

Financial Disclosures

Annual Report for Calendar 2015 (Amendment 1)

The Honorable Sheldon Whitehouse (Whitehouse, Sheldon)

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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	Self-Employment Income	Ocean Conservancy Washington, DC	> \$1,000
2	Spouse	Self-Employment Income	Alta Sea at the Port of Los Angeles San Pedro, CA	> \$1,000

Part 3. Assets * Amended

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**

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
1	Morgan Stanley SEP IRA	Retirement Plans IRA	Spouse			
1.1	FCNTX - Fidelity Contrafund (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	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>
1.2	<u>FINFX</u> - American Funds Fundamental Invs F2 (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
1.3	<u>OAKBX</u> - Oakmark Equity & Income I (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.4	<u>JCAPX</u> - Janus Forty I (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
1.5	<u>JIGFX</u> - Janus Overseas I (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.6	<u>JBALX</u> - Janus Balanced I (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.7	<u>PRASX</u> - T. Rowe Price New Asia (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.8	<u>VGHCX</u> - Vanguard Health Care Inv (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.9	<u>VETAX</u> - Victory Sycamore Established Value A (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	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>
1.10	<u>GE</u> - General Electric Company (NYSE)	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.11	General Electric Cap Corp 6.375% <i>Rate/Coupon: 6.7</i> <i>Matures: 11/15/2067</i>	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
1.12	<u>GABIX</u> - Gabelli Asset I (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.13	<u>XLF</u> - Financial Select Sector SPDR ETF (NYSEArca)	Mutual Funds Exchange Traded Funds/Notes	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.14	<u>KBWY</u> - PowerShares KBW Premium Yld Eq REIT ETF (NYSEArca)	Mutual Funds Exchange Traded Funds/Notes	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.15	<u>I</u> - AT&T, Inc. (NYSE)	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
1.16	<u>VGT</u> - Vanguard Information Technology ETF (NYSEArca)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.17	<u>QISGX</u> - Federated MDT Small Cap Growth Instl (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	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>
1.18	<u>HLEMX</u> - Harding Loevner Emerging Markets Advisor (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.19	<u>ITHIX</u> - Hartford Capital Appreciation I (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.20	<u>RYPRX</u> - Royce Premier Invmt (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.21	<u>GOOGL</u> - Alphabet Inc. <i>Filer comment: Name change from Google to Alphabet, Inc</i>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
1.22	<u>TJX</u> - The TJX Companies, Inc. (NYSE)	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
1.23	<u>XLV</u> - Health Care Select Sector SPDR ETF (NYSEArca)	Mutual Funds Exchange Traded Funds/Notes	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.24	<u>SAGYX</u> - ClearBridge Aggressive Growth I (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.25	<u>SAPYX</u> - ClearBridge Appreciation I (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	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>
1.26	<u>GGOIX</u> - Goldman Sachs Growth Opportunities Instl (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.27	<u>TRBCX</u> - T. Rowe Price Blue Chip Growth (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
1.28	<u>AMGN</u> - Amgen Inc.	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
1.29	<u>BIIB</u> - Biogen Inc.	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
1.30	<u>GILD</u> - Gilead Sciences Inc.	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
1.31	<u>NFLX</u> - Netflix, Inc.	Corporate Securities Stock	Spouse	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
1.32	<u>PANW</u> - Palo Alto Networks, Inc.	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
1.33	MORGAN STANLEY (NEWPORT, RI) Type: Brokerage Sweep Account,	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	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>
2	Morgan Stanley- IRA	Retirement Plans IRA	Spouse			
2.1	<u>FCNTX</u> - Fidelity Contrafund (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.2	<u>GBRIX</u> - Goldman Sachs BRIC Instl (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.3	<u>ITHIX</u> - Hartford Capital Appreciation I (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
2.4	T Rowe Price New Asia Fund (PRASX)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.5	<u>MADVX</u> - BlackRock Equity Dividend Instl (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.6	<u>JDEZX</u> - Prudential Jennison Equity Income Z (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.7	<u>OAKMX</u> - Oakmark I (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	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>
2.8	HYT - Blackrock Corporate High Yield (NYSE)	Mutual Funds Exchange Traded Funds/Notes	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
2.9	SAGYX - ClearBridge Aggressive Growth I (NASDAQ)	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
2.10	XBI - SPDR S&P Biotech ETF	Mutual Funds Exchange Traded Funds/Notes	Spouse	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3	Morgan Stanley-IRA	Retirement Plans IRA	Self			
3.1	Delaware Inv Sm Cap Val Inst (DEVIX)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3.2	E V Income Fund Of Boston I (EIBIX)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3.3	Goldman Sachs Abslt Ret Trck I (GJRTX)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
3.4	Ing Global Real Estate Fund I (IGLIX)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	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>
3.5	<u>IYMIX</u> - Ivy Mid Cap Growth I (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3.6	JP Morgan Dynamic Small Cap Gr Sel (JDSCX)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3.7	<u>MLAIX</u> - MainStay Large Cap Growth I (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3.7	<u>MWTIX</u> - Metropolitan West Total Return Bond I (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3.8	<u>PLDPX</u> - PIMCO Low Duration P (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3.9	<u>HIEMX</u> - Virtus Emerging Markets Opportunities I (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3.10	F4W Inc Freedom Wireless <i>Description: Cellular Provider (Lake Mary, Florida)</i>	Other Securities	Self	\$50,001 - \$100,000	Dividends,	None (or less than \$201)
3.11	<u>SYIMX</u> - AMG Systematic Mid Cap Value Instl (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	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>
3.12	<u>QQQ</u> - PowerShares QQQ Trust, Ser 1 (NASDAQ)	Mutual Funds Exchange Traded Funds/Notes	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3.13	<u>SAGYX</u> - ClearBridge Aggressive Growth I (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3.14	<u>JVLIX</u> - JHancock Disciplined Value I (NASDAQ)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
3.15	Morgan Stanley (Newport, RI) Type: Brokerage Sweep Account,	Bank Deposit	Self	\$1,001 - \$15,000	Interest,	None (or less than \$201)
3.16	<u>IDV</u> - iShares International Select Dividend	Mutual Funds Exchange Traded Funds/Notes	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3.17	<u>XBI</u> - SPDR S&P Biotech ETF	Mutual Funds Exchange Traded Funds/Notes	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3.18	<u>XLK</u> - Technology Select Sector SPDR ETF	Mutual Funds Exchange Traded Funds/Notes	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3.19	<u>VDC</u> - Vanguard Consumer Staples ETF	Mutual Funds Exchange Traded Funds/Notes	Self	\$1,001 - \$15,000	Excepted Investment Fund,	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>
