]		\$250,001 - \$500,000	Dividends	Not Applicable	\$2,501 - \$5,000
MFS Intl Value - R6 (MINJX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$15,001 - \$50,000
Micron Technology, Inc. (MU) [ST]		\$1,001 - \$15,000	None		
Microsoft Corporation (MSFT) [ST]		\$50,001 - \$100,000	Dividends	Not Applicable	\$1,001 - \$2,500
MN St Gen Fd Rev 5% 03/01/2022 dtd 11/21/2012 [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
MO St Hwys & Trnst Ref-1st Lien-Ser A 5% 05/01/2021		\$15,001 -	Interest	Not	\$201 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
dtd 06/03/2014 [GS]		\$50,000		Applicable	\$1,000
Mohawk Industries, Inc. (MHK) [ST]		\$1,001 - \$15,000	None		
Mondelez International, Inc. - Class A (MDLZ) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Monsanto Company (MON) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
Monster Beverage Corporation (MNST) [ST]		\$1,001 - \$15,000	None		
Morgan Stanley (MS) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Morgan Stanley PFD 5.85% [CS]		\$1,001 - \$15,000	Capital Gains, Interest	Not Applicable	\$1 - \$200
DESCRIPTION: Preferred security					
Morgan Stanley PFD 6.375% [PS]		\$1,001 - \$15,000	Dividends	Not Applicable	\$201 - \$1,000
DESCRIPTION: Preferred security					
Morgan Stanley Var Rt 07/15/2165 dtd 03/19/2015 [CS]		\$250,001 - \$500,000	Dividends	Not Applicable	\$5,001 - \$15,000
DESCRIPTION: Preferred security					
Mosaic Company (MOS) [ST]		\$1,001 - \$15,000	None		
MPLX LP Common Units Representing Limited Partner Interests (MPLX) [ST]		\$15,001 - \$50,000	Partnership Income	Not Applicable	\$2,501 - \$5,000
MS St Dev BK SPL OBLG Pearl Public School Dist 4.0%; Due 04/01/21 [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Mylan N.V. (MYL) [ST]		None	Capital Gains	Not Applicable	\$201 - \$1,000
National Oilwell Varco, Inc. (NOV) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
Navient Corporation (NAVI) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
NetApp, Inc. (NTAP) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Netflix, Inc. (NFLX) [ST]		\$15,001 - \$50,000	None		

