

# UNITED STATES SENATE FINANCIAL DISCLOSURE REPORT FOR ANNUAL AND TERMINATION FILERS

Amendment

Last Name	First Name and Middle Initial	Annual Report	
Cotton	Tom	Calendar Year Covered by Report	Senate Office / Agency in Which Employed
Senate Office Address (Number, Street, City, State, and ZIP Code)	Senate Office Telephone Number (Include Area Code)	Termination Report	Prior Office / Agency in Which Employed
Russell 124	202-224-2353	Termination Date (mm/dd/yy)	

## AFTER READING THE INSTRUCTIONS – ANSWER EACH OF THESE QUESTIONS AND ATTACH THE RELEVANT PART

	YES	NO		YES	NO
Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If Yes, complete and attach PART I.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel in the reporting period (i.e., worth more than \$390 from one source)? If Yes, complete and attach PART VI.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you or your spouse have earned income (e.g., salaries or fees) or non-investment income totaling \$200 or more from any reportable source in the reporting period? If Yes, complete and attach PART II.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Did you, your spouse, or dependent child have any reportable liability (more than \$10,000) during the reporting period? If Yes, complete and attach PART VII.	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Did you, your spouse, or dependent child hold any reportable asset worth more than \$1,000 at the end of the period, or receive unearned or investment income of more than \$200 in the reporting period? If Yes, complete & attach PART IIIA and/or IIIB.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Did you hold any reportable positions on or before the date of filing in the current calendar year? If Yes, complete and attach PART VIII.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than \$1,000 in the reporting period? If Yes, complete and attach PART IV.	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Do you have any reportable agreement or arrangement with an outside entity? If Yes, complete and attach PART IX.	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Did you, your spouse, or dependent child receive any reportable gift in the reporting period (i.e., aggregating more than \$390 and not otherwise exempt)? If Yes, complete and attach PART V.	<input type="checkbox"/>	<input checked="" type="checkbox"/>	If this is your FIRST Report: Did you receive compensation of more than \$5,000 from a single source in the two prior years? If Yes, complete and attach PART X.	<input type="checkbox"/>	<input type="checkbox"/>

**Each question must be answered and the appropriate PART attached for each “YES” response.**

2011 SEC  
-9 PM 3:15  
RECEIVED  
U.S. SENATE  
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Do Not Write Below this Line

Tom Cotton

**PART II. EARNED AND NON-INVESTMENT INCOME**

1

Report the source (name and address), type, and amount of earned income to you from any source aggregating \$200 or more during the reporting period. For your spouse, report the source (name and address) and type of earned income which totals more than \$1,000 during the reporting period. No amount needs to be specified for your spouse (see page 12, Financial Disclosure Instructions for CY 2018). Do not report income from employment by the U.S. Government for you or your spouse.

**Individuals not covered by the Honoraria Ban:** For you and / or your spouse, report honoraria income received which aggregates \$200 or more by exact amount, give the date of, and describe the activity (speech, appearance or article) generating such honoraria payment. Do not include payments in lieu of honoraria reported on Part I.

Name of Income Source		Address (City, State)	Type of Income	Amount
Example:	JP Computers	Wash., DC	EXAMPLE	Salary \$15,000
	MCI (Spouse)	Arlington, VA	EXAMPLE	Salary Over \$1,000
1	Harper Collins	New York, New York	Advance on Royalties	\$250,000
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				

## **PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES**

Tom Cotton

# **Identity of Publicly Traded Assets And Unearned Income Sources**

**Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child (see page 13, Financial Disclosure Instructions for CY 2018) for production of income or investment which:**

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
- (2) generated over \$200 in "unearned" income during the reporting period.

**Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account, excepted and qualified blind trust, and publicly traded asset of a retirement plan**

BLOCK B

**At the close of reporting period.**  
**If None, or less than \$1,001,**  
**check the first column.**

**EXEMPTION TEST** (see Financial Disclosure Instructions for CY 2018): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Tom Cotton

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child (see page 13, Financial Disclosure Instructions for CY 2018) for production of income or investment which:

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S,

IBM Corp. (stock)

Example: DC,  
or J

(S) Keystone Fund

## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
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1 Northern Trust Roth IRA (SP) – assets below											
2 MFO Harding Loevner Funds Inc Intl Equity Portfolio	X										
3 MFO DFA Invt Dimensions Group Inc Emerging Markets Core Equity Portfolio	X										
4 MFO DFA Dimensions Group Inc US Core Equity 1 Portfolio	X										
5 MFB Northern High Yield Fixed Income Fund	X										
6 MFC Flexshares Tr Morningstar Global Upstream Natural Resources Index Fund	X										
7 MFB Northern Funds Global Real Estate Index Fund	X										
8 MFO Doubleline Core Fixed Income Fund I	X										
9 MFB Northern Equity Index Funds Mid Cap Index	X										
10 MFB Northern Funds Small Cap Index Fund	X										

## BLOCK C

## Type and Amount of Income

## Type of Income

## Amount of Income

None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$500,000***	Over \$500,000	Actual Amount
Example	X								Required if "Other" Specified
									Example
									Example

**EXEMPTION TEST** (see Financial Disclosure Instructions for CY 2018): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

## **PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES**

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## BLOCK A

## **Identity of Publicly Traded Assets And Unearned Income Sources**

**Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child (see page 13, Financial Disclosure Instructions for CY 2018) for production of income or investment which:**

- (1) had a value exceeding \$1,000 at the close of the reporting period; and/or
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**Include on PART IIIA a complete identification of each public bond, mutual fund, publicly traded partnership interest, excepted investment fund, bank account excepted and qualified blind trust, and publicly traded asset of a retirement plan**

**At the close of reporting period.  
If None, or less than \$1,001,  
check the following:**

At the close of reporting period  
If None, or less than \$1,001,  
check the first column.

At the close of reporting period  
If None, or less than \$1,001,  
check the first column.

BLOCK C

### Type and Amount of Income

		check the first column.											
		Type of Income										Amount of Income	
S, Example: DC, or J	(S) Keystone Fund											Actual Amount	Required if "Other" Specified
		None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
1	Northern Trust Roth IRA (SP) – assets continued												
2	MFC Flexshares Tr STOXX Global Broad Infrastructure Index Fund	X									X		
3	MFB Northern Equity Index Funds Intl Equity Index	X									X		
4	Cash – MFB Money Market Funds US Gov't Money Market Funds (NOGXX)	X									X		
5	Northern Trust Rollover IRA (SP) – assets below												
6	MFC Flexshares Tr Morningstar Global Upstream Natural Resources Index Fund	X									X		
7	MFC Flexshares Trust Quality Dividend Index Fund	X									X		
8	MFO Harding Loevner Funds Inc Intl Equity Portfolio	X									X		
9	MFO DFA Invt Dimensions Group Inc US Core Equity Portfolio	X									X		
10	MFO DFA Invt Dimensions Group Emerging Markets Core Equity Portfolio	X									X		

**EXEMPTION TEST** (see Financial Disclosure Instructions for CY 2018): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Tom Cotton

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child (see page 13, Financial Disclosure Instructions for CY 2018) for production of income or investment which:

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## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

	None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
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## BLOCK C

## Type and Amount of Income

	Type of Income							Amount of Income												
	None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	Over \$5,000,000
S, Example: DC, or J	X																			Example
(S)		X																		Example
1	Northern Trust Rollover IRA (SP) – assets continued																			
2	MFB Northern High Yield Fixed Income Fund	X									X		X							
3	MFB Northern Funds Global Real Estate Index Fund	X									X		X							
4	MFO Doubleline Core Fixed Income Fund I	X									X		X							
5	MFB Northern Equity Index Funds Intl Equity Index	X									X		X							
6	MFC Flexshares Tr STOXX Global Broad Infrastructure Index Fund	X									X		X							
7	MFB Northern Funds Small Cap Index Fund	X									X		X							
8	MFB Northern Equity Index Funds Mid Cap Index Fund	X									X		X							
9	Cash – MFB Money Market Funds US Gov't Money Market Funds (NOGXX)	X									X		X							
10																				

