

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Puzder, Andrew F

Secretary, Department of Labor

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- **Committee on Health, Education, Labor, and Pensions**
-

Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Puzder, Andrew F [electronically signed on 01/07/2017 by Puzder, Andrew F in Integrity.gov]

Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Shapiro, Robert A, Certifying Official [electronically signed on 02/08/2017 by Shapiro, Robert A in Integrity.gov]

Other review conducted by

/s/ Sadler, Robert M, Ethics Official [electronically signed on 02/08/2017 by Sadler, Robert M in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Shaub, Walter M, Certifying Official [electronically signed on 02/08/2017 by Shaub, Walter M in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	CKE Restaurants Holdings, Inc.	Carpinteria, California	Corporation	CEO, Director	9/2000	Present
2	The International Franchise Association	Washington, District of Columbia	Non-Profit	Director	9/2013	1/2017
3	The American Enterprise Institute	Washington, District of Columbia	Non-Profit	National Council Co-Chair	5/2014	1/2017
4	A. P. Trust, Revocable Trust	Santa Barbara, California	Trust	Co-Trustee	9/1997	Present

2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	CKE Restaurants Holdings, Inc.			Salary and bonus	\$3,422,377
2	SEP IRA	N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
2.1	Financial Select Sector SPDR ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.2	First TR Europe Alphas ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.3	Gotham Enhanced Return Fund Class Institutional	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.4	Guggenheim S&P 500 Pure Value ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.5	New Residential Investment Corp.	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.6	Powershares FTSE RAFI Developed Markets Ex-US Portfolio ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.7	Real Estate Select Sect SPDR ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	Avenue Income Credit Strategies Fund	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
2.9	DoubleLine Income Solutions Fund	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
2.10	Eaton Vance Limited Duration Income Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
3	CKE Holdings, LP - Class A Units	See Endnote	N/A	Capital Gains	\$1,000,001 - \$5,000,000
4	The Steamboat Institute - 8/26/2016	N/A		Honorarium	\$5,000
5	Colorado Christian University - 7/2/2016	N/A		Honorarium	\$2,500
6	Lincoln Club Institute - 10/26/2016	N/A		Honorarium	\$2,500
7	CKE Holdings, LP - Class B Units (Vested)	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
8	CKE Holdings, LP - Class B Units (Unvested)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
9	CKE Restaurants Holdings, Inc., estimated cash bonus for Fiscal Year 2016		\$1,000,001 - \$5,000,000		None (or less than \$201)
10	CKE Restaurants Holdings, Inc., outstanding relocation benefits for 2016 move that was finalized in 2017		\$250,001 - \$500,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	CKE Restaurants Holdings, Inc.	Anaheim, California	CKE Restaurants is controlled by CKE Holdings, L.P. ("CKE LP"). I have a partnership interest in CKE LP, in the form of Class A Units and vested and unvested Class B Units. Upon resignation, I will forfeit my unvested Class B Units. CKE LP and one of its subsidiaries, CKE Holding Corporation, Inc. ("CKE CORP"), will purchase my Class A Units and my vested Class B Units. To accomplish this purchase, CKE LP will issue me an amount of CKE CORP stock estimated to be equal in value to my Class A Units and vested Class B Units, based on an internal valuation of the company as of December 31, 2016. CKE CORP will then purchase this CKE CORP stock from me. I will receive full payment from CKE CORP for the purchase of this stock before I assume the duties of the position of Secretary, or I will forfeit any portion of the payment that I have not received and any stock that I continue to hold as of the date I assume the duties of the position of Secretary.	2/2017
2	CKE Restaurants Holdings, Inc.	Anaheim, California	Before I assume the duties of the position of Secretary, I will receive my 2016 bonus. I will forfeit this bonus if I do not receive it before I assume the duties of the position of Secretary.	12/2013
3	CKE Restaurants Holdings, Inc.	Anaheim, California	Before I assume the duties of the position of Secretary, I will receive outstanding relocation benefits owed to reimburse me for moving to Tennessee in 2016, including costs associated with the sale of my house that was finalized in 2017. I will forfeit any portion of these relocation benefits that I have not received as of the date I assume the duties of the position of Secretary.	3/2016