3.20	<u>LISIX</u> - Lazard International Strategic Eq Instl	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
3.21	<u>TRBCX</u> - T. Rowe Price Blue Chip Growth	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
4	Morgan Stanley- Sheldon Whitehouse Family Trust	Brokerage/Managed Account	Self			
4.1	<u>MMM</u> - 3M Company (NYSE)	Corporate Securities Stock	Self	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
4.2	<u>AMZN</u> - Amazon.com Inc. (NASDAQ)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
4.3	<u>AXP</u> - American Express Company (NYSE)	Corporate Securities Stock	Self	\$50,001 - \$100,000	Dividends,	\$201 - \$1,000
4.4	<u>BUD</u> - Anheuser-Busch InBev SA/NV (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
4.5	<u>AAPL</u> - Apple Inc. (NASDAQ)	Corporate Securities Stock	Self	\$100,001 - \$250,000	Dividends,	\$2,501 - \$5,000
4.6	<u>BAC</u> - Bank of America Corporation (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
4.7	<u>CP</u> - Canadian Pacific Railway Limited (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
4.8	<u>CVS</u> - CVS Caremark Corporation (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
4.9	<u>DHR</u> - Danaher Corp. (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends, Capital Gains,	\$5,001 - \$15,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
4.10	<u>ESRX</u> - Express Scripts Holding Company (NASDAQ)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
4.11	<u>GS</u> - The Goldman Sachs Group, Inc. (NYSE)	Corporate Securities Stock	Self	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
4.12	<u>GOOGL</u> - Alphabet Inc. <i>Filer comment: Changed name from Google to Alphabet, Inc</i>	Corporate Securities Stock	Self	\$100,001 - \$250,000	Dividends,	None (or less than \$201)
4.13	<u>HD</u> - The Home Depot, Inc. (NYSE)	Corporate Securities Stock	Self	\$100,001 - \$250,000	Dividends, Capital Gains,	\$15,001 - \$50,000
4.14	<u>HON</u> - Honeywell International Inc. (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
4.15	<u>IFFSG</u> - INTL FLAVORS&FRAGR (Stuttgart)	Corporate Securities Stock	Self	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
4.16	<u>FXI</u> - iShares China Large-Cap	Mutual Funds Exchange Traded Funds/Notes	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
4.17	<u>EFA</u> - iShares MSCI EAFE	Mutual Funds Exchange Traded Funds/Notes	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
4.18	<u>IWO</u> - iShares Russell 2000 Growth	Mutual Funds Exchange Traded Funds/Notes	Self	\$50,001 - \$100,000	Excepted Investment Fund,	\$201 - \$1,000
4.19	<u>KMB</u> - Kimberly-Clark Corporation (NYSE)	Corporate Securities Stock	Self	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
4.20	<u>LB</u> - L Brands, Inc. (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
4.21	<u>MCHP</u> - Microchip Technology Inc. (NASDAQ)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
4.22	<u>MSFT</u> - Microsoft Corporation (NASDAQ)	Corporate Securities Stock	Self	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
4.23	<u>NKE</u> - Nike, Inc. (NYSE)	Corporate Securities Stock	Self	\$50,001 - \$100,000	Dividends,	\$201 - \$1,000
4.24	<u>ORCL</u> - Oracle Corporation (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
4.25	<u>PEP</u> - Pepsico, Inc. (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
4.26	<u>PBE</u> - PowerShares Dynamic Biotech & Genome ETF	Mutual Funds Exchange Traded Funds/Notes	Self	\$50,001 - \$100,000	Excepted Investment Fund,	\$201 - \$1,000
4.27	<u>PG</u> - The Procter & Gamble Company (NYSE)	Corporate Securities Stock	Self	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
4.28	<u>UNP</u> - Union Pacific Corporation (NYSE)	Corporate Securities Stock	Self	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
4.29	<u>UTX</u> - United Technologies Corp. (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
4.30	<u>UNH</u> - UnitedHealth Group Incorporated (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
4.31	<u>VFC</u> - V.F. Corporation (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends, Capital Gains,	\$15,001 - \$50,000
4.32	<u>V</u> - Visa Inc. (NYSE)	Corporate Securities Stock	Self	\$50,001 - \$100,000	Dividends,	\$201 - \$1,000
4.33	<u>AET</u> - Aetna Inc. (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
4.34	<u>AKAM</u> - Akamai Technologies, Inc. (NASDAQ)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
4.35	<u>JPM-PB</u> - JP Morgan Chase & Co Depository (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
4.36	<u>LOW</u> - Lowe's Companies Inc. (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
4.37	<u>RYAAY</u> - Ryanair Holdings plc (NASDAQ)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends, Capital Gains,	\$201 - \$1,000
4.38	<u>TMO</u> - Thermo Fisher Scientific, Inc. (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
4.39	<u>ANTM</u> - Anthem, Inc. (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
4.40	<u>WFC</u> - Wells Fargo & Company (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
4.41	Health Care Sel Sect Spdr Fd (XLV)	Mutual Funds Exchange Traded Funds/Notes	Self	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
4.42	<u>EWJ</u> - iShares MSCI Japan	Mutual Funds Exchange Traded Funds/Notes	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
4.43	<u>MO</u> - Altria Group Inc. (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
4.44	<u>AMGN</u> - Amgen Inc. (NASDAQ)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
4.45	<u>I</u> - AT&T, Inc. (NYSE)	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
4.46	<u>EL</u> - The Estée Lauder Companies Inc. (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
4.47	<u>IONS</u> - Ionis Pharmaceuticals, Inc. <i>Filer comment: Name change from ISIS Pharmaceuticals on 12/22/15.</i>	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
4.48	<u>PANW</u> - Palo Alto Networks, Inc. (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
4.49	<u>UL</u> - Unilever plc (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
4.50	<u>VZ</u> - Verizon Communications Inc. (NYSE)	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
4.51	<u>EPI</u> - WisdomTree India Earnings ETF (NYSEArca)	Mutual Funds Exchange Traded Funds/Notes	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
4.52	<u>BIIB</u> - Biogen Inc.	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
4.53	<u>CERN</u> - Cerner Corporation	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
4.54	<u>FB</u> - Facebook, Inc.	Corporate Securities Stock	Self	\$15,001 - \$50,000	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>
4.55	<u>GILD</u> - Gilead Sciences Inc.	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
4.56	<u>LRCX</u> - Lam Research Corporation	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
4.57	<u>MRK</u> - Merck & Co. Inc.	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
4.58	<u>NFLX</u> - Netflix, Inc.	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
4.59	<u>TJX</u> - The TJX Companies, Inc.	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
4.60	<u>UA</u> - Under Armour, Inc.	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
4.61	<u>WMT</u> - Wal-Mart Stores Inc.	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
4.62	<u>ANWFX</u> - American Funds New Perspective F2	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
4.63	<u>XBI</u> - SPDR S&P Biotech ETF	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
4.64	ACE LTD	Corporate Securities Stock	Self	None (or less than \$1,001)	Capital Gains,	\$1,001 - \$2,500

