

Executive Branch Personnel

Public Financial Disclosure Report:

Periodic Transaction Report (OGE Form 278-T)

Filer's Information

Gibbons, John

United States Marshal, Department of Justice - U.S. Marshals Service

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

/s/ Gibbons, John [electronically signed on 05/26/2017 by Gibbons, John in Integrity.gov]

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

/s/ Auerbach, Gerald, Certifying Official [electronically signed on 10/19/2017 by Auerbach, Gerald in Integrity.gov]

Other review conducted by

/s/ Marcovici, Robert, Ethics Official [electronically signed on 10/18/2017 by Marcovici, Robert in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Skalla, Daniel L, Certifying Official [electronically signed on 11/03/2017 by Skalla, Daniel L in Integrity.gov]

Transactions

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
1	Raymond James John IRA Mutual Fund Account-Prudential Jennison MID CAP Growth Fund Class Z N/L (PEGZX)	See Endnote	Purchase	10/21/2016	Yes	
2	Raymond James John IRA Mutual Fund Account-Deutsche Global Real Estate Securities FD Class A M/F	See Endnote	Sale	10/21/2016	Yes	
3	Raymond James John IRA Mutual Fund Account-John Hancock Disciplined Value Fund Class I N/L (JVLIX)	See Endnote	Purchase	10/05/2016	Yes	
4	Raymond James Gibbons Joint Freedom Balance with Growth-Mutual Fund Account-AQR Managed Futures strategy Fund Class N N/L (AQMNX)	See Endnote	Purchase	10/05/2016	Yes	
5	Raymond James Gibbons Joint Freedom Balance with Growth-Baird Aggregate Bond Fund INSTL Class N/L	See Endnote	Purchase	10/05/2016	Yes	
6	Raymond James Gibbons Joint Freedom Balance with Growth-Mutual Fund Brown Advisory Growth Equity Fund Investor Shares N/L (BIAGX)	See Endnote	Purchase	10/05/2016	Yes	
7	Raymond James Gibbons Joint Freedom Balance with Growth-JPMorgan Mid Cap Value Fund Institutional Shares N/L (FLMVX)	See Endnote	Purchase	10/05/2016	Yes	
8	Raymond James Gibbons Joint Freedom Balance with Growth-Europacific Frowth Fund Class F2-American Funds N/L (AEPFX)	See Endnote	Purchase	10/05/2016	Yes	
9	Raymond James Gibbons Joint Freedom Balance with Growth-AMG River Road Small Cap Value Fund Class I N/L (ARSIX)	See Endnote	Purchase	10/05/2016	Yes	
10	Raymond James Joint Freedom Balance with Growth-JPMorgan U.S. Large Cap Core Plus Fund Select Class N/L (JLPSX)	See Endnote	Purchase	10/05/2016	Yes	
11	Raymond James John IRA Mutual Fund Account-AMG Times Square Small Cap Growth Fund Class S N/L (TSCPX)	See Endnote	Sale	10/21/2016	Yes	
12	Raymond James John IRA Mutual Fund-Clarkston Partners Fund Institutional Class N/L (CISMX)	See Endnote	Sale		Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
13	Raymond James John IRA Mutual Fund- Europacific Growth Fund Class F2-American Funds N/L	See Endnote	Sale	10/21/2016	Yes	
14	Raymond James John IRA Mutual Fund-Lazard Emerging Markets Equity Port Institutional SHS N/L (LZEMX)	See Endnote	Purchase	10/21/2016	Yes	
15	Raymond James John IRA Mutual Fund-Lazard Emerging Markets Equity Port Institutional SHS N/L (LZEMX)	See Endnote	Purchase	10/21/2016	Yes	
16	Raymond James John IRA Mutual Fund-Wells Fargo International Value Fund Class I N/L (WVIX)	See Endnote	Purchase	10/21/2016	Yes	
17	Raymond James John IRA Mutual Fund-JPMorgan Mid Cap Value Fund Institutional Shares N/L (FLMVX)	See Endnote	Sale	10/21/2016	Yes	
18	Raymond James John IRA Mutual Fund-MFS research Fund Class A M/F (MFRFX)	See Endnote	Sale	10/21/2016	Yes	
19	Raymond James John IRA Mutual Fund- AQR Managed Futures Strategy Fund Class N N/L (AQMNX)	See Endnote	Purchase	10/21/2016	No	
20	Raymond James John IRA Mutual Fund- AMG River Road Small Cap Value Fund Class I N/L (ARSIX)	See Endnote	Sale	10/21/2016	Yes	
21	Raymond James John IRA Mutual Fund-Prudential Jennison Mid Cap Growth Fund Class Z N/L	See Endnote	Sale	11/07/2016	Yes	\$1,001 - \$15,000
22	Raymond James John IRA Mutual Fund- Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Sale	10/21/2016	Yes	
23	Raymond James John IRA Mutual Fund-Baird Aggregate Bond Fund Instl Class N/L (BAGIX)	See Endnote	Sale	10/21/2016	Yes	
24	Raymond James John IRA Mutual Fund-Victory Trivalent Intl Small-Cap Fund Class Y N/L	See Endnote	Purchase	10/21/2016	Yes	
25	Raymond James John IRA Mutual Fund-JPMorgan U.S. Large Cap Core Plus Fund Select Class N/L (JLPSX)	See Endnote	Sale	10/21/2016	Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
26	Raymond James John IRA Mutual Fund-Hartford Midcap Fund Class I N/L (HFMIX)	See Endnote	Purchase	11/07/2016	No	\$1,001 - \$15,000
27	Raymond James Gibbons Joint Freedom Balance with Growth-Mutual Fund MFS Research Fund Class A M/F (MFRFX)	See Endnote	Purchase	10/05/2016	Yes	
28	Raymond James Gibbons Joint Freedom Balance with Growth-Mutual Fund Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	10/05/2016	Yes	
29	Raymond James Gibbons Joint Freedom Balance with Growth-Mutual Fund Prudential Jennison Mid Cap Growth Fund Class Z N/L	See Endnote	Purchase	10/05/2016	Yes	
30	Raymond James Gibbons Joint Freedom Balance with Growth-Mutual Fund Deutsche Global Real Estate Securities FD Class A M/F (PEGZX)	See Endnote	Purchase	10/05/2016	Yes	
31	Raymond James Gibbons Joint Freedom Balance with Growth-Mutual Fund: AMG Times Square Small Cap Growth Fund Class S N/L (TSCPX)	See Endnote	Purchase	10/05/2016	Yes	
32	Raymond James Gibbons Joint Freedom Balance with Growth- Mutual Fund: Wells Fargo Internatinal Value Fund Class I N/L (WVIX)	See Endnote	Purchase	10/05/2016	Yes	
33	Raymond James Gibbons Joint Freedom Balance with Growth-Mutual Fund: Clarkston Partners Fund Institutional Class N/L (CISMV)	See Endnote	Purchase	10/05/2016	Yes	
34	Raymond James Gibbons Joint Freedom Balance with Growth-Mutual Fund: Victory Trivalent INTL Small Cap Fund Class Y N/L (MYSIX)	See Endnote	Purchase	10/05/2016	Yes	
35	Raymond James Gibbons Joint Freedom Balance with Growth- Mutual Fund: Brown Advisory Growth Equity Fund Investor Shares N/L (BIAGX)	See Endnote	Purchase	11/07/2016	Yes	
36	Raymond James Gibbons Joint Freedom Balance with Growth- Mutual Fund: Hartford Midcap Fund Class I N/L (HFMIX)	See Endnote	Purchase	11/07/2016	Yes	\$1,001 - \$15,000
37	Raymond James Gibbons Joint Freedom Balance with Growth- Mutual Fund: Europacific Growth Fund Class F2-American Funds N/L	See Endnote	Purchase	11/07/2016	Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
38	Raymond James Gibbons Joint Freedom Balance with Growth- Mutual Fund: MFS International Growth Fund Class I N/L (MQGIX)	See Endnote	Purchase		Yes	
39	Raymond James Gibbons Joint Freedom Balance with Growth- Mutual Fund: Deutsche Global Real estate Securities FD Class A M/F (RRGAX)	See Endnote	Purchase	11/07/2016	Yes	
40	Raymond James Gibbons Joint Freedom Balance with Growth-Mutual Fund: MFS Research Fund Class A M/F (MFRFX)	See Endnote	Purchase	11/07/2016	Yes	
41	Raymond James Gibbons Joint Freedom Balance with Growth-Mutual Fund: AMG Times Square Small Cap Growth Fund Class S N/L (TSCPX)	See Endnote	Purchase	11/07/2016	Yes	
42	Raymond James Gibbons Joint Freedom Balance with Growth- Mutual Fund: Prudential Jennison Mid Cap Growth Fund Class Z N/L (PEGZX)	See Endnote	Sale	11/07/2016	Yes	\$1,001 - \$15,000
43	Raymond James Gibbons Joint Freedom Balance with Growth- Mutual Fund: Brown Advisory Growth Equity Fund Investor Shares N/L (BIAGX)	See Endnote	Purchase	12/05/2016	Yes	
44	Raymond James Gibbons Joint Freedom Balance with Growth- Mutual Fund: Victory Trivalent INTL Small-Cap Fund Class Y N/L (MYSIX)	See Endnote	Purchase	12/05/2016	Yes	
45	Raymond James Gibbons Joint Freedom Balance with Growth- Mutual Fund: Europacific Growth Fund Class F2-American Funds N/L	See Endnote	Purchase	12/05/2016-	Yes	
46	Raymond James Gibbons Joint Freedom Balance with Growth- Mutual Fund: AQR Managed Futures Strategy Fund Class N N/L (AQMNX)	See Endnote	Purchase	12/05/2016	Yes	
47	Raymond James Gibbons Joint Freedom Balance with Growth-Mutual Fund: Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	12/05/2016	Yes	
48	Raymond James Gibbons Joint Freedom Balance with Growth- Mutual Fund: AMG River Road Small Cap Value Fund Class I N/L (ARSIX)	See Endnote	Sale	12/05/2016	Yes	
49	Raymond James Gibbons Joint Freedom Balance with Growth-Mutual Fund: Lazard Emerging Markets Equity Port Institutional SHS N/L (LZEMX)	See Endnote	Purchase	12/05/2016	Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
50	Raymond James Gibbons Joint Freedom Balance with Growth- Mutual Fund: John Hancock Disciplined Value Fund Class N/L (JVLIX)	See Endnote	Sale		Yes	
51	Raymond James Gibbons Joint Freedom Balance with Growth- Mutual Fund: MFS Research Fund Class A M/F (MFRFX)	See Endnote	Purchase	12/05/2016	Yes	