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	CKE Restaurants Holdings, Inc.	Anaheim, California	Chief Executive Officer

5. Spouse's Employment Assets & Income and Retirement Accounts

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	UBS Account #1	N/A			
1.1	Enerjex Resources Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	First Trust Water ETF	Yes	\$100,001 - \$250,000		\$201 - \$1,000
1.3	Guggenheim S&P Global Water ETF	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.4	Powershares Global Water Portfolio ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
1.5	Powershares Water Resources Portfolio ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.6	Toyota Motor Corp. Sponsored ADR	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
1.7	Bank of America Corp. Series D	N/A	\$250,001 - \$500,000	Dividends	\$50,001 - \$100,000
1.8	California, bonds	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
1.9	California, bonds	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.10	California, bonds	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
1.11	California, bonds	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.12	California, bonds	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.13	California, bonds	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.14	California, bonds	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.15	California, bonds	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.16	California, bonds	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
1.17	California, bonds	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
1.18	California, bonds	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
1.19	California, bonds	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.20	California, bonds	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
1.21	Los Angeles, California, bonds	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
1.22	Los Angeles, California, bonds	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
1.23	Sacramento, California, bonds	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
1.24	California, bonds	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.25	University of California, bonds	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.26	University of California, bonds	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.27	Alphakeys KKR Energy	See Endnote	Yes	\$100,001 - \$250,000	\$15,001 - \$50,000
1.28	Alphakeys Millenium III	See Endnote	Yes	\$500,001 - \$1,000,000	\$100,001 - \$1,000,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.29	Apollo European Credit Fund LP	See Endnote	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
1.30	Ares European RE IV LP	See Endnote	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.31	Atlas Enhanced Fund LP	See Endnote	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
1.32	Solus LLC, Class N3	See Endnote	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.33	Fidelity National Financial Inc.		N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.34	Remy International Inc.		N/A	\$1,001 - \$15,000		None (or less than \$201)
2	UBS Account #2		N/A			
2.1	AbbVie Inc.		N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.2	AT&T Inc		N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.3	Baron Real Estate Fund Institutional Class		Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2.4	Berkshire Hathaway Inc. Class B		N/A	\$50,001 - \$100,000		None (or less than \$201)
2.5	Brookfield Property Partners LLP MLP		N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
2.6	CBRE Clarion Global Real Estate Income Fund		Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
2.7	Colony Starwood Homes REIT		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
2.8	Diageo PLC ADR		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.9	Exxon Mobil Corp.		N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.10	Ford Motor Co.	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
2.11	iShares MSCI Eurozone ETF	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
2.12	iShares NASDAQ Biotechnology ETF	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.13	Matthews Japan Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.14	Merck & Co. Inc.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.15	Neuberger Berman MLP Income Fund Inc.	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.16	Pfizer Inc.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.17	Procter & Gamble Co.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.18	SPDR Index SHS FDS S&P Emerging Market	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.19	Time Warner Inc.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.20	Undiscovered Mgrs Behavioral Value Class L	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.21	Union Pacific Corp.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.22	United Technologies Corp.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.23	Vanguard Dividend Appreciation ETF	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
2.24	Verizon Communications Inc.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.25	Vanguard Materials ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.26	Walt Disney Co.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.27	Wasatch International Growth Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.28	WisdomTree Trust Europe Hedged Equity Fund ETF	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
2.29	WisdomTree Trust Europe Smallcap Dividend Fund	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.30	WisdomTree Trust Midcap Dividend Fund	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.31	WisdomTree Trust US Quality Dividend Growth Fund ETF	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
2.32	iShares Gold Trust ETF	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.33	Gotham Absolute Return Institutional	Yes	\$250,001 - \$500,000		None (or less than \$201)
2.34	Apple Inc.	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2.35	iShares Russell 1000 ETF	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.36	iShares Russell 2000 ETF	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.37	iShares Currency Hedged	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.38	Vanguard Mid-Cap ETF	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.39	Vanguard Growth ETF	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
