

Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Gibbons, John

U.S. Marshal, District of Massachusetts, Department of Justice - U.S. Marshals Service

Report Year: 2018

Other Federal Government Positions Held During the Preceding 12 Months:

None

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 05/15/2018 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 08/10/2018 by Auerbach, Gerald in Integrity.gov]

Other review conducted by

/s/ Marcovici, Robert, Ethics Official [electronically signed on 08/10/2018 by Marcovici, Robert in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 08/20/2018

Data Revised 08/10/2018

Data Revised 07/12/2018

Data Revised 07/03/2018

Data Revised 06/27/2018

Data Revised 06/01/2018

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Commonwealth of Massachusetts Retirement Defined Benefit Plan, defined benefit plan	N/A	\$50,001 - \$100,000	Retirement Payments (annual)	\$96,740
2	Raymond James IRA	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.1	Raymond James Bank Deposit Program	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.2	Raymond James-AMG Times Square Small Cap Growth Fund Premier Class	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.3	Raymond James-AQR Managed Futures Strategy Fund Class N N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Raymond James-Aston/River Road Small Cap value Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	Brown Advisory Growth Equity Fund Investor Shares N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	Raymond James-Columbia Acorn International Fund Class Z N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	Raymond James-Deutsche Global real Estate Securities FD Class A M/F	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	RJ-Dodge & Cox Income Fund Class F1-American Funds N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.9	RJ-Europacific Growth Fund Class F1-American Funds N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	RJ-John Hancock Disciplined Value Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	RJ-JP Morgan Core Bond Fund Class A M/F	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	RJ-Morgan Mid Cap Value Fund Institutional Shares N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.13	RJ-JP Morgan U.S. Large Cap Core Plus Fund Select Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	RJ-Manning & Napier Quity Series N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	RJ-MFS International Growth Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.16	RJ-MFS Research Fund Class A M/F	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.17	RJ-Neuberger Berman Genesis Fund Investor Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.18	RJ-Prudential Jennison Mid Cap Growth Fund Class Z N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.19	RJ-Virtus Emerging Markets Opportunies Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.20	RJ-Wells Fargo Advantage Intl Value FD Admin CL-N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.21	Europacific Growth Fund Class F2-American Funds N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.22	Wells Fargo Advantage INTL Value Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.23	Baird Aggregate Bond Fund INSTL Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.24	Clarkston Partners Fund Institutional Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.25	Metropolitan West Total Return Bond Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.26	SEI U.S. Managed Volatility Fund Class Y (SUSYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Northwestern Mutual IRA				
3.1	Goldman Sachs Group Inc. Medium term NTS Bond	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.2	Janus Balanced Fund	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3.3	John Deere Cap Corp Medium Term Med Bond	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.4	Catepillar Bond Fini SVCS Corp. Meduim Bond-John IRA	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.5	Merrill Lynch Bond-IRA	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.6	John Deere Cap Corp Medium Term Med Bond	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.7	General Electric Capital Internotes Bond	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.8	General Money Market Fund Class B	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	Merrill Lynch & Co Inc Medium Term NTS R	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.10	Janus Balanced Fund A Shares	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.11	Citigroup Inc Bond	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4	Northwestern Mutual Investment Services				
4.1	Janus Balance Fund C Shares-Fixed Income Joint Account-John & Spouse	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.2	Northwestern Mutual Fixed Annuity	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.3	Janus Balanced Fund Class C-joint Account	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.4	Money Market Fund-Joint Account	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Northwestern Mutual IRA Rollover Individual Retirement				
5.1	General Money Market Fund CL B	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	Europacific Growth Fund Class F-2	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	John Hancock Disciplined Value	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.4	Northern Small Cap Value Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.5	Van Eck Constant Maturity Commodity	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	IShares TR MSCI Emerging MKTS ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.7	IShares TR S&P 500 Growth ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.8	IShares TR S&P 500 Value ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.9	IShares TR MSCI EAFE ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.10	IShares TR Core S&P Mid-Cap ETF	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.11	IShares TR S&P U S PFD STK Index FD	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.12	SPDR S&P 500 ETF TR TR UNIT	Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.13	SPDR SER TR Barclays High Yield BD ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.14	Vanguard BD Index FD INC Total BD Market	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
5.15	Vanguard Tax-Managed INTL FD FTSE	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.16	Vanguard Index FDS Vanguard REIT ETF	Yes	\$1,001 - \$15,000		\$201 - \$1,000
5.17	Northern Small Cap Value Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6	Raymond James Gibbons Joint Freedom Balance with Growth-Mutual Fund Account		\$100,001 - \$250,000		
6.1	Raymond James Bank Deposit Program	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2	AMG Times Square Small CAP Growth Fund Premier Class N/L (TSCPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.3	Brown Advisory Growth Equity Fund Investor Shares N/L (BIAGX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.4	Columbia Acorn International Fund Class Z N/L (ACINX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.5	Deutsche Global Real Estate Securities FD Clas A M/F (RRGAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.6	Dodge & Cox Income Fund N/L (DODIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.7	Europacific Growth Fund Class F1-American Funds N/L (AEGFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.8	JPMorgan Mid Cap Vaule Fund Institutional Shares N/L (FLMVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.9	John Hancock Disciplined Value Fund Class I N/L (JVLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.10	JPMorgan U.S. Large Cap Core Plus Fund Select Class N/L (JLPSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.11	JPMorgan Core Bond Fund Class A M/F (PGBOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.12	MFS International Growth Fund Class I N/L (MQGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.13	MFS Research Fund Class A M/F (MFRFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.14	Neuberger Berman Genesis Fund Investor Class N/L (NBNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.15	Prudential Jennison Mid Cap Growth Fund Class Z N/L (PEGZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.16	Virtus Emerging Markets Opportunities Fund Class I N/L (HIEMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.17	Wells Fargo Advantage INTL Value FD Admin CL N/L (WFVDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.18	Baird Aggregate Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.19	Victory Trivalent INTL Small-Cap Fund Class Y N/L (MYSIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.20	Lazard Emerging Markets Equity Port Institutional SHS N/L (LZEMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Commonwealth of Massachusetts Retirement Defined Benefit Plan	Boston, Massachusetts	I will continue to participate in this defined benefit plan.	9/1979
2	Raymond James IRA	Milwaukee, Wisconsin	I will not participate in this defined contribution plan after my separation.	2/2011
3	Northwestern Mutual Investment Services	Milwaukee, Wisconsin	I will not participate in this defined contribution plan after my separation.	2/2011
4	Northwestern Mutual IRA	Milwaukee, Wisconsin	I will not participate in this defined contribution plan after my separation.	2/2011