52	Raymond James Gibbons Joint Freedom Balance with Growth- Mutual Fund: MFS International Growth Fund Class I N/L (MQGIX)	See Endnote	Purchase	12/05/2016	Yes	
53	Raymond James Gibbons Joint Freedom Balance with Growth- Mutual Fund: Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	12/05/2016	Yes	
54	Raymond James Gibbons Joint Freedom Balance with Growth- Mutual Fund: Deutsche Global Real Estate Securities FD Class A M/F (RRGAX)	See Endnote	Purchase	12/05/2016	Yes	
55	Raymond James Gibbons Joint Freedom Balance with Growth- Mutual Funds: AMG Times Square Small Cap Growth Fund Class S N/L (TSCPX)	See Endnote	Sale	12/05/2016	Yes	
56	Raymond James Gibbons Joint Freedom Balance with Growth- Mutual funds: Wells Fargo International Value Fund Class I N/L (WVIX)	See Endnote	Purchase	12/05/2016	Yes	
57	RJ-Spouse IRA Freedom Bal w/Growth Mutual Fund-Deutsche Global Real estate Securities FD Class A M/F (RRGAX)	See Endnote	Sale	10/21/2016	Yes	
58	RJ-Spouse IRA Freedom Bal w/Growth Mutual Fund-John Hancock Disciplined Value Fund Class I N/L (JVLIX)	See Endnote	Sale	10/21/2016	Yes	
59	RJ-Spouse IRA Freedom Bal w/Growth Mutual Fund-AMG Times Small Cap Growth Fund Class S N/L (TSCPX)	See Endnote	Sale	10/21/2016	Yes	
60	RJ-Spouse IRA Freedom Bal w/Growth Mutual Fund-Clarkston Partners Fund Institutional Class N/L (CISM)	See Endnote	Sale	10/21/2016	Yes	
61	RJ-Spouse IRA Freedom Bal w/Growth Mutual Fund- Europacific Growth Fund Class F2- American Funds (AEPFX)	See Endnote	Sale	10/21/2016	Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
62	RJ-Spouse IRA Freedom Bal w/Growth Mutual Fund-Lazard Emerging Markets Equity Port Institutional SHS N/L (LZEMX)	See Endnote	Purchase	10/21/2016	Yes	
63	RJ-Spouse IRA Freedom Bal w/Growth mutual fund-Wells Fargo International Value Fund Class I N/L (WFBVIX)	See Endnote	Purchase	10/21/2016	Yes	
64	RJ-Spouse IRA Freedom Bal w/Growth Mutual Fund-JPMorgan Mid Cap Value Fund Institutional Shares N/L (FLMVX)	See Endnote	Sale	10/21/2016	Yes	
65	RJ-Spouse IRA Freedom Bal w/Growth Mutual Fund-MFS Research Fund Class A M/F (MFRFX)	See Endnote	Sale	10/21/2016	Yes	
66	RJ-Spouse IRA Freedom Bal w/Growth Mutual Fund-AQR Managed Futures Strategy Fund Class N N/L (AQMNX)	See Endnote	Purchase	10/21/2016	Yes	
67	RJ-Spouse IRA Freedom Bal w/Growth Mutual Fund-AMG River Road Small Cap Value Fund Class I N/L (ARSIX)	See Endnote	Sale	10/21/2016	Yes	
68	RJ-Spouse IRA Freedom Bal w/Growth Mutual Fund-Metropolitan West Total Return Bond Fund Class L N/L (MWTIX)	See Endnote	Sale	10/21/2016	Yes	
69	RJ-Spouse IRA Freedom Bal w/Growth Mutual Fund-Baird Aggregate Bond Fund Instl Class N/L (BAGIX)	See Endnote	Sale	10/21/2016	Yes	
70	RJ-Spouse IRA Freedom Bal w/Growth Mutual Fund-Victory Trivalent Instl Small-Cap Fund Class Y N/L (MYSIX)	See Endnote	Purchase	10/21/2016	Yes	
71	RJ-Spouse IRA Freedom Bal w/Growth Mutual Fund-JPMorgan U.S. Large Cap Core Plus Fund Select Class N/L (JLPSX)	See Endnote	Sale	10/21/2016	Yes	
72	RJ-Spouse IRA Freedom Bal w/Growth Mutual Fund-Prudential Jennison MID CAP Growth Fund Class Z N/L (PEGZX)	See Endnote	Purchase	10/21/2016	Yes	
73	RJ-Spouse IRA Freedom Bal w/Growth Mutual Fund-Hartford MIDCAP Fund Class I N/L (HFMIX)	See Endnote	Purchase	11/07/2016	Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
74	RJ-Spouse IRA Freedom Bal w/Growth Mutual Fund-Prudential Jennison MID CAP Growth Fund Class Z N/L (PEGZX)	See Endnote	Sale	11/07/2016	Yes	
75	Raymond James Gibbons Joint Freedom Balance w/Growth-MFS Research Fund Class A M/F (MFRFX)	See Endnote	Purchase	08/10/2016	Yes	
76	Raymond James Gibbons Joint Freedom Balance with Growth-MFS International Growth Fund Class I N/L (MQGIX)	See Endnote	Purchase	08/10/2016	Yes	
77	Raymond James Gibbons Joint Freedom Balance with Growth-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	08/10/2016	Yes	
78	Raymond James Gibbons Joint Freedom Balance with Growth-AMG Times Square Small Cap Growth Fund Premier Class n/L (TSCPX)	See Endnote	Purchase	08/23/2016	Yes	
79	RJ-John IRA Freedom Bal w/Growth mutual fund-Metropolitan West Total Return Bond Class I N/L (MWTIX)	See Endnote	Purchase	08/01/2016	Yes	
80	RJ-John IRA Freedom Bal w/Growth mutual fund-Lazard Emerging Markets Equity Port Institutional SHS N/L (LZEMX)	See Endnote	Purchase	08/23/2016	Yes	
81	RJ-John IRA Freedom Bal w/Growth mutual fund-Baird Aggregate Bond Fund INSTL Clkass N/L (BAGIX)	See Endnote	Purchase	08/26/2016	Yes	
82	RJ-Spouse IRA Freedom Bal w/Growth mutual fund-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	08/01/2016	Yes	
83	RJ-Spouse IRA Freedom Bal w/Growth mutual fund-Lazard Emerging Markets Equity Port Institutional SHS N/L (LZEMX)	See Endnote	Purchase	08/23/2016	Yes	
84	RJ-Spouse IRA Freedom Bal w/Growth mutual fund-Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	08/26/2016	Yes	
85	Raymond James Gibbons Joint freedom Balance w/growth mutual fund-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	12/01/2016	Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
86	Raymond James Gibbons Joint Freedom Balance w/growth mutual fund-Brown Advisory Growth Equity Fund Investor Shares N/L (BIAGX)	See Endnote	Purchase	12/06/2016	Yes	
87	Raymond James Joint Freedom Bal w/Growth mutual fund-Victory Trivalent INTL Small-Cap Fund Class Y N/L (MYSIX)	See Endnote	Purchase	12/06/2016	Yes	
88	Raymond James Joint Freedom Bal w/Growth mutual fund-AQR Managed Futures Strategy Fund N N/L (AQMNX)	See Endnote	Purchase	12/06/2016	Yes	
89	Raymond James Gibbons Joint Freedom Bal w/Growth diversified mutual fund-Cash Direct Deposit-Periodic Investment TRX	See Endnote	Exchange	12/06/2016	Yes	\$1,001 - \$15,000
90	Raymond James Gibbons Joint Freedom Balance w/growth mutual fund-Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	12/06/2016	Yes	
91	Raymond James Gibbons Joint Freedom Bal w/growth mutual fund-Lazard Emerging Markets Equity Port Institutional SHS N/L (LZEMX)	See Endnote	Purchase	12/06/2016	Yes	
92	Raymond James Gibbons Joint freedom Balance w/growth mutual fiund-Europacific Growth Fund Class F2-American Funds N/L (AEPFX)	See Endnote	Purchase	12/08/2016	Yes	
93	Raymond James Gibbons Joint Freedom Balance w/growth mutual fund-AMG River Road Small Cap Value Fund Class I N/L (ARSIX)	See Endnote	Sale	12/08/2016	Yes	
94	Raymond James Gibbons Joint Freedom Balance w/growth mutual fund-John Hancock Disciplined Value Fund Class I N/L (JVLIX)	See Endnote	Sale	12/06/2016	Yes	
95	Raymond James Gibbons Joint Freedom Balance w/growth mutual fund-MFS Research Fund Class A M/F (MFRFX)	See Endnote	Purchase	12/08/2016	Yes	
96	Raymond James Gibbons Joint Freedom Balance w/Growth-MFS International Growth Fund Class I N/L (MQGIX)	See Endnote	Purchase	12/08/2016	Yes	
97	Raymond James Gibbons Joint Freedom Bal w/Growth mutual fund-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	12/06/2016	Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
98	Raymond James Gibbons Joint Freedom Bal w/Growth mutual fund-Deutsche Global Real estate Securities FD Class A M/F (RRGAX)	See Endnote	Purchase	12/08/2016	Yes	
99	Raymond James Gibbons Joint Freedom Balance w/growth mutual fund-AMG Times Square Small Cap Growth Fund Class I N/L (WVIX)	See Endnote	Sale	12/08/2016	Yes	
100	Raymond James Gibbons Joint Freedom Balance w/growth mutual fund-Wells Fargo International Value Fund Class I N/L (WVIX)	See Endnote	Purchase	12/08/2016	Yes	
101	Raymond James Gibbons Joint Freedom Bal w/Growth mutual fund- Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	12/13/2016	Yes	
102	Raymond James Gibbons Joint Freedom Bal w/Growth mutual fund-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	12/13/2016-	Yes	
103	Raymond James Gibbons Joint Freedom Bal w/Growth mutual fund-JPMorgan Mid Cap Value Fund Class L N/L (FLMVX)	See Endnote	Purchase		Yes	
104	Raymond James Gibbons Joint Freedom Bal w/Growth mutual fund-JPMorgan U.S. Large Cap Core Plus Fund Select Class N/L (JLPSX)	See Endnote	Purchase	12/15/2016	Yes	
105	Raymond James Gibbons Joint Freedom Bal w/Growth mutual fund-MFS International Growth Fund Class I N/L (MQGIX)	See Endnote	Purchase	12/16/2016	Yes	
106	Raymond James Gibbons Joint Freedom Bal w/Growth mutual fund-Hartford MIDCAP Fund Class I N/L (HFMIX)	See Endnote	Purchase	12/19/2016	Yes	
107	Raymond James Gibbons Joint Freedom Bal w/Growth mutual fund-John Hancock Disciplined Value Fund Class I N/L (JVLIX)	See Endnote	Purchase	12/19/2016	Yes	
108	Raymond James Gibbons Joint Freedom Bal w/Growth mutual fund-Clarkston Partners Fund Institutional Class N/L (CISMV)	See Endnote	Purchase	12/19/2016	Yes	
109	Raymond James Gibbons Joint Freedom Bal w/Growth mutual fund-Deutsche Global Real Estate Securities FD Class A M/F (RRGAX)	See Endnote	Purchase	12/21/2016	Yes	

