

MARYLAND STATE ETHICS COMMISSION

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**FINANCIAL DISCLOSURE STATEMENT
FORM 1 - STATE EMPLOYEES AND ELECTED STATE OFFICIALS**

NAME:	Nancy Kornblith Kopp		
TRACKING NUMBER:	178530	VERSION:	ELECTRONIC
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Do you wish to be notified if someone looks at your form? No

Schedule A - Real Property Interests

1. What is the address or legal description of the property?

(Enter the street address, if you know it. If the property is your primary residence, you may enter the lot and block legal description instead, if you wish)

Street Address: *109R Wheeler Street*
City: *Gloucester* State: *MA*
Zip Code: *01930*

2. What kind of property is it?

(for example Improved: single-family house, leased, apartment, or commercial property, Unimproved: vacant lot, etc.)

Unimproved Land / Vacant Lot

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Are you the owner or tenant?

Owner

5. Do you hold the interest solely or is it jointly held with another?

Jointly with other than spouse

5 a. What are the names of the individuals or entities and the % of the individuals or entities' interest in the property

Name of Person or Entity: *Nancy Kopp 25-49%*
Name of Person or Entity: *Elizabeth Levin 25-49%*
Name of Person or Entity: *Marshall Brown 25-49%*
Name of Person or Entity: *N/A N/A*

6. Are there any legal conditions or encumbrances on the property?
(for example, mortgage, liens, contracts, options etc.)

No

7. What year was the property acquired?

2010

8. How was the property acquired? (For example, purchase, gift, will, etc.)

Purchase

9. From whom was the property acquired?

(Name of individual or entity from whom you purchased or inherited the property)

Richard M Shaw

10. What consideration was given when the property was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$200,000 to \$249,999*

11. Have you transferred any interest in this property during the reporting period?

No

Schedule A - Real Property Interests

1. What is the address or legal description of the property?

(Enter the street address, if you know it. If the property is your primary residence, you may enter the lot and block legal description instead, if you wish)

Street Address: *6301 Dahlonaga Rd*
City: *Bethesda* State: *MD*
Zip Code: *20816*

2. What kind of property is it?

(for example Improved: single-family house, leased, apartment, or commercial property, Unimproved: vacant lot, etc.)

Home Residence

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Are you the owner or tenant?

Owner

5. Do you hold the interest solely or is it jointly held with another?

Tenancy by the entirety (with spouse)

Name of spouse: *Robert E. Kopp*

6. Are there any legal conditions or encumbrances on the property?

(for example, mortgage, liens, contracts, options etc.)

No

7. What year was the property acquired?

Prior to 1980

8. How was the property acquired? (For example, purchase, gift, will, etc.)

Purchase

9. From whom was the property acquired?

(Name of individual or entity from whom you purchased or inherited the property)

Miriam Rosenson

10. What consideration was given when the property was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$25,000 to \$49,999*

11. Have you transferred any interest in this property during the reporting period?

No

Schedule A - Real Property Interests

1. What is the address or legal description of the property?

(Enter the street address, if you know it. If the property is your primary residence, you may enter the lot and block legal description instead, if you wish)

Street Address: *109 Wheeler St. (property owned by spouse)*
City: *Gloucester* State: *MA*
Zip Code: *01930*

2. What kind of property is it?

(for example Improved: single-family house, leased, apartment, or commercial property, Unimproved: vacant lot, etc.)

Vacation Home

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Are you the owner or tenant?

N/A

5. Do you hold the interest solely or is it jointly held with another?

N/A

6. Are there any legal conditions or encumbrances on the property?

(for example, mortgage, liens, contracts, options etc.)

No

7. What year was the property acquired?

2010

8. How was the property acquired? (For example, purchase, gift, will, etc.)

Purchase

9. From whom was the property acquired?

(Name of individual or entity from whom you purchased or inherited the property)

Jennifer B Pinck

10. What consideration was given when the property was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$300,000 to \$349,999*

11. Have you transferred any interest in this property during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Costco*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Stock*
If other, please specify: *N/A*

Value: *\$25,000 to \$49,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

N/A

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill L. broker; 5 divs total \$1000-\$5000*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$1,000 to \$4,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *DN Goldman Sachs Certificate of Deposit*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Other*

If other, please specify: *Callable CD FDIC Insured 2.75% interest*

Value: *\$100,000 and Over* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

No

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *T Rowe Price Spectrum Income Fund*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

With Spouse

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$100,000 and Over* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

N/A

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *T Rowe Price--Monthly Dividends-- total \$5000-\$9999*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$5,000 to \$9,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *T Rowe Price Spectrum Growth Fund*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

With Spouse

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$100,000 and Over* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

December

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *T Rowe Price*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$10,000 to \$14,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Allianzgi NFJ Intl Value Fund*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$25,000 to \$49,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

March

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker (total reinv divs under \$1000*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

100%

8 c. What consideration did you receive for the interest in the entity? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$25,000 to \$49,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch broker*

8 e. What month was the interest transferred?