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
4.65	<u>CHL</u> - China Mobile Limited	Corporate Securities Stock	Self	None (or less than \$1,001)	Capital Gains,	\$5,001 - \$15,000
4.66	<u>CY</u> - Cypress Semiconductor Corporation	Corporate Securities Stock	Self	None (or less than \$1,001)	Capital Gains,	\$2,501 - \$5,000
4.67	<u>M</u> - Macy's, Inc.	Corporate Securities Stock	Self	None (or less than \$1,001)	Capital Gains,	\$1,001 - \$2,500
4.68	<u>ACN</u> - Accenture plc	Corporate Securities Stock	Self	None (or less than \$1,001)	Capital Gains,	\$5,001 - \$15,000
4.69	<u>DISH</u> - Dish Network Corp.	Corporate Securities Stock	Self	None (or less than \$1,001)	Capital Gains,	\$2,501 - \$5,000
4.70	<u>QLIK</u> - Qlik Technologies, Inc.	Corporate Securities Stock	Self	None (or less than \$1,001)	Capital Gains,	\$2,501 - \$5,000
4.71	<u>YHOO</u> - Yahoo! Inc.	Corporate Securities Stock	Self	None (or less than \$1,001)	Capital Gains,	\$2,501 - \$5,000
4.72	Morgan Stanley (Newport, RI) Type: Money Market Account,	Bank Deposit	Self	\$15,001 - \$50,000	Interest,	None (or less than \$201)
5	Morgan Stanley [2]	UGMA/UTMA Account	Child			
5.1	<u>AAPL</u> - Apple Inc. (NASDAQ)	Corporate Securities Stock	Child	\$100,001 - \$250,000	Dividends,	\$1,001 - \$2,500
5.2	<u>BAC</u> - Bank of America Corporation (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
5.3	<u>BRK-B</u> - Berkshire Hathaway Inc. (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	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>
5.4	<u>CELG</u> - Celgene Corporation (NASDAQ)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
5.5	<u>CVS</u> - CVS Caremark Corporation (NYSE)	Corporate Securities Stock	Child	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
5.6	<u>FMS</u> - Fresenius Medical Care AG & Co. KGAA (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
5.7	<u>GME</u> - GameStop Corp. (NYSE)	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
5.8	<u>GE</u> - General Electric Company (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
5.9	<u>GOOGL</u> - Alphabet Inc. <i>Filer comment: Name change from Google Inc</i>	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
5.10	<u>IBM</u> - International Business Machines Corporation (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
5.11	<u>KMB</u> - Kimberly-Clark Corporation (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
5.12	<u>MSFT</u> - Microsoft Corporation (NASDAQ)	Corporate Securities Stock	Child	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
5.13	Nestle Spon Adr Rep Reg Shr (NSRGY)	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
5.14	<u>STT</u> - State Street Corporation (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends, Capital Gains,	\$5,001 - \$15,000
5.15	<u>VZ</u> - Verizon Communications Inc. (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
5.16	<u>V</u> - Visa Inc. (NYSE)	Corporate Securities Stock	Child	\$50,001 - \$100,000	Dividends,	\$201 - \$1,000
5.17	<u>DIS</u> - The Walt Disney Company (NYSE)	Corporate Securities Stock	Child	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
5.18	<u>KO</u> - The Coca-Cola Company (NYSE)	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
5.19	<u>CCI</u> - Crown Castle International Corp. (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
5.20	<u>HON</u> - Honeywell International Inc. (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
5.21	<u>LB</u> - L Brands, Inc. (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
5.22	<u>MMC</u> - Marsh & McLennan Companies, Inc. (NYSE)	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
5.23	<u>RTN</u> - Raytheon Co. (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
5.24	<u>TMO</u> - Thermo Fisher Scientific, Inc. (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
5.25	<u>TWX</u> - Time Warner Inc. (NYSE)	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
5.26	<u>AMGN</u> - Amgen Inc. (NASDAQ)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
5.27	<u>I</u> - AT&T, Inc. (NYSE)	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
5.28	<u>BMJ</u> - Bristol-Myers Squibb Company (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
5.29	<u>ESRX</u> - Express Scripts Holding Company (NASDAQ)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
5.30	<u>JPM</u> - JPMorgan Chase & Co. (NYSE)	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
5.31	Morgan Stanley (Newport, RI) <i>Type: Money Market Account,</i>	Bank Deposit	Child	\$15,001 - \$50,000	Interest,	None (or less than \$201)
5.32	<u>VDC</u> - Vanguard Consumer Staples ETF (NYSEArca)	Mutual Funds Exchange Traded Funds/Notes	Child	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
5.33	<u>GILD</u> - Gilead Sciences Inc.	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
5.34	<u>LLTC</u> - Linear Technology Corporation	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
5.35	<u>MDT</u> - Medtronic plc <i>Filer comment: Covidien PLC shares were exchanged for Medtronic shares on 1/27/15.</i>	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
5.36	<u>NFLX</u> - Netflix, Inc.	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
5.37	<u>XBI</u> - SPDR S&P Biotech ETF	Mutual Funds Exchange Traded Funds/Notes	Child	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
5.38	<u>HYH</u> - Halyard Health, Inc.	Corporate Securities Stock	Child	None (or less than \$1,001)	Capital Gains,	\$201 - \$1,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
6	Morgan Stanley [4]	Trust General (Trust)	Child			
6.1	Morgan Stanley Bank	Brokerage/Managed Account	Child	\$1,001 - \$15,000	Interest,	None (or less than \$201)
6.2	<u>MMM</u> - 3M Company (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
6.3	<u>BUD</u> - Anheuser-Busch InBev SA/NV (NYSE)	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
6.4	<u>BLK</u> - BlackRock, Inc. (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
6.5	<u>XLV</u> - Health Care Select Sector SPDR ETF	Mutual Funds Exchange Traded Funds/Notes	Child	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
6.6	<u>JPM</u> - JPMorgan Chase & Co. (NYSE)	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
6.7	<u>PEP</u> - Pepsico, Inc. (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
6.8	<u>TMO</u> - Thermo Fisher Scientific, Inc. (NYSE)	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
6.9	<u>VIG</u> - Vanguard Dividend Apprec Idx ETF	Mutual Funds Exchange Traded Funds/Notes	Child	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
6.10	<u>VZ</u> - Verizon Communications Inc. (NYSE)	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
6.11	<u>VMW</u> - VMware, Inc. (NYSE)	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
6.12	<u>WGIFX</u> - American Funds Capital World G/I F2 (NASDAQ)	Mutual Funds Mutual Fund	Child	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
6.13	<u>SMCFX</u> - American Funds SMALLCAP World F2 (NASDAQ)	Mutual Funds Mutual Fund	Child	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
6.14	<u>AMZN</u> - Amazon.com Inc. (NASDAQ)	Corporate Securities Stock	Child	\$50,001 - \$100,000	Dividends,	None (or less than \$201)
6.15	<u>MMC</u> - Marsh & McLennan Companies, Inc. (NYSE)	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends, Capital Gains,	\$1,001 - \$2,500
6.16	<u>CVS</u> - CVS Health Corporation (NYSE)	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
6.17	<u>ORCL</u> - Oracle Corporation (NYSE)	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
6.18	<u>SBUX</u> - Starbucks Corporation (NASDAQ)	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
6.19	<u>AMCFX</u> - American Funds AMCAP F2 (NASDAQ)	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	Excepted Investment Fund,	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>
6.20	<u>DIS</u> - The Walt Disney Company	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
7	Morgan Stanley [1]	Brokerage/Managed Account	Joint			
7.1	Morgan Stanley (Newport, RI) Type: Money Market Account,	Bank Deposit	Joint	\$50,001 - \$100,000	Interest,	None (or less than \$201)
8	Morgan Stanley [3]	Brokerage/Managed Account	Joint			
8.1	<u>ACN</u> - Accenture plc (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
8.2	<u>AAPL</u> - Apple Inc. (NASDAQ)	Corporate Securities Stock	Joint	\$100,001 - \$250,000	Dividends,	\$1,001 - \$2,500
8.3	<u>I</u> - AT&T, Inc. (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
8.4	<u>CAT</u> - Caterpillar Inc. (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
8.5	<u>KO</u> - The Coca-Cola Company (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
8.6	<u>CAG</u> - ConAgra Foods, Inc. (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
8.7	<u>GE</u> - General Electric Company (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
8.8	<u>HON</u> - Honeywell International Inc. (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
8.9	<u>JPM</u> - JPMorgan Chase & Co. (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
8.10	<u>MCHP</u> - Microchip Technology Inc. (NASDAQ)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
8.11	<u>NSRGY</u> - Nestl (OTC Markets)	Corporate Securities Stock	Joint	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
8.12	<u>VFC</u> - V.F. Corporation (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends, Capital Gains,	\$15,001 - \$50,000
8.13	<u>VZ</u> - Verizon Communications Inc. (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
8.14	Goldman Sachs Group Inc <i>Rate/Coupon: 6.2</i> <i>Matures: 09/01/2017</i>	Corporate Securities Corporate Bond	Joint	\$15,001 - \$50,000	Interest,	\$1,001 - \$2,500
8.15	AT&T Inc <i>Rate/Coupon: 5.8</i> <i>Matures: 02/15/2019</i>	Corporate Securities Corporate Bond	Joint	\$15,001 - \$50,000	Interest,	\$1,001 - \$2,500
8.16	Raymond James Financial <i>Rate/Coupon: 6.9</i> <i>Matures: 03/15/2042</i>	Corporate Securities Corporate Bond	Joint	\$15,001 - \$50,000	Interest,	\$1,001 - \$2,500
8.17	<u>CP</u> - Canadian Pacific Railway Limited (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
8.18	<u>COST</u> - Costco Wholesale Corporation (NASDAQ)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
8.19	<u>CVS</u> - CVS Caremark Corporation (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
8.20	<u>ESS</u> - Essex Property Trust Inc. (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
8.21	<u>LB</u> - L Brands, Inc. (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
8.22	<u>PG</u> - The Procter & Gamble Company (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
8.23	<u>SBUX</u> - Starbucks Corporation (NASDAQ)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
8.24	<u>UL</u> - Unilever plc (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
8.25	<u>UTX</u> - United Technologies Corp. (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
8.26	<u>UNH</u> - UnitedHealth Group Incorporated (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
8.27	F4W Inc Freedom 4 Wireless <i>Description: Cellular Provider (Lake Mary, Florida)</i>	Other Securities	Joint	\$50,001 - \$100,000	Dividends,	None (or less than \$201)
8.28	Caterpillar Inc <i>Rate/Coupon: 5.7</i> <i>Matures: 08/15/2016</i>	Corporate Securities Corporate Bond	Joint	\$15,001 - \$50,000	Interest,	\$1,001 - \$2,500
8.29	<u>BMJ</u> - Bristol-Myers Squibb Company (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
8.30	<u>C</u> - Citigroup Inc. (NYSE)	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
8.31	<u>PEP</u> - Pepsico, Inc. (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
8.32	<u>RTN</u> - Raytheon Company (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends, Capital Gains,	\$1,001 - \$2,500
8.33	<u>V</u> - Visa Inc. (NYSE)	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
8.34	JPMORGAN CHASE & CO 6.75% FXD to 2/01/24 <i>Rate/Coupon: 6.75</i> <i>Matures: 02/01/24</i>	Corporate Securities Corporate Bond	Joint	\$15,001 - \$50,000	Interest,	\$1,001 - \$2,500

