

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

Filer's Information

Goldberg, Beth L

District Director, SBA

Date of Appointment: 01/26/2015

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/ Beth Goldberg [electronically signed by Beth Goldberg on 2019-05-15 14:09:29 in FOnline]

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/ Marilyn Barnes, Super Administrator [electronically signed by Marilyn Barnes on 2019-07-17 17:42:39 in FOnline]

Other review conducted by:

U.S. Office of Government Ethics Certification

1. Filer's Positions Held Outside United States Government

#	NAME	CITY, STATE	ORG TYPE	POSITION	FROM	TO
1	Auric Ventures, Ltd.	New York, NY, US	Consulting Firm	President	01/01/1988	Present
2	EKG Realty LLC	Marlboro, NJ, US	Real Estate	Partner	01/01/2009	Present
3	KF Finance	Marlboro, NJ, US	Real Estate	Partner	12/01/2009	Present
4	Irrevocable Trust by Sheldon Spring	Riverdale, NY, US	Family Trust	Trustee	01/01/1994	Present
5	Auric Properties Inc.	New York, NY, US	Real Estate Brokerage	President	05/25/1993	Present

2. Filer's Employment Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	(J) (IRE) Condominium Manalapan, NJ, US	N /A	\$100,001 - \$250,000	Rent or Royalties	\$15,001 - \$50,000
2	(J) (Partnership) EKG Realty LLC Manalapan, NJ, US Rental Income	N /A			
2.1	(Cash)	No	\$50,001 - \$100,000	Rent or Royalties, Interest	\$15,001 - \$50,000
3	(J) (Partnership) KF Finance Marlboro, NJ, US Real Estate	N /A			
3.1	(Cash)	No	\$100,001 - \$250,000	Interest	\$201 - \$1,000
4	(Trade) Auric Ventures, Ltd New York, NY, US Consulting	N /A	\$250,001 - \$500,000	Fees	\$5,850.00
4.1	(Cash)	No	\$1,001 - \$15,000		None (or less than \$201)
4.2	(Other) Defined Contribution Plan - Schwab (see comments)	No	value not readily ascertainable		None (or less than \$201)
4.3	(Other) Defined Contribution Plan - TD Ameritrade (2519 and 2813)	No	value not readily ascertainable	Dividends, Interest, Capital Gains	\$1,001 - \$2,500
5	(Self EI) Auric Ventures, Ltd. consulting fees New York, NY, US	N /A		Fees	\$5,850.00

3. Filer's Employment Agreements and Arrangements

None

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 and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	(S) (Pension) NYC Teachers Retirement System NYC Department of Education	N /A	value not readily ascertainable		None (or less than \$201)
2	(S) (Other) Daniel Meyer SEP Accounts (5913 and 6076)	No	value not readily ascertainable	Dividends, Interest, Capital Gains	None (or less than \$201)
3	(S) (IRA) Charles Schwab	N /A			
3.1	(Stock) NAT-Nordic American Tanker Shipping Limited	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
3.2	(Cash)	No	\$1,001 - \$15,000	Interest	None (or less than \$201)
4	(S) (Other Investment Vehicle) United Federation of Teachers Tax Deferred Annuity	N /A			
				Dividends, Interest, Capital	None (or less than

4.1	(Other) owns units in Diversified Equity Fund	No	\$500,001 - \$1,000,000	Gains	\$201)
5	(S) (Spouse EI) New York City Department of Education Staten Island, NY, US	N /A			
6	(S) (Spouse EI) Private Practice Marlboro, NJ, US	N /A			

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	(J) (Stock) AMX America Movil S.A.B. De C.V.	N/A	\$1,001 - \$15,000	Dividends, Capital Gains	None (or less than \$201)
2	(J) (Stock) RBS Royal Bank Scotland Group Plc	N/A	\$1,001 - \$15,000	Capital Gains	None (or less than \$201)
3	(J) (Stock) CYCC Cyclacel Pharmaceuticals	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
4	(J) (Stock) ISBC Investors Bancorp, Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5	(J) (Stock) NJR New Jersey Resource Corp	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6	(J) (Cash Deposit/Savings) PNC Marlboro, NJ, US Checking accounts and money market accounts	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
7	(J) (Cash Deposit/Savings) Investor's Savings Bank Marlboro, NJ, US checking accounts and liquid money markets	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
8	(J) (Cash Deposit/Savings) Chase Manhattan Bank New York, NY, US checking, savings accounts and annuity	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
9	(S) (Cash Deposit/Savings) Santander Bank Marlboro, NJ, US Checking accounts and money market accounts	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
10	(J) (Cash Deposit/Savings) Charles Schwab Orlando, FL, US	N/A	\$15,001 - \$50,000		None (or less than \$201)
11	(J) (Mutual Fund) GOLDX Gabelli Gold Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	(J) (Mutual Fund) JABAX Janus Balanced Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

13	(J) (Other) Beth Goldberg Meyer and Marilyn Spring (122 and 557)	No	value not readily ascertainable		None (or less than \$201)
14	(J) (Other) Irrevokable Trust of Sheldon Spring (415)	No	value not readily ascertainable		None (or less than \$201)
15	(J) (Other) Beth Goldberg Meyer and Zachary G. Meyer (5905)	No	value not readily ascertainable	Dividends, Interest, Capital Gains	\$201 - \$1,000
16	(J) (Other) Beth Goldberg Meyer and Ilyssa R. Meyer (5904)	No	value not readily ascertainable	Dividends, Interest, Capital Gains	\$201 - \$1,000
17	(S) (Other) Daniel A. Meyer (9902 and 6099)	No	value not readily ascertainable	Dividends, Interest, Capital Gains	\$15,001 - \$50,000
18	(Other) Beth Goldberg Meyer (9898)	No	value not readily ascertainable	Dividends, Interest, Capital Gains	\$201 - \$1,000
19	(IRA) TD Ameritrade (5907)	N/A			
19.1	(Cash)	No	value not readily ascertainable		None (or less than \$201)
20	(IRA) TD Ameritrade (5909)	No			
20.1	(Cash)	No	value not readily ascertainable	Dividends, Interest, Capital Gains	None (or less than \$201)
21	(S) (IRA) TD Ameritrade (5912)	N/A			
21.1	(Cash)	No	value not readily ascertainable	Dividends, Interest, Capital Gains	None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	ABBV - Abbvie Inc	sale	05/02/2018	\$1,001 - \$15,000
2	ABBV - Abbvie Inc	purchase	04/03/2018	\$1,001 - \$15,000
3	ABBV - Abbvie Inc	purchase	03/14/2018	\$1,001 - \$15,000
4	AEP - American Electric Power Company	sale	11/19/2018	\$1,001 - \$15,000
5	AFL - Aflac Incorporated	purchase	05/02/2018	\$1,001 - \$15,000