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Commonwealth of Massachusetts Defined Benefit Pension Plan (value not readily ascertainable)	N/A			\$15,001 - \$50,000
2	Raymond James-Spouse IRA Freedom Balance		\$50,001 - \$100,000		
2.1	Aston/River Road Small Cap Value Fund Class I N/L (ARSIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2	AMG Times Square Small Cap Growth Fund Premier Class N/L (TSCPX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Clarkston Partners Fund Institutional Class N/L (CISMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.4	Baird Aggregate Bond Fund INSTL Class N?L (BAGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	Brown Advisory Growth Equity Fund Investor Shares N/L (BIAGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.6	Columbia Acorn International Fund Class Z N?L (ACINX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	Deutsche Global Real Estate Securities FD Class A M/F (RRGAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	Europacific Growth Fund Class F2-American Funds N/L (AEPFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	JPMorgan Mid Cap Value Fund Institutional Shares N/L (FLMVX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	John Hancock Disciplined Value Fund Class I N/L (JVLIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	JPMorgan U.S. Large Cap Core Plus Fund Select Class N/L (JLPSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	MFS International Growth Fund Class I N/L (MQGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.13	MFS Research Fund Class A M/F (MFRFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	Prudential Jennison Mid Cap Growth Fund Class Z N/L (PEGZX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.16	JP Morgan Core Bond Fund (PGBOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.17	Manning & Napier Equity Series (EXEYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.18	Dodge & Cox Income Fund (DODIX)	Yes	None (or less than \$1,001)		None (or less than \$201)
2.19	Neuberger Berman Genesis Fund (NGBNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.20	SEI U.S. Manged Volatility Fund Class Y (SUSYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Northwestern Mutual- Fixed Annuity	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
4	Northwestern IRA Account-MFS Growth Allocation Fund-A U.S. Equity Large Cap	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
4.1	Fidelity Advisor Total Bond Fund	Yes	\$1,001 - \$15,000		\$201 - \$1,000

