

Financial Disclosures

Annual Report for Calendar 2016

The Honorable Charles E Grassley (Grassley, Charles E.)

Filed 05/15/2017 @ 11:09 AM

The following statements were checked before filing:

- I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.
- I omitted assets because they meet the three-part test for exemption.

Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria

Did any individual or organization pay you or your spouse more than \$200 or donate any amount to a charity on your behalf, for an article, speech, or appearance? **No**

Part 2. Earned and Non-Investment Income

Did you or your spouse have reportable earned income or non-investment income? **Yes**

| # | Who Was Paid | Type | Who Paid | Amount Paid |
|---|--------------|------------|---|-------------|
| 1 | Spouse | Salary | Chambers, Conlon & Hartwell Washington, DC | > \$1,000 |
| 2 | Spouse | Retirement | Raymond James Trust IRA St Petersburg , FL | > \$1,000 |
| 3 | Self | Retirement | Raymond James Trust IRA St Petersburg, FL | \$33,759.53 |

Part 3. Assets

Did you, your spouse, or dependent child own any asset worth more than \$1000, have a deposit account with a balance over \$5,000, or receive income of more than \$200 from an asset? **Yes**

| Asset | Asset Type | Owner | Value | Income Type | Income |
|-------|---|-------|--------------------|-------------|-----------------|
| 1 | Farmer's Cooperative Co. <i>Description:</i> Cooperative (New Hartford, Iowa) | Joint | \$1,001 - \$15,000 | Dividends, | \$201 - \$1,000 |

eFD: Home

URL: <https://efdsearch.senate.gov/search/home/>

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| | <u>Asset</u> | <u>Asset Type</u> | <u>Owner</u> | <u>Value</u> | <u>Income Type</u> | <u>Income</u> |
|---|--|-------------------|--------------|-----------------------------|-----------------------------|---|
| 2 | Farm Land-all located in Butler County, Iowa, Beaver Township <i>Description:</i> Sec. 16, Rng. 15-118 A (New Hartford, Iowa) <i>Filer comment:</i> Combined Farm Income from all farmland: \$ less expenses of \$118,840 = \$119,229 NET. Not possible to separate income by individual farm. | Farm | Joint | \$100,001 - \$250,000 | Other, (Grain Sales) | \$100,001 - \$1,000,000 Other \$119,229.00 |
| 3 | Farm Land-all located in Butler County, Iowa, Beaver Township <i>Description:</i> Sec. 24, Rng. 15-72 A (New Hartford, Iowa) <i>Filer comment:</i> See comments in Item 2 for explanation of Net Income for all farmland. Not possible to separate income by farm. | Farm | Joint | \$50,001 - \$100,000 | Other, (Grain sales) | None (or less than \$201) Other \$0.01 |
| 4 | Farm Land-All located in Butler County, Iowa, Beaver Township <i>Description:</i> Sec. 16, Rng. 15 - 40 A (New Hartford, Iowa) <i>Filer comment:</i> See comments in Item 2 for explanation of Net Income for all farmland. Not possible to separate income by farm. | Farm | Joint | \$100,001 - \$250,000 | Other, (Other) | Other \$0.01 |
| 5 | Farm Land-All Located in Butler County, Iowa, Beaver Township <i>Description:</i> Sec. 15, Rng. 15-43 A (New Hartford, Iowa) <i>Filer comment:</i> See comments in Item 2 for explanation of Net Income for all farmland. Not possible to separate income by farm. | Farm | Joint | \$50,001 - \$100,000 | Other, (Grain Sales) | Other \$0.01 |
| 6 | Farm Land-All located in Butler County, Iowa, Beaver Township <i>Description:</i> Sec. 15, Rng. 15-87 A (New Hartford, Iowa) <i>Filer comment:</i> See comments in Item 2 for explanation of Net Income for all farmland. Not possible to separate income by farm. | Farm | Joint | \$100,001 - \$250,000 | Other, (Grain Sales) | Other \$0.01 |
| 7 | Farm Land-All located in Butler County, Iowa, Beaver Township <i>Description:</i> Sec. 34, Rng.15 -114 A (New Hartford, Iowa) <i>Filer comment:</i> See comments in Item 2 for explanation of Net Income for all farmland. Not possible to separate income by farm. | Farm | Joint | \$100,001 - \$250,000 | Other, (Grain Sales) | Other \$0.01 |