April

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *SPDR S&P Dividend ETF (1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$20,000 to \$24,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

September

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$20,000 to \$24,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *SPDR S&P Dividend ETF (2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *N/A*

If other, please specify: *See SPDR S&P (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

December

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$1,000 to \$4,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Cambiar Opportunity Fund (1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$50,000 to \$74,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

April

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$1,000 to \$4,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Cambiar Opportunity Fund (2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *N/A*

If other, please specify: *See Cambiar Opportunity (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

September

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$10,000 to \$14,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Cambiar Opportunity Fund (3)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *N/A*

If other, please specify: *See Cambiar (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

November

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker (reinvested divs, cap gain)*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$5,000 to \$9,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Cambiar Opportunity Fund (4)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*

If other, please specify: *See Cambiar (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

December

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker MFA program*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Deutsche X-Trackers MSCI EAFE Hedge ETF(1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$50,000 to \$74,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

September

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$50,000 to \$74,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Deutsche X-Trackers MSCI EAFE Hedge ETF(2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A--see !1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

N/A

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker (divs,cap gain)*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Glenmede Sm Cap Equity Instl Fund*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$20,000 to \$24,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

April

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$20,000 to \$24,999*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

100%

8 c. What consideration did you receive for the interest in the entity? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$20,000 to \$24,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch broker*

8 e. What month was the interest transferred?

September

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Harbor International Fund (1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$50,000 to \$74,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

April

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$25,000 to \$49,999*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

25-49%

8 c. What consideration did you receive for the interest in the entity? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$20,000 to \$24,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch, broker*

8 e. What month was the interest transferred?

September

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Harbor International Fund (2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *See Harbor Intl (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

December

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$1,000 to \$4,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Hartford Growth Fund (1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$25,000 to \$49,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

September

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$1,000 to \$4,999*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

3% to 9%

8 c. What consideration did you receive for the interest in the entity? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$1,000 to \$4,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch broker*

8 e. What month was the interest transferred?

January

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Hartford Growth Fund (2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*

If other, please specify: *See Hartford Growth (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

September

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$1,000 to \$4,999*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

25-49%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$20,000 to \$24,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch broker*

8 e. What month was the interest transferred?

April

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Hartford Growth Fund (3)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

December

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$1,000 to \$4,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Ivy Asset Strategy Fund*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$25,000 to \$49,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

No

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

100%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$25,000 to \$49,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch broker*

8 e. What month was the interest transferred?

April

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *John Hancock Classic Value Fund (1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$25,000 to \$49,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

April

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$1,000 to \$4,999*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

25-49%

8 c. What consideration did you receive for the interest in the entity? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$10,000 to \$14,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch broker*

8 e. What month was the interest transferred?

September

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *John Hancock Classic Value Fund (2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *See John Hancock above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

December

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Lazard Emerging Mkts Fund (1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$25,000 to \$49,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

April

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$20,000 to \$24,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Lazard Emerging Mkts Fund (2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *See Lazard (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

August

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?
(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired?
(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Lazard Emerging Mkts Fund (3)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*

If other, please specify: *See Lazard (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

September

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Lazard Emerging Mkts Fund (4)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *N/A*

If other, please specify: *See Lazard(1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

December

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *MFS New Discovery Fund*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$25,000 to \$49,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

No

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

100%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$25,000 to \$49,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch broker*

8 e. What month was the interest transferred?

April

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *MFS Value Fund (1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$20,000 to \$24,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

N/A

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Reinv divs/cap gain Mar Jun Sep Dec total \$1000-\$4999*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$1,000 to \$4,999*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

25-49%

8 c. What consideration did you receive for the interest in the entity? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$5,000 to \$9,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch broker*

8 e. What month was the interest transferred?

September

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *MFS Value Fund (2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *See MFS Value (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

April

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$1,000 to \$4,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Oppenheimer Rising Fund (1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$20,000 to \$24,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

N/A

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *MerrillLynch, 3 divs total under \$1000Mar,Jun,Sep*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

3% to 9%

8 c. What consideration did you receive for the interest in the entity? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$1,000 to \$4,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch broker*

8 e. What month was the interest transferred?

April

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Oppenheimer Rising Fund (2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*

If other, please specify: *See Oppenheimer Rising(1) above*

Value: *\$20,000 to \$24,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

No

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

100%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$20,000 to \$24,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch broker*

8 e. What month was the interest transferred?

September

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Mainstay Large Cap Growth (1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$50,000 to \$74,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

April

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$1,000 to \$4,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Mainstay Large Cap Growth (2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

N/A

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *N/A*

If other, please specify: *See Mainstay Large (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

December

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$5,000 to \$9,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *The Oakmark International Fund (1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$50,000 to \$74,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

April

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$25,000 to \$49,999*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

25-49%

8 c. What consideration did you receive for the interest in the entity? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$10,000 to \$14,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch broker*

8 e. What month was the interest transferred?