6	AGN - Allergan Plc	purchase	02/14/2018	\$1,001 - \$15,000
7	AJG - Arthur J. Gallagher & Co	purchase	05/02/2018	\$1,001 - \$15,000
8	AMGN - Amgen	sale	05/02/2018	\$1,001 - \$15,000
9	AMGN - Amgen Inc	purchase	02/01/2018	\$1,001 - \$15,000
10	AMP - Ameriprise Financial Services	purchase	05/02/2018	\$1,001 - \$15,000
11	AMZN - Amazon.Com Inc	purchase	03/16/2018	\$1,001 - \$15,000
12	AMZN - Amazon.Com Inc	sale	03/15/2018	\$1,001 - \$15,000
13	AMZN - Amazon.Com Inc	purchase	02/06/2018	\$1,001 - \$15,000
14	ANGIX - Angel Oak Multi-Strategy Income Fd Inst Shs	purchase	11/29/2018	\$1,001 - \$15,000
15	ANGIX - Angel Oak Multi-Strategy Income Fd Inst Shs	purchase	07/03/2018	\$1,001 - \$15,000
16	APD - Air Products and Chemicals	sale	05/02/2018	\$1,001 - \$15,000
17	APD - Air Products and Chemicals	purchase	04/03/2018	\$1,001 - \$15,000
18	APD - Air Products and Chemicals	purchase	03/14/2018	\$1,001 - \$15,000
19	ARBNX - The Arbitrage Fund Class I	sale	06/13/2018	\$15,001 - \$50,000
20	ARBNX - The Arbitrage Fund Class I	sale	06/25/2018	\$1,001 - \$15,000
21	ARBNX - The Arbitrage Fund Class I	sale	05/23/2018	\$1,001 - \$15,000
22	ARBNX - The Arbitrage Fund Class I	sale	05/23/2018	\$1,001 - \$15,000
23	ARBNX - The Arbitrage Fund Class I	purchase	04/16/2018	\$1,001 - \$15,000
24	ARBNX - The Arbitrage Fund Class I	purchase	02/12/2018	\$1,001 - \$15,000
25	ARCC - Ares Capital Corp	purchase	12/12/2018	\$1,001 - \$15,000
26	ARCC - Ares Capital Corp	purchase	05/18/2018	\$1,001 - \$15,000
27	AZN - Astrazeneca Plc	sale	03/06/2018	\$1,001 - \$15,000
28	BA - Boeing Company	sale	04/18/2018	\$1,001 - \$15,000
29	BA - Boeing Company	purchase	03/06/2018	\$1,001 - \$15,000
30	BA - Boeing Company	purchase	02/01/2018	\$1,001 - \$15,000
31	BABA - Alibaba Group Holding Ltd	purchase	09/04/2018	\$1,001 - \$15,000
32	BBT - BB&T Corp	sale	11/19/2018	\$1,001 - \$15,000

33	BBT - BB&T Corp	sale	10/10/2018	\$1,001 - \$15,000
34	BBT - BB&T Corp	sale	03/06/2018	\$1,001 - \$15,000
35	BGLSX - Boston Partners Global Long/Short Fund Inst Cl	sale	11/19/2018	\$15,001 - \$50,000
36	BGLSX - Boston Partners Global Long/Short Fund Inst Cl	sale	06/13/2018	\$15,001 - \$50,000
37	BGLSX - Boston Partners Global Long/Short Fund Inst Cl	sale	07/09/2018	\$15,001 - \$50,000
38	BIV - Interm Term Bond ETF Vanguard	sale	02/05/2018	\$1,001 - \$15,000
39	BIV - Interm Term Bond ETF Vanguard	sale	01/22/2018	\$1,001 - \$15,000
40	BKLN - Senior Loan Invesco ETF	sale	11/29/2018	\$1,001 - \$15,000
41	BKLN - Senior Loan Portfolio Powershares	purchase	01/22/2018	\$1,001 - \$15,000
42	BLK - Blackrock	purchase	05/02/2018	\$1,001 - \$15,000
43	BMY - Bristol-Myers Squibb Company	purchase	05/02/2018	\$1,001 - \$15,000
44	BSV - Short-Term Bond ETF Vanguard	sale	07/03/2018	\$1,001 - \$15,000
45	BSV - Short-Term Bond ETF Vanguard	sale	03/19/2018	\$1,001 - \$15,000
46	BWX - Intl Treasury Bond ETF SPDR	purchase	02/05/2018	\$1,001 - \$15,000
47	CAT - Caterpillar Inc	purchase	02/23/2018	\$1,001 - \$15,000
48	CCI - Crown Castle International Corp	sale	05/02/2018	\$1,001 - \$15,000
49	CCI - Crown Castle International Corp	purchase	04/03/2018	\$1,001 - \$15,000
50	CCI - Crown Castle International Corp	purchase	03/14/2018	\$1,001 - \$15,000
51	CCL - Carnival Corp	sale	05/02/2018	\$1,001 - \$15,000
52	CCL - Carnival Corp	purchase	03/06/2018	\$1,001 - \$15,000
53	CHY - Calamos Cv & High In	sale	11/29/2018	\$1,001 - \$15,000
54	CHY - Calamos Cv & High In	purchase	07/03/2018	\$1,001 - \$15,000
55	CME - CME Group Inc	sale	03/06/2018	\$1,001 - \$15,000
56	CMG - Chipotle Mexican Grill	sale	08/23/2018	\$1,001 - \$15,000
57	CMNIX - Calamos Market Neutral Fd Cl I	purchase	11/29/2018	\$1,001 - \$15,000
58	CMNIX - Calamos Market Neutral Fd Cl I	purchase	05/23/2018	\$1,001 - \$15,000
59	CMS - Cms Energy Corp	purchase	07/30/2018	\$1,001 - \$15,000