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| | <u>Asset</u> | <u>Asset Type</u> | <u>Owner</u> | <u>Value</u> | <u>Income Type</u> | <u>Income</u> |
|------|---|---|--------------|----------------------------------|---------------------------------|---------------------------------|
| 8 | Farm Land-All located in Butler County, Iowa, Beaver Township <i>Description: Sec. 34 & 35, Rng. 18-120 A (New Hartford, Iowa) Filer comment: See comments in Item 2 for explanation of Net Income for all farmland. Not possible to separate income by farm.</i> | Farm | Joint | \$100,001 - \$250,000 | Other, (Grain Sales) | Other \$0.01 |
| 9 | Farm Land-All Located in Butler County, Iowa, Beaver Township <i>Description: Sec. 34, Rng. 15 - 118 A (New Hartford, Iowa) Filer comment: See comments in Item 2 for explanation of Net Income for all farmland. Not possible to separate income by farm.</i> | Farm | Joint | \$100,001 - \$250,000 | Other, (Grain Sales) | Other \$0.01 |
| 10 | Grandchildren 529 Account <i>Institution: Iowa-managed by Vanguard</i> | Education Savings Plans 529 College Savings Plan | Self | | | |
| 10.1 | Moderate Growth Aged Based 19 and Older Money Market | Mutual Funds Mutual Fund | Self | \$50,001 - \$100,000 | Excepted Investment Fund, | None (or less than \$201) |
| 10.2 | Conservative Income Portfolio | Mutual Funds Mutual Fund | Self | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 11 | Grandchildren 529 College Savings <i>Institution: Iowa-managed by Vanguard</i> | Education Savings Plans 529 College Savings Plan | Spouse | | | |
| 11.1 | Moderate Growth Aged Based 19 and Older Money Market | Mutual Funds Mutual Fund | Spouse | \$50,001 - \$100,000 | Excepted Investment Fund, | None (or less than \$201) |
| 11.1 | Conservative Income Portfolio | Mutual Funds Mutual Fund | Spouse | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 12 | Property Sale-2 acre Farmstead <i>Debtor: Robin & Diane Grassley</i> | Accounts Receivable From an Individual | Joint | \$1,001 - hide me \$15,000 | Interest, | \$201 - \$1,000 |

| | <u>Asset</u> | <u>Asset Type</u> | <u>Owner</u> | <u>Value</u> | <u>Income Type</u> | <u>Income</u> |
|------|--|---|--------------|-----------------------------|---------------------------------|---------------------------------|
| 13 | New York Life Insurance <i>Provider: New York Life Insurance</i> | Life Insurance Whole | Self | \$1,001 - \$15,000 | Dividends, | None (or less than \$201) |
| 14 | New York Life Insurance <i>Provider: New York Life Insurance</i> | Life Insurance Whole | Self | \$1,001 - \$15,000 | Dividends, | None (or less than \$201) |
| 15 | Ohio National Life Insurance <i>Provider: Ohio National Life Insurance</i> | Life Insurance Whole | Self | \$1,001 - \$15,000 | Dividends, | None (or less than \$201) |
| 16 | Ohio National Life Insurance <i>Provider: Ohio National Life Insurance</i> | Life Insurance Whole | Self | \$1,001 - \$15,000 | Dividends, | None (or less than \$201) |
| 17 | CCH Holdco, Inc. 401k Plan - Managed by Fidelity Investments | Retirement Plans Defined Contribution Pension Plan | Spouse | | | |
| 17.1 | Black Rock Equity Div I | Mutual Funds Mutual Fund | Spouse | \$50,001 - \$100,000 | Excepted Investment Fund, | None (or less than \$201) |
| 17.2 | Sptn 500 Index ADV | Mutual Funds Mutual Fund | Spouse | \$100,001 - \$250,000 | Excepted Investment Fund, | None (or less than \$201) |
| 17.3 | Opphmr MS Mid Cap Y | Mutual Funds Mutual Fund | Spouse | \$50,001 - \$100,000 | Excepted Investment Fund, | None (or less than \$201) |
| 17.4 | JPM US Small Cp A | Mutual Funds Mutual Fund | Spouse | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 17.5 | RS Small Cap Grth A | Mutual Funds Mutual Fund | Spouse | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |

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| | <u>Asset</u> | <u>Asset Type</u> | <u>Owner</u> | <u>Value</u> | <u>Income Type</u> | <u>Income</u> |
|---------|---|------------------------------|--------------|-------------------------|---------------------------------|---------------------------------|
| 17.6 | FA Intl Discovery A | Mutual Funds Mutual Fund | Spouse | \$50,001 - \$100,000 | Excepted Investment Fund, | None (or less than \$201) |
| 17.7 | LZD EMG Mkt Eq BL IS | Mutual Funds Mutual Fund | Spouse | \$50,001 - \$100,000 | Excepted Investment Fund, | None (or less than \$201) |
| 17.8 | Templeton Foreign A | Mutual Funds Mutual Fund | Spouse | \$50,001 - \$100,000 | Excepted Investment Fund, | None (or less than \$201) |
| 17.9 | FA Emerg Mkt Inc A | Mutual Funds Mutual Fund | Spouse | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 17.10 | FA Strat Income A | Mutual Funds Mutual Fund | Spouse | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 17.11 | <u>OIBIX</u> - Oppenheimer International Bond I (NASDAQ) | Mutual Funds Mutual Fund | Spouse | \$50,001 - \$100,000 | Excepted Investment Fund, | None (or less than \$201) |
| 18 | Community Bank & Trust (formerly Communiy National Bank) (Waterloo, IA) Type: Checking, | Bank Deposit | Joint | \$1,001 - \$15,000 | Interest, | None (or less than \$201) |
| 19 | Community Bank & Trust (formerly Communiy National Bank) (Waterloo, Iowa) Type: Savings, | Bank Deposit | Joint | \$1,001 - \$15,000 | Interest, | None (or less than \$201) |
| 20 | BARBARA IRA RJ | Brokerage/Managed Account | Spouse | | | |
| 20.1 | <u>CHTRX</u> - Invesco Charter A (NASDAQ) | Mutual Funds Mutual Fund | Spouse | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
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| | <u>Asset</u> | <u>Asset Type</u> | <u>Owner</u> | <u>Value</u> | <u>Income Type</u> | <u>Income</u> |
|---------|--|--|--------------|-----------------------------------|---------------------------------|---------------------------------|
| 20.2 | IDITX - Transamerica Flexible Income A (NASDAQ) | Mutual Funds Mutual Fund | Spouse | \$1,001 - \$15,000 | Excepted Investment Fund, | \$201 - \$1,000 |
| 20.3 | BDJ - Blackrock Enhanced Equity Divid (NYSE) | Mutual Funds Exchange Traded Funds/Notes | Spouse | \$1,001 - \$15,000 | Excepted Investment Fund, | \$201 - \$1,000 |
| 20.4 | RAYMOND JAMES BANK DEPOSIT PROGRAM (ST PETERSBURG, FL) Type: Brokerage Sweep Account, | Bank Deposit | Spouse | None (or less than \$1,001) | Interest, | None (or less than \$201) |
| 21 | GRASSLEY FREEDOM | Brokerage/Managed Account | Joint | | | |
| 21.1 | ALTVX - AllianceBern Muni Income Natl Adv (NASDAQ) | Mutual Funds Mutual Fund | Joint | \$15,001 - \$50,000 | Excepted Investment Fund, | \$201 - \$1,000 |