2.40	WisdomTree Trust India	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.41	WisdomTree Trust Japan	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.42	Driehaus Emerging Markets Growth Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.43	Gotham Enhanced Return	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.44	Guggenheim S&P 500 Pure Value ETF	Yes	\$250,001 - \$500,000		None (or less than \$201)
2.45	Hamlin High Dividend Equity Fund	Yes	\$250,001 - \$500,000		None (or less than \$201)
2.46	Horizon Spin-Off and Corporate Restructuring Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.47	iShares MSCI Mexico Capped ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.48	Kopernik Global All-Cap Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.49	Matthews International Pacific Tiger Fund	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.50	Powershares QQQ	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.51	Colony Starwood Homes REIT	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.52	Vanguard FTSE Europe ETF	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.53	Vanguard Small Cap ETF	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.54	WisdomTree Emerging Markets High Dividend Fund ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.55	WisdomTree Trust Small Cap Dividend Fund	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
2.56	SPDR S&P China ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
3	UBS Account #3	N/A			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	Angel Oak Flexible Income Fund Class I	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3.2	Angel Oak Multi-Strategy Income Fund Class Institutional	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
3.3	BlackRock Limited Duration Income Trust	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
3.4	BlackRock Multi-Sector Income Trust	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
3.5	Blackstone/GSO Strategic Credit Fund	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
3.6	Cohen & Steers Limited Duration Preferred & Income Fund	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3.7	Eaton Vance Limited Duration Income Fund	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
3.8	Eaton Vance Senior Floating Rate Trust	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
3.9	Guggenheim Credit Allocation Fund	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
3.10	Guggenheim Macro Opportunities Fund Class Institutional	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
3.11	Loomis Sayles Senior Floating Rate & Fixed Income Fund Class Y	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
3.12	Nuveen Credit Strategies Income Fund	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
3.13	Nuveen Senior Income Fund	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3.14	Third Avenue Focused Credit Fund Institutional Class	Yes	\$50,001 - \$100,000		\$50,001 - \$100,000
3.15	Macquarie Infrastructure Corp.	N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
3.16	New Media Investment Group Inc.	N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.17	New Residential Investment Corp.	Yes	\$250,001 - \$500,000		\$50,001 - \$100,000
3.18	New Senior Investment Group REIT	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
3.19	Apollo Investment Corp.	N/A	\$15,001 - \$50,000	Dividends	\$15,001 - \$50,000
3.20	Ares Capital Corp.	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
3.21	Ares Dynamic Credit Allocation Fund	Yes	\$1,001 - \$15,000		\$15,001 - \$50,000
3.22	Avenue Income Credit Strategies Fund	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
3.23	BlackRock Strategic Income Opportunities Portfolio	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
3.24	Brookfield Property Partners LP	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
3.25	DoubleLine Income Solutions Fund	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3.26	Eaton Vance Floating-Rate Fund	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
3.27	Fifth Street Senior Floating Rate Corp.	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
3.28	KKR Income Opportunities Fund	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
3.29	LMP Corporate Loan Fund Inc.	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3.30	Newcastle Investment Corp.	N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
3.31	Powershares ETF Trust II	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
3.32	Senior Housing Properties Trust	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	UBS Account #4	N/A			
4.1	Buckeye Partners LP	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
4.2	DCP Midstream Partners MLP	N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
4.3	Delek Logistics	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
4.4	Enable Midstream Partners MLP	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
4.5	Enbridge Energy Partners MLP	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
4.6	Energy Transfer Equity LP	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
4.7	Energy Transfer Partners MLP	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.8	Enlink Midstream Partners MLP	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
4.9	EQT Midstream Partners MLP	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
4.10	Genesis Energy MLP	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
4.11	MPLX MLP	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
4.12	Phillips 66 Partners MLP	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
4.13	Tallgrass Energy Partners MLP	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
4.14	TC Pipelines MLP	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
4.15	Teekay Offshore Partners LP	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.16	Tesoro Logistics MLP	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
4.17	Western Gas Equity Partners MLP	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
4.18	Williams Partners MLP	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