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Newell Brands Inc. (NWL) [ST]		\$1,001 - \$15,000	None		
Newmont Mining Corporation (NEM) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
News Corporation - Class A (NWSA) [ST]		\$1 - \$1,000	Dividends	Not Applicable	\$1 - \$200
NextEra Energy, Inc. (NEE) [ST]		None	Capital Gains, Dividends	Not Applicable	\$2,501 - \$5,000
Nike, Inc. (NKE) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$1 - \$200
NiSource Inc (NI) [ST]		\$1,001 - \$15,000	None		
Nisource Inc PFD 6.5% [CS] DESCRIPTION: Preferred security		\$1,001 - \$15,000	None		
Norfolk Southern Corporation (NSC) [ST]		None	Capital Gains	Not Applicable	\$1 - \$200
Northern AZ Univ Ref-Sys 5.0%; Due 06/01/19 [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Northrop Grumman Corporation (NOC) [ST]		None	Capital Gains, Dividends	Not Applicable	\$2,501 - \$5,000
Note Receivable from Glick Gallery, Minneapolis, MN [DO]		\$100,001 - \$250,000	None		
NRG Energy, Inc. (NRG) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
NVIDIA Corporation (NVDA) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
NY Community Bancorp Inc PFD 6.375% [CS] DESCRIPTION: Preferred security		\$1,001 - \$15,000	Interest	Not Applicable	\$201 - \$1,000
NY St Dorm Auth St Personal Inc Tax Rev Ref-Ser E 5.0%; Due 03/15/22 [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Occidental Petroleum Corporation (OXY) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
Ohio St Ref-Ser A Ltd Tax 5.0%; Due 09/01/23 [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Oracle Corporation (ORCL) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$1 - \$200
O'Reilly Automotive, Inc. (ORLY) [ST]		\$1,001 - \$15,000	Capital Gains	Not Applicable	\$201 - \$1,000
PA St Higher Edl Facs Auth Rev Trustees Univ PA 5% Sep 01 2026 [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
PACCAR Inc. (PCAR) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Palm Beach Cnty Fl Ref-Rec & Cultural Facs Unltd Tax 5% [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$1,001 - \$2,500
Paranassus Core Equity FD-INS (PRILX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$5,001 - \$15,000
Parker-Hannifin Corporation (PH) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Paychex, Inc. (PAYX) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
PayPal Holdings, Inc. (PYPL) [ST]		\$15,001 - \$50,000	None		
PEG Secondary Private Equity Investors III LP [HE] DESCRIPTION: EIF		\$100,001 - \$250,000	Partnership Income	Not Applicable	\$201 - \$1,000
Pepsico, Inc. (PEP) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
Pfizer, Inc. (PFE) [ST]		None	Capital Gains, Dividends	Not Applicable	\$2,501 - \$5,000
PGIM Total Return Bond Fund (PDBAX) [MF]		\$250,001 - \$500,000	Dividends	Not Applicable	\$2,501 - \$5,000
Philip Morris International Inc (PM) [ST]		\$1,001 - \$15,000	None		
Phillips 66 (PSX) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
Phillips 66 Partners LP Common Units representing limited partner interest in the Partnership (PSXP) [ST]		None	Partnership Income	Not Applicable	\$201 - \$1,000
Phillips Adam Smith Partners, LLC (f/k/a Adam Smith Fund, LLC) [OL]		\$100,001 - \$250,000	None		
LOCATION: Minnetonka/Hennepin, MN, US					

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
DESCRIPTION: Private equity investment fund. Fund manager letter on file with the Committee on Ethics.					
Phoenix AZ Ref Unlimited Tax 4% 07/01/2021 dtd 06/24/2014 [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
PIMCO Fd PAC Inv Mgmt Series High Yield Fd - I (PHIYX) [MF]		None	Dividends	Not Applicable	\$5,001 - \$15,000
Pimco Short Term Fund Instl (PTSHX) [MF]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
Plains All American Pipeline, L.P. (PAA) [ST]		None	Capital Gains, Partnership Income	Not Applicable	\$1,001 - \$2,500
PNC Financial Services 6 3/4% 02/01/2166 dtd 07/27/2011 [PS]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
DESCRIPTION: Preferred security					
PNC Financial Services Group, Inc. (PNC) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
PNC Financial Services VAR RT 12/31/2049 dtd 05/07/2013 [CS]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
DESCRIPTION: Preferred Security					
PPG Industries, Inc. (PPG) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Praxair, Inc. (PX) [ST]		None	Capital Gains, Dividends	Not Applicable	\$2,501 - \$5,000
Principal Financial Group Inc (PFG) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Procter & Gamble Company (PG) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
Progressive Corporation (PGR) [ST]		\$1,001 - \$15,000	None		
ProLogis, Inc. (PLD) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Public Service Enterprise Group Incorporated (PEG) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
Public Storage (PSA) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$201 - \$1,000
PulteGroup, Inc. (PHM) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
PVH Corp. (PVH) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
QUALCOMM Incorporated (QCOM) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
Quest Diagnostics Incorporated (DGX) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Raleigh NC Comb Enterprise Sys Rev 5% Mar 01 2021 dtd 02/10/2011 [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Raytheon Company (RTN) [ST]		None	Capital Gains, Dividends	Not Applicable	\$2,501 - \$5,000
Red Hat, Inc. (RHT) [ST]		\$1,001 - \$15,000	None		
Regeneron Pharmaceuticals, Inc. (REGN) [ST]		\$1,001 - \$15,000	None		
Regions Financial Corporation (RF) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	Not Applicable	\$1 - \$200
Republic Services, Inc. (RSG) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Rockwell Automation, Inc. (ROK) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Rockwell Collins, Inc. (COL) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
Roper Technologies, Inc. (ROP) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Ross Stores, Inc. (ROST) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Rutherford Cnty TN consol Util Dist Wtrwks Rev Ref 4% [GS]		None	Interest	Not Applicable	\$201 - \$1,000
S&P Global Inc. (SPGI) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Salesforce.com Inc (CRM) [ST]		\$1,001 - \$15,000	None		
SC ST Jobs-Econ Dev Auth Hosp Rev-Palmetto Hlth-Ser A 5%; Due 8/1/28 [GS]		\$1,001 - \$15,000	None		
Schlumberger N.V. (SLB) [ST]		None	Dividends	Not	\$1 - \$200