| 21.2 | BIAGX - Brown Advisory Growth Equity Inv (NASDAQ) | Mutual Funds Mutual Fund | Joint | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 21.3 | RRGAX - Deutsche Global Real Estate Secs A (NASDAQ) | Mutual Funds Mutual Fund | Joint | \$15,001 - \$50,000 | Excepted Investment Fund, | \$201 - \$1,000 |
| 21.4 | AEPFX - American Funds Europacific Growth F2 | Mutual Funds Mutual Fund | Joint | \$15,001 - \$50,000 | Excepted Investment Fund, | \$201 - \$1,000 |
| 21.5 | FLMVX - JPMorgan Mid Cap Value Instl (NASDAQ) | Mutual Funds Mutual Fund | Joint | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 21.6 | JVLIX - JHancock Disciplined Value I (NASDAQ) | Mutual Funds Mutual Fund | Joint | \$15,001 - \$50,000 | Excepted Investment Fund, | \$201 - \$1,000 |
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| | <u>Asset</u> | <u>Asset Type</u> | <u>Owner</u> | <u>Value</u> | <u>Income Type</u> | <u>Income</u> |
|-------|---|-----------------------------|--------------|-----------------------------------|---------------------------------|---------------------------------|
| 21.7 | <u>JLPSX</u> - JPMorgan US Large Cap Core Plus Select (NASDAQ) | Mutual Funds Mutual Fund | Joint | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 21.8 | <u>MOGIX</u> - MFS International Growth I (NASDAQ) | Mutual Funds Mutual Fund | Joint | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 21.9 | <u>MFRFX</u> - MFS Research A (NASDAQ) | Mutual Funds Mutual Fund | Joint | \$15,001 - \$50,000 | Excepted Investment Fund, | \$201 - \$1,000 |
| 21.10 | <u>TSCPX</u> - AMG TimesSquare Small Cap Growth Prem (NASDAQ) | Mutual Funds Mutual Fund | Joint | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 21.11 | <u>PRINX</u> - T. Rowe Price Summit Municipal Inc (NASDAQ) | Mutual Funds Mutual Fund | Joint | \$15,001 - \$50,000 | Excepted Investment Fund, | \$1,001 - \$2,500 |
| 21.12 | <u>HIEMX</u> - Virtus Emerging Markets Opportunities I (NASDAQ) | Mutual Funds Mutual Fund | Joint | None (or less than \$1,001) | Excepted Investment Fund, | \$201 - \$1,000 |
| 21.13 | <u>WFVIX</u> - Wells Fargo International Value Inst | Mutual Funds Mutual Fund | Joint | \$15,001 - \$50,000 | Excepted Investment Fund, | \$201 - \$1,000 |
| 21.14 | <u>AQMNX</u> - AQR Managed Futures Strategy N (NASDAQ) | Mutual Funds Mutual Fund | Joint | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 21.15 | RAYMOND JAMES BANK DEPOSIT PROGRAM (ST PETERSBURG, FL) <i>Type: Brokerage Sweep Account,</i> | Bank Deposit | Joint | \$1,001 - \$15,000 | Interest, | None (or less than \$201) |
| 21.16 | <u>ARSIX</u> - ASTON/River Road Small Cap Value I (NASDAQ) | Mutual Funds Mutual Fund | Joint | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |

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| | <u>Asset</u> | <u>Asset Type</u> | <u>Owner</u> | <u>Value</u> | <u>Income Type</u> | <u>Income</u> |
|---------|---|--|--------------|-------------------------|---------------------------------|---------------------------------|
| 21.17 | <u>CISMX</u> - Clarkston Partners Institutional | Mutual Funds Mutual Fund | Joint | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 21.18 | <u>LZEMX</u> - Lazard Emerging Markets Equity Instl | Mutual Funds Mutual Fund | Joint | \$15,001 - \$50,000 | Excepted Investment Fund, | \$201 - \$1,000 |
| 21.19 | <u>MYSIX</u> - Victory Trivalent International Sm-Cp Y | Mutual Funds Mutual Fund | Joint | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 21.20 | <u>HFMIX</u> - Hartford MidCap I | Mutual Funds Mutual Fund | Joint | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 22 | CHUCK SEP IRA | Brokerage/Managed Account | Self | | | |
| 22.1 | <u>ARIDX</u> - ASTON/River Road Dividend All Cap Val I (NASDAQ) | Mutual Funds Mutual Fund | Self | \$50,001 - \$100,000 | Excepted Investment Fund, | \$1,001 - \$2,500 |
| 22.2 | <u>CAIFX</u> - American Funds Capital Inc Bldr F2 (NASDAQ) | Mutual Funds Exchange Traded Funds/Notes | Self | \$50,001 - \$100,000 | Excepted Investment Fund, | \$1,001 - \$2,500 |
| 22.3 | <u>RRGAX</u> - Deutsche Global Real Estate Secs A (NASDAQ) | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | \$1,001 - \$2,500 |
| 22.4 | <u>SVAIX</u> - Federated Strategic Value Dividend Instl (NASDAQ) | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | \$1,001 - \$2,500 |
| 22.5 | <u>FRIAX</u> - Franklin Income Adv (NASDAQ) | Mutual Funds Mutual Fund | Self | \$50,001 - \$100,000 | Excepted Investment Fund, | \$2,501 - \$5,000 |
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| | <u>Asset</u> | <u>Asset Type</u> | <u>Owner</u> | <u>Value</u> | <u>Income Type</u> | <u>Income</u> |
|---------|---|--|--------------|-------------------------|---------------------------------|---------------------------------|
| 22.6 | <u>MMUFX</u> - MFS Utilities A (NASDAQ) | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | \$201 - \$1,000 |
| 22.7 | <u>EPSPX</u> - MainStay Epoch Global Equity Yield A (NASDAQ) | Mutual Funds Mutual Fund | Self | \$50,001 - \$100,000 | Excepted Investment Fund, | \$1,001 - \$2,500 |
| 22.8 | <u>PMDPX</u> - Principal Small-MidCap Dividend Inc P (NASDAQ) | Mutual Funds Mutual Fund | Self | \$50,001 - \$100,000 | Excepted Investment Fund, | \$1,001 - \$2,500 |
| 22.9 | <u>PPSPX</u> - Principal Preferred Securities P (NASDAQ) | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | \$1,001 - \$2,500 |
| 22.10 | <u>JDEZX</u> - Prudential Jennison Equity Income Z (NASDAQ) | Mutual Funds Mutual Fund | Self | \$50,001 - \$100,000 | Excepted Investment Fund, | \$1,001 - \$2,500 |
| 22.11 | RAYMOND JAMES BANK DEPOSIT PROGRAM (ST PETERSBURG, FL) <i>Type: Brokerage Sweep Account,</i> | Bank Deposit | Self | \$1,001 - \$15,000 | Interest, | None (or less than \$201) |
| 22.12 | <u>IGFFX</u> - American Funds Intl Gr and Inc F2 | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | \$1,001 - \$2,500 |
| 22.13 | <u>GSFTX</u> - Columbia Dividend Income Z | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | \$201 - \$1,000 |
| 23 | GRASSLEY CAPITAL ACCESS JOINT | Brokerage/Managed Account | Joint | | | |
| 23.1 | <u>NPM</u> - Nuveen Premium Income Municipal (NYSE) | Mutual Funds Exchange Traded Funds/Notes | Joint | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
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| | <u>Asset</u> | <u>Asset Type</u> | <u>Owner</u> | <u>Value</u> | <u>Income Type</u> | <u>Income</u> |
|------|--|-----------------------------|--------------|---------------------|---------------------------|---------------------------|
| 23.2 | RAYMOND JAMES BANK DEPOSIT PROGRAM (ST PETERSBURG, FL) Type: Brokerage Sweep Account, | Bank Deposit | Joint | \$1,001 - \$15,000 | Interest, | None (or less than \$201) |
| 24 | AXA EQUITABLE LIFE INS ACCUMULATOR Provider: AXA | Annuity Variable Annuity | Self | | | |
| 24.1 | AXA INTL VALUE VOLATILITY | Mutual Funds Mutual Fund | Self | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 24.2 | EQ/CORE BOND INDEX | Mutual Funds Mutual Fund | Self | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 24.3 | AXA MID CAP VALUE VOLAT | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 24.4 | EQ/EQUITY 500 INDEX | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 25 | Barbara Grassley RJ Account | Brokerage/Managed Account | Spouse | | | |
| 25.1 | <u>AMRMX</u> - American Funds American Mutual A | Mutual Funds Mutual Fund | Spouse | \$15,001 - \$50,000 | Excepted Investment Fund, | \$201 - \$1,000 |