60	CMS - Cms Energy Corp	purchase	06/22/2018	\$1,001 - \$15,000
61	COL - Rockwell Collins	sale	02/05/2018	\$1,001 - \$15,000
62	CSCO - Cisco Systems Inc	purchase	03/06/2018	\$1,001 - \$15,000
63	CVS - CVS Corp	sale	05/10/2018	\$1,001 - \$15,000
64	CVX - Chevron Corp	purchase	05/02/2018	\$1,001 - \$15,000
65	D - Dominion Resources	sale	03/06/2018	\$1,001 - \$15,000
66	D - Dominion Resources	sale	03/14/2018	\$1,001 - \$15,000
67	D - Dominion Resources	sale	03/19/2018	\$1,001 - \$15,000
68	D - Dominion Resources	purchase	01/17/2018	\$1,001 - \$15,000
69	DOG - Dow 30 Short Proshares	purchase	10/11/2018	\$1,001 - \$15,000
70	DOG - DOW 30 Short Proshares	purchase	06/08/2018	\$1,001 - \$15,000
71	DOG - DOW 30 Short Proshares	sale	05/02/2018	\$1,001 - \$15,000
72	DOG - DOW 30 Short Proshares	purchase	04/16/2018	\$1,001 - \$15,000
73	DSIAX - Diamond Hill Corporate Credit Fund Class A	sale	11/29/2018	\$1,001 - \$15,000
74	DSIAX - Diamond Hill Corporate Credit Fund Class A	purchase	07/03/2018	\$1,001 - \$15,000
75	EFA - EAFE Index MSCI Ishares	sale	03/19/2018	\$1,001 - \$15,000
76	EFA - EAFE Index MSCI Ishares	purchase	02/05/2018	\$1,001 - \$15,000
77	EFA - EAFE Index MSCI Ishares	sale	02/12/2018	\$15,001 - \$50,000
78	EMB - USD Emrg Mkts Bond Ishares	sale	02/05/2018	\$1,001 - \$15,000
79	EMR - Emerson Electric Company	purchase	03/06/2018	\$1,001 - \$15,000
80	EMRYX - Van Eck Emerging Markets Fund CI Y	sale	07/03/2018	\$1,001 - \$15,000
81	EMRYX - Van Eck Emerging Markets Fund CI Y	sale	07/03/2018	\$1,001 - \$15,000
82	EMRYX - Van Eck Emerging Markets Fund CI Y	purchase	03/19/2018	\$1,001 - \$15,000
83	EMRYX - Van Eck Emerging Markets Fund CI Y	purchase	03/19/2018	\$1,001 - \$15,000
84	EQIX - Equinix Inc	purchase	02/14/2018	\$1,001 - \$15,000
85	ETN - Eaton Corp	sale	08/27/2018	\$1,001 - \$15,000
86	ETN - Eaton Corp	sale	07/30/2018	\$1,001 - \$15,000

87	ETN - Eaton Corp	purchase	05/02/2018	\$1,001 - \$15,000
88	EVF - Eaton Vance Senior Income Trust	sale	12/10/2018	\$1,001 - \$15,000
89	EVF - Eaton Vance Senior Income Trust	purchase	03/19/2018	\$1,001 - \$15,000
90	EWJ - Japan Index MSCI Ishares	purchase	03/19/2018	\$1,001 - \$15,000
91	EWJ - Japan Ishares MSCI ETF	sale	09/13/2018	\$1,001 - \$15,000
92	EXC - Exelon Corp	sale	06/22/2018	\$1,001 - \$15,000
93	EXC - Exelon Corp	purchase	05/02/2018	\$1,001 - \$15,000
94	F - Ford Motor Company	purchase	05/02/2018	\$1,001 - \$15,000
95	FEMB - Emrg Mkts Local Currency Bond ETF FT	sale	07/03/2018	\$1,001 - \$15,000
96	FEMB - Emrg Mkts Local Currency Bond ETF FT	purchase	03/19/2018	\$1,001 - \$15,000
97	FPACX - Fpa Funds Trust Fpa Crescent Portfolio Institu	sale	06/25/2018	\$1,001 - \$15,000
98	FTSL - Senior Loan ETF FT	sale	11/29/2018	\$1,001 - \$15,000
99	FTSL - Senior Loan ETF FT	purchase	02/05/2018	\$1,001 - \$15,000
100	FV - Dorsey Wright Focus 5 ETF FT	sale	11/29/2018	\$1,001 - \$15,000
101	FV - Dorsey Wright Focus 5 ETF FT	purchase	07/03/2018	\$1,001 - \$15,000
102	FYC - Smallcap Growth Alphasdex Fund FT	purchase	11/29/2018	\$1,001 - \$15,000
103	FYC - Smallcap Growth Alphasdex Fund FT	sale	04/16/2018	\$1,001 - \$15,000
104	FYC - Smallcap Growth Alphasdex Fund FT	purchase	02/12/2018	\$1,001 - \$15,000
105	GARBX - Guinness Atkinson Renminbi Yuan & Bond Fd	sale	07/03/2018	\$1,001 - \$15,000
106	GARBX - Guinness Atkinson Renminbi Yuan & Bond Fd	sale	07/03/2018	\$1,001 - \$15,000
107	GARBX - Guinness Atkinson Renminbi Yuan & Bond Fd	purchase	03/19/2018	\$1,001 - \$15,000
108	GARBX - Guinness Atkinson Renminbi Yuan & Bond Fd	purchase	03/19/2018	\$1,001 - \$15,000
109	GEM - GS Activebeta EM Equity ETF	sale	07/03/2018	\$1,001 - \$15,000
110	GEM - GS Activebeta EM Equity ETF	purchase	03/19/2018	\$1,001 - \$15,000
111	GEM - GS Activebeta EM Equity ETF	sale	03/19/2018	\$1,001 - \$15,000
112	GEM - GS Activebeta EM Equity ETF	purchase	02/12/2018	\$1,001 - \$15,000
113	GEMIX - Goldman Sachs Emerging Markets Equity Fund Insti	sale	11/29/2018	\$1,001 - \$15,000

