

Annual Report for Calendar 2016 (Amendment 1)**The Honorable Ron L Wyden (Wyden, Ron)**

Filed 07/06/2017 @ 12:24 PM

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 HonorariaDid 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 | Partnership Distributions | Bass Book Trading, Inc New York, NY | > \$1,000 |
| 2 | Spouse | Salary | Bass Real Estate LLC New York, NY | > \$1,000 |
| 3 | Spouse | Salary | Strand Book Store Inc New York, NY | > \$1,000 |

Part 3. Assets * AmendedDid 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**

| | <u>Asset</u> | <u>Asset Type</u> | <u>Owner</u> | <u>Value</u> | <u>Income Type</u> | <u>Income</u> |
|---|---|-------------------|--------------|--------------------------|--------------------|-----------------|
| 1 | US Senate FCU (Washington, DC) Type: Money Market Account, | Bank Deposit | Self | \$100,001 - \$250,000 | Dividends, | \$201 - \$1,000 |

| | <u>Asset</u> | <u>Asset Type</u> | <u>Owner</u> | <u>Value</u> | <u>Income Type</u> | <u>Income</u> |
|-----|---|----------------------------------|--------------|--|-----------------------------|--|
| 2 | US Savings Bond Series I <i>Description:</i> US Savings Bond (Washington, DC) | Other Securities | Self | \$100,001 - \$250,000 | None, | None (or less than \$201) |
| 3 | US Senate FCU (Washington, DC) <i>Type:</i> Checking, | Bank Deposit | Self | \$15,001 - \$50,000 | Interest, | None (or less than \$201) |
| 4 | Rights to the literary works of Peter Wyden <i>Description:</i> Rights to the literary works of Peter Wyden | Intellectual Property Copyrights | Self | Unascertainable | None, | None (or less than \$201) |
| 5 | Merrill Lynch Deposit Program (New York, NY) <i>Type:</i> IRA Cash Accounts, | Bank Deposit | Spouse | Over \$1,000,000 and held independently by spouse or dependent child | Excepted Investment Fund, | None (or less than \$201) |
| 6 | TIAA/CREF (Washington, DC) <i>Type:</i> IRA Cash Accounts, <i>Filer comment:</i> inherited IRA | Bank Deposit | Self | \$100,001 - \$250,000 | None, Other, (distribution) | \$5,001 - \$15,000 Other \$15,000.00 |
| 7 | Edith Wyden Trust FBO Ronald L. Wyden Trust <i>Filer comment:</i> inherited trust | Trust General (Trust) | Self | | | |
| 7.1 | <u>LNGZX</u> - Columbia Greater China Z | Mutual Funds Mutual Fund | Self | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 7.2 | <u>GICIX</u> - Goldman Sachs Intl Sm Cp Insights Instl | Mutual Funds Mutual Fund | Self | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 7.3 | JP Morgan Emerging Markets Fund | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 7.4 | JP Morgan US Equity Fund | Mutual Funds Mutual Fund | Self | \$100,001 - \$250,000 | Excepted Investment Fund, | \$1,001 - \$2,500 |

| | <u>Asset</u> | <u>Asset Type</u> | <u>Owner</u> | <u>Value</u> | <u>Income Type</u> | <u>Income</u> |
|------|---|---|--------------|------------------------|---------------------------------|------------------------------|
| 7.5 | <u>MIEIX</u> - MFS Instl International Equity | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | \$201 - \$1,000 |
| 7.6 | <u>MEURX</u> - Franklin Mutual European Z | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | \$201 - \$1,000 |
| 7.7 | <u>PCBIX</u> - Principal MidCap Institutional | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | None (or less than \$201) |
| 7.8 | T Rowe Price Small Cap Stock Fund | Mutual Funds Mutual Fund | Self | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 7.9 | <u>POSIX</u> - Principal Global Real Estate Sec Instl | Mutual Funds Mutual Fund | Self | \$1,001 - \$15,000 | Excepted Investment Fund, | \$201 - \$1,000 |
| 7.10 | <u>VWSUX</u> - Vanguard Short-Term Tx-Ex Adm | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | \$201 - \$1,000 |
| 7.11 | <u>VWLUX</u> - Vanguard Long-Term Tax-Exempt Adm | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | \$2,501 - \$5,000 |
| 7.12 | <u>VWIUX</u> - Vanguard Interm-Term Tx-Ex Adm | Mutual Funds Mutual Fund | Self | \$15,001 - \$50,000 | Excepted Investment Fund, | \$1,001 - \$2,500 |
| 7.13 | Chemeketa CLG-A <i>Rate/Coupon: 5.25</i> <i>Matures: 6/15/2024</i> | Government Securities Municipal Security | Self | \$15,001 - \$50,000 | Interest, | \$1,001 - \$2,500 |
| 7.14 | Lane County SD#40 <i>Rate/Coupon: 4</i> <i>Matures: 6/15/2021</i> | Government Securities Municipal Security | Self | \$15,001 - \$50,000 | Interest, | \$201 - \$1,000 |