Part 4a. Periodic Transaction Report Summary

In this section, electronically filed periodic transaction report (PTR) transactions are displayed for you. Have you filed any paper-based PTRs in this period? **No**

Part 4b. Transactions

Did you, your spouse, or dependent child buy, sell, or exchange an asset that exceeded \$1,000? **Yes**
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| # | Owner | Ticker | Asset Name | Transaction Type | Transaction Date | Amount | Comment |
|----|-------|--------------|---|------------------|-----------------------|---------------------|---------|
| 1 | Joint | <u>HIEMX</u> | Virtus Emerging Markets Opportunities I | Sale (Full) | 06/13/2016 | \$15,001 - \$50,000 | -- |
| 2 | Joint | <u>PEGZX</u> | Prudential Jennison Mid Cap Growth Z | Sale (Full) | 11/10/2016 | \$1,001 - \$15,000 | -- |
| 3 | Joint | <u>ACINX</u> | Columbia Acorn International Z | Sale (Full) | 02/22/2016 | \$1,001 - \$15,000 | -- |
| 4 | Joint | <u>HIEMX</u> | Virtus Emerging Markets Opportunities I | Sale (Partial) | 02/22/2016 | \$1,001 - \$15,000 | -- |
| 5 | Joint | <u>PRINX</u> | T. Rowe Price Summit Municipal Inc | Sale (Partial) | 01/11/2016 | \$1,001 - \$15,000 | -- |
| 6 | Joint | <u>ALTVX</u> | AB Municipal Income National Advisor | Sale (Partial) | 01/11/2016 | \$1,001 - \$15,000 | -- |
| 7 | Joint | <u>AQMNX</u> | AQR Managed Futures Strategy N | Sale (Partial) | 01/11/2016 | \$1,001 - \$15,000 | -- |
| 8 | Joint | <u>MFRFX</u> | MFS Research A | Purchase | 12/21/2016 | \$1,001 - \$15,000 | -- |
| 9 | Joint | <u>JLPSX</u> | JPMorgan US Large Cap Core Plus I | Purchase | 12/15/2016 | \$1,001 - \$15,000 | -- |
| 10 | Joint | <u>BIAGX</u> | Brown Advisory Growth Equity Inv | Purchase | 12/21/2016 | \$1,001 - \$15,000 | -- |
| 11 | Joint | <u>AEPFX</u> | American Funds Europacific Growth F2 | Purchase | 02/22/2016 | \$1,001 - \$15,000 | -- |
| 12 | Joint | <u>JLPSX</u> | JPMorgan US Large Cap Core Plus I | Purchase | 02/22/2016 | \$1,001 - \$15,000 | -- |
| 13 | Joint | <u>MYSIX</u> | Victory Trivalent International Sm-Cp Y | Purchase | 02/24/2016 | \$1,001 - \$15,000 | -- |
| 14 | Joint | <u>HFMIX</u> | Hartford MidCap I | Purchase | 10/10/2016 | \$1,001 - \$15,000 | -- |
| 15 | Joint | <u>LZEMX</u> | Lazard Emerging Markets Equity Instl | Purchase | 06/15/2016 | \$1,001 - \$15,000 | -- |
| 16 | Self | <u>IGFFX</u> | American Funds Intl Gr and Inc F2 | Purchase | 04/11/2016 | \$1,001 - \$15,000 | -- |
| 17 | Self | <u>GNEIX</u> | Geneva Advisors Equity Income I | Purchase | 04/06/2016 hide me | \$1,001 - \$15,000 | -- |