114	GEMIX - Goldman Sachs Emerging Markets Equity Fund Insti	purchase	10/26/2018	\$1,001 - \$15,000
115	GEMIX - Goldman Sachs Emerging Markets Equity Fund Insti	purchase	10/26/2018	\$1,001 - \$15,000
116	GEMIX - Goldman Sachs Emerging Markets Equity Fund Insti	sale	07/03/2018	\$1,001 - \$15,000
117	GEMIX - Goldman Sachs Emerging Markets Equity Fund Insti	purchase	03/19/2018	\$1,001 - \$15,000
118	GILD - Gilead Sciences Inc	purchase	05/02/2018	\$1,001 - \$15,000
119	GM - General Motors Company	sale	04/16/2018	\$1,001 - \$15,000
120	GM - General Motors Company	sale	03/06/2018	\$1,001 - \$15,000
121	GOOG - Alphabet Class C	purchase	03/16/2018	\$1,001 - \$15,000
122	GSIE - GS Activebeta International ETF	sale	11/19/2018	\$1,001 - \$15,000
123	Guggenheim (RSP)	exchange	04/09/2018	\$1,001 - \$15,000
124	Guggenheim (RSP)	exchange	04/09/2018	\$1,001 - \$15,000
125	Guggenheim (RSP)	exchange	04/09/2018	\$1,001 - \$15,000
126	Guggenheim (RSP)	exchange	04/09/2018	\$1,001 - \$15,000
127	Guggenheim (RSP)	exchange	04/09/2018	\$15,001 - \$50,000
128	HBAN - Huntington Bcshs	purchase	06/22/2018	\$1,001 - \$15,000
129	HD - Home Depot	purchase	05/02/2018	\$1,001 - \$15,000
130	HPQ - Hewlett-Packard Company	purchase	05/02/2018	\$1,001 - \$15,000
131	HSBC - HSBC Holdings Plc	sale	04/16/2018	\$1,001 - \$15,000
132	HSBC - HSBC Holdings Plc	purchase	02/01/2018	\$1,001 - \$15,000
133	HSBC - HSBC Holdings Plc	purchase	01/17/2018	\$1,001 - \$15,000
134	HYG - High Yield Corp Bond Ishares Iboxx \$ ETF	sale	11/29/2018	\$1,001 - \$15,000
135	HYG - High Yield Corp Bond Ishares Iboxx \$ ETF	purchase	07/03/2018	\$1,001 - \$15,000
136	HYLS - Tactical High Yield ETF FT	sale	11/29/2018	\$1,001 - \$15,000
137	HYLS - Tactical High Yield ETF FT	sale	03/19/2018	\$1,001 - \$15,000
138	HYLS - Tactical High Yield ETF FT	purchase	02/05/2018	\$1,001 - \$15,000
139	HYLS - Tactical High Yield ETF FT	purchase	01/22/2018	\$1,001 - \$15,000
140	IBB - Nasdaq Biotech ETF Ishares	sale	02/05/2018	\$1,001 - \$15,000

141	IBB - Nasdaq Biotechnology Ishares ETF	sale	11/29/2018	\$1,001 - \$15,000
142	IBM - International Business Machines	sale	05/02/2018	\$1,001 - \$15,000
143	IBM - International Business Machines	purchase	03/06/2018	\$1,001 - \$15,000
144	IEI - 3-7 Year Treasury Bond Ishares	sale	03/19/2018	\$1,001 - \$15,000
145	IEMG - Core MSCI Emerging Mkts Ishares	sale	03/19/2018	\$1,001 - \$15,000
146	IEMG - Core MSCI Emerging Mkts Ishares	sale	02/12/2018	\$1,001 - \$15,000
147	INTC - Intel Corp	purchase	03/14/2018	\$1,001 - \$15,000
148	INTC - Intel Corp	sale	02/01/2018	\$1,001 - \$15,000
149	Investment Non - Traded Real Estate Fund HPI Real Estate Fund VI LLC	purchase	09/11/2018	\$15,001 - \$50,000
150	IP - International Paper Company	purchase	05/02/2018	\$1,001 - \$15,000
151	ITW - Illinois Tool Works Inc	sale	04/18/2018	\$1,001 - \$15,000
152	ITW - Illinois Tool Works Inc	purchase	03/14/2018	\$1,001 - \$15,000
153	IVHIX - Ivy High Income Fund Class I	sale	11/29/2018	\$1,001 - \$15,000
154	IVHIX - Ivy High Income Fund Class I	purchase	09/13/2018	\$1,001 - \$15,000
155	IVZ - Invesco Plc	purchase	05/02/2018	\$1,001 - \$15,000
156	JBALX - Janus Henderson Balanced Fund - I Shares	purchase	11/29/2018	\$1,001 - \$15,000
157	JBLAX - Janus Henderson Balanced Fund I	purchase	11/29/2018	\$1,001 - \$15,000
158	JNJ - Johnson & Johnson	purchase	05/02/2018	\$1,001 - \$15,000
159	JPM - JP Morgan Chase & Co	purchase	04/16/2018	\$1,001 - \$15,000
160	JPM - JP Morgan Chase & Co	purchase	03/06/2018	\$1,001 - \$15,000
161	KAR - Kar Auction Services Inc	purchase	05/02/2018	\$1,001 - \$15,000
162	KBWB - KBW Bank Invesco ETF	sale	11/23/2018	\$1,001 - \$15,000
163	KHC - Kraft Heinz Co	sale	04/03/2018	\$1,001 - \$15,000
164	KHC - Kraft Heinz Co	sale	04/18/2018	\$1,001 - \$15,000
165	KMB - Kimberly-Clark Corp	sale	04/03/2018	\$1,001 - \$15,000
166	KMB - Kimberly-Clark Corp	sale	02/01/2018	\$1,001 - \$15,000
167	KMI - Kinder Morgan	purchase	09/27/2018	\$1,001 - \$15,000

168	KO - Coca-Cola Company	sale	05/02/2018	\$1,001 - \$15,000
169	KRE - S&P Regional Banking ETF SPDR	sale	11/23/2018	\$1,001 - \$15,000
170	LDLFX - Lord Abbett Investment Trust Short Duration Inco	purchase	11/29/2018	\$1,001 - \$15,000
171	LDLFX - Lord Abbett Investment Trust Short Duration Inco	purchase	11/29/2018	\$1,001 - \$15,000
172	LFRFX - Lord Abbett Inv TR Lord Abbett Floating Rate Fd	purchase	11/29/2018	\$1,001 - \$15,000
173	LFRFX - Lord Abbett Inv TR Lord Abbett Floating Rate Fd	purchase	11/29/2018	\$1,001 - \$15,000
174	LIN - Linde Plc	exchange	10/31/2018	\$1,001 - \$15,000
175	LLY - Eli Lilly and Company	purchase	05/02/2018	\$1,001 - \$15,000
176	LMGNX - Clearbridge International Growth Trust CI I	sale	10/26/2018	\$1,001 - \$15,000
177	LMGNX - Clearbridge International Growth Trust CI I	purchase	09/13/2018	\$1,001 - \$15,000
178	LMGNX - Clearbridge International Growth Trust CI I	purchase	03/19/2018	\$1,001 - \$15,000
179	LPT - Liberty Property Trust	purchase	05/02/2018	\$1,001 - \$15,000
180	LQD - Iboxx \$ Invest Grade Corp Bond Ishares	sale	03/19/2018	\$1,001 - \$15,000
181	LSWWX - Loomis Sayles Global Allocation Fund Class Y	purchase	11/29/2018	\$1,001 - \$15,000
182	LSWWX - Loomis Sayles Global Allocation Fund Class Y	purchase	11/29/2018	\$1,001 - \$15,000
183	LYB - Lyondellbasell Industries Nv	purchase	05/02/2018	\$1,001 - \$15,000
184	M - Macy's Inc	purchase	05/02/2018	\$1,001 - \$15,000
185	MBB - MBS Bond Ishares	sale	02/05/2018	\$1,001 - \$15,000
186	MBB - MBS Bond Ishares	sale	02/12/2018	\$1,001 - \$15,000
187	MCD - McDonald's Corp	sale	03/06/2018	\$1,001 - \$15,000
188	MDLZ - Mondelez Intl Cmn A	purchase	05/02/2018	\$1,001 - \$15,000
189	MDT - Medtronic Inc	purchase	05/22/2018	\$1,001 - \$15,000
190	MERIX - The Merger Fund Institutional CI	purchase	11/29/2018	\$1,001 - \$15,000
191	MERIX - The Merger Fund Institutional CI	purchase	11/29/2018	\$1,001 - \$15,000
192	MET - Metlife Inc	purchase	05/02/2018	\$1,001 - \$15,000
193	MET - Metlife Inc	sale	03/06/2018	\$1,001 - \$15,000
194	MET - Metlife Inc	sale	02/01/2018	\$1,001 - \$15,000