**EXEMPTION TEST** (see Financial Disclosure Instructions for CY 2018): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Tom Cotton

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

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## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child (see page 13, Financial Disclosure Instructions for CY 2018) for production of income or investment which:

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## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

	S, Example: DC, or J	IBM Corp. (stock) (S) Keystone Fund	None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000	Type of Income							Amount of Income							
															None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000
1		Northern Trust Discretionary Account (SP) – assets below																											
2		MFB Northern Equity Index Funds Mid Cap Index	X																	X									
3		MFO DFA US Small Cap Portfolio	X																X										
4		MFB Northern Funds Tax Exempt Fund	X																X										
5		MFB Northern Funds Short Inter Tax Exempt Fund	X															X											
6		MFC Flexshares Tr Morningstar Global Upstream Natural Resources Index Fund	X															X											
7		MFB Northern Funds Global Real Estate Index Fund	X															X											
8		MFO Vanguard Inflation Protected Securities Fund Admiral	X															X											
9		MFB Blackrock Funds V High Yield Broad Portfolio Instl CI	X															X											
10		MFB Northern Funds Emerging Markets Equity Index	X															X											

**EXEMPTION TEST** (see Financial Disclosure Instructions for CY 2018): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Tom Cotton

## PART IIIA. PUBLICLY TRADED ASSETS AND UNEARNED INCOME SOURCES

7

## BLOCK A

Identity of Publicly Traded Assets  
And Unearned Income Sources

Report the complete name of each publicly traded asset held by you, your spouse, or your dependent child (see page 13, Financial Disclosure Instructions for CY 2018) for production of income or investment which:

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## BLOCK B

## Valuation of Assets

At the close of reporting period.  
If None, or less than \$1,001,  
check the first column.

None (or less than \$1,001)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000
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## BLOCK C

## Type and Amount of Income

## Type of Income

## Amount of Income

None	Dividends	Rent	Interest	Capital Gains	Excepted Investment Fund	Excepted Trust	Qualified Blind Trust	Other (Specify Type)	None (or less than \$201)	\$201 - \$1,000	\$1,001 - \$2,500	\$2,501 - \$5,000	\$5,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$1,000,000	Over \$1,000,000***	Actual Amount
	X							Example		X								Required if "Other" Specified

S, Example: DC, or J	IBM Corp. (stock)																		Example
	(S) Keystone Fund		X																Example
1	Northern Trust Discretionary Account (SP) – assets continued																		
2	MFB Northern Active M International Equity Fund		X																
3	MFC Flexshares Tr STOXX Global Broad Infrastructure Index Fund		X																
4	MFB Northern Funds Inter Tax Exempt Fund		X																
5	Cash – MFB Money Market Funds US Gov't Money Market Funds (NOGXX)		X																
6																			
7																			
8																			
9																			
10																			

**EXEMPTION TEST** (see Financial Disclosure Instructions for CY 2018): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Tom Cotton

## PART IV. TRANSACTIONS

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Report any purchase, sale, or exchange by you, your spouse, or dependent child (see pages 19-20, Financial Disclosure Instructions for CY 2018) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two assets are involved in any reportable exchange.