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
				Applicable	
Scripps Networks Interactive, Inc - Class A (SNI) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
SD St BRD of Rghts HSG & Auxillary Fac Sys Rev 5.0%; Due 04/01/19 [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Seagate Technology PLC - Ordinary Shares (STX) [ST] DESCRIPTION: sold for a loss		None	None		
Sempra Energy (SRE) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
Sherwin-Williams Company (SHW) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Simon Property Group, Inc. (SPG) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
SLM Corp Var Rate PFD [CS] DESCRIPTION: Preferred security		\$1,001 - \$15,000	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
Southern Company (SO) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1 - \$200
Southwest Airlines Company (LUV) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
SPDR Euro STOXX 50 ETF (FEZ) [EF]		\$100,001 - \$250,000	Dividends	Not Applicable	\$5,001 - \$15,000
SPDR S&P 500 ETF Trust (SPY) [EF]		\$1,000,001 - \$5,000,000	Capital Gains, Dividends	Not Applicable	\$100,001 - \$1,000,000
Starbucks Corporation (SBUX) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Starwood SOF XI Private Investors [HE] DESCRIPTION: EIF		\$15,001 - \$50,000	None		
State Street Corp Var Rt 09/15/2165 dtd 05/21/2015 [SA] DESCRIPTION: Preferred security		\$15,001 - \$50,000	Dividends	Not Applicable	\$1,001 - \$2,500
State Street Corporation (STT) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Stifel Financial Corporation PFD 6.25% [CS]		\$1,001 - \$15,000	Interest	Not	\$201 -