195	MGK - Megacap 300 Growth Index ETF Vanguard	sale	10/30/2018	\$1,001 - \$15,000
196	MIOIX - Morgan Stanley Insti Fd International Opportunit	sale	10/26/2018	\$1,001 - \$15,000
197	MIOIX - Morgan Stanley Insti Fd International Opportunit	purchase	04/16/2018	\$1,001 - \$15,000
198	MMC - Marsh & McLennan Companies	purchase	05/02/2018	\$1,001 - \$15,000
199	MO - Altria Group	purchase	05/02/2018	\$1,001 - \$15,000
200	MPC - Marathon Petroleum Corp	purchase	05/02/2018	\$1,001 - \$15,000
201	MPC - Marathon Petroleum Corp	sale	05/22/2018	\$1,001 - \$15,000
202	MRK - Merck & Company	sale	05/02/2018	\$1,001 - \$15,000
203	MRK - Merck & Company	purchase	04/16/2018	\$1,001 - \$15,000
204	MRK - Merck & Company	purchase	03/06/2018	\$1,001 - \$15,000
205	MSFT - Microsoft Corp	purchase	05/02/2018	\$1,001 - \$15,000
206	NEZYG - Loomis Sayles Funds - Strategic Income Fund Clas	sale	11/29/2018	\$1,001 - \$15,000
207	NEZYG - Loomis Sayles Funds - Strategic Income Fund Clas	purchase	03/28/2018	\$1,001 - \$15,000
208	NEZYG - Loomis Sayles Funds - Strategic Income Fund Clas	purchase	03/19/2018	\$1,001 - \$15,000
209	NFLX - Netflix Inc	purchase	03/23/2018	\$1,001 - \$15,000
210	NFLX - Netflix Inc	purchase	02/06/2018	\$1,001 - \$15,000
211	NIHD - NII Holdings	purchase	09/28/2018	\$1,001 - \$15,000
212	NTNX - Nutanix Inc	purchase	12/06/2018	\$1,001 - \$15,000
213	OAKIX - Oakmark International Fund CI I	sale	08/31/2018	\$1,001 - \$15,000
214	OAKIX - Oakmark International Fund CI I	sale	07/03/2018	\$1,001 - \$15,000
215	OAKIX - Oakmark International Fund CI I	purchase	04/16/2018	\$1,001 - \$15,000
216	OAKIX - Oakmark International Fund CI I	purchase	03/19/2018	\$1,001 - \$15,000
217	OAKIX - Oakmark International Fund Investor Class	sale	10/26/2018	\$1,001 - \$15,000
218	OAKIX - Oakmark International Fund Investor Class	sale	10/26/2018	\$1,001 - \$15,000
219	OGE - Oge Energy Corp	purchase	05/02/2018	\$1,001 - \$15,000
220	OSTK - Overstock.Com Inc	sale	02/02/2018	\$1,001 - \$15,000
221	OSTK - Overstock.Com Inc	purchase	01/22/2018	\$1,001 - \$15,000

222	OXY - Occidental Petroleum Corp	purchase	05/02/2018	\$1,001 - \$15,000
223	OXY - Occidental Petroleum Corp	sale	03/06/2018	\$1,001 - \$15,000
224	OXY - Occidental Petroleum Corp	sale	03/14/2018	\$1,001 - \$15,000
225	PCAR - Paccar Inc	sale	03/14/2018	\$1,001 - \$15,000
226	PCAR - Paccar Inc	sale	01/17/2018	\$1,001 - \$15,000
227	PDVYX - Putnam Diversified Income Trust Class Y	sale	11/29/2018	\$1,001 - \$15,000
228	PDVYX - Putnam Diversified Income Trust Class Y	sale	11/29/2018	\$1,001 - \$15,000
229	PDVYX - Putnam Diversified Income Trust Class Y	purchase	05/23/2018	\$1,001 - \$15,000
230	PDVYX - Putnam Diversified Income Trust Class Y	purchase	05/23/2018	\$1,001 - \$15,000
231	PEP - Pepsico Inc	purchase	10/25/2018	\$1,001 - \$15,000
232	PFE - Pfizer Inc	purchase	03/06/2018	\$1,001 - \$15,000
233	PFE - Pfizer Inc	sale	02/01/2018	\$1,001 - \$15,000
234	PFE - Pfizer Inc	purchase	01/17/2018	\$1,001 - \$15,000
235	PG - Procter & Gamble Company	sale	05/02/2018	\$1,001 - \$15,000
236	PG - Procter & Gamble Company	sale	02/01/2018	\$1,001 - \$15,000
237	Philips Electronic Nv 3.75% 03/15/2022	sale	04/26/2018	\$1,001 - \$15,000
238	PLD - Prologis Inc	sale	10/25/2018	\$1,001 - \$15,000
239	PLD - Prologis Inc	purchase	05/02/2018	\$1,001 - \$15,000
240	PM - Philip Morris International Inc	sale	05/02/2018	\$1,001 - \$15,000
241	PM - Philip Morris International Inc	sale	02/01/2018	\$1,001 - \$15,000
242	PNC - PNC Bank	purchase	05/02/2018	\$1,001 - \$15,000
243	PPL - PPL Corp	sale	01/17/2018	\$1,001 - \$15,000
244	PRCXX -Federated Prime Cash Obligations Servicing	purchase	12/03/2018	\$15,001 - \$50,000
245	PRU - Prudential Financial Inflation Retail	purchase	05/02/2018	\$1,001 - \$15,000
246	PSX - Phillips 66	purchase	05/02/2018	\$1,001 - \$15,000
247	PUTIX - Pimco Strategic Bond Fund Class Instl	purchase	11/29/2018	\$1,001 - \$15,000
248	PUTIX - Pimco Strategic Bond Fund Class Instl	purchase	11/29/2018	\$1,001 - \$15,000