## Identification of Assets

S, Example: DC, or J		Transaction Type (x)			Amount of Transaction (x)											
		Purchase	Sale	Exchange	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	Over \$50,000,000		
	IBM Corp. (stock) NYSE (DC) Microsoft (stock) NASDAQ/OTC	X			2/1/1X	X			E	X	A	M	P	L	E	
			X		1/27/1X				X	E	X	A	M	P	L	E
1	MFB Northern Equity Index Funds Intl Equity Index (this and all transactions listed below are transactions in accounts held by spouse)	X			2/12/18	X										
2	MFB Northern Funds Global Real Estate Index Fund [U, here and below: under \$1,000]	X			2/12/18	U										
3	MFC Flexshares TR STOXX Global Broad Infrastructure Index Fund	X			2/12/18	U										
4	MFO DFA Invt Dimensions Group Inc Emerging Markets Core Equity Portfolio	X			2/12/18	X										
5	MFO Doubleline Core Fixed Income Fund I	X			2/12/18	X										
6	MFB Northern Equity Index Funds Mid Cap Index	X			4/20/18	X										
7	MFB Northern Funds Small Cap Index Fund	X			4/23/18	U										
8	MFB Northern High Yield Fixed Income Fund	X			7/3/18	X										
9	MFO Doubleline Core Fixed Income Fund I	X			9/11/18	X										
10	MFO Doubleline Core Fixed Income Fund I	X			10/22/18	X										
11	MFO Northern Funds Core Bond Fund		X		2/12/18	X										
12	MFC Flexshares Trust Quality Dividend Index Fund		X		2/12/18	X										

**EXEMPTION TEST** (see Financial Disclosure Instructions for CY 2018): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Reportin

Tom Cotton

## PART IV. TRANSACTIONS

9

Report any purchase, sale, or exchange by you, your spouse, or dependent child (see pages 19-20, Financial Disclosure Instructions for CY 2018) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two assets are involved in any reportable exchange.

## Identification of Assets

	S, Example: DC, or J	Transaction Type (x)			Amount of Transaction (x)												
		Purchase	Sale	Exchange	Transaction Date (Mo., Day, Yr.)	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	Over \$50,000,000		
	IBM Corp. (stock) NYSE	X			2/1/1X	X				E	X	A	M	P	L	E	
	(DC) Microsoft (stock) NASDAQ/OTC		X		1/27/1X					X	E	X	A	M	P	L	E
1	MFO DFA Invt Dimensions Group Inc Real Estate Securities Portfolio		X		2/12/18	X											
2	MFO DFA Invt Dimensions Group Inc US Core Equity 1 Portfolio		X		2/12/18	X											
3	MFO DFA Invt Dimensions Group Inc Emerging Markets Core Equity Portfolio		X		9/11/18	X											
4	MFB Northern Equity Index Funds Intl Equity Index	X			2/12/18	X											
5	MFB Northern Funds Global Real Estate Index Fund	X			2/12/18	U											
6	MFB Northern Funds Small Cap Index Fund	X			2/12/18	U											
7	MFC Flexshares Tr Morningstar Global Upstream Natural Resources Index Fund	X			2/12/18	X											
8	MFC Flexshares Tr STOXX Global Broad Infrastructure Index Fund	X			2/12/18	U											
9	MFO DFA INVT Dimensions Group Inc Emerging Markets Core Equity Portfolio	X			2/12/18	X											
10	MFO Doubleline Core Fixed Income Fund	X			2/12/18	X											
11	MFB Northern Equity Index Funds Mid Cap Index	X			4/20/18	X											
12	MFB Northern High Yield Fixed Income Fund	X			7/13/18	X											

**EXEMPTION TEST** (see Financial Disclosure Instructions for CY 2018): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

 Reporting

Reporting Individual's Name

 Amendment

Tom Cotton

Page Number

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## PART IV. TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child (see pages 19-20, Financial Disclosure Instructions for CY 2018) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two assets are involved in any reportable exchange.