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
8.35	Morgan Stanley (Newport, RI) Type: Money Market Account,	Bank Deposit	Joint	\$50,001 - \$100,000	Interest,	None (or less than \$201)
8.36	<u>BIIB</u> - Biogen Inc.	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
8.37	<u>GILD</u> - Gilead Sciences Inc.	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
8.38	<u>JNJ</u> - Johnson & Johnson	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
8.39	<u>LRCX</u> - Lam Research Corporation	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
8.40	<u>MSFT</u> - Microsoft Corporation	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
8.41	<u>NFLX</u> - Netflix, Inc.	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
8.42	<u>TAN</u> - Guggenheim Solar ETF	Mutual Funds Exchange Traded Funds/Notes	Joint	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
8.43	<u>CY</u> - Cypress Semiconductor Corporation	Corporate Securities Stock	Joint	None (or less than \$1,001)	Capital Gains,	\$2,501 - \$5,000
8.44	<u>CSX</u> - CSX Corp.	Corporate Securities Stock	Joint	None (or less than \$1,001)	Capital Gains,	\$1,001 - \$2,500
8.45	<u>DD</u> - E. I. du Pont de Nemours and Company	Corporate Securities Stock	Joint	None (or less than \$1,001)	Capital Gains,	\$1,001 - \$2,500