| | <u>Asset</u> | <u>Asset Type</u> | <u>Owner</u> | <u>Value</u> | <u>Income Type</u> | <u>Income</u> |
|------|--|---|--------------|-----------------------------|---------------------------|---------------------------|
| 7.15 | Oregon St For Previous Issues GO Bds <i>Rate/Coupon: 5</i> <i>Matures: 8/01/2041</i> | Government Securities Municipal Security | Self | \$50,001 - \$100,000 | Interest, | \$201 - \$1,000 |
| 7.16 | Polk SD#13J-A-PREREF <i>Rate/Coupon: 4</i> <i>Matures: 6/15/2022</i> | Government Securities Municipal Security | Self | \$1,001 - \$15,000 | Interest, | None (or less than \$201) |
| 7.17 | Polk SD#13J-A-UNREF <i>Rate/Coupon: 4</i> <i>Matures: 6/15/2022</i> | Government Securities Municipal Security | Self | \$15,001 - \$50,000 | Interest, | \$201 - \$1,000 |
| 7.18 | Tri-Co Metro Transp-A <i>Rate/Coupon: 5</i> <i>Matures: 10/1/2023</i> | Government Securities Municipal Security | Self | \$15,001 - \$50,000 | Interest, | \$201 - \$1,000 |
| 7.19 | Bank of the West Advantage Account (San Francisco, California) <i>Type: Money Market Account,</i> | Bank Deposit | Self | \$100,001 - \$250,000 | Interest, | None (or less than \$201) |
| 7.20 | <u>NVHIX</u> - Nuveen Short Duration Hi Yld Muni Bd I | Mutual Funds Exchange Traded Funds/Notes | Self | None (or less than \$1,001) | Excepted Investment Fund, | \$1,001 - \$2,500 |
| 7.21 | <u>FM</u> - iShares MSCI Frontier 100 | Mutual Funds Exchange Traded Funds/Notes | Self | \$1,001 - \$15,000 | Excepted Investment Fund, | None (or less than \$201) |
| 7.22 | <u>PFF</u> - iShares US Preferred Stock | Mutual Funds Exchange Traded Funds/Notes | Self | \$1,001 - \$15,000 | Excepted Investment Fund, | \$201 - \$1,000 |

| | <u>Asset</u> | <u>Asset Type</u> | <u>Owner</u> | <u>Value</u> | <u>Income Type</u> | <u>Income</u> |
|-----|---|---|--------------|--|---|--|
| 8 | Oregon College Savings Plan - William Peter Wyden <i>Institution: Oregon</i> | Education Savings Plans 529 College Savings Plan | Child | | | |
| 8.1 | Oregon College Savings Plan Age 9-10 Age Based Portfolio <i>Institution: Oregon</i> | Education Savings Plans 529 Prepaid Tuition | Child | \$100,001 - \$250,000 | Excepted Investment Fund, | None (or less than \$201) |
| 9 | Oregon College Savings Plan - Ava Rose Wyden <i>Institution: Oregon</i> | Education Savings Plans 529 College Savings Plan | Child | | | |
| 9.1 | Oregon College Savings Plan Age 9-10 Age Based Portfolio <i>Institution: Oregon</i> | Education Savings Plans 529 Prepaid Tuition | Child | \$100,001 - \$250,000 | Excepted Investment Fund, | None (or less than \$201) |
| 10 | Strand Book Store Inc. (S-Corp) <i>Description: Book Store (New York, NY)</i> | Other Securities | Spouse | Over \$1,000,000 and held independently by spouse or dependent child | Dividends, Rent/Royalties, Interest, Capital Gains, | Over \$1,000,000 and held independently by spouse or dependent child |
| 11 | The Strand II Corp. (S-Corp) <i>Description: Book Store (New York, NY)</i> | Other Securities | Spouse | Over \$1,000,000 and held independently by spouse or dependent child | Dividends, | None (or less than \$201) |