249	PX - Praxair	exchange	10/31/2018	\$1,001 - \$15,000
250	PX - Praxair	purchase	02/05/2018	\$1,001 - \$15,000
251	PYPL - Paypal Holdings	purchase	10/12/2018	\$1,001 - \$15,000
252	QCOM - Qualcomm Inc	purchase	07/12/2018	\$1,001 - \$15,000
253	QCOM - Qualcomm Inc	purchase	05/02/2018	\$1,001 - \$15,000
254	QCOM - Qualcomm Inc	purchase	05/24/2018	\$1,001 - \$15,000
255	QLEIX - Aqr Long-Short Equity Fund Class I	sale	11/19/2018	\$1,001 - \$15,000
256	QLEIX - Aqr Long-Short Equity Fund Class I	sale	11/19/2018	\$1,001 - \$15,000
257	QLEIX - Aqr Long-Short Equity Fund Class I	sale	06/13/2018	\$1,001 - \$15,000
258	RDS B - Royal Dutch Shell B	sale	11/23/2018	\$1,001 - \$15,000
259	REGL - S&P Midcap 400 Divd Proshares	purchase	11/29/2018	\$1,001 - \$15,000
260	REGL - S&P Midcap 400 Divd Proshares	purchase	11/29/2018	\$1,001 - \$15,000
261	RGERX - Columbia Select Global Equity Fund Class I2	sale	11/29/2018	\$1,001 - \$15,000
262	RGERX - Columbia Select Global Equity Fund Class I2	sale	11/29/2018	\$1,001 - \$15,000
263	RGERX - Columbia Select Global Equity Fund Class I2	purchase	10/26/2018	\$1,001 - \$15,000
264	RGERX - Columbia Select Global Equity Fund Class I2	purchase	10/26/2018	\$1,001 - \$15,000
265	RHT - Red Hat Inc	sale	12/06/2018	\$1,001 - \$15,000
266	Royal Dutch Shell B (RDSB)	sale	04/03/2018	\$1,001 - \$15,000
267	RSP - S&P 500 Equal Weight Portfolio PS	sale	07/30/2018	\$1,001 - \$15,000
268	RSP - S&P 500 Equal Weight Portfolio PS	exchange	04/09/2018	\$15,001 - \$50,000
269	RSP - S&P 500 Equal Weight Portfolio PS	exchange	04/09/2018	\$1,001 - \$15,000
270	RSP - S&P 500 Equal Weight Portfolio PS	exchange	04/09/2018	\$1,001 - \$15,000
271	RSP - S&P 500 Equal Weight Portfolio PS	exchange	04/09/2018	\$1,001 - \$15,000
272	RSP - S&P 500 Equal Weight Portfolio PS	sale	04/16/2018	\$1,001 - \$15,000
273	RSP - S&P 500 Equal Weight Portfolio PS	exchange	04/09/2018	\$1,001 - \$15,000
274	RSP - S&P 500 EW Guggenheim	sale	03/19/2018	\$1,001 - \$15,000
275	RSP - S&P 500 EW Invesco ETF	purchase	11/29/2018	\$1,001 - \$15,000

276	RSP - S&P 500 EW Invesco ETF	purchase	11/29/2018	\$1,001 - \$15,000
277	SDS - Ultrashort S&P 500 Proshares	sale	07/30/2018	\$1,001 - \$15,000
278	SDS - Ultrashort S&P 500 Proshares	sale	07/30/2018	\$1,001 - \$15,000
279	SDS - Ultrashort S&P 500 Proshares	purchase	06/08/2018	\$1,001 - \$15,000
280	SDS - Ultrashort S&P 500 Proshares	purchase	06/08/2018	\$1,001 - \$15,000
281	SDY - S&P Dividend SPDR	purchase	11/29/2018	\$1,001 - \$15,000
282	SDY - S&P Dividend SPDR	purchase	11/29/2018	\$1,001 - \$15,000
283	SDY - S&P Dividend SPDR	purchase	10/30/2018	\$1,001 - \$15,000
284	SGIIX - First Eagle Global Fund Class I	sale	11/19/2018	\$15,001 - \$50,000
285	SGIIX - First Eagle Global Fund Class I	sale	11/26/2018	\$1,001 - \$15,000
286	SGIIX - First Eagle Global Fund Class I	sale	10/09/2018	\$1,001 - \$15,000
287	SGIIX - First Eagle Global Fund Class I	sale	06/25/2018	\$1,001 - \$15,000
288	SGIIX - First Eagle Global Fund Class I	sale	03/28/2018	\$1,001 - \$15,000
289	SKYY - Cloud Computing ETF FT	sale	11/29/2018	\$1,001 - \$15,000
290	SKYY - Cloud Computing ETF FT	purchase	02/05/2018	\$1,001 - \$15,000
291	SLB - Schlumberger N.V.	purchase	05/02/2018	\$1,001 - \$15,000
292	SLYV - S&P Smallcap Value ETF SPDR	purchase	11/29/2018	\$1,001 - \$15,000
293	SLYV - S&P Smallcap Value ETF SPDR	purchase	02/12/2018	\$1,001 - \$15,000
294	SPY - S&P 500 SPDR	exchange	12/27/2018	\$1,001 - \$15,000
295	SQ - Square	purchase	10/25/2018	\$1,001 - \$15,000
296	SQQQ - Ultrapro Short QQQ Proshares	sale	11/19/2018	\$1,001 - \$15,000
297	SQQQ - Ultrapro Short QQQ Proshares	purchase	10/29/2018	\$1,001 - \$15,000
298	SRPT - Sarepta Therapeutics	sale	01/22/2018	\$1,001 - \$15,000
299	STM - Stmicroelectronics N.V.	sale	12/06/2018	\$1,001 - \$15,000
300	SYV - MFS Value Equity ETF SPDR	purchase	11/29/2018	\$1,001 - \$15,000
301	SYV - MFS Value Equity ETF SPDR	sale	11/29/2018	\$1,001 - \$15,000
302	SYV - MFS Value Equity ETF SPDR	sale	04/16/2018	\$1,001 - \$15,000