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	AMG Times Square Small Cap Growth Fund Premier Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	Commonwealth of Massachusetts- Massachusetts State Police Retiree DOL/MUD Grievance Settlement Payout	N/A	\$1,001 - \$15,000		\$5,001 - \$15,000
3	Monumental Life Insurance Company- Universal Life Insurance	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	Monumental Life Insurance Company- Universal Life Insurance	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	Allianz Life Insurance	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6	Raymond James Joint Freedom Program	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
6.1	AMG Times Square Small Cap Growth Fund Premier Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.2	AQR Managed Futures Strategy Fund Class N N/L	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.3	Aston/River Road Small Cap Value Fund Class I N/L		\$1,001 - \$15,000		\$201 - \$1,000
6.4	Brown Advisory Growth Equity Fund Investor Shares N/L	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.5	Columbia Acorn International Fund Class Z N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.6	Deutsche Global Real Estate Securities FD Class A M/F	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.7	Dodge & Cox Income Fund N/L	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.8	Europacific Growth Fund Class F1-American Funds N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.9	John Hancock Disciplined Value Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.10	JP Morgan Core Bond Fund Class A M/F	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.11	JP Morgan Mid Cap Vaule Fund Institutional Shares N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.12	JP Morgan U.S. Large Cap Core Plus Fund Select Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.13	Manning & Napier Equity Series N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.14	MFS International Growth Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.15	MFS Research Fund Class A M/F	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.16	Neuberger Berman Genesis Fund Investor Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.17	Prudential Jennison Mid Cap Growth Fund Class Z N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.18	Virtus Emerging Markets Opportunities Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.19	Wells Fargo Advantage Intl Value FD Admin CL N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.20	Raymond James Bank Deposit Program	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.21	AQR Managed Futures Strategy Fund Class N N/L	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.22	Baird Aggregate Bond Fund INSTL Class N/L	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.23	Clarkston Partners Fund Institutional Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.24	Metropolitan West Total Return Bond Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.25	Aston/River Road Small Cap Value Fund Class I N/L	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.26	SEI U.S. Managed Volatility Fund Class Y (SUSYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	EE U.S. Treasury Bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
8	I Treasury Bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9	Berkshire Bank	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	BankNorth	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	New York Life Variable Universal Life Insurance	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.1	Mainstay Variable Product Capital Appreciation Account	Yes	\$1,001 - \$15,000		None (or less than \$201)
11.2	Mainstay VP S&P 500 Index Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	Monumental Life Insurance Company-Universal Life Insurance	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	AQR Managed Futures Strategy Fund Class N N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
14	Raymond James Ira-Aston/River Road Small Cap Value Fund Class 1 N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
15	Raymond James Ira-Brown Advisory Growth Equity Fund Investor Shares N/L	Yes	\$1,001 - \$15,000		\$201 - \$1,000
16	Raymond James IRA-Deutsche Global Real Estate Securities FD Class A/ MF	Yes	\$1,001 - \$15,000		None (or less than \$201)
17	Raymond James IRA-Dodge & Cox Income Fund N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
18	Raymond James IRA-Europacific Growth Fund Class F1-American Funds N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
19	Raymond James IRA-John Hancock Disciplined Vaule Fund Class i N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
20	Raymond James IRA-JP Morgan Core Bond Fund Class A M/F	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21	Raymond James IRA-JP Morgan MID CAP Vaule Fund Institutional Shares N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
22	JP Morgan U.S. Large Cap Core Plus Fund Select Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