4.19	Enterprise Products	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
4.20	Plains All American Pipeline	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
4.21	Plains GP Holdings LP	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
4.22	Western Gas Partners LP	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
4.23	The Williams Companies Inc.	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
4.24	Crestwood Equity	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.25	Kinder Morgan Inc.	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
4.26	Magellan Midstream	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.27	Targa Resources Partners	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
5	UBS Account #5	N/A			
5.1	AQR Long/Short Equity Fund Class I	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.2	BlackRock GSO Long Short Credit Income Fund	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
5.3	Blackstone Alternative Multi-Strategy Fund Class I	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.4	John Hancock Global Absolute Return Strategies Class I	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
5.5	Otter Creek Long/Short Opportunity Fund Class Institutional	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.6	BlackRock Emerging Markets Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.7	Mainstay Marketfield Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.8	UBS Dynamic Alpha Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.9	William Blair Macro Allocation Fund	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
6	UBS Account #6	N/A			
6.1	3M Co.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.2	Abbott Laboratories	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.3	AbbVie Inc.	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
6.4	Air Products & Chemicals Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.5	Altria Group Inc.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.6	Amgen Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.7	Automatic Data Processing Inc.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.8	BB&T Corp.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.9	BlackRock Inc.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.10	Cisco Systems Inc.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.11	Coca Cola Co.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.12	Crown Castle Intl Corp.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.13	Fastenal Co.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.14	General Electric Co.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.15	Hasbro Inc.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.16	Home Depot Inc.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.17	Illinois Tool Works Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.18	Johnson & Johnson	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.19	JP Morgan Chase & Co.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.20	Kimberly-Clark Corp.	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
6.21	Lockheed Martin Corp.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.22	LyondellBasell Industries N.V.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.23	Maxim Integrated Products Inc.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.24	Medtronic Plc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.25	Merck & Co Inc.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.26	Microsoft Corp.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.27	NextEra Energy Inc.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.28	Occidental Petroleum Corp.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.29	Paychex Inc.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.30	Pepsico Inc.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.31	Pfizer Inc.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.32	Philip Morris International Inc.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.33	PNC Financial Services Group	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.34	T. Rowe Price Group Inc.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.35	Public Storage REIT	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.36	QUALCOMM Inc.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.37	Realty Income Corp.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.38	Spectra Energy Corp.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.39	Target Corp.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.40	Texas Instruments Inc.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.41	Ventas Inc.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.42	WEC Energy Group Inc.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.43	Analog Devices Inc.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.44	Emerson Electric Co.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.45	Arthur J Gallagher & Co.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.46	Smucker J.M. Co.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.47	Welltower Inc. REIT	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.48	Baxter International Inc.	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.49	Care Capital Properties	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.50	Chevron Corp.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.51	Welltower Inc. REIT	Yes	None (or less than \$1,001)		\$201 - \$1,000
6.52	Hershey Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.53	Kinder Morgan Inc.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.54	Kraft Foods Group Inc.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.55	Marsh & McLennan Companies Inc.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.56	McDonald's Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.57	Novartis AG Sponsored ADR	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.58	ONEOK Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.59	Proctor & Gamble Co.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.60	US Bancorp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.61	The Williams Companies Inc.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7	UBS Account #7	N/A			None (or less than \$201)