| | <u>Asset</u> | <u>Asset Type</u> | <u>Owner</u> | <u>Value</u> | <u>Income Type</u> | <u>Income</u> |
|----|---|---|--------------|--|----------------------------|-------------------------|
| 12 | Bass Book Trading, Inc (S-corp) <i>Description: Book Trading (New York, NY)</i> | Other Securities | Spouse | Over \$1,000,000 and held independently by spouse or dependent child | Dividends, Rent/Royalties, | \$100,001 - \$1,000,000 |
| 13 | Bass Real Estate LLC <i>Company: Bass Real Estate LLC (New York, NY) Description: real estate holding Filer comment: Holdings: 826 Broadway, New York, NY 10003</i> | Business Entity Limited Liability Company (LLC) | Spouse | Over \$1,000,000 and held independently by spouse or dependent child | Dividends, | \$100,001 - \$1,000,000 |
| 14 | <u>ACGIX</u> - Invesco Growth and Income A | Mutual Funds Mutual Fund | Spouse | None (or less than \$1,001) | Excepted Investment Fund, | \$201 - \$1,000 |
| 15 | <u>FAGIX</u> - Fidelity Capital & Income | Mutual Funds Mutual Fund | Spouse | None (or less than \$1,001) | Excepted Investment Fund, | \$1,001 - \$2,500 |
| 16 | <u>BFRA</u>X - BlackRock Floating Rate Income Inv A | Mutual Funds Mutual Fund | Spouse | None (or less than \$1,001) | Excepted Investment Fund, | \$1,001 - \$2,500 |
| 17 | <u>IBMF</u> - iShares iBonds Sep 2017 Term Muni Bond | Mutual Funds Exchange Traded Funds/Notes | Spouse | None (or less than \$1,001) | Excepted Investment Fund, | \$201 - \$1,000 |
| 18 | <u>IBMG</u> - iShares iBonds Sep 2018 Term Muni Bond | Mutual Funds Exchange Traded Funds/Notes | Spouse | None (or less than \$1,001) | Excepted Investment Fund, | \$201 - \$1,000 |
| 19 | <u>IBMH</u> - iShares iBonds Sep 2019 Term Muni Bond | Mutual Funds Exchange Traded Funds/Notes | Spouse | None (or less than \$1,001) | Excepted Investment Fund, | \$201 - \$1,000 |

| | <u>Asset</u> | <u>Asset Type</u> | <u>Owner</u> | <u>Value</u> | <u>Income Type</u> | <u>Income</u> |
|----|---|--|--------------|--------------------------------|---------------------------------|-----------------|
| 20 | IBM - iShares iBonds Sep 2020 Term Muni Bond | Mutual Funds Exchange Traded Funds/Notes | Spouse | None (or less than \$1,001) | 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**

| Transaction | | | | | | | |
|-------------|------------|--------|--------|---|----------------|-------------------------|-------------------------------|
| # | Date | Owner | Ticker | Asset Name | Type | Amount | Comment |
| 1 | 03/24/2016 | Self | -- | Oregon St For Previous Issues GO Bds <i>Rate/Coupon: 5</i> <i>Matures: 08/01/2041</i> | Purchase | \$50,001 - \$100,000 | holding of inherited trust |
| 2 | 02/26/2016 | Spouse | -- | New York St Loc Govt Assistance Corp Ref <i>Rate/Coupon: 5.25</i> <i>Matures: 04/01/16</i> | Sale (Full) | \$15,001 - \$50,000 | -- |
| 3 | 02/19/2016 | Spouse | -- | Nassau Cnty NY Swr & Storm Wtr Fin Auth <i>Rate/Coupon: 5</i> <i>Matures: 11/01/17</i> | Sale (Full) | \$15,001 - \$50,000 | -- |
| 4 | 02/19/2016 | Spouse | -- | Port Auth NY & NJ consolidated Bds <i>Rate/Coupon: 5</i> <i>Matures: 12/01/18</i> | Sale (Full) | \$50,001 - \$100,000 | -- |
| 5 | 02/19/2016 | Spouse | -- | Schenectady Cnty NY Var Purp Bds <i>Rate/Coupon: 4</i> <i>Matures: 12/15/18</i> | Sale (Full) | \$50,001 - \$100,000 | -- |
| 6 | 02/26/2016 | Spouse | -- | Waterville NY Cent Sch Dist Fixed <i>Rate/Coupon: 4</i> <i>Matures: 6/15/2016</i> | Sale (Full) | \$15,001 - \$50,000 | -- |
| 7 | 02/19/2016 | Spouse | -- | Erie Cnty NY Indl Dev Agy Sch Fac Rev <i>Rate/Coupon: 5</i> <i>Matures: 5/1/2017</i> | Sale (Full) | \$15,001 - \$50,000 | -- |