23	Raymond James IRA-Manning & Napier Equity Series N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
24	Raymond James IRA-MFS International Growth Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
25	Raymond James IRA-MFS Research Fund Class A M/F	Yes	\$1,001 - \$15,000		None (or less than \$201)
26	Raymond James IRA-Neuberger Berman Genesis Fund Investor Class N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
27	Raymond James IRA-Prudential Jennison Mid Cap Growth Fund Class Z N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
28	Raymond James IRA-Virtus Emerging Markets Opportunities Fund Class I N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
29	Raymond James IRA-Wells Fargo Advantage Intl Value FD Admin CL N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
30	Northwestern Mutual Money Market Fund-IRA	Yes	None (or less than \$1,001)		None (or less than \$201)
31	Northwestern Mutual MFS Growth Allocation-IRA	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
32	Northwestern Mutual Investment Services: Janus Balanced Fund Class	Yes	\$50,001 - \$100,000		\$201 - \$1,000
33	Northwestern Mutual Investment Services-Money Market Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
34	Manning & Napier Equity Series N/L (EXEYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-Clarkston Partners Fund Institutional Class N/L (CISMX)	Sale	11/07/2017	\$1,001 - \$15,000
2	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund-Clarkston Partners Fund Institutional Class N/L (CISMX)	Sale	11/15/2017	\$1,001 - \$15,000
3	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund-SEI U.S. Managed Volatility Fund Class Y N/L (SUSYX)	Purchase	11/16/2017	\$1,001 - \$15,000
4	Raymond James-Shelby IRA Freedom Bal w/Growth Mutual Fund-Clarkston Partners Fund Institutional Class N/L	Sale	11/15/2017	\$1,001 - \$15,000
5	Raymond James-Shelby IRA Freedom Bal w/Growth Mutual Fund-Deutsche Global Real Estate Securities FD Class A M/F (RRGAX)	Sale	11/15/2017	\$1,001 - \$15,000
6	Raymond James-Shelby IRA Freedom Bal w/Growth Mutual Fund-Europacific Growth Fund Class F2-American Funds N/L (AEPFX)	Purchase	11/15/2017	\$1,001 - \$15,000
7	Raymond James-Shelby IRA Freedom Bal w/Growth Mutual Fund-SEI U.S. Managed Volatility Fund Class Y N/L (SUSYX)	Purchase	11/16/2017	\$1,001 - \$15,000
8	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-Deutsche Global Real Estate Securities FD Class A M/F (RRGAX)	Sale	11/06/2017	\$1,001 - \$15,000
9	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-John Hancock Disciplined Value Fund Class I N/L (JVLIX)	Purchase	1/18/2017	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
10	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-SEI U.S. Managed Volatility Fund Class Y N/L (SUSYX)	Purchase	11/06/2017	\$1,001 - \$15,000
11	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-MFS Research Fund Class A M/F (MFRFX)	Purchase	12/20/2017	\$1,001 - \$15,000
12	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-Brown Advisory Growth Equity Fund Investor Shares N/L (BIAGX)	Purchase	12/21/2017	\$1,001 - \$15,000
13	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-JP Morgan U.S. Large Cap Core Plus Fund Class I N/L (JLPSX)	Purchase	12/14/2017	\$1,001 - \$15,000
14	Northwestern Mutual-John IRA FBO Advisory Mutual Fund Account-SPDR S&P 500 ETF TR TR Unit BKCM A Pershing Affiliate	Sale	09/12/2017	\$1,001 - \$15,000
15	Northwestern Mutual-John IRA FBO Advisory Mutual Fund Account-ISHARES TR S&P U S PFD STK Index FD	Purchase	09/12/2017	\$1,001 - \$15,000
16	Northwestern Mutual-(S) IRA FBO Advisory Mutual Fund-Fidelity Advisor Total Bond Fund Class I NA40927666	Purchase	01/25/2017	\$1,001 - \$15,000
17	Northwestern Mutual-John IRA FBO Mutual Fund Account-Europacific Growth Fund Class F-2	Sale	09/12/2017	\$1,001 - \$15,000
18	Northwestern Mutual-John IRA FBO Mutual Fund Account-SPDR SER TR Bloomberg Barclays High Yield D ETF BKCM A Pershing Affiliate	Purchase	09/12/2017	\$1,001 - \$15,000
19	Northwestern Mutual-John IRA FBO Mutual Fund Account-ISHARES TR MSCI Emerging MKTS ETF	Sale	09/12/2017	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
20	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund-Europacific Growth Fund Class F2-American Funds N/L (AEPFX)	Purchase	11/15/2017	\$1,001 - \$15,000
21	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund-Deutsche Global Real Estate Securities FD Class A M/F	Sale	11/15/2017	\$1,001 - \$15,000
22	U.S. EE Savings Bonds redeemed	Sale	10/18/2017	\$1,001 - \$15,000
23	Northwestern Mutual-John IRA FBO Mutual Fund Account- Vanguard BD Index FD INC Total BD Market ETF	Purchase	09/12/2017	\$1,001 - \$15,000
24	U.S. Savings Bonds EE (13)	Sale	September 11, 2017	\$1,001 - \$15,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$156 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

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

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