7.1	ACS Actividades de Construccion y Servicios ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.2	Adecco Group AG Un-sponsored ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.3	Aegon N.V. ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.4	Aercap Holdings N.V.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.5	AmBev S.A. Sponsored ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.6	Astellas Pharma Inc. ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.7	Axa S.A. ADR	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.8	Banco Bilbao Vizcaya Argentaria S.A. Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.9	BHP Billiton PLC Sponsored ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.10	Carlsberg A/S Sponsored ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.11	Carrefour S.A. Sponsored ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.12	China Mobile Ltd. Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.13	CK Hutchison Holdings Ltd. Un-sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.14	DBS Group Holdings Ltd. Sponsored ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.15	Deutsche Post AG Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.16	DNB ASA Sponsored ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.17	European Aeronaut Un-sponsored ADR	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.18	Fresenius Medical Care AG & Co. Sponsored ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.19	HSBC Holdings Plc Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
7.20	Intesa Sanpaolo S.p.A. Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.21	Julius Baer Group Ltd. ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.22	Komatsu Ltd. Sponsored ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.23	Koninklijke Philips N.V. Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.24	Mazda Motor Corp. ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.25	Murata Manufacturing Co. Ltd. ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.26	Orange S.A. Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.27	Otsuka Holdings Co. Ltd. Un-sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.28	Panasonic Corp. Sponsored ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.29	Royal DSM N.V. Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.30	Royal Dutch Shell Plc Class A Sponsored ADR	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7.31	Royal KPN N.V. Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
7.32	Schlumberger Ltd.	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.33	Secom Co. Ltd. ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.34	Seiko Epson Corp. Un-sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.35	Smith & Nephew Plc Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.36	Societe Generale S.A. Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.37	Suntory Beverage & Food Ltd. Un-sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.38	Total S.A. Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.39	Accor S.A. Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.40	Adidas AG Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.41	AstraZeneca Plc Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.42	Atos Origin S.A. ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.43	Barclays Plc ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.44	Denso Corp. ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.45	E.ON SE Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
7.46	Embraer S.A. Sponsored ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.47	Engie Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.48	Ericsson	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.49	Gemalto N.V. Sponsored ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.50	Global Logistic Properties Ltd.	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.51	IHS Markit Ltd./Markit Ltd.	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.52	Infineon Technologies AG	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.53	Lixil Group Corp.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.54	National Grid Plc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.55	Novartis AG Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.56	Roche Holding Ltd. AG Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.57	Seven & i Holdings Co. Ltd. Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.58	Sky Plc Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.59	Sumitomo Mitsui Banking Corp.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.60	Syngenta AG Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.61	Toray Industries Inc. ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.62	Unibail-Rodamco SE ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.63	Vivendi SA	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
7.64	Vodafone Group Plc Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
7.65	William Hill Plc ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.66	WPP Plc Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.67	America Movil S.A.B. de C.V. ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.68	Bayer AG Sponsored ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.69	BG Group Plc Sponsored ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.70	Check Point Software Technologies Ltd.	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.71	Daimler AG	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.72	Deutsche Boerse ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.73	GEA Group AG Sponsored ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.74	Heineken N.V. Sponsored ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.75	Hitachi Ltd. ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.76	Holcim Ltd.	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.77	Nippon Telegraph and Telephone Corp.	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.78	Pearson Plc Sponsored ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.79	Porsche Automobil Holding SE	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.80	Repsol SA Sponsored ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.81	Sony Corp. ADR	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.82	Taiwan Semiconductor Manufacturing Co. Ltd.	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.83	Trend Micro Inc.		N/A	\$1,001 - \$15,000		None (or less than \$201)