303	SYV - MFS Value Equity ETF SPDR	purchase	03/19/2018	\$1,001 - \$15,000
304	SYV - MFS Value Equity ETF SPDR	purchase	02/12/2018	\$15,001 - \$50,000
305	T - AT&T Inc	sale	05/02/2018	\$1,001 - \$15,000
306	T - AT&T Inc	sale	03/06/2018	\$1,001 - \$15,000
307	T - AT&T Inc	sale	01/17/2018	\$1,001 - \$15,000
308	TBSXX - Federated Tax Free Obligations Fund Service Shares	purchase	12/03/2018	\$1,001 - \$15,000
309	TBSXX Federated Tax Free Obligations Fund Service Shares	purchase	12/03/2018	\$15,001 - \$50,000
310	TD - Toronto Dominion Bank	purchase	03/06/2018	\$1,001 - \$15,000
311	TGBAX - Templeton Global Bond Fund Advisor Class	purchase	11/29/2018	\$1,001 - \$15,000
312	TGBAX - Templeton Global Bond Fund Advisor Class	purchase	11/29/2018	\$1,001 - \$15,000
313	TGT - Target Corp	sale	05/02/2018	\$1,001 - \$15,000
314	TGT - Target Corp	purchase	02/01/2018	\$1,001 - \$15,000
315	Time Warner Inc Note Call 3/15/2020	sale	09/28/2018	\$1,001 - \$15,000
316	TIP - TIPS Bond Ishares ETF	sale	12/13/2018	\$1,001 - \$15,000
317	TIP - TIPS Bond Ishares ETF	sale	11/29/2018	\$1,001 - \$15,000
318	TRI - Thomson Reuters Corp	purchase	05/02/2018	\$1,001 - \$15,000
319	TRP - Transcananda Pipelines	sale	04/16/2018	\$1,001 - \$15,000
320	TRP - Transcananda Pipelines	sale	04/18/2018	\$1,001 - \$15,000
321	TXN - Texas Instruments	sale	05/02/2018	\$1,001 - \$15,000
322	TXN - Texas Instruments	sale	04/19/2018	\$1,001 - \$15,000
323	TXN - Texas Instruments	purchase	02/01/2018	\$1,001 - \$15,000
324	TXN - Texas Instruments	purchase	01/17/2018	\$1,001 - \$15,000
325	UPS Inc Sr Note 5.50% 1/15/2018	sale	01/16/2018	\$1,001 - \$15,000
326	USB - U.S. Bancorp	purchase	05/02/2018	\$1,001 - \$15,000
327	UTX - United Technologies Corp	sale	05/02/2018	\$1,001 - \$15,000
328	UTX - United Technologies Corp	purchase	03/06/2018	\$1,001 - \$15,000
329	VBINX - Vanguard Balanced Index Fund	purchase	11/26/2018	\$1,001 - \$15,000

330	VBK - Smallcap Growth ETF Vanguard	sale	02/12/2018	\$1,001 - \$15,000
331	VBR - Smallcap Value ETF Vanguard	sale	02/12/2018	\$1,001 - \$15,000
332	VEA - FTSE Developed Markets Vanguard	sale	03/19/2018	\$15,001 - \$50,000
333	VEA - FTSE Developed Markets Vanguard	purchase	02/12/2018	\$15,001 - \$50,000
334	VGT - Information Technology ETF Vanguard	sale	09/11/2018	\$1,001 - \$15,000
335	VOD - Vodafone Grp Plc Ads	sale	05/02/2018	\$1,001 - \$15,000
336	VOD - Vodafone Grp Plc Ads	purchase	03/06/2018	\$1,001 - \$15,000
337	VOX - Telecom Services ETF Vanguard	sale	11/29/2018	\$1,001 - \$15,000
338	VOX - Telecom Services ETF Vanguard	purchase	09/11/2018	\$1,001 - \$15,000
339	VTR - Ventas Inc	purchase	08/27/2018	\$1,001 - \$15,000
340	VTR - Ventas Inc	sale	03/06/2018	\$1,001 - \$15,000
341	VTR - Ventas Inc	sale	03/14/2018	\$1,001 - \$15,000
342	VTV - Value ETF Vanguard	sale	02/12/2018	\$1,001 - \$15,000
343	VTV - Value ETF Vanguard	sale	01/22/2018	\$1,001 - \$15,000
344	VUG - Growth ETF Vanguard	purchase	11/29/2018	\$1,001 - \$15,000
345	VUG - Growth ETF Vanguard	purchase	05/23/2018	\$1,001 - \$15,000
346	VUG - Growth ETF Vanguard	sale	04/16/2018	\$1,001 - \$15,000
347	VUG - Growth ETF Vanguard	purchase	03/19/2018	\$1,001 - \$15,000
348	VZ - Verizon Communications Inc	purchase	08/17/2018	\$15,001 - \$50,000
349	VZ - Verizon Communications Inc	sale	05/02/2018	\$1,001 - \$15,000
350	VZ - Verizon Communications Inc	sale	03/14/2018	\$1,001 - \$15,000
351	WAGTX Seven Canyons Innovators Fund Investor Class - Reinvestment of long term gain	purchase	12/20/2018	\$1,001 - \$15,000
352	Walmart Inc Bond Redemption	sale	02/15/2018	\$1,001 - \$15,000
353	WFC - Wells Fargo & Company	purchase	05/02/2018	\$1,001 - \$15,000
354	WGIFX - Capital World Growth and Income Fund Class F-2 S	sale	10/30/2018	\$1,001 - \$15,000
355	WIESX - Wasatch Emerging Markets Select Fd Inst Cl	sale	10/26/2018	\$1,001 - \$15,000
356	WIESX - Wasatch Emerging Markets Select Fd Inst Cl	sale	10/26/2018	\$1,001 - \$15,000