| # | Owner | Ticker | Asset Name | Transaction Type | Transaction Date | Amount | Comment |
|----|-------|--------------|--|------------------|-----------------------|---------------------|---------|
| 18 | Self | <u>ARIDX</u> | AMG River Road Dividend All Cap Value I | Purchase | 12/28/2016 | \$1,001 - \$15,000 | -- |
| 19 | Self | <u>PPSPX</u> | Principal Preferred Securities P | Purchase | 04/11/2016 | \$1,001 - \$15,000 | -- |
| 20 | Self | <u>JDEZX</u> | Prudential Jennison Equity Income Z | Purchase | 04/06/2016 | \$1,001 - \$15,000 | -- |
| 21 | Self | <u>CAIFX</u> | American Funds Capital Income Bldr F2 | Purchase | 04/06/2016 | \$1,001 - \$15,000 | -- |
| 22 | Self | <u>PMDPX</u> | Principal Small-MidCap Dividend Inc P | Purchase | 04/11/2016 | \$1,001 - \$15,000 | -- |
| 23 | Self | <u>EPSPX</u> | MainStay Epoch Global Equity Yield A | Purchase | 04/06/2016 | \$1,001 - \$15,000 | -- |
| 24 | Self | <u>RRGAX</u> | Deutsche Global Real Estate Secs A | Purchase | 12/20/2016 | \$1,001 - \$15,000 | -- |
| 25 | Self | <u>SVAIX</u> | Federated Strategic Value Dividend Instl | Sale (Partial) | 11/01/2016 | \$1,001 - \$15,000 | -- |
| 26 | Self | <u>EPSPX</u> | MainStay Epoch Global Equity Yield A | Sale (Partial) | 11/01/2016 | \$1,001 - \$15,000 | -- |
| 27 | Self | <u>JDEZX</u> | Prudential Jennison Equity Income Z | Sale (Partial) | 11/01/2016 | \$1,001 - \$15,000 | -- |
| 28 | Self | <u>GSFTX</u> | Columbia Dividend Income Z | Sale (Partial) | 11/01/2016 | \$1,001 - \$15,000 | -- |
| 29 | Self | <u>GSFTX</u> | Columbia Dividend Income Z | Purchase | 05/09/2016 | \$15,001 - \$50,000 | -- |
| 30 | Self | <u>CAIFX</u> | American Funds Capital Income Bldr F2 | Sale (Partial) | 11/01/2016 | \$1,001 - \$15,000 | -- |
| 31 | Self | <u>ARIDX</u> | AMG River Road Dividend All Cap Value I | Sale (Partial) | 11/01/2016 | \$1,001 - \$15,000 | -- |
| 32 | Self | <u>PPSPX</u> | Principal Preferred Securities P | Sale (Partial) | 11/01/2016 | \$1,001 - \$15,000 | -- |
| 33 | Self | <u>MMUEX</u> | MFS Utilities A | Sale (Partial) | 11/01/2016 | \$1,001 - \$15,000 | -- |
| 34 | Self | <u>IGFFX</u> | American Funds Intl Gr and Inc F2 | Sale (Partial) | 11/01/2016 hide me | \$1,001 - \$15,000 | -- |

| # | Owner | Ticker | Asset Name | Transaction Type | Transaction Date | Transaction Amount | Comment |
|----|--------|--------------|---------------------------------------|------------------|------------------|---------------------|---------|
| 35 | Self | <u>FRIAX</u> | Franklin Income Adv | Sale (Partial) | 11/01/2016 | \$1,001 - \$15,000 | -- |
| 36 | Self | <u>PMDPX</u> | Principal Small-MidCap Dividend Inc P | Sale (Partial) | 11/01/2016 | \$1,001 - \$15,000 | -- |
| 37 | Self | <u>GNEIX</u> | Geneva Advisors Equity Income I | Sale (Full) | 05/09/2016 | \$15,001 - \$50,000 | -- |
| 38 | Self | <u>FRIAX</u> | Franklin Income Adv | Purchase | 04/06/2016 | \$1,001 - \$15,000 | -- |
| 39 | Spouse | -- | BLACK ROCK EQUITY DIV I | Purchase | 12/06/2016 | \$1,001 - \$15,000 | -- |
| 40 | Spouse | -- | OPPHMR MS CAP Y | Purchase | 12/07/2016 | \$1,001 - \$15,000 | -- |
| 41 | Spouse | -- | SPTN 500 INDEX ADV | Purchase | 12/16/2016 | \$1,001 - \$15,000 | -- |

Part 5. Gifts

Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **No**

Part 6. Travel

Did you, your spouse, or dependent child receive any reportable travel or reimbursements for travel? **No**

Part 7. Liabilities

Did you, your spouse, or dependent child have a liability worth more than \$10,000 at any time? **No**

Part 8. Positions

Did you hold any outside positions during the reporting period? **Yes**

| # | Position Dates | Position Held | Entity | Entity Type | Comments |
|---|---------------------|---------------|---|-------------------------------|----------|
| 1 | Jul 1964 to present | Proprietor | Farm-Butler County Iowa New Hartford & Cedar Falls, IA | Other (Family Farm Operation) | |

Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **No**

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Part 10. Compensation

If this is your first report, or you are a candidate did you receive compensation of more than \$5,000 from a single source in the two prior years? No

Attachments & Comments

No attachments added.

No comments added.

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