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110	Raymond James Gibbons Joint Freedom Bal w/Growth mutual fund-Brown Advisory Growth Equity Fund Investor Shares N/L (BIAGX)	See Endnote	Purchase	12/21/2016	Yes	\$1,001 - \$15,000
111	Raymond James Gibbons Joint Freedom Bal w/Growth mutual fund-AQR Managed Futures Strategy Fund Class N N/L (AQMNX)	See Endnote	Purchase	12/21/2016	Yes	
112	Raymond James Gibbons Joint Freedom Bal w/Growth mutual fund-JPMorgan MID CAP Value Fund Class L N/L (FLMVX)	See Endnote	Purchase	12/21/2016	Yes	
113	Raymond James Gibbons Joint Freedom Bal w/Growth mutual fund-JPMorgan U.S. Large Cap Core Plus Fund Select Class N/L (JLPSX)	See Endnote	Purchase	12/21/2016	Yes	
114	Raymond James Gibbons Joint Freedom Bal w/Growth mutual fund-Lazard Emerging Markets Equity Port Institutional SHS N/L (LZEMX)	See Endnote	Purchase	08/23/2016	Yes	
115	Raymond James Gibbons Joint Freedom Bal w/Growth mutual fund-Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	08/26/2016	Yes	
116	Raymond James Joint Freedom Bal w/Growth mutual fund-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	11/01/2016	Yes	
117	Raymond James Gibbons Joint Freedom Diversified Mutual Fund-Cash Direct Deposit	See Endnote		11/07/2016	Yes	\$1,001 - \$15,000
118	Raymond James Joint Freedom Bal w/Growth diversified mutual fund-Brown Advisory Growth Equity Fund Investor Shares N/L (BIAGX)	See Endnote	Purchase	11/08/2016	Yes	
119	Gibbons Joint Freedom Bal w/Growth diversified mutual fund-Hartford Midcap Fund Class I N/L (HFMIX)		Purchase	11/10/2016	Yes	\$1,001 - \$15,000
120	Raymond James Gibbons Joint Freedom Bal w/Growth diversified mutual fund-Europacific Growth Fund Class F2-American Funds N/L (AEPFX)	See Endnote	Purchase	11/10/2016	Yes	
121	Raymond James Gibbons Joint Freedom Bal w/Growth diversified mutual fund-MFS International GrowthFund Class I N/L (MQGIX)	See Endnote	Purchase	11/10/2016	Yes	