Part 4b. Transactions * AmendedDid you, your spouse, or dependent child buy, sell, or exchange an asset that exceeded \$1,000? **Yes**

| # | Owner | Ticker | Asset Name | Transaction Type | Transaction Date | Amount | Comment |
|----|-------|----------------|--|------------------|------------------|----------------------|----------------------------|
| 1 | Self | <u>EFA</u> | iShares MSCI EAFE | Sale (Full) | 01/04/2016 | \$1,001 - \$15,000 | holding of inherited trust |
| 2 | Self | <u>IJH</u> | iShares Core S&P Mid-Cap | Sale (Full) | 01/06/2016 | \$1,001 - \$15,000 | holding of inherited trust |
| 3 | Self | <u>MWNIX</u> | MFS International New Discovery I | Sale (Full) | 01/04/2016 | \$15,001 - \$50,000 | holding of inherited trust |
| 4 | Self | <u>OOSCX</u> | Oppenheimer Senior Floating Rate C | Sale (Full) | 01/04/2016 | \$15,001 - \$50,000 | holding of inherited trust |
| 5 | Self | <u>ODVYX</u> | Oppenheimer Developing Markets Y | Sale (Full) | 03/21/2016 | \$15,001 - \$50,000 | holding of inherited trust |
| 6 | Self | <u>GAFYX</u> | Natixis ASG Global Alternatives Y | Sale (Full) | 12/30/2016 | \$15,001 - \$50,000 | holding of inherited trust |
| 7 | Self | <u>EEM</u> | iShares MSCI Emerging Markets | Sale (Full) | 01/04/2016 | \$1,001 - \$15,000 | holding of inherited trust |
| 8 | Self | <u>DBEU.MX</u> | DBX ETF Trust - Deutsche X-trackers MSCI Europe He | Sale (Full) | 03/23/2016 | \$15,001 - \$50,000 | holding of inherited trust |
| 9 | Self | <u>IWM</u> | iShares Russell 2000 | Sale (Full) | 01/06/2016 | \$1,001 - \$15,000 | holding of inherited trust |
| 10 | Self | <u>VWO</u> | Vanguard FTSE Emerging Markets ETF | Sale (Full) | 01/06/2016 | \$1,001 - \$15,000 | holding of inherited trust |
| 11 | Self | <u>NVHIX</u> | Nuveen Short Duration Hi Yld Muni Bd I | Sale (Full) | 12/30/2016 | \$50,001 - \$100,000 | holding of inherited trust |

| # | Owner | Ticker | Asset Name | Transaction Type | Transaction Date | Transaction Amount | Comment |
|----|-------|----------------|--|------------------|------------------|---------------------|----------------------------|
| 12 | Self | <u>PFF</u> | iShares US Preferred Stock | Purchase | 03/23/2016 | \$1,001 - \$15,000 | holding of inherited trust |
| 13 | Self | -- | jp morgan emerging markets fund | Purchase | 03/21/2016 | \$15,001 - \$50,000 | holding of inherited trust |
| 14 | Self | -- | JP Morgan US equity fund | Purchase | 01/04/2016 | \$15,001 - \$50,000 | holding of inherited trust |
| 15 | Self | <u>MIEIX</u> | MFS Instl International Equity | Purchase | 01/04/2016 | \$1,001 - \$15,000 | holding of inherited trust |
| 16 | Self | <u>MEURX</u> | Franklin Mutual European Z | Purchase | 03/21/2016 | \$15,001 - \$50,000 | holding of inherited trust |
| 17 | Self | <u>LNGZX</u> | Columbia Greater China Z | Purchase | 03/21/2016 | \$1,001 - \$15,000 | holding of inherited trust |
| 18 | Self | <u>GICIX</u> | Goldman Sachs Intl Sm Cp Insghs Instl | Purchase | 01/04/2016 | \$1,001 - \$15,000 | holding of inherited trust |
| 19 | Self | <u>FM</u> | iShares MSCI Frontier 100 | Purchase | 01/06/2016 | \$1,001 - \$15,000 | holding of inherited trust |
| 20 | Self | <u>DBEU.MX</u> | DBX ETF Trust - Deutsche X-trackers MSCI Europe He | Purchase | 01/06/2016 | \$15,001 - \$50,000 | holding of inherited trust |
| 21 | Self | <u>NVHIX</u> | Nuveen Short Duration Hi Yld Muni Bd I | Purchase | 01/04/2016 | \$15,001 - \$50,000 | holding of inherited trust |
| 22 | Self | <u>ODVYX</u> | Oppenheimer Developing Markets Y | Purchase | 01/04/2016 | \$15,001 - \$50,000 | holding of inherited trust |
| 23 | Self | <u>PCBIX</u> | Principal MidCap Institutional | Purchase | 01/04/2016 | \$1,001 - \$15,000 | holding of inherited trust |