## Identification of Assets

	S, Example: DC, or J	Transaction Type (x)			Amount of Transaction (x)												
		Purchase	Sale	Exchange	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	Over \$25,000,001 - \$50,000,000			
	IBM Corp. (stock) NYSE	X			2/1/1X	X				E	X	A	M	P	L	E	
	(DC) Microsoft (stock) NASDAQ/OTC		X		1/27/1X					X	E	X	A	M	P	L	E
1	MFO Doubleline Core Fixed Income Fund I		X		9/10/18	X											
2	MFO Doubleline Core Fixed Income Fund I		X		10/22/18	X											
3	MFO Northern Funds Core Bond Fund			X	2/12/18	X											
4	MFO DFA Invt Dimensions Group Inc Real Estate Securities Portfolio		X		2/12/18	X											
5	MFO DFA Invt Dimensions Group Inc US Core Equity 1 Portfolio		X		2/12/18	X											
6	MFO DFA Invt Dimensions Group Inc Emerging Markets Core Equity Portfolio		X		9/10/18	X											
7	MFB Northern Equity Index Funds Intl Equity Index		X		2/7/18	X											
8	MFB Northern Funds Global Real Estate Index Fund		X		2/7/18	X											
9	MFB Northern Funds Inter Tax Exempt Fund		X		2/7/18	X											
10	MFB Northern High Yield Fixed Income Fund		X		2/7/18	X											
11	MFC Flexshares Tr Morningstar Global Upstream Natural Resources Index Fund		X		2/7/18	X											
12	MFC Flexshares TR STOXX Global Broad Infrastructure Index Fund		X		2/7/18	X											

**EXEMPTION TEST** (see Financial Disclosure Instructions for CY 2018): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

Reporting

## **PART IV. TRANSACTIONS**

Tom Cotton

11

Report any purchase, sale, or exchange by you, your spouse, or dependent child (see pages 19-20, Financial Disclosure Instructions for CY 2018) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two assets are involved in any reportable exchange.

## **Identification of Assets**

S, Example: DC, or J	IBM Corp. (stock) NYSE	X	2/1/1X	X	E	X	A	M	P	L	E
	(DC) Microsoft (stock) NASDAQ/OTC	X	1/27/1X		X	E	X	A	M	P	L
1	MFC Flexshares Tr Tr IBOXX 3 YR Target Duration Tips Index Fund	X	2/7/18	X							
2	MFO DFA Intl Small Co Portfolio Fund	X	2/8/18	X							
3	MFB Northern High Yield Fixed Income Fund	X	7/13/18	X							
4	MFB Northern Funds Inter Tax Exempt Fund	X	9/10/18	X							
5	MFB Northern Funds Short Inter Tax Exempt Fund	X	10/22/18	X							
6	MFO Vanguard Inflation Protected Securities Fund Admiral	X	10/22/18	X							
7	MFB Northern Funds Emerging Markets Equity Index	X	12/28/18	X							
8	MFB Northern Active M International Equity Fund	X	12/28/18	X							
9	MFO Blackrock Funds V High Yield Broad Portfolio Instl Cl	X	12/28/18	X							
10	MFB Northern Funds Stock Index Fund	X	2/7/18	X							
11	MFB Northern Funds Short Inter Tax Exempt Fund	X	2/7/18	X							
12	MFB Northern Funds Tax Exempt Fund	X	2/7/18	X							

**EXEMPTION TEST** (see Financial Disclosure Instructions for CY 2018): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

## Reporting

Tom Cotton

## PART IV. TRANSACTIONS

12

Report any purchase, sale, or exchange by you, your spouse, or dependent child (see pages 19-20, Financial Disclosure Instructions for CY 2018) during the reporting period of any real property, stocks, bonds, commodity futures, and other securities when the amount of the transaction exceeded \$1,000. Include transactions that resulted in a loss. Do not report a transaction involving property used solely as your personal residence, or a transaction between you, your spouse, or dependent child. Please clarify which two assets are involved in any reportable exchange.