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
DESCRIPTION: Preferred security				Applicable	\$1,000
Stryker Corporation (SYK) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$1 - \$200
Suntrust Banks Inc 12/15/2165 dtd 05/02/2017 [CS]		\$1,001 - \$15,000	Dividends	Not Applicable	\$201 - \$1,000
DESCRIPTION: Preferred security					
SunTrust Banks, Inc. Var Rt 06/15/2166 dtd 11/07/2014 [CS]		\$250,001 - \$500,000	Capital Gains, Dividends	Not Applicable	\$5,001 - \$15,000
DESCRIPTION: Preferred security					
Symantec Corporation (SYMC) [ST]		None	None		
DESCRIPTION: sold for a loss					
Synovus Financial Corp PFD 6.3% [CS]		\$1,001 - \$15,000	None		
DESCRIPTION: Preferred Security					
Sysco Corporation (SYY) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$201 - \$1,000
T Rowe Price Summit Muni Inc (PRINX) [MF]		\$250,001 - \$500,000	None		
T. Rowe Price Group, Inc. (TROW) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	Not Applicable	\$1 - \$200
Targa Resources, Inc. (TRGP) [ST]		None	Capital Gains, Dividends	Not Applicable	\$15,001 - \$50,000
Target Corporation (TGT) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
TCF Financial Co. PFD [CS]		None	None		
DESCRIPTION: Preferred Security; sold for a loss					
TE Connectivity Ltd. New Switzerland Registered Shares (TEL) [ST]		None	None		
DESCRIPTION: sold for a loss					
Texas Instruments Incorporated (TXN) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
Textron Financial Corp VAR RT 02/15/2067 DTD 02/08/2007 [CS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
DESCRIPTION: Corporate Bond					
Textron Inc. (TXT) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
The Kraft Heinz Company (KHC) [ST] DESCRIPTION: sold for a loss		None	None		
The Travelers Companies, Inc. (TRV) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1 - \$200
Thermo Fisher Scientific Inc (TMO) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$1 - \$200
Tiffany & Co. (TIF) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
TJX Companies, Inc. (TJX) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Transdigm Group Incorporated Transdigm Group Inc. (TDG) [ST]		\$1,001 - \$15,000	None		
Twenty-First Century Fox, Inc. - Class A (FOXA) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
Tyson Foods, Inc. (TSN) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
U.S. Bancorp (USB) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
U.S. Bancorp PFD 5.5% [CS] DESCRIPTION: Preferred security		\$15,001 - \$50,000	None		
U.S. Bancorp Var Rt 01/15/2166 dtd 11/23/2015 [SA] DESCRIPTION: Preferred security		\$50,001 - \$100,000	Dividends	Not Applicable	\$1,001 - \$2,500
Union Pacific Corporation (UNP) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
United Continental Holdings (UAL) [ST]		\$1,001 - \$15,000	None		
United Parcel Service, Inc. (UPS) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
United Technologies Corporation (UTX) [ST]		None	Capital Gains, Dividends	Not Applicable	\$1,001 - \$2,500
UnitedHealth Group Incorporated Common Stock (UNH) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Universal Health Services, Inc. (UHS) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Unum Group (UNM) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
V.F. Corporation (VFC) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
VA St Pub Sch Auth Sch Technology & Sec NTS Ser V 5.0&; Due 04/15/20 [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Valero Energy Partners LP Common Units representing limited partner interests (VLP) [ST]		None	Partnership Income	Not Applicable	\$201 - \$1,000
Vanguard Intm Trm T/E - ADM (VWIUX) [MF]		\$1,000,001 - \$5,000,000	Dividends	Not Applicable	\$201 - \$1,000
Varian Medical Systems, Inc. (VAR) [ST]		\$1,001 - \$15,000	None		
Verizon Communications Inc. (VZ) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$1,001 - \$2,500
Vertex Pharmaceuticals Incorporated (VRTX) [ST]		\$1,001 - \$15,000	None		
Visa Inc. (V) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
Voya Financial Inc VAR RT Perp Mat dtd 09/12/2018 [CS] DESCRIPTION: Corporate Bond		\$1,001 - \$15,000	None		
Vulcan Materials Company (VMC) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
W.W. Grainger, Inc. (GWW) [ST]		\$1,001 - \$15,000	None		
WA St Refunding Motor Vehicle Fuel Series R D [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Wachovia Cap Trust III Var Rt Mar 15 2166 dtd 2/1/2006 [CS] DESCRIPTION: Preferred security		\$250,001 - \$500,000	Dividends	Not Applicable	\$5,001 - \$15,000
Walgreens Boots Alliance, Inc. (WBA) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Wal-Mart Stores, Inc. (WMT) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Walt Disney Company (DIS) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$1 - \$200
Waste Management, Inc. (WM) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Waters Corporation (WAT) [ST]		\$1,001 - \$15,000	None		
Wells Fargo & Company (WFC) [ST]		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
Wells Fargo & Company 7.98% PFD Stk 09/15/2165 dtd 02/08/2008 [CS] DESCRIPTION: Preferred security		\$1,001 - \$15,000	Dividends	Not Applicable	\$201 - \$1,000
Wells Fargo & Company Var Rt 06/15/2166 dtd 01/23/2015 [CS] DESCRIPTION: Preferred security		\$15,001 - \$50,000	Dividends	Not Applicable	\$1,001 - \$2,500
Wells Fargo & Company VAR RT 12/15/2165 dtd 04/22/2014 [CS] DESCRIPTION: Preferred Security		\$15,001 - \$50,000	Dividends	Not Applicable	\$201 - \$1,000
Welltower Inc. (HCN) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Western Digital Corporation (WDC) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Western Gas Equity Partners, LP Common Units Representing Limited Partner Interests (WGP) [ST]		None	Capital Gains, Partnership Income	Not Applicable	\$5,001 - \$15,000
Western Gas Partners, LP Limited Partner Interests (WES) [ST]		None	Partnership Income	Not Applicable	\$2,501 - \$5,000
Western Union Company (WU) [ST]		None	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000
Weyerhaeuser Company (WY) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	Not Applicable	\$1 - \$200
Whirlpool Corporation (WHR) [ST] DESCRIPTION: sold for a loss		None	None		
WI St Clean Water Revenue Refunding Series 1 [GS]		\$15,001 - \$50,000	Interest	Not Applicable	\$201 - \$1,000
Williams Companies, Inc. (WMB) [ST]		None	Capital Gains, Dividends	Not Applicable	\$15,001 - \$50,000