| # | Owner | Ticker | Asset Name | Transaction Type | Transaction Date | Transaction Amount | Comment |
|----|-------|--------------|---|-------------------|------------------|------------------------|----------------------------------|
| 24 | Self | <u>POSEX</u> | Principal Global Real Estate Sec Instl | Purchase | 05/05/2016 | \$1,001 - \$15,000 | holding of inherited trust |
| 25 | Self | <u>VWLUX</u> | Vanguard Long-Term Tax-Exempt Adm | Purchase | 01/04/2016 | \$1,001 - \$15,000 | holding of inherited trust |
| 26 | Self | <u>VWIUX</u> | Vanguard Interm-Term Tx-Ex Adm | Purchase | 01/04/2016 | \$1,001 - \$15,000 | holding of inherited trust |
| 27 | Self | <u>VWIUX</u> | Vanguard Interm-Term Tx-Ex Adm | Purchase | 05/05/2016 | \$1,001 - \$15,000 | holding of inherited trust |
| 28 | Self | <u>FM</u> | iShares MSCI Frontier 100 | Sale (Partial) | 03/23/2016 | \$1,001 - \$15,000 | holding of inherited trust |
| 29 | Self | -- | jp morgan emerging markets fund | Sale (Partial) | 01/04/2016 | \$15,001 - \$50,000 | holding of inherited trust |
| 30 | Self | -- | JP Morgan US equity fund | Sale (Partial) | 05/05/2016 | \$1,001 - \$15,000 | holding of inherited trust |
| 31 | Self | <u>PCBIX</u> | Principal MidCap Institutional | Sale (Partial) | 05/05/2016 | \$1,001 - \$15,000 | holding of inherited trust |
| 32 | Self | <u>VWSUX</u> | Vanguard Short-Term Tx-Ex Adm | Sale (Partial) | 03/21/2016 | \$15,001 - \$50,000 | holding of inherited trust |
| 33 | Self | <u>VWLUX</u> | Vanguard Long-Term Tax-Exempt Adm | Sale (Partial) | 03/21/2016 | \$1,001 - \$15,000 | holding of inherited trust |
| 34 | Self | <u>VWLUX</u> | Vanguard Long-Term Tax-Exempt Adm | Sale (Partial) | 12/30/2016 | \$15,001 - \$50,000 | holding of inherited trust |
| 35 | Self | <u>VWIUX</u> | Vanguard Interm-Term Tx-Ex Adm | Sale (Partial) | 03/21/2016 | \$1,001 - \$15,000 | holding of inherited trust |