357	WIESX - Wasatch Emerging Markets Select Fd Inst Cl	purchase	07/03/2018	\$1,001 - \$15,000
358	WIESX - Wasatch Emerging Markets Select Fd Inst Cl	purchase	07/03/2018	\$1,001 - \$15,000
359	WMT - Wal-Mart Stores	sale	05/02/2018	\$1,001 - \$15,000
360	WMT - Wal-Mart Stores	purchase	04/17/2018	\$1,001 - \$15,000
361	XLB - S&P 500 Materials Sector SPDR	sale	11/29/2018	\$1,001 - \$15,000
362	XLE - S&P 500 Energy Sector SPDR	sale	11/29/2018	\$1,001 - \$15,000
363	XLE - S&P 500 Energy Sector SPDR	sale	02/05/2018	\$1,001 - \$15,000
364	XLF - S&P 500 Financials Sector SPDR	sale	11/29/2018	\$1,001 - \$15,000
365	XLF - S&P 500 Financials Sector SPDR	sale	04/16/2018	\$1,001 - \$15,000
366	XLF - S&P 500 Financials Sector SPDR	purchase	03/19/2018	\$1,001 - \$15,000
367	XLF - S&P 500 Financials Sector SPDR	sale	02/05/2018	\$1,001 - \$15,000
368	XLI - S&P 500 Industrial Sector SPDR	sale	03/19/2018	\$1,001 - \$15,000
369	XLI - S&P 500 Industrial Sector SPDR	purchase	02/05/2018	\$1,001 - \$15,000
370	XLP - S&P 500 Cons Staples Sector SPDR	purchase	07/03/2018	\$1,001 - \$15,000
371	XLP - S&P 500 Cons Staples Sector SPDR	sale	03/19/2018	\$1,001 - \$15,000
372	XLRE - S&P 500 Real Estate Sector SPDR	sale	04/16/2018	\$1,001 - \$15,000
373	XLRE - S&P 500 Real Estate Sector SPDR	purchase	03/19/2018	\$1,001 - \$15,000
374	XLRE - S&P 500 Real Estate Sector SPDR	sale	02/05/2018	\$1,001 - \$15,000
375	XLU - S&P 500 Utilities Sector SPDR	sale	02/05/2018	\$1,001 - \$15,000
376	XLV - S&P 500 Healthcare Sector SPDR	purchase	08/31/2018	\$1,001 - \$15,000
377	XLV - S&P 500 Healthcare Sector SPDR	purchase	02/05/2018	\$1,001 - \$15,000
378	XOM - Exxon Mobil Corp	purchase	05/02/2018	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE OF LIABILITY	AMOUNT	YEAR INCURRED	INTEREST RATE	TERM
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1	Chase Student Loans; Indianapolis, IN, US	Student Loan	\$15,001 - \$50,000	2007	2..5	25
2	Chase Student Loans; Indianapolis, IN, US	Student Loan	\$15,001 - \$50,000	2008	5.0	25
3	Chase Student Loans; Indianapolis, IN, US	Student Loan	\$15,001 - \$50,000	2009	3.25	25
4	Chase Student Loans; Indianapolis, IN, US	Student Loans	\$15,001 - \$50,000	2010	4.5	25
5	American Education Services; Harrisburg, PA, US	Student Loan	\$15,001 - \$50,000	2011	Libor + 2.25	20
6	Navient; Wilkes- Barre, PA, US	Student Loan	\$15,001 - \$50,000	2010	Libor + 2.0	8
7	Citizen's Bank; Providence, RI, US	Student Loan	\$15,001 - \$50,000	2016	Libor + 2.95	20

9. Gifts and Reimbursements

None

Endnotes

PART	#	ENDNOTE
2	1	Title is held by EKG Realy, LLC My brother and I are the partners
2	4.1	Chase Manhattan Business Banking Account
2	4.2	The underlying assets are cash value between \$25,000 and \$50,000 and Nordic American Tanker stock valued between between \$1000- \$15,000
2	4.3	TD Ameritrade Statements will be attached
5	1	See Information Provided under separate cover by the NYC Teachers Retirement System
5	2	TD Ameritrade Statements will be included
5	4.1	Statement Provided
6	6	Two accounts are held joint with my spouse, Dr. Daniel Meyer Two accounts are held joint with my brother, Alan Goldberg
6	7	Two accounts are joint with my children
6	8	I hold accounts by myself and jointly with my husband, my children, my brother and my aunt. In addition to the personal accounts I have two partnership accounts: EKG Realty(checking and savings) and KF Finance (checking and savings), as well as my consulting firm Auric Ventures, Ltd. (checking and savings) Also accounts have been opened in Riverdale, NY and Marlboro, NJ
6	13	Merrill Lynch Statement Attached Account # xx122 and #xx557
6	14	Merrill Lynch statement Account # xx415
6	15	TD Ameritrade Statements will be included.
6	16	TD Ameritrade Statements will be attached.
6	17	TD Ameritrade Statement will be attached.
6	18	TD Ameritrade Statements will be attached.
6	19	Ethel K Goldberg Beneficiary IRA TD Ameritrade Statements will be attached
6	19.1	TD Ameritrade Statement will be attached.
6	20	TD Ameritrade statement will be attached.
6	20.1	TD Ameritrade statement will be attached.
6	21	TD Ameritrade statement will be attached.

6	21.1	TD Ameritrade statement will be attached
8	1	I am a co-signer on this loan
8	2	I am co-signer
8	3	I am co-signer
8	4	I am a co-signer
8	5	I am a co-signer
8	6	I am a co-signer.
8	7	I am the co-signer of this loan. This loan was financed on July 6, 2016

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses the following: Positions held by the filer at any time during the reporting period (excluding positions with the United States Government). Reportable positions include those of an officer, director, trustee, general partner, proprietor, representative, employee, or consultant of any for-profit or non-profit organization (whether compensated or uncompensated).

2. Filer's Employment Assets and Income

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 if the value of the asset at the end of the reporting period exceeded \$1,000 or if more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, anticipated payments such as severance payments, 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 the following: Agreements or arrangements that the filer had during the reporting period for the following:

- Continuing participation in an employee welfare or benefit plan maintained by a former employer
- Leave of absence
- Future employment
- Continuation of payments by a former employer (e.g., severance payments)

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 and Income

Part 5 discloses the following:

- Source of earned income (excluding honoraria) for the filer's spouse over \$1,000 during the reporting period.
- Sources of honoraria for the filer's spouse over \$200 during the reporting period.

- Assets related to the spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received 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

Part 9 discloses the following:

- 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. Failure to provide the requested information may result in separation, disciplinary action, or civil action. 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 OGE, an employee of OGE, 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 this system of records;
11. on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation;
12. on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE;
13. on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order;
14. to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm;
15. to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security.

See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).

Reviewer Comments and Submission History

for Beth Goldberg

05/15/2019 14:09:30

Filing submitted