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
8.46	ETN - Eaton Corporation plc	Corporate Securities Stock	Joint	None (or less than \$1,001)	Capital Gains,	\$5,001 - \$15,000
8.47	YUM - Yum! Brands, Inc.	Corporate Securities Stock	Joint	None (or less than \$1,001)	Capital Gains,	\$1,001 - \$2,500
8.48	MCD - McDonald's Corp.	Corporate Securities Stock	Joint	None (or less than \$1,001)	Capital Gains,	\$15,001 - \$50,000
9	MS TP Ltd Partnership <i>Company:</i> Tab Products (Mayville, WI) <i>Description:</i> Sale of Office Supplies <i>Filer comment:</i> Value is between \$100,001 and \$250,000.. Ordinary loss for 2015 was \$1,076.	Business Entity Limited Partnership (LP)	Self			
9.1	T Acquisition Ltd Part(sole inv of MS TP Ltd Part <i>Company:</i> T Acquisition Partnership (Mayville, WI) <i>Description:</i> Sale of office supplies	Business Entity Limited Liability Company (LLC)	Self			
9.1.1	TAB Prod Co LLC (a holding of T Acq Ltd) <i>Company:</i> TAB Prod Co LLC (Mayville, WI) <i>Description:</i> Sale of office supplies	Business Entity Limited Liability Company (LLC)	Self	Unascertainable	None,	None (or less than \$201)
9.1.2	TAB Prod Canada(a holding of T Acq Ltd) <i>Company:</i> TAB Prod Canada (Ontario, Canada) <i>Description:</i> Sale of office supplies	Business Entity Limited Liability Company (LLC)	Self	Unascertainable	None,	None (or less than \$201)
9.1.3	TAB Prod Europa (a holding of T Acq Ltd) <i>Company:</i> TAB Prod Europa (Amsterdam, Netherlands) <i>Description:</i> Sale of office supplies	Business Entity Limited Liability Company (LLC)	Self	Unascertainable	None,	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>
9.1.4	TAB Prod PTY Ltd (a holding of T Acq Ltd) <i>Company:</i> TAB Prod PTY Ltd (Stillwater, Australia) <i>Description:</i> Sale of Office Supplies	Business Entity Limited Liability Company (LLC)	Self	Unascertainable	None,	None (or less than \$201)
10	Seaview Mezzanine LP <i>Company:</i> Seaview Mezzanine LP (New York, NY) <i>Description:</i> solution provider for print production, etc	Business Entity Limited Liability Limited Partnership (LLLLP)	Self			
10.1	Symco Group Inc (inv of Seaview Mezzanine, LP) <i>Company:</i> Symco Group Inc (Buford, GA) <i>Description:</i> solution provider to print production, etc	Business Entity Limited Liability Company (LLC)	Self	\$15,001 - \$50,000	None,	None (or less than \$201)
11	Helen Chase Rand Residual Trust	Trust General (Trust)	Self			
11.1	White Ranch Minerals, Ltd	Corporate Securities Stock	Self	\$1,001 - \$15,000	Interest,	None (or less than \$201)
11.2	Wells Fargo Mkt Deposit A/C	Brokerage/Managed Account	Self	\$1,001 - \$15,000	Interest,	None (or less than \$201)
11.3	<u>DODIX</u> - Dodge & Cox Income (NASDAQ)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
11.4	<u>PRWBX</u> - T. Rowe Price Short-Term Bond (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	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>
11.5	<u>PFORX</u> - PIMCO Foreign Bond (USD-Hedged) I (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.6	<u>LCMAX</u> - Driehaus Active Income (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.7	<u>CRSOX</u> - Credit Suisse Commodity Return Strat I (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.8	<u>VNQ</u> - Vanguard REIT Index ETF	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
11.9	<u>APHMX</u> - Artisan Mid Cap Institutional (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.10	<u>HACAX</u> - Harbor Capital Appreciation Instl (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.11	<u>FLMVX</u> - JPMorgan Mid Cap Value Instl (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.12	<u>DODFX</u> - Dodge & Cox International Stock (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	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>
11.13	<u>FMKIX</u> - Fidelity Advisor Emerging Markets Inc I (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
11.14	<u>EIGMX</u> - Eaton Vance Glbl Macr Absolute Return I (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
11.15	<u>OHYFX</u> - JPMorgan High Yield Select (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
11.16	<u>PPSIX</u> - Principal Preferred Securities Inst (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
11.17	<u>RPIFX</u> - T. Rowe Price Instl Floating Rate (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.18	<u>DIBRX</u> - Dreyfus International Bond I (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.19	<u>NFJEX</u> - AllianzGI NFJ Dividend Value Instl (NASDAQ)	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Excepted Investment Fund,	\$201 - \$1,000
11.20	<u>ODVIX</u> - Oppenheimer Developing Markets I (NASDAQ)	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.21	<u>MWTIX</u> - Metropolitan West Total Return Bond I	Mutual Funds Exchange Traded Funds/Notes	Self	\$15,001 - \$50,000	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>
11.22	<u>ANONX</u> - American Century Small Cap Growth Instl	Mutual Funds Exchange Traded Funds/Notes	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.23	<u>STSCX</u> - Sterling Capital Stratton SmCp Val Instl	Mutual Funds Exchange Traded Funds/Notes	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.24	<u>APHIX</u> - Artisan International Institutional	Mutual Funds Exchange Traded Funds/Notes	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.25	<u>EEM</u> - iShares MSCI Emerging Markets	Mutual Funds Exchange Traded Funds/Notes	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.26	<u>GAFYX</u> - Natixis ASG Global Alternatives Y	Mutual Funds Exchange Traded Funds/Notes	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.27	<u>BGCIX</u> - BlackRock Global Long/Short Credit Instl <i>Filer comment: How acquired Purchase</i>	Mutual Funds Exchange Traded Funds/Notes	Self	\$1,001 - \$15,000	Excepted Investment Fund,	\$201 - \$1,000
11.28	MERIX	Mutual Funds Exchange Traded Funds/Notes	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
11.29	<u>IVV</u> - iShares Core S&P 500	Mutual Funds Exchange Traded Funds/Notes	Self	None (or less than \$1,001)	Capital Gains,	\$1,001 - \$2,500
11.30	<u>KGSIX</u> - Kalmar Growth-with-Value Sm Cp Instl	Mutual Funds Exchange Traded Funds/Notes	Self	None (or less than \$1,001)	Capital Gains,	\$201 - \$1,000

	<u>Asset</u>	<u>Asset Type</u>	<u>Owner</u>	<u>Value</u>	<u>Income Type</u>	<u>Income</u>
11.31	TRREX - T. Rowe Price Real Estate	Mutual Funds Exchange Traded Funds/Notes	Self	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
12	Rita D Sellar GST Exempt Trust	Trust Excepted	Spouse	Unascertainable	Dividends, Interest,	\$2,501 - \$5,000
13	Rita D Sellar GST Exempt Trust	Trust Excepted	Child	Unascertainable	Dividends, Interest,	\$2,501 - \$5,000
14	Morgan Stanley [5]	Brokerage/Managed Account	Child			
14.1	Morgan Stanley (Newport, RI) <i>Type: Money Market Account,</i>	Bank Deposit	Child	\$1,001 - \$15,000	Interest,	None (or less than \$201)
15	H Yale TW Dolan Trust	Trust Excepted	Spouse	Unascertainable	Dividends, Interest,	None (or less than \$201)
16	Sarah B TD Dolan Trust	Trust Excepted	Spouse	Unascertainable	Dividends, Interest,	\$201 - \$1,000
17	Residential Condo <i>Description: Residential Condo</i> (Washington, , DC)	Real Estate Residential	Joint	\$250,001 - \$500,000	None,	None (or less than \$201)