| # | Owner | Ticker | Asset Name | Transaction Type | Transaction Date | Transaction Amount | Comment |
|----|--------|--------------|--|------------------|------------------|-------------------------|----------------------------|
| 36 | Self | <u>VWIUX</u> | Vanguard Interm-Term Tx-Ex Adm | Sale (Partial) | 12/30/2016 | \$15,001 - \$50,000 | holding of inherited trust |
| 37 | Child | -- | Oregon College Savings Plan (Age-Based 5-8) Portfolio | Sale (Full) | 12/20/2016 | \$100,001 - \$250,000 | William Peter Wyden |
| 38 | Child | -- | Oregon College Savings Plan Age 9-10 Age Based Portfolio | Purchase | 12/20/2016 | \$100,001 - \$250,000 | William Peter Wyden |
| 39 | Child | -- | Oregon College Savings Plan (Age Based 5-8) Portfolio | Sale (Full) | 12/20/2016 | \$100,001 - \$250,000 | Ava Rose Wyden |
| 40 | Child | -- | Oregon College Savings Plan Age 9-10 Age Based Portfolio | Purchase | 12/20/2016 | \$100,001 - \$250,000 | Ava Rose Wyden |
| 41 | Spouse | <u>ACGIX</u> | Invesco Growth and Income A | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |
| 42 | Spouse | <u>BSCFX</u> | Baron Small Cap Retail | Sale (Full) | 03/24/2016 | \$50,001 - \$100,000 | -- |
| 43 | Spouse | <u>MDLOX</u> | BlackRock Global Allocation Inv A | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |
| 44 | Spouse | <u>CVSIX</u> | Calamos Market Neutral Income A | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |
| 45 | Spouse | <u>DFSTX</u> | DFA US Small Cap I | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |
| 46 | Spouse | <u>DFUSX</u> | DFA US Large Company I | Sale (Full) | 03/24/2016 | \$500,001 - \$1,000,000 | -- |
| 47 | Spouse | <u>AEGFX</u> | American Funds Europacific Growth F1 | Sale (Full) | 03/24/2016 | \$250,001 - \$500,000 | -- |
| 48 | Spouse | <u>SGENX</u> | First Eagle Global A | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |
| 49 | Spouse | <u>HIINX</u> | Harbor International Investor | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |
| 50 | Spouse | <u>MLAAX</u> | MainStay Large Cap Growth A | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |
| 51 | Spouse | <u>MERVX</u> | The Merger Fund VL | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |

| # | Owner | Ticker | Asset Name | Transaction Type | Transaction Date | Transaction Amount | Comment |
|----|--------|--------------|--|------------------|------------------|-----------------------|---------|
| 52 | Spouse | <u>FREAX</u> | Nuveen Real Estate Securities A | Sale (Full) | 03/24/2016 | \$50,001 - \$100,000 | -- |
| 53 | Spouse | <u>ODMAX</u> | Oppenheimer Developing Markets A | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |
| 54 | Spouse | <u>IBME</u> | iShares iBonds Sep 2016 Term Muni Bond | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |
| 55 | Spouse | <u>IBMG</u> | iShares iBonds Sep 2018 Term Muni Bond | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |
| 56 | Spouse | <u>IBMH</u> | iShares iBonds Sep 2019 Term Muni Bond | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |
| 57 | Spouse | <u>BFRAX</u> | BlackRock Floating Rate Income Inv A | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |
| 58 | Spouse | <u>FAGIX</u> | Fidelity Capital & Income | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |
| 59 | Spouse | <u>GATEX</u> | Gateway A | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |
| 60 | Spouse | <u>JHAAX</u> | JHancock Global Absolute Ret Strats A | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |
| 61 | Spouse | <u>DFISX</u> | DFA International Small Company I | Sale (Full) | 03/24/2016 | \$50,001 - \$100,000 | -- |
| 62 | Spouse | <u>DFREX</u> | DFA Real Estate Securities I | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |
| 63 | Spouse | <u>DIAMX</u> | Diamond Hill Long-Short A | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |
| 64 | Spouse | <u>LPEIX</u> | ALPS Red Rocks Listed Private Equity I | Sale (Full) | 03/24/2016 | \$50,001 - \$100,000 | -- |
| 65 | Spouse | <u>LOTIX</u> | LoCorr Market Trend I | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |
| 66 | Spouse | <u>IBMI</u> | iShares iBonds Sep 2020 Term Muni Bond | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |
| 67 | Spouse | <u>IBME</u> | iShares iBonds Sep 2017 Term Muni Bond | Sale (Full) | 03/24/2016 | \$100,001 - \$250,000 | -- |

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? **Yes**

| # | Incurred | Debtor | Type | Points | Rate | Amount | Creditor | Comments |
|---|----------|--------|--------------------|--------|------------------------|--|------------------------------------|--|
| | | | | | (Term) | | | |
| 1 | 2011 | Self | Mortgage | 0 | 4.375% (30) | \$250,001 - \$500,000 | Wells Fargo Washington, DC | - |
| 2 | 2016 | Spouse | Promissory Note | - | .74% (on demand) | Over \$1,000,000 (asset held independently by spouse or dependent child) | Fred Bass New York, New York | Loan repaid in full on November 5, 2016. |

Part 8. Positions

Did you hold any outside positions during the reporting period? **No**

Part 9. Agreements

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

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? **This is not my first report.**

Attachments & Comments

No attachments added.

No comments added.