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122	Raymond James Gibbons Joint Freedom Bal w/Growth diversified mutual fund-Deutsche Global Real Estate Securities FD Cass A M/F (RRGAX)	See Endnote	Purchase	11/10/2016	Yes	
123	Raymond James Gibbons Joint Freedom Bal w/Growth diversified mutual fund-MFS Research Fund Class A M/F (MFRFX)	See Endnote	Purchase	11/10/2016	Yes	
124	Raymond James Joint Freedom Bal w/Growth diversified mutual fund-AMG Times Square Small CAP Growth Fund Class S N/L (TSCPX)	See Endnote	Purchase	11/10/2016	Yes	
125	Raymond James Gibbons Joint Freedom Bal w/Growth diversified mutual fund-Prudential Jennison MID CAP Growth Fund Class Z N/L (PEGZX)		Sale	11/10/2016	Yes	\$1,001 - \$15,000
126	Raymond James Gibbons Joint Freedom Bal w/Growth diversified mutual fund-Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	11/28/2016	Yes	
127	RJ-John IRA Freedom Bal w/Growth diversified mutual fund-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	11/01/2016	Yes	
128	RJ-John IRA Freedom Bal w/Growth diversified mutual fund-Hartford MIDCAP Fund Class I N/L (HFMIX)	See Endnote	Purchase	11/10/2016	Yes	\$1,001 - \$15,000
129	RJ-John IRA Freedom Bal w/growth diversified mutual fund-Prudential Jennison MID CAP Growth Fund Class Z N/L (PEGZX)	See Endnote	Sale	11/10/2016	Yes	\$1,001 - \$15,000
130	RJ-John IRA Freedom Bal w/growth diversified mutual fund-Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	11/28/2016	Yes	
131	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	11/10/2016	Yes	
132	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Hartford MIDCAP Fund Class I N/L (HFMIX)	See Endnote	Purchase	11/10/2016	Yes	\$1,001 - \$15,000