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**

#	Date	Owner	Ticker	Asset Name	Type	Amount	Comment
1	10/19/2015	Child	--	GILD	Purchase	\$1,001 - \$15,000	--

Transaction							
#	Date	Owner	Ticker	Asset Name	Type	Amount	Comment
2	10/19/2015	Child	--	ORCL	Sale (Full)	\$1,001 - \$15,000	--
3	01/14/2015	Joint	MCD	McDonald's Corp.	Sale (Full)	\$15,001 - \$50,000	--
4	01/27/2015	Child	MDT	Medtronic plc	Exchange	\$1,001 - \$15,000	Covidien PLC exchanged for Medtronics PLC
5	01/14/2015	Child	ETN	Eaton Corporation plc (NYSE)	Sale (Full)	\$1,001 - \$15,000	--
6	01/14/2015	Joint	DD	E. I. du Pont de Nemours and Company (NYSE)	Sale (Full)	\$1,001 - \$15,000	--
7	01/14/2015	Joint	ETN	Eaton Corporation plc (NYSE)	Sale (Full)	\$15,001 - \$50,000	--
8	01/23/2015	Self	DHR	Danaher Corp. (NYSE)	Sale (Partial)	\$15,001 - \$50,000	--
9	01/23/2015	Self	ACE	ACE Limited (NYSE)	Sale (Full)	\$15,001 - \$50,000	--
10	01/23/2015	Self	GILD	Gilead Sciences Inc. (NASDAQ)	Purchase	\$15,001 - \$50,000	--
11	01/14/2015	Self	AIG	American International Group, Inc. (NYSE)	Sale (Full)	\$1,001 - \$15,000	--
12	01/14/2015	Self	KLXI	KLX Inc. (NASDAQ)	Sale (Full)	\$1,001 - \$15,000	KLXI IS A SPINOFF OF BEAV
13	07/20/2015	Child	PCAR	PACCAR Inc.	Sale (Full)	\$1,001 - \$15,000	--
14	08/04/2015	Spouse	GE	General Electric Company (NYSE)	Purchase	\$1,001 - \$15,000	--
15	08/04/2015	Spouse	BIIB	Biogen Inc. (NASDAQ)	Purchase	\$1,001 - \$15,000	--

Transaction							
#	Date	Owner	Ticker	Asset Name	Type	Amount	Comment
16	08/10/2015	Child	KO	The Coca-Cola Company (NYSE)	Purchase	\$1,001 - \$15,000	--
17	08/10/2015	Joint	BIIB	Biogen Inc. (NASDAQ)	Purchase	\$1,001 - \$15,000	--
18	08/10/2015	Self	BIIB	Biogen Inc. (NASDAQ)	Purchase	\$1,001 - \$15,000	--
19	08/04/2015	Self	BIIB	Biogen Inc. (NASDAQ)	Purchase	\$1,001 - \$15,000	--
20	08/04/2015	Self	WFC	Wells Fargo & Company (NYSE)	Purchase	\$1,001 - \$15,000	--
21	08/04/2015	Self	VZ	Verizon Communications Inc. (NYSE)	Purchase	\$1,001 - \$15,000	--
22	07/15/2015	Self	NFLX	Netflix, Inc. (NASDAQ)	Purchase	\$1,001 - \$15,000	--
23	12/28/2015	Joint	M	Macy's, Inc.	Sale (Full)	\$1,001 - \$15,000	Reported as partial sale on originally filed report
24	12/22/2015	Joint	LRCX	Lam Research Corporation	Purchase	\$1,001 - \$15,000	--
25	12/28/2015	Joint	M	Macy's, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
26	12/22/2015	Self	LRCX	Lam Research Corporation	Purchase	\$1,001 - \$15,000	--
27	11/20/2015	Self	UA	Under Armour, Inc.	Purchase	\$1,001 - \$15,000	Inadvertently omitted on original report
28	11/20/2015	Self	WMT	Wal-Mart Stores Inc.	Purchase	\$1,001 - \$15,000	inadvertently omitted on original report
29	11/23/2015	Self	CERN	Cerner Corporation	Purchase	\$1,001 - \$15,000	Inadvertently omitted on original report
30	12/09/2015	Joint	--	MSFT	Purchase	\$15,001 - \$50,000	--
31	12/09/2015	Joint	--	JNJ	Purchase	\$15,001 - \$50,000	--

Transaction							
#	Date	Owner	Ticker	Asset Name	Type	Amount	Comment
32	12/09/2015	Joint	--	BMY	Purchase	\$1,001 - \$15,000	--
33	12/09/2015	Joint	--	GILD	Purchase	\$15,001 -\$50,000	--
34	11/25/2015	Joint	--	BIIB	Purchase	\$1,001 - \$15,000	--
35	11/25/2015	Joint	--	NFLX	Purchase	\$1,001 - \$15,000	--
36	11/25/2015	Joint	--	PEP	Purchase	\$1,001 - \$15,000	--
37	12/14/2015	Child	--	CY	Sale (Full)	\$1,001 - \$15,000	--
38	11/25/2015	Self	--	TJX	Purchase	\$1,001 - \$15,000	--
39	11/25/2015	Self	--	GPRO	Sale (Full)	\$1,001 - \$15,000	--
40	11/25/2015	Self	--	BIIB	Purchase	\$1,001 - \$15,000	--
41	12/14/2015	Self	--	QCOM	Sale (Full)	\$15,001 -\$50,000	--
42	10/23/2015	Joint	--	VFC	Sale (Partial)	\$15,001 -\$50,000	--
43	10/19/2015	Joint	--	M	Purchase	\$1,001 - \$15,000	--
44	10/19/2015	Joint	--	YUM	Sale (Full)	\$15,001 -\$50,000	--
45	10/19/2015	Joint	--	NFLX	Purchase	\$1,001 - \$15,000	--
46	10/23/2015	Child	--	DIS	Purchase	\$1,001 - \$15,000	--

Transaction							
#	Date	Owner	Ticker	Asset Name	Type	Amount	Comment
47	10/23/2015	Child	--	MMC	Sale (Partial)	\$1,001 - \$15,000	--
48	10/19/2015	Child	--	STT	Sale (Partial)	\$1,001 - \$15,000	--
49	10/19/2015	Child	--	NFLX	Purchase	\$1,001 - \$15,000	--
50	10/23/2015	Self	--	YHOO	Sale (Full)	\$15,001 - \$50,000	--
51	10/23/2015	Self	--	FEYE	Sale (Full)	\$1,001 - \$15,000	--
52	10/23/2015	Self	--	VFC	Sale (Partial)	\$15,001 - \$50,000	--
53	11/09/2015	Self	--	MMM	Purchase	\$15,001 - \$50,000	--
54	11/09/2015	Self	--	FB	Purchase	\$1,001 - \$15,000	--
55	09/18/2015	Child	UTX	United Technologies Corporation (NYSE)	Sale (Full)	\$15,001 - \$50,000	--
56	09/22/2015	Joint	M	Macy's, Inc. (NYSE)	Purchase	\$1,001 - \$15,000	--
57	09/22/2015	Joint	RTN	Raytheon Company (NYSE)	Purchase	\$15,001 - \$50,000	--
58	09/15/2015	Joint	QCOM	QUALCOMM Incorporated (NASDAQ)	Sale (Full)	\$15,001 - \$50,000	--
59	09/15/2015	Joint	BAC	Bank of America Corporation (NYSE)	Sale (Full)	\$15,001 - \$50,000	--