Asset	Owner	Value of Asset	Income Type(s)	Income Current Year to Filing	Income Preceding Year
Willis Towers Watson Public Limited Company - Ordinary Shares (WLTW) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
WV St Ser A Unltd Tax 5.0%; Due 12/01/23 [GS]		\$15,001 - \$50,000	None		
Wynn Resorts, Limited (WYNN) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
Xerox Corporation (XRX) [ST]		\$1,001 - \$15,000	Dividends	Not Applicable	\$1 - \$200
XL Group Ltd. (XL) [ST]		None	Capital Gains	Not Applicable	\$201 - \$1,000
Yum! Brands, Inc. (YUM) [ST]		\$1,001 - \$15,000	Capital Gains, Dividends	Not Applicable	\$201 - \$1,000

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

SCHEDULE C: EARNED INCOME

None disclosed.

SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
	JP Morgan	September 2010	Balance on line of credit	\$1,000,001 - \$5,000,000
	COMMENTS: Current balance: \$0			
	JP Morgan	October 2018	Mortgage	\$1,000,001 - \$5,000,000

SCHEDULE E: POSITIONS

Position	Name of Organization
Co-Chair	The Edward J. Phillips Family Foundation
COMMENTS: Resigned 12/31/2018	
Advisory Council	Humphrey School of Public Affairs
Co-Chair	The Jay & Rose Phillips Family Foundation of Minnesota
Chairman, Co-Founder & Member	Penny's Coffee LLC
Co-Chair	WE Day Minnesota
Chairman, Leadership Council	Worldwide Orphans Foundation
President's Circle	Hennepin Theatre Trust

Position	Name of Organization
Board Member	Minnesota Historical Society
Limited Partner	100 University Family Limited Partnership
Governor, President, Treasurer, Secretary, & Chief Manager	Phillips Family Properties, LLC
Chief Manager, Vice President, & Treasurer	Fialko, LLC
President, Secretary, Treasurer, Governor, Member, & Tax Matters Member	DHJ LLC
Member	DTP, LLC
<i>[Private Comments: No longer a member as of 12/20/2018]</i>	
Member	Geniecast, LLC
Member	Spark Boulder 24, LLC
<i>[Private Comments: No longer member as of 1/1/2018]</i>	

SCHEDULE F: AGREEMENTS

None disclosed.

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

None disclosed.

SCHEDULE A ASSET CLASS DETAILS

- - 100 University Family Limited Partnership
LOCATION: Minneapolis/Hennepin, MN, US
- - Cash Accounts
LOCATION: US
- - Fialko, LLC
LOCATION: Minneapolis/Hennepin, MN, US
- - Phillips Family Properties, LLC
LOCATION: Minneapolis/Hennepin, MN, US
- - Phillips Family Properties, LLC ⇒ 100 University Family Limited Partnership
LOCATION: US
- - Privately-Held Business Entities
LOCATION: US
- - Retirement Account 1
- - Retirement Account 2
- - Trust 1 (100% Interest)
- - Trust 2 (100% Interest)
- - Trust 3 (100% Interest)
- - Trust 4 (100% Interest)
- - Trust 5 (100% Interest)
- - Trust 6 (90% Interest)
- - Trust 7 (25% Interest)

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

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. Dean Phillips , 08/30/2019