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133	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Prudential Jennison MID CAP Growth Fund Class Z N/L (PEGZX)	See Endnote	Sale	11/10/2016	Yes	\$1,001 - \$15,000
134	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	11/28/2016	Yes	
135	Raymond James Gibbons Joint freedom Bal w/growth diversified mutual fund-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	04/01/2016	Yes	
136	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Cash Deposit	See Endnote		04/05/2016	Yes	\$1,001 - \$15,000
137	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund- AQR Managed Futures Strategy Fund Class n N/L (AQMNX)	See Endnote	Purchase	04/06/2016	Yes	
138	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Aston/River Road Small CAP Value Fund Class I N/L (ARSIX)	See Endnote	Purchase	04/06/2016	Yes	
139	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	04/06/2016	Yes	
140	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Brown Advisory Growth Equity Fund Investor Shares N/L (BIAGX)	See Endnote	Purchase	04/06/2016	Yes	
141	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Clarkston Partners Fund Institutional Class N/L (CISMX)	See Endnote	Purchase	04/06/2016	Yes	
142	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-JPMorgan U.S. Large CAP Core Plus Fund Select Class N/L (JLPSX)	See Endnote	Purchase	04/06/2016	Yes	
143	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund- Victory Trivalent INTL Small-Cap Fund Class Y N/L (MYSIX)	See Endnote	Purchase	04/06/2016	Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
144	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Europacific Growth Fund Class F2- American Funds N/L (AEPFX)	See Endnote	Purchase	04/08/2016	Yes	
145	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund- Virtus Emerging Markets Opportunies Fund Class N/L (HIEMX)	See Endnote	Purchase	04/08/2016	Yes	
146	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-John Hancock Disciplined Value Fund Class I N/L	See Endnote	Purchase	04/08/2016	Yes	
147	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-MFS Research Fund Class A M/F (MFRFX)	See Endnote	Purchase	04/08/2016	Yes	
148	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund- MFS International Growth Fund Class I N/L (MQGIX)	See Endnote	Purchase	04/08/2016	Yes	
149	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	04/08/2016	Yes	
150	Raymond James Gibbons Joint Freedom Bal diversified mutual fund-Prudential Jennison MID CAP Growth Fund Class Z N/L (PEGZX)	See Endnote	Purchase	04/08/2016	Yes	
151	Raymond James Gibbons Joint freedom Bal w/growth diversified mutual fund- AMG Times Square Small CAP Growth Fund Premier Class N/L (TSCPX)	See Endnote	Purchase	04/08/2016	Yes	
152	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund- Wells Fargo International Value Fund Class I N/L (WFVIX)	See Endnote	Purchase	04/08/2016	Yes	
153	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	04/26/2016	Yes	
154	RJ-John IRA Freedom Bal w/growth diversified mutual fund-Metropolitan West Total Return Bons FunClass I N/L (MWTIX)	See Endnote	Purchase	04/01/2016	Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
155	RJ-John IRA Freedom Bal w/growth diversified mutual fund-Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	04/26/2016	Yes	
156	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	04/01/2016	Yes	
157	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	07/01/2016	Yes	
158	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Direct Depoist Cash	See Endnote		07/05/2016	Yes	\$1,001 - \$15,000
159	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund- Brown Advisory Growth Equity Fund Investor Shares N/L (BIAGX)	See Endnote	Purchase	07/06/2016	Yes	
160	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund- Clarkston Partners Fund Institutional Class N/L (CISMX)	See Endnote	Purchase	07/06/2016	Yes	
161	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-JPMorgan U.S. Large Cap Core Plus Fund Select Class N/L (JLPSX)	See Endnote	Purchase	07/06/2016	Yes	
162	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Victory Trivalent INTL Small-Cap Fund Class Y N/L (MYSIX)	See Endnote	Purchase	07/06/2016	Yes	
163	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Europacific Growth Fund Class F2-American Funds N/L (AEPFX)	See Endnote	Purchase	07/08/2016	Yes	
164	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund- John Hancock Disciplined Value Fund Class I N/L (JVLIX)	See Endnote	Purchase	07/08/2016	Yes	
165	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund- MFS Research (MFRFX)	See Endnote	Purchase	07/08/2016	Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
166	Raymond James Gibbons Joint Bal w/growth diversified mutual fund- Prudential Jennison MID CAP Growth Fund Class Z N/L (PEGZX)	See Endnote	Purchase	07/08/2016	Yes	
167	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund- Wells Fargo International Value Fund Class I N/L (WVIX)	See Endnote	Purchase	07/20/2016	Yes	
168	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	07/26/2016	Yes	
169	RJ-Gibbons IRA Freedom Bal w/growth diversified mutual fund- Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	07/01/2016	Yes	
170	RJ-Gibbons IRA Freedom Bal w/growth diversified mutual fund- Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	07/26/2016	Yes	
171	RJ-Spouse IRA Freedom Bal w/Growth diversified mutual fund- Metropolitan West Total Return Bond Fund Class I N?L (MWTIX)	See Endnote	Purchase	07/01/2016	Yes	
172	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	07/26/2016	Yes	
173	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	10/03/2016	Yes	
174	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Direct Cash Deposit	See Endnote		10/05/2016	Yes	\$1,001 - \$15,000
175	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund- AQR Managed Futures Strategy Fund Class N N/L (AQMNX)	See Endnote	Purchase	10/06/2016	Yes	
176	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund- Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	10/06/201	Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
177	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Brown Advisory Growth Equity Fund Investor Shares N/L (BIAGX)	See Endnote	Purchase	10/06/2016	Yes	
178	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund- JPMorgan Mid Cap Value Fund Institutional Shares N/L (FLMVX)	See Endnote	Purchase	10/06/2016	Yes	
179	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund- JPMorgan U.S. Large Cap Core Plus Fund Select Class N/L (JLPSX)	See Endnote	Purchase	10/06/2016	Yes	
180	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund- Clarkston Partners Fund Institutional Class N/L (CISMX)	See Endnote	Purchase	10/06/2016	Yes	
181	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Victory Trivalent INTL Small-CAP Fund Class Y N/L (MYSIX)	See Endnote	Purchase	10/06/2016	Yes	
182	Raymond James gibbons Joint Freedom Bal w/growth diversified mutual fund-Europacific Growth Fund Class F2-American Funds N/L (AEPFX)	See Endnote	Purchase	10/11/2016	Yes	
183	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund- AMG River Road Small CAP Value Fund Class I N/L (ARSIX)	See Endnote	Purchase	10/11/2016	Yes	
184	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-John Hancock Disciplined Value Fund Class I N/L (JVLIX)	See Endnote	Purchase	10/11/2016	Yes	
185	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-MFS Research Fund Class A M/F (MFRFX)	See Endnote	Purchase	10/11/2016	Yes	
186	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	10/11/2016	Yes	
187	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund- Prudential Jennison MID CAP Growth Fund Class Z N/L (PEGZX)	See Endnote	Purchase	10/11/2016	Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
188	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Deutsche Global Real Estate Securities FD Class A M/F (RRGAX)	See Endnote	Purchase	10/11/2016	Yes	
189	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-AMG Times Square Small Cap Growth Fund Class S N/L (TSCPX)	See Endnote	Purchase	10/11/2016	Yes	
190	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund- Wells Fargo International Value Fund Class I N/L (WFVIX)	See Endnote	Purchase	10/11/2016	Yes	
191	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	10/26/2016	Yes	
192	RJ-John IRA Freedom Bal w/Growth diversified mutual fund- Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	10/04/2016	Yes	
193	RJ-John IRA Freedom Bal w/growth diversified mutual fund-Clarkston Partners Fund Institutional Class N/L (CISMV)	See Endnote	Sale	10/24/2016	Yes	
194	RJ-Gibbons Joint Freedom Bal w/growth diversified mutual fund-Lazard Emerging Markets Equity Port Institutional SHS N/L (LZEMX)	See Endnote	Purchase	10/24/2017	Yes	
195	RJ-John IRA Freedom Bal w/growth diversified mutual fund-JPMorgan Mid Cap Value Fund Institutional Shares N/L (FLMVX)	See Endnote	Sale	10/24/2016	Yes	
196	RJ-John IRA Freedom Bal w/growth diversified mutual fund-JPMorgan Mid Cap Value Fund Institutional Shares N/L (FLMVX)	See Endnote	Sale	10/24/2016	Yes	
197	RJ-John IRA Freedom Bal w/growth diversified mutual fund-AQR Managed Futures Strategy Fund Class N N/L (AQMNX)	See Endnote	Purchase	10/24/2016	Yes	
198	RJ-John IRA Freedom Bal w/growth diversified mutual fund-Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Sale	10/24/2016	Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
199	RJ-John IRA Freedom Bal w/growth diversified mutual fund- Victory Trivalent INTL Small-CAP Fund Class Y N/L (MYSIX)	See Endnote	Purchase	10/24/2016	Yes	
200	RJ-John IRA Freedom Bal w/growth diversified mutual fund- JPMorgan U.S. Large Cap Core Plus Fund Select Class N/L (JLPSX)	See Endnote	Sale	10/24/2016	Yes	
201	RJ-John IRA Freedom Bal w/growth diversified mutual fund- Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	10/26/2016	Yes	