8	UBS Account #8		N/A			
8.1	California, bonds		N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
8.2	Los Angeles, California, bonds		N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
8.3	California, bonds		N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
9	Altair Commercial Real Estate Lending Fund LLC	See Endnote	No	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
10	Altair Healthcare Real Estate Fund LLC	See Endnote	No	\$250,001 - \$500,000		None (or less than \$201)
11	First Republic - Eagle Bank Sweep Tier 1		N/A	\$250,001 - \$500,000		None (or less than \$201)
12	Apollo Co-Investors VIII (B) LP		No			
12.1	Apollo Co-Investors VIII LP		Yes	\$500,001 - \$1,000,000		None (or less than \$201)
13	Apollo European Credit Fund LP		Yes	\$250,001 - \$500,000		None (or less than \$201)
14	Apollo ANRP Co-Investors II (B) LP		No			
14.1	Apollo ANRP Co-Investors II LP		Yes	\$50,001 - \$100,000		None (or less than \$201)
15	Solamere Capital Fund II LP	See Endnote	No	\$250,001 - \$500,000		None (or less than \$201)
16	Solamere Holdco I LLC	See Endnote	No	\$1,001 - \$15,000	Capital Gains	\$100,001 - \$1,000,000
17	Solamere Portfolio Company Investments II LLC	See Endnote	No	\$250,001 - \$500,000		None (or less than \$201)
18	Solamere 2016 Holdco I LLC	See Endnote	No	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	Residential Real Estate, Santa Barbara, CA	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$5,001 - \$15,000
20	Residential Real Estate, Eagan, MN	N/A	\$250,001 - \$500,000	Rent or Royalties	\$5,001 - \$15,000
21	Undeveloped Land, Brentwood, TN	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
22	Fixed Annuity from Family Irrevocable Trust	See Endnote	N/A	\$500,001 - \$1,000,000	None (or less than \$201)
23	UBS Dependent Child Trust #1	N/A			
23.1	Alerian MLP ETF	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
23.2	Bank of America Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.3	CBRE Clarion Global Real Estate Income Fund	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
23.4	Driehaus Emerging Markets Growth Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
23.5	Guggenheim Directional Allocation Fund Class C	Yes	\$15,001 - \$50,000		None (or less than \$201)
23.6	Guggenheim S&P 500 Pure Growth ETF	Yes	\$50,001 - \$100,000		\$201 - \$1,000
23.7	Guggenheim S&P 500 Pure Value ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
23.8	Intel Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.9	iShares MSCI EAFE ETF	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
23.10	iShares MSCI EAFE Small-Cap ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
23.11	SPDR S&P Dividend ETF	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23.12	Vanguard FTSE Europe ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
23.13	Vanguard Mid-Cap ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
23.14	Vanguard Small-Cap ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
23.15	Virtus Emerging Markets Opportunities Fund Class C	Yes	\$15,001 - \$50,000		None (or less than \$201)
23.16	WisdomTree Japan Hedged Equity Fund ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
23.17	Ares Dynamic Credit Allocation Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
23.18	Avenue Income Credit Strategies Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
23.19	Eaton Vance Limited Duration Income Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
23.20	Guggenheim Credit Allocation Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
23.21	Nuveen Credit Strategies Income Fund	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
23.22	Third Avenue Focused Credit Fund Institutional Class	Yes	\$1,001 - \$15,000		\$5,001 - \$15,000
23.23	ETRACS CMCI Total Return ETN	Yes	\$1,001 - \$15,000		None (or less than \$201)
23.24	Credit Suisse X-Links Cushing MLP Infrastructure ETN	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
24	UBS Dependent Child Trust #2	N/A			
24.1	Alerian MLP ETF	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
24.2	Bank of America Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
24.3	CBRE Clarion Global Real Estate Income Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24.4	Driehaus Emerging Markets Growth Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
24.5	Guggenheim Directional Allocation Fund Class C	Yes	\$50,001 - \$100,000		None (or less than \$201)
24.6	Guggenheim S&P 500 Pure Value ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
24.7	Intel Corp.	N/A	\$1,001 - \$15,000		None (or less than \$201)
24.8	iShares MSCI EAFE ETF	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
24.9	iShares MSCI EAFE Small-Cap ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
24.10	SPDR S&P Dividend ETF	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
24.11	Twitter Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
24.12	Vanguard FTSE Europe ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
24.13	Vanguard Growth ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
24.14	Vanguard Mid-Cap ETF	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
24.15	Vanguard Small-Cap ETF	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
24.16	Virtus Emerging Markets Opportunities Fund Class C	Yes	\$15,001 - \$50,000		None (or less than \$201)
24.17	Walt Disney Co.	N/A	\$1,001 - \$15,000		None (or less than \$201)
24.18	WisdomTree Japan Hedged Equity Fund ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
24.19	Ares Dynamic Credit Allocation Fund	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
24.20	Eaton Vance Limited Duration Income Fund	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24.21	Nuveen Credit Strategies Income Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
24.22	Third Avenue Focused Credit Fund Institutional Class	Yes	\$1,001 - \$15,000		\$5,001 - \$15,000
24.23	ETRACS CMCI Total Return ETN	Yes	\$1,001 - \$15,000		None (or less than \$201)
24.24	Credit Suisse X-Links Cushing MLP Infrastructure ETN	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
25	Gold and silver coins and ingots	N/A	\$15,001 - \$50,000		None (or less than \$201)