Transaction							
#	Date	Owner	Ticker	Asset Name	Type	Amount	Comment
60	08/28/2015	Joint	PG	The Procter & Gamble Company (NYSE)	Purchase	\$1,001 - \$15,000	--
61	08/28/2015	Joint	CSX	CSX Corp. (NYSE)	Sale (Full)	\$1,001 - \$15,000	--
62	08/28/2015	Joint	BIIB	Biogen Inc. (NASDAQ)	Purchase	\$1,001 - \$15,000	--
63	08/28/2015	Self	QLIK	Qlik Technologies, Inc. (NASDAQ)	Sale (Full)	\$15,001 - \$50,000	--
64	08/28/2015	Self	FB	Facebook, Inc. (NASDAQ)	Purchase	\$1,001 - \$15,000	--
65	08/28/2015	Self	VFC	V.F. Corporation (NYSE)	Sale (Partial)	\$15,001 - \$50,000	--
66	07/07/2015	Spouse	T	AT&T, Inc. (NYSE)	Purchase	\$1,001 - \$15,000	--
67	07/10/2015	Joint	BIIB	Biogen Inc. (NASDAQ)	Purchase	\$1,001 - \$15,000	--
68	07/10/2015	Child	LLTC	Linear Technology Corporation (NASDAQ)	Purchase	\$1,001 - \$15,000	--
69	07/10/2015	Child	T	AT&T, Inc. (NYSE)	Purchase	\$1,001 - \$15,000	--
70	07/10/2015	Self	BIIB	Biogen Inc. (NASDAQ)	Purchase	\$1,001 - \$15,000	--
71	07/10/2015	Self	MRK	Merck & Co. Inc. (NYSE)	Purchase	\$1,001 - \$15,000	--
72	07/07/2015	Self	GPRO	GoPro, Inc. (NASDAQ)	Purchase	\$1,001 - \$15,000	--
73	07/07/2015	Self	M	Macy's, Inc. (NYSE)	Sale (Full)	\$15,001 - \$50,000	--

Transaction							
#	Date	Owner	Ticker	Asset Name	Type	Amount	Comment
74	06/15/2015	Self	CY	Cypress Semiconductor Corporation (NASDAQ)	Sale (Full)	\$15,001 - \$50,000	--
75	06/15/2015	Self	TRIP	TripAdvisor Inc. (NASDAQ)	Sale (Full)	\$1,001 - \$15,000	--
76	06/15/2015	Self	CHL	China Mobile Limited (NYSE)	Sale (Full)	\$15,001 - \$50,000	--
77	05/27/2015	Child	KORS	Michael Kors Holdings Limited (NYSE)	Sale (Full)	\$1,001 - \$15,000	--
78	05/27/2015	Spouse	AMGN	Amgen Inc. (NASDAQ)	Purchase	\$1,001 - \$15,000	--
79	05/27/2015	Joint	BAC	Bank of America Corporation (NYSE)	Purchase	\$15,001 - \$50,000	--
80	05/18/2015	Joint	CY	Cypress Semiconductor Corporation (NASDAQ)	Sale (Full)	\$15,001 - \$50,000	--
81	05/18/2015	Joint	RTN	Raytheon Company (NYSE)	Sale (Full)	\$1,001 - \$15,000	--
82	05/07/2015	Joint	PCAR	PACCAR Inc. (NASDAQ)	Sale (Full)	\$1,001 - \$15,000	--
83	05/07/2015	Joint	PRU	Prudential Financial, Inc. (NYSE)	Sale (Full)	\$1,001 - \$15,000	--
84	05/27/2015	Self	FEYE	FireEye, Inc. (NASDAQ)	Purchase	\$1,001 - \$15,000	--
85	05/27/2015	Self	MRK	Merck & Co. Inc. (NYSE)	Purchase	\$1,001 - \$15,000	--
86	05/27/2015	Self	TU	TELUS Corporation (NYSE)	Sale (Full)	\$15,001 - \$50,000	--

Transaction							
#	Date	Owner	Ticker	Asset Name	Type	Amount	Comment
87	05/07/2015	Self	NFLX	Netflix, Inc. (NASDAQ)	Purchase	\$15,001 - \$50,000	--
88	05/07/2015	Self	BIIB	Biogen Inc. (NASDAQ)	Purchase	\$15,001 - \$50,000	--
89	04/02/2015	Spouse	--	JPMORGAN CHASE CAPITAL XXIX 6.75 <i>Rate/Coupon: 6.7</i> <i>Matures: 04/02/2040</i>	Sale (Full)	\$1,001 - \$15,000	--
90	04/07/2015	Spouse	GILD	Gilead Sciences Inc. (NASDAQ)	Purchase	\$1,001 - \$15,000	--
91	04/07/2015	Spouse	--	PANW	Purchase	\$1,001 - \$15,000	--
92	04/07/2015	Spouse	BIIB	Biogen Inc. (NASDAQ)	Purchase	\$1,001 - \$15,000	--
93	04/07/2015	Spouse	NFLX	Netflix, Inc. (NASDAQ)	Purchase	\$1,001 - \$15,000	--
94	04/06/2015	Child	SSYS	Stratasys Ltd. (NASDAQ)	Sale (Full)	\$1,001 - \$15,000	--
95	04/07/2015	Child	GILD	Gilead Sciences Inc. (NASDAQ)	Purchase	\$1,001 - \$15,000	--
96	04/06/2015	Self	ACN	Accenture plc (NYSE)	Sale (Full)	\$15,001 - \$50,000	--
97	04/07/2015	Self	BABA	Alibaba Group Holding Limited (NYSE)	Sale (Full)	\$15,001 - \$50,000	--
98	04/07/2015	Self	HD	The Home Depot, Inc. (NYSE)	Sale (Partial)	\$15,001 - \$50,000	--
99	04/13/2015	Self	UA	Under Armour, Inc. (NYSE)	Purchase	\$1,001 - \$15,000	--
100	02/24/2015	Child	LLTC	Linear Technology Corporation (NASDAQ)	Purchase	\$1,001 - \$15,000	--

Transaction							
#	Date	Owner	Ticker	Asset Name	Type	Amount	Comment
101	02/24/2015	Child	KORS	Michael Kors Holdings Limited (NYSE)	Purchase	\$1,001 - \$15,000	--
102	02/23/2015	Child	BMJ	Bristol-Myers Squibb Company (NYSE)	Purchase	\$1,001 - \$15,000	--
103	02/23/2015	Child	HYH	Halyard Health, Inc. (NYSE)	Sale (Full)	\$1,001 - \$15,000	KMB completed spinoff of healthcare business now known as HYH on 11/01/14.
104	02/23/2015	Child	KORS	Michael Kors Holdings Limited (NYSE)	Purchase	\$1,001 - \$15,000	--
105	03/10/2015	Joint	PEP	Pepsico, Inc. (NYSE)	Purchase	\$1,001 - \$15,000	--
106	02/12/2015	Joint	CMRE	Costamare Inc. (NYSE)	Sale (Full)	\$15,001 - \$50,000	--
107	03/10/2015	Self	ABBV	AbbVie Inc. (NYSE)	Sale (Full)	\$1,001 - \$15,000	--
108	03/10/2015	Self	AMGN	Amgen Inc. (NASDAQ)	Purchase	\$1,001 - \$15,000	--
109	03/10/2015	Child	STT	State Street Corporation (NYSE)	Sale (Partial)	\$1,001 - \$15,000	--
110	03/10/2015	Self	KORS	Michael Kors Holdings Limited (NYSE)	Sale (Full)	\$1,001 - \$15,000	--
111	02/24/2015	Self	A	Agilent Technologies Inc. (NYSE)	Sale (Full)	\$1,001 - \$15,000	--
112	02/23/2015	Self	DISH	Dish Network Corp. (NASDAQ)	Sale (Full)	\$15,001 - \$50,000	--