202	RJ-John IRA Freedom Bal w/growth diversified mutual fund-Prudential Jennison Mid Cap Growth Fund Class Z N/L (PEGZX)	See Endnote	Purchase	10/26/2016	Yes	
203	RJ-John IRA Freedom Bal w/growth diversified mutual fund-Deutsche Global Real Estate Securities FD Class A M/F (RRGAX)	See Endnote	Purchase	10/26/2016	Yes	
204	RJ-John IRA Freedom Bal w/growth diversified mutual fund-John Hancock Disciplined Value Fund Class I N/L (JVLIX)	See Endnote	Sale	10/26/2016	Yes	
205	RJ-John IRA Freedom Bal w/growth diversified mutual fund-AMG Times Square Small Cap Growth Fund Class S N/L (TSCPX)	See Endnote	Sale	10/26/2016	Yes	
206	RJ-John IRA Freedom Bal w/growth diversified mutual fund-Europacific Growth Fund Class F2- American Funds N/L (AEPFX)	See Endnote	Sale	10/26/2016	Yes	
207	RJ-John IRA Freedom Bal w/growth diversified mutual fund-Wells Fargo International Value Fund Class I N/L (WVIX)	See Endnote	Purchase	10/26/2016	Yes	
208	RJ-John IRA Freedom Bal w/growth diversified mutual fund-MFS Research Fund Class A M/F (MFRFX)	See Endnote	Sale	10/26/2016	Yes	
209	RJ-John IRA Freedom Bal w/growth diversified mutual fund- AMG River Road Small Cap Value Fund Class I N/L (ARSIX)	See Endnote	Sale	10/26/2016	Yes	
210	RJ-John IRA Freedom Bal w/growth diversified mutual fund-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Sale	10/26/2016	Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
211	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	10/03/2016	Yes	
212	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Clarkston Partners Fund Institutional Class N/L (CISMX)	See Endnote	Sale	10/24/2016	Yes	
213	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Lazard Emerging Markets Equity Port Institutional SHS N/L (LZEMX)	See Endnote	Purchase	10/24/2016	Yes	
214	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-JPMorgan Mid Cap Value Fund Institutional Shares N/L (FLMVX)	See Endnote	Sale	10/24/2016	Yes	
215	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-AQR Managed Futures Strategy Fund Class N N/L (AQMNX)	See Endnote			Yes	
216	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Sale	10/24/2016	Yes	
217	RJ-Spouse Freedom Bal w/growth diversified mutual fund-Victory Trivalent INTL Small-Cap Fund Class Y N/L (MYSIX)	See Endnote	Purchase	10/24/2016	Yes	
218	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-JPMorgan U.S. Large Cap Core Plus Fund Select Class N/L (JLPSX)	See Endnote	Sale	10/24/2016	Yes	
219	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	10/26/2016	Yes	
220	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Deutsche Global Real Estate Securities FD Class A M/F (RRGAX)	See Endnote	Sale	10/26/2016	Yes	
221	RJ-John IRA Freedom Bal w/growth diversified mutual fund-John Hancock Disciplined Value Fund Class I N/L (JVLIX)	See Endnote	Sale	10/26/2016	Yes	
222	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-AMG Times Square Small Cap Growth Fund Class S N/L (TSCPX)	See Endnote	Sale	10/26/2016+	Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
223	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Europacific Growth Fund Class F2-American Funds N/L (AEPFX)	See Endnote	Sale	10/26/2016	Yes	
224	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Wells Fargo International Value Fund Class I N/L (WFOVIX)	See Endnote	Purchase	10/26/2016	Yes	
225	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-MFS Research Fund Class A M/F (MFRFX)	See Endnote	Sale	10/26/2016	Yes	
226	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-AMG River Road Small Cap Value Fund Class I N/L (ARSIX)	See Endnote	Sale	10/26/2016	Yes	
227	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Sale	10/26/2016	Yes	
228	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Prudential Jennison Mid Cap Growth Fund Class Z N/L (PEGZX)	See Endnote	Purchase	10/26/2016	Yes	
229	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-MFS Research Fund Class A M/F (MFRFX)	See Endnote	Purchase	12/21/2016	Yes	
230	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-MFS Research Fund Class A M/F	See Endnote	Purchase	12/21/2016	Yes	
231	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Europacific Growth Fund Class F2-American Funds N/L (AEPFX)	See Endnote	Purchase	12/23/2016	Yes	
232	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Lazard Emerging Markets Equity Port Institutional SHS N/L (LZEMX)	See Endnote	Purchase	12/23/2016	Yes	
233	RJ-Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-AMG Times Square Small Cap Growth Fund Class S N/L (TSCPX)	See Endnote	Purchase	12/28/2016	Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
234	Raymond James Gibbons Joint Freedom Bal w/growth-Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	12/28/2016	Yes	
235	Raymond James Gibbons Joint Freedom Bal w/growth diversified mutual fund-Victory Trivalent INTL Small-Cap Fund Class Y N/L (MYSIX)	See Endnote	Purchase	12/29/2016	Yes	
236	Raymond James Joint Freedom Bal w/growth diversified mutual fund-Wells Fargo International Value Fund Class I N/L (WFXIX)	See Endnote	Purchase	12/30/2016	Yes	
237	RJ-John IRA Freedom Bal w/Growth diversified mutual fund-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	12/01/2016	Yes	
238	RJ-John IRA freedom Bal w/growth-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	12/13/2016	Yes	
239	RJ-John IRA Freedom Bal diversified mutual fund-JPMorgan Mid Cap Value Fund Class L N/L (FLMVX)	See Endnote	Purchase	12/15/2016	Yes	
240	RJ-John IRA Freedom Bal w/growth-JPMorgan U.S. Large Cap Core Plus Fund Select Class N/L (JLPSX)	See Endnote	Purchase	12/15/2016	Yes	
241	John IRA Freedom Bal w/growth diversified mutual fund- MFS International Growth Fund Class N/L (MQGIX)	See Endnote	Purchase	12/16/2016	Yes	
242	John IRA Freedom Bal w/growth diversified mutual fund-Hartford Midcap Fund Class I N/L (MQGIX)	See Endnote	Purchase	12/19/2016	Yes	
243	RJ-John IRA Freedom Bal w/growth diversified mutual fund-John Hancock Disciplined Value Fund Class I N/L (JVLIX)	See Endnote	Purchase	12/19/2016	Yes	
244	RJ-John IRA Freedom Bal w/growth diversified mutual fund-Clarkston Partners Fund Institutional Class N/L (CISMX)	See Endnote	Purchase	12/21/2016	Yes	
245	RJ-John IRA Freedom Bal w/growth diversified mutual fund-Deutsche Global Real Estate Securities FD Class A M/F (RRGAX)	See Endnote	Purchase	12/20/2016	Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
246	RJ-John IRA Freedom Bal w/growth diversified mutual fund-Brown Advisory Growth Equity Fund Investor Shares N/L (BIAGX)	See Endnote	Purchase	12/21/2016	Yes	
247	RJ-John IRA Freedom Bal w/growth diversified mutual fund-JP Morgan Mid Cap Valu Fund Class L N/L (FLMVX)	See Endnote	Purchase	12/21/2016	Yes	
248	RJ-John IRA Freedom Bal w/growth diversified mutual fund-JPMorgan U.S. Large Cap Core Plus Fund Select Class N/L (JLPSX)	See Endnote	Purchase	12/21/2016	Yes	
249	RJ-John IRA Freedom Bal w/growth diversified mutual fund-MFS Research Fund Class A M/F (MFRFX)	See Endnote	Purchase	12/21/2016	Yes	
250	RJ-John IRA Freedom Bal w/growth diversified mutual fund-Europacific Growth Fund Class F2-American Funds N/L (AEPFX)	See Endnote	Purchase	12/23/2017	Yes	
251	RJ-John IRA Freedom Bal w/growth diversified mutual fund-Lazard Emerging Markets Equity Pt Institutional SHS N/L (LZEMX)	See Endnote	Purchase	12/23/2016	Yes	
252	RJ-John IRA Freedom Bal w/growth diversified mutual fund-AMG Times Square Small Cap Growth Fund Class S N/L (TSCPX)	See Endnote	Purchase	12/28/2016	Yes	
253	RJ-John IRA Freedom Bal w/growth diversified mutual fund-AMG River Road Small Cap Value Fund Class I N/L (ARSIX)	See Endnote	Purchase	12/28/2016	Yes	
254	RJ-John IRA Freedom Bal w/growth diversified mutual fund-Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	12/28/2016	Yes	
255	RJ-John IRA Freedom Bal w/growth-Victory Trivalent INTL Small-Cap Fund Class Y N/L (MYSIX)	See Endnote	Purchase	12/29/2016	No	
256	RJ-John IRA Freedom Bal w/growth diversified mutual fund- Wells Fargo International Value Fund Class I N/L (WFOVIX)	See Endnote	Purchase	12/30/2016	Yes	
257	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	12/01/2016	Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
258	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	See Endnote	Purchase	12/13/2016	Yes	
259	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-JPMorgan MID CAP Value Fund Class L N/L (FLMVX)	See Endnote	Purchase	12/15/2016	Yes	
260	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund- MFS International Growth Fund Class I N/L (MQGIX)	See Endnote	Purchase	12/16/2016	Yes	
261	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund- Hartford MIDCAP Fund Class I N/L (HFMIX)	See Endnote	Purchase	12/19/2016	Yes	
262	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund- John Hancock Disciplined Value Fund Class I N/L (JVLIX)	See Endnote	Purchase	12/19/2016	Yes	
263	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Clarkston Partners Fund Institutional Class N/L (CISMX)	See Endnote	Purchase	12/19/2016	Yes	
264	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Deutsche Global Real Estate Securities FD Class A M/F (RRGAX)	See Endnote	Purchase	12/20/2016	Yes	
265	RJ-Spouse IRA Freedom Bal w/growth-Brown Advisory Growth Equity Fund Investor Shares N/L (BIAGX)	See Endnote	Purchase	12/21/2016	Yes	
266	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-AQR Managed Futures Strategy Fund Class N N/L (AQMNX)	See Endnote	Purchase	12/21/2016	Yes	
267	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-JPMorgan MID CAP Value Fund Class L N/L (FLMVX)	See Endnote	Purchase	12/21/2016	Yes	
268	RJ-JPMorgan U.S. Large Cap Core Plus Fund Select Class N/L (JLPSX)	See Endnote	Purchase	12/21/2016	Yes	
269	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-MFS Research Fund Class A M/F (MFRFX)	See Endnote	Purchase	12/21/2016	Yes	