## Identification of Assets

S, Example: DC, or J		Transaction Type (x)			Amount of Transaction (x)										
		Purchase	Sale	Exchange	\$1,001 - \$15,000	\$15,001 - \$50,000	\$50,001 - \$100,000	\$100,001 - \$250,000	\$250,001 - \$500,000	\$500,001 - \$1,000,000	Over \$1,000,000***	\$1,000,001 - \$5,000,000	\$5,000,001 - \$25,000,000	\$25,000,001 - \$50,000,000	
	IBM Corp. (stock) NYSE	X			2/1/1X	X		E	X	A	M	P	L	E	
	(DC) Microsoft (stock) NASDAQ/OTC		X		1/27/1X			X	E	X	A	M	P	L	E
1	MFC Flexshares Trust Quality Dividend Index Fund		X		2/7/18	X									
2	MFO DFA Invt Dimensions Group Inc Emerging Markets Core Equity Portfolio		X		2/8/18	X									
3	MFB Northern Equity Index Funds Intl Equity Index		X		7/13/18	X									
4	MFC Flexshares Tr Tr IBOXX 3 Year Target Duration Tips Index Fund		X		7/13/18	X									
5	MFO DFA Invt Dimensions Group Inc Emerging Markets Core Equity Portfolio		X		9/10/18	X									
6	MFB Northern Equity Index Funds Intl Equity Index		X		10/22/18	X									
7	MFB Northern Funds Stock Index Fund		X		10/22/18	X									
8	MFB Northern Equity Index Funds Intl Equity Index		X		12/28/18	X									
9	MFB Northern High Yield Fixed Income Fund		X		12/28/18	X									
10	MFO DFA Intl Small Co Portfolio Fund		X		12/28/18	X									
11	MFO DFA Invt Dimensions Group Inc Emerging Markets Core Equity Portfolio		X		12/28/18	X									
12															

**EXEMPTION TEST** (see Financial Disclosure Instructions for CY 2018): If you omitted any asset because it meets the three-part test for exemption described in the instructions, please check box to the right. This category applies only if the asset is/was held independently by the spouse or dependent child. If the asset is/was either held by the filer or jointly held, use the other categories of value, as appropriate.

 Reporting

Tom Cotton

**PART VIII. POSITIONS HELD OUTSIDE U.S. GOVERNMENT**

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Report any positions held by you during the applicable reporting period, whether compensated or not (see page 24, Financial Disclosure Instructions for CY 2018). Positions include, but are not limited to, those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise or any non-profit organization or educational institution. Both the year and month **must** be reported for the period of time that the position was held.

**Exclude:** Positions with federal government, religious, social, fraternal, or political entities, and those solely of an honorary nature.

Name of Organization		Address (City, State)	Type of Organization	Position Held	From (Mo/Yr)	To (Mo/Yr)
Example:	National Assn. of Rock Collectors	NY, NY	EXAMPLE	Non-profit education	President	6/01
	Jones & Smith	Hometown, USA	EXAMPLE	Law Firm	Partner	7/06
1	International Republican Institute	Washington, DC	Non-profit	Director	12/14	Present
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11						
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**Note:** Compensation totaling \$200 or more from any position **must** be reported on Part II.

Tom Cotton

## PART IX. AGREEMENTS OR ARRANGEMENTS

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Report a description of the date, parties to, and terms of any agreement or arrangement with respect to (a) future employment; (b) a leave of absence during the period of the reporting individual's government service; (c) continuation of payments by a former employer other than the United States government; and (d) continuing participation in an employee benefit plan maintained by a former employer. For more information regarding the reporting of negotiations for any of these agreements or benefits, see Financial Disclosure Instructions for CY 2018.

	Status and Terms of any Agreement or Arrangement	Parties	Date
Example:	<p><i>Pursuant to partnership agreement, will receive lump sum payment of capital account and partnership share calculated on services performed through 11/0X and retained pension benefits (diversified, independently managed, fully funded, defined contribution plan)</i></p> <p><i>Employment agreement with XYZ Co. to become Vice President of Government Relations. Terms of agreement include salary between \$50,001-\$100,000, signing bonus between \$2,501-\$5,000 and stock options</i></p>	Jones & Smith, Hometown, USA XYZ Co., Bethesda, MD	EXAMPLE EXAMPLE
1	Publishing agreement to receive royalty payments consistent with usual and customary publishing terms. The book is entitled "Sacred Duty: A Soldier's Tour at Arlington National Cemetery"	Harper Collins, New York, New York	2/18
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