Part 4b. Transactions * Amended

Did 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	Transaction Amount	Comment
1	Spouse	<u>XBI</u>	SPDR S&P Biotech ETF	Purchase	03/24/2015	\$1,001 - \$15,000	--
2	Self	<u>IDV</u>	iShares International Select Dividend	Purchase	12/01/2015	\$1,001 - \$15,000	--
3	Self	<u>XBI</u>	SPDR S&P Biotech ETF	Purchase	05/07/2015	\$1,001 - \$15,000	--
4	Self	<u>XLK</u>	Technology Select Sector SPDR ETF	Purchase	10/30/2015	\$1,001 - \$15,000	--
5	Self	<u>VDC</u>	Vanguard Consumer Staples ETF	Purchase	10/30/2015	\$1,001 - \$15,000	--
6	Self	<u>LISIX</u>	Lazard International Strategic Eq Instl	Purchase	10/30/2015	\$1,001 - \$15,000	--
7	Self	<u>TRBCX</u>	T. Rowe Price Blue Chip Growth	Purchase	10/30/2015	\$15,001 - \$50,000	--
8	Self	<u>XBI</u>	SPDR S&P Biotech ETF	Purchase	03/24/2015	\$1,001 - \$15,000	--
9	Self	<u>ANWFX</u>	American Funds New Perspective F2	Purchase	03/12/2015	\$1,001 - \$15,000	--
10	Child	<u>XBI</u>	SPDR S&P Biotech ETF	Purchase	03/24/2015	\$1,001 - \$15,000	--
11	Child	<u>MDT</u>	Medtronic plc	Exchange	01/27/2015	\$1,001 - \$15,000	--
12	Child	<u>PCAR</u>	PACCAR Inc.	Sale (Full)	07/20/2015	\$1,001 - \$15,000	--
13	Joint	<u>TAN</u>	Guggenheim Solar ETF	Purchase	11/25/2015	\$15,001 - \$50,000	--
14	Self	<u>DDBIX</u>	Dreyfus Emerging Markets Debt Lcl Ccy I	Sale (Full)	12/21/2015	\$1,001 - \$15,000	--
15	Self	<u>RWX</u>	SPDR Dow Jones International RelEst ETF	Sale (Full)	01/23/2015	\$1,001 - \$15,000	--
16	Self	<u>IVV</u>	iShares Core S&P 500	Sale (Full)	07/24/2015	\$1,001 - \$15,000	--
17	Self	<u>ARTIX</u>	Artisan International Investor	Sale (Full)	04/22/2015	\$1,001 - \$15,000	--

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Transaction Amount	Comment
18	Self	<u>VWO</u>	Vanguard FTSE Emerging Markets ETF	Sale (Full)	07/24/2015	\$1,001 - \$15,000	--
19	Self	<u>KGSIX</u>	Kalmar Growth-with-Value Sm Cp Instl	Sale (Full)	07/22/2015	\$1,001 - \$15,000	--
20	Self	<u>BND</u>	Vanguard Total Bond Market ETF	Sale (Full)	01/23/2015	\$1,001 - \$15,000	--
21	Self	<u>PSMIX</u>	Principal Global Multi-Strategy Instl	Sale (Full)	04/22/2015	\$1,001 - \$15,000	--
22	Self	<u>MLPI</u>	UBS ETRACS Alerian MLP Infracs ETN	Sale (Full)	07/24/2015	\$1,001 - \$15,000	--
23	Self	<u>MWTIX</u>	Metropolitan West Total Return Bond I	Purchase	01/23/2015	\$15,001 - \$50,000	--
24	Self	<u>ANONX</u>	American Century Small Cap Growth Instl	Purchase	01/23/2015	\$1,001 - \$15,000	--
25	Self	<u>APHIX</u>	Artisan International Institutional	Purchase	01/23/2015	\$1,001 - \$15,000	--
26	Self	<u>EEM</u>	iShares MSCI Emerging Markets	Purchase	01/23/2015	\$1,001 - \$15,000	--
27	Self	<u>MLPI</u>	UBS ETRACS Alerian MLP Infracs ETN	Purchase	01/23/2015	\$1,001 - \$15,000	--
28	Self	<u>RWX</u>	SPDR Dow Jones International RelEst ETF	Purchase	04/22/2015	\$1,001 - \$15,000	--
29	Self	<u>TRREX</u>	T. Rowe Price Real Estate	Purchase	04/22/2015	\$1,001 - \$15,000	--
30	Self	<u>BGCIX</u>	BlackRock Global Long/Short Credit Instl	Purchase	07/24/2015	\$1,001 - \$15,000	--
31	Joint	--	Residential Condo	Purchase	12/10/2015	\$250,001 - \$500,000	--
32	Spouse	<u>VTRIX</u>	Vanguard International Value Inv	Sale (Full)	04/09/2015	\$1,001 - \$15,000	--
33	Self	<u>CIVIX</u>	Causeway International Value Instl	Sale (Full)	10/27/2015	\$15,001 - \$50,000	--
34	Self	<u>EICSX</u>	Eaton Vance Commodity Strategy I	Sale (Full)	04/21/2015	\$1,001 - \$15,000	--

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Transaction Amount	Comment
35	Self	--	INVESCO PREMIER	Sale (Full)	10/27/2015	\$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? **Yes**

#	Incurred	Debtor	Type	Points	Rate (Term)	Amount	Creditor	Comments
1	2010	Joint	Line of Credit	-	6.65% (on demand)	\$100,001 - \$250,000	Morgan Stanley Newport, RI	-
2	2015	Self	Other (Portfolio Loan)	-	3.2% (On demand)	\$250,001 - \$500,000	Morgan Stanley Newport, RI	-
3	2010	Joint	Mortgage	0	4.75% (20 Years)	\$250,001 - \$500,000	US Bank Owensboro, KY	Paid off in 2015

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? **Yes**

#	Date	Parties Involved	Type	Status and Terms
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#	Date	Parties		Status and Terms
		Involved	Type	
1	Nov 2012	Adams Media Avon, MA	Royalty Agreement	Adams Media published a book written by Sen Whitehouse titled "On Virtues" and royalties to be paid on book. No royalties were received in 2015.
2	Jun 2015	The New Press New York, NY	Royalty Agreement	Royalties based on customary and usual terms for untitled nonfiction book to be published in 2017

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.