#	DESCRIPTION		TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
270	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-MFS Research Fund Class A M/F (MFRFX)	See Endnote	Purchase	12/21/2016	Yes	
271	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund- Europacific Growth Fund Class F2- American Funds N/L (AEPFX)	See Endnote	Purchase	12/23/2016	Yes	
272	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Lazard Emerging Markets Equity Port Institutional SHS N/L (LZEMX)	See Endnote	Purchase	12/23/2016	Yes	
273	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-AMG Times Square Small Cap Growth Fund Class S N/L (TSCPX)	See Endnote	Purchase	12/28/2016	Yes	
274	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Baird Aggregate Bond Fund INSTL Class N/L (BAGIX)	See Endnote	Purchase	12/28/2016	Yes	
275	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Victory Trivalent INTL Small-Cap Fund Class Y N/L (MYSIX)	See Endnote	Purchase	12/29/2016	Yes	
276	RJ-Spouse IRA Freedom Bal w/growth diversified mutual fund-Wells Fargo International Value Fund Class N/L (WVIX)	See Endnote	Purchase	12/30/2016	Yes	
277	Northwestern Mutual Spouse IRA diversified mutual fund-iShares TR MSCI Emerging MKTS ETF		Exchange	02/12/2016	Yes	\$1,001 - \$15,000
278	Northwestern Mutual Spouse IRA diversified mutual fund-iShares TR S&P 500 Growth ETF		Exchange	02/12/2016	Yes	\$1,001 - \$15,000
279	Northwestern Mutual Spouse IRA diversified mutual fund-iShares TR MSCI EAFE ETF		Exchange	02/12/2016	Yes	\$1,001 - \$15,000
280	Northwestern Mutual Spouse IRA diversified mutual fund-iShares TR S&P 500 Value ETF		Exchange	02/12/2016	Yes	\$1,001 - \$15,000
281	Northwestern Mutual Spouse IRA diversified mutual fund-iShares TR Core S&P Mid-Cap ETF		Exchange	02/12/2016	Yes	\$1,001 - \$15,000
282	Northwestern Mutual Spouse IRA diversified mutual fund-iShares TR S&P U S PFD STK Index FD		Exchange	02/12/2016	Yes	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	NOTIFICATION OVER 30 DAYS AGO	AMOUNT
283	Northwestern Mutual Spouse IRA diversified mutual fund-SPDR S&P 500 ETF TR TR Unit	Exchange	02/12/2016	Yes	\$1,001 - \$15,000
284	Northwestern Mutual Spouse IRA diversified mutual fund-SPDR SER TR Barclays High Yield BD ETF	Exchange	02/12/2016	Yes	\$1,001 - \$15,000
285	Northwestern Mutual Spouse IRA diversified mutual fund-Vanguard BD Index FD INC Total BD Market	Exchange	02/12/2016	Yes	\$15,001 - \$50,000
286	Northwestern Mutual Spouse IRA diversified mutual fund-Vanguard Tax-Managed INTL FD FTSE	Exchange	02/12/2016	Yes	\$1,001 - \$15,000
287	Northwestern Mutual Spouse IRA diversified mutual fund-Vanguard Index FDS Vanguard REIT ETF	Exchange	02/12/2016	Yes	\$1,001 - \$15,000