7. Transactions

(N/A) - Not required for this type of report

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM	
1	UBS Financial Services	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2013	2.134%	5/1 ARM IO	
2	UBS Financial Services	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2015	2.63%	5/1 ARM IO	
3	UBS Financial Services	Exercised Line of Credit	\$1,000,001 - \$5,000,000	2012	2.011%	Revolving	
4	American Express	Credit Card	\$50,001 - \$100,000	2016	18.49%	Revolving	
5	Apollo European Credit Fund LP	See Endnote	Capital Call	\$100,001 - \$250,000	2016	N/A	N/A

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
6	Apollo Co-Investors VIII (B) LP	See Endnote	Capital Call	\$250,001 - \$500,000	2016	N/A	N/A
7	Apollo ANRP Co-Investors II (B) LP	See Endnote	Capital Call	\$250,001 - \$500,000	2016	N/A	N/A
8	Solamere Capital Fund II LP	See Endnote	Capital Call	\$500,001 - \$1,000,000	2016	N/A	N/A
9	Solamere Portfolio Company Investments II LLC	See Endnote	Capital Call	\$15,001 - \$50,000	2016	N/A	N/A
10	Altair Healthcare Real Estate Fund LLC	See Endnote	Capital Call	\$100,001 - \$250,000	2016	N/A	N/A

9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

Endnotes

PART	#	ENDNOTE
2.	3	Underlying holding is CKE Restaurants Holdings, Inc., which owns, operates, and franchises quick-service restaurants.
6.	1.27	Distribution income is estimated from 2015.
6.	1.28	Distribution income is estimated from 2015.
6.	1.29	Distribution income is estimated from 2015.
6.	1.30	Distribution income is estimated from 2015.
6.	1.31	Distribution income is estimated from 2015.
6.	1.32	Investment placed in mid-2016. Reported distribution income is estimate.
6.	9	Underlying assets are not disclosed due to a preexisting confidentiality agreement. I will divest this asset if confirmed.

PART	#	ENDNOTE
6.	10	Underlying assets are not disclosed due to a preexisting confidentiality agreement. I will divest this asset if confirmed.
6.	15	Underlying assets are not disclosed due to a preexisting confidentiality agreement. I will divest this asset if confirmed.
6.	16	Underlying assets are not disclosed due to a preexisting confidentiality agreement. I will divest this asset if confirmed.
6.	17	Underlying assets are not disclosed due to a preexisting confidentiality agreement. I will divest this asset if confirmed.
6.	18	Underlying assets are not disclosed due to a preexisting confidentiality agreement. I will divest this asset if confirmed.
6.	22	The underlying holdings of the trust are: U.S. bank account (cash) and residential real estate, Ojai, California.
8.	5	This capital call represents a contingent liability; it will become due only if the fund manager triggers the call. I have no capital calls that are currently outstanding and am not aware of any capital calls that will be triggered in the foreseeable future. My obligation to satisfy this capital call will terminate when I divest my interest in this fund pursuant to my ethics agreement.
8.	6	This capital call represents a contingent liability; it will become due only if the fund manager triggers the call. I have no capital calls that are currently outstanding and am not aware of any capital calls that will be triggered in the foreseeable future. My obligation to satisfy this capital call will terminate when I divest my interest in this fund pursuant to my ethics agreement.
8.	7	This capital call represents a contingent liability; it will become due only if the fund manager triggers the call. I have no capital calls that are currently outstanding and am not aware of any capital calls that will be triggered in the foreseeable future. My obligation to satisfy this capital call will terminate when I divest my interest in this fund pursuant to my ethics agreement.
8.	8	This capital call represents a contingent liability; it will become due only if the fund manager triggers the call. I have no capital calls that are currently outstanding and am not aware of any capital calls that will be triggered in the foreseeable future. My obligation to satisfy this capital call will terminate when I divest my interest in this fund pursuant to my ethics agreement.
8.	9	This capital call represents a contingent liability; it will become due only if the fund manager triggers the call. I have no capital calls that are currently outstanding and am not aware of any capital calls that will be triggered in the foreseeable future. My obligation to satisfy this capital call will terminate when I divest my interest in this fund pursuant to my ethics agreement.
8.	10	This capital call represents a contingent liability; it will become due only if the fund manager triggers the call. I have no capital calls that are currently outstanding and am not aware of any capital calls that will be triggered in the foreseeable future. My obligation to satisfy this capital call will terminate when I divest my interest in this fund pursuant to my ethics agreement.

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in income during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, that (1) ended the reporting period with a value greater than \$1,000 or (2) produced more than \$200 in investment income during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 of income was produced). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$150 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

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