Endnotes

PART	#	ENDNOTE
Transactions	1	Raymond James John IRA Diversified Mutual Fund Account-Net Amount 61.6000
Transactions	2	RJ John IRA Diversified Mutual Fund-Net Amount 65.3500
Transactions	3	Diversified Mutual Fund-Net Amount 691.0000
Transactions	4	Diversified Mutual Fund- Net amount 283.0000
Transactions	5	Diversified Mutual Fund- Net Amount 233.0000
Transactions	6	Diversified Mutual Fund-Net Amount 248.0000
Transactions	7	Diversified Mutual Fund-Net amount 250.0000
Transactions	8	Diversified Mutual Fund- Net Amount 242.0000
Transactions	9	Diversified Mutual Fund- Net Amount 161.0000
Transactions	10	Diversified Mutual Fund- Net Amount 362.0000
Transactions	11	RJ-John IRA Diversified Mutual Fund-Net Amount 83.6500

PART	#	ENDNOTE
Transactions	12	RJ-John IRA Diversified Mutual Fund- Net Amount 122.4800
Transactions	13	RJ-John IRA Diversified Mutual Fund-Net amount 270.4500
Transactions	14	RJ-John IRA Diversified Mutual Fund-Net Amount 58.3300
Transactions	15	RJ-John IRA Diversified Mutual Fund-Net Amount 58.3300
Transactions	16	RJ-John IRA Diversified Mutual Fund- Net Amount 107.8000
Transactions	17	RJ-John IRA Diversified Mutual Fund-Net Amount 108.9500
Transactions	18	RJ-John IRA Diversified Mutual Fund- Net Amount 268.9300
Transactions	19	RJ-John IRA Diversified Mutual Fund-Net amount 212.8900
Transactions	20	RJ-John IRA Diversified Mutual Fund-Net Amount 181.4400
Transactions	21	RJ-John IRA Diversified Mutual Fund
Transactions	22	RJ-John IRA Diversified Mutual Fund- Net Amount 128.6600
Transactions	23	RJ-John IRA Diversified Mutual Fund-Net Amount 192.5700
Transactions	24	RJ-John IRA Diversified Mutual Fund-Net Amount 261.1400
Transactions	25	RJ-John IRA Diversified Mutual Fund-Net Amount 366.9200
Transactions	26	RJ-John IRA Diversified Mutual Fund
Transactions	27	RJ-John Joint Freedom diversifd mutual fund account- Net Amount 430.0000
Transactions	28	RJ-Gibbons Freedom Growth Diversified Mutual Fund- Net Amount 217.0000
Transactions	29	RJ-Gibbons Freedom Growth Diversified Mutual Fund-Net Amount 144.0000
Transactions	30	RJ-Gibbons Freedom Growth Diversified- Net Amount 393.0000
Transactions	31	RJ- Gibbons Joint Freedom Diversified Mutual Fund- Net amount 194.0000
Transactions	32	RJ- Gibbons Joint Freedom Diversified Mutual Fund- Net Amount 136.0000
Transactions	33	RJ-Gibbons Joint Freedom Diversified Mutual Fund-Net amount 359.0000
Transactions	34	RJ-Gibbons Joint Freedom Balance Diversified Mutual Fund-Net amount 170.0000
Transactions	35	RJ-Gibbons Joint Freedom Balance Diversified Mutual Fund-Net amount 525.0000
Transactions	36	RJ-Gibbons Joint Freedom Balance Diversified Mutual Fund

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Transactions	37	RJ-Gibbons Joint Freedom Balance Diversified Mutual Fund-Net amount 390.0000
Transactions	38	Gibbons Joint Freedom Balance Diversified Mutual Fund-Net amount 432.0000
Transactions	39	RJ-Gibbons Joint Freedom Balance Diversified Mutual Fund- Net amount 276.0000
Transactions	40	RJ-Gibbons Joint Freedom Balance Diversified Mutual Fund- 300.0000
Transactions	41	RJ-Gibbons Joint Freedom Balance Diversified Mutual Fund- 306.0000
Transactions	42	RJ-Gibbons Joint Freedom Balance Diversified Mutual Fund
Transactions	43	RJ-Gibbons Joint Freedom Balance Diversified Mutual Fund- Net amount 794.5200
Transactions	44	RJ-Gibbons Joint Freedom Balance Diversified Mutual Fund-net amount 420.7500
Transactions	45	RJ-Gibbons Freedom Balance Diversified Mutual Fund- Net amount 765.0200
Transactions	46	RJ-Gibbons Joint Freedom Growth Diversified Mutual Fund- Net amount 937.7300
Transactions	47	RJ-Gibbons Joint Freedom Balance Diversified Mutual Fund- Net amount 779.5900
Transactions	48	RJ- Gibbons Joint Freedom Balance Diversified Mutual Fund- Net amount 286.6200
Transactions	49	RJ-Gibbons Joint Freedom Balance Diversified Mutual Fund- Net amount: 619.1300
Transactions	50	RJ-Gibbons Joint Freedom Diversified Mutual Fund- Net amount 769.3200
Transactions	51	RJ-Gibbons Joint freedom Balance Diversified Mutual Fund- Net amount 174.3200
Transactions	52	RJ-Gibbons Joint Freedom Growth Diversified mutual Fund- Net amount 475.1400
Transactions	53	RJ-Gibbons Joint Freedom Diversified Mutual Fund- 746.0400
Transactions	54	RJ-Gibbons Joint Freedom Balance Diversified Mutual Fund- Net amount 448.4700
Transactions	55	RJ-Gibbons Joint Freedom Balance Diversified Mutual Fund- 254.2900
Transactions	56	RJ-Gibbons Joint Freedom Balance Diversified Mutual Fund- Net amount 236.6900
Transactions	57	RJ-Spouse diversified mutual fund-Net amount 57.5800
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Transactions	59	RJ-Spouse IRA Diversified Mutual Fund- Net amount 73.7400
Transactions	60	RJ-Spouse IRA Diversified Mutual Fund- Net amount 107.6600
Transactions	61	RJ-Spouse IRA Diversified Mutual Fund- Net amount 238.6800

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Transactions	64	RJ-Spouse IRA diversified mutual fund- Net amount 95.9700
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Transactions	69	RJ-Spouse IRA diversified mutual fund-Net amount 170.6900
Transactions	70	RJ-Spouse IRA diversified mutual fund-net amount 231.6200
Transactions	71	RJ-Spouse IRA diversified mutual fund-Net amount 324.0800
Transactions	72	RJ-Spouse IRA diversified mutual fund-net amount 54.2800
Transactions	73	RJ-Spouse IRA diversified mutual fud- Net amount 1830.3400
Transactions	74	RJ-Spouse IRA diversified mutual fund-Net amount 1875.6100
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Transactions	76	RJ-Gibbons joint freedom diversified mutual fund-300.00
Transactions	77	RJ-Gibbons Joint Freedom diversified mutual fund-Net amount-600.00
Transactions	78	RJ-Gibbons Joint Freedom diversified mutual fund-280.00
Transactions	79	RJ-Gibbons IRA Joint Freedom diversified mutual fund-Net Amount 9.88
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Transactions	81	RJ-Gibbons IRA Joint Freedom diversified mutual fund- Net amount 11.15
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Transactions	91	RJ-Gibbons Joint Freedom Bal w/Growth mutual fund- Net amount 619.13
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Transactions	93	RJ-Gibbons Joint Freedom Bal diversified mutual fund-net amount 286.62
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Transactions	95	RJ-Gibbons Joint Freedom Bal diversified mutual fund-amount 174.32
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Transactions	97	RJ-Gibbons Joint Freedom Bal diversified mutual fund-amount 746.04
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Transactions	99	RJ-Gibbons Joint Freedom Bal diversified mutual fund- amount 254.29
Transactions	100	RJ-Gibbons Joint Freedom Bal diversified mutual fund-amount 236.69
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Transactions	188	RJ-Gibbons Joint Freedom Bal diversified mutual fund- amount 393.00
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Transactions	190	RJ-Gibbons Joint Freedom Bal diversified mutual fund- amount 136.00
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Transactions	205	RJ-John IRA Freedom Bal diversified mutual fund- 83.65
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Summary of Contents

The 278-T discloses purchases, sales, or exchanges of securities in excess of \$1,000 made on behalf of the filer, the filer's spouse, or dependent child. Transactions are required to be disclosed within 30 days of receiving notification of a transaction but not later than 45 days after the transaction. Filers need not disclose (1) mutual funds and other excepted investment funds; (2) certificates of deposit, savings or checking accounts, and money market accounts; (3) U.S. Treasury bills, notes, and bonds; (4) Thrift Savings Plan accounts; (5) real property; and (6) transactions that are solely by and between the filer, the filer's spouse, and the filer's dependent children.

Privacy Act Statement

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