September

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *The Oakmark International Fund (2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *N/A*

If other, please specify: *See Oakmark Intl Fund (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

December

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$1,000 to \$4,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Wells Fargo Small Cap Fund*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$25,000 to \$49,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

No

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

100%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$25,000 to \$49,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch broker*

8 e. What month was the interest transferred?

April

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Artisan International Fund (IRA)(1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$20,000 to \$24,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

September

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch IRA Trustee*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$20,000 to \$24,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Artisan International Fund (IRA)(2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*

If other, please specify: *See Artisan (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

November

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch IRA Trustee*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Cambiar International Equity Fund (IRA)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$15,000 to \$19,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

July

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch IRA Trustee*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$15,000 to \$19,999*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

100%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$15,000 to \$19,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch IRA Trustee*

8 e. What month was the interest transferred?

September

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Deutsche (DWS) Intl Value Fund (IRA)(1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$15,000 to \$19,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

April

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch IRA Trustee*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$1,000 to \$4,999*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

3% to 9%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$1,000 to \$4,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch IRA Trustee*

8 e. What month was the interest transferred?

March

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Deutsche (DWS) Intl Value Fund (IRA)(2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*

If other, please specify: *See Deutsche Intl Value (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

June

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch IRA Trustee*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

100%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$15,000 to \$19,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch IRA Trustee*

8 e. What month was the interest transferred?

July

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Harbor International Fund (IRA) (1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$15,000 to \$19,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

April

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch IRA Trustee*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$1,000 to \$4,999*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

3% to 9%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$1,000 to \$4,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch IRA Trustee*

8 e. What month was the interest transferred?

March

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Harbor International Fund (IRA) (2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *See Harbor (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

September

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch IRA Trustee*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$1,000 to \$4,999*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

Under 3%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

under \$1,000

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch IRA Trustee*

8 e. What month was the interest transferred?

July

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Harbor International Fund (IRA) (3)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *See Harbor (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

December

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch IRA Trustee*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Invesco Intl Growth Fund (1)(IRA)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$15,000 to \$19,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

July

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch IRA Trustee*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

Under 3%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

under \$1,000

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *merrill Lynch IRA Trustee*

8 e. What month was the interest transferred?

January

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Invesco Intl Growth Fund (IRA) (2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*

If other, please specify: *See Invesco (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

No

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

100%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$15,000 to \$19,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch IRA Trustee*

8 e. What month was the interest transferred?

September

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Lazard Emerging Mkts Fund (IRA) (1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$5,000 to \$9,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

April

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch IRA Trustee*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$1,000 to \$4,999*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

3% to 9%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

under \$1,000

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch IRA Trustee*

8 e. What month was the interest transferred?

March

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Lazard Emerging Mkts Fund (IRA) (2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$5,000 to \$9,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

July

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch IRA Trustee*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

100%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$5,000 to \$9,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch IRA Trustee*

8 e. What month was the interest transferred?

September

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Ishares MSCI EAFE ETF (IRA)(1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$5,000 to \$9,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

September

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch IRA Trustee*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$5,000 to \$9,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Ishares MSCI EAFE ETF (IRA)(2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Other*

If other, please specify: *See Ishares MSCI above (1)*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

December

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch IRA Trustee*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Mainstay Epoch Global Equity Fund(IRA)(1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$10,000 to \$14,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

April

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch IRA Trustee*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$1,000 to \$4,999*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

3% to 9%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$1,000 to \$4,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch IRA Trustee*

8 e. What month was the interest transferred?

March

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Mainstay Epoch Global Equity Fund(IRA)(2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *N/A*

If other, please specify: *See Mainstay (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

July

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch IRA Trustee*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

Under 3%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

under \$1,000

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch IRA Trustee*

8 e. What month was the interest transferred?

July

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Mainstay Epoch Global Equity Fund(IRA)(3)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *See Mainstay (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

No

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

100%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$10,000 to \$14,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch IRA Trustee*

8 e. What month was the interest transferred?

September

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Matthews Asian Pacific Tigers Fund (IRA)(1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$5,000 to \$9,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

No

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

10-24%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

under \$1,000

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch IRA Trustee*

8 e. What month was the interest transferred?

March

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Matthews Asian Pacific Tigers Fund (IRA)(2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$5,000 to \$9,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

No

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

100%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$5,000 to \$9,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch IRA Trustee*

8 e. What month was the interest transferred?

September

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *MFS International Value Fund (IRA)(1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$20,000 to \$24,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

September

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch IRA Trustee*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$20,000 to \$24,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *MFS International Value Fund (IRA)(2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *N/A*

If other, please specify: *See MFS Intl Value (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *N/A*

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

December

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch IRA Trustee*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *The Oakmark Intl Fund (IRA)(1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$10,000 to \$14,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

No

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

10-24%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$1,000 to \$4,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch IRA Trustee*

8 e. What month was the interest transferred?

March

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *The Oakmark Intl Fund (IRA)(2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*

If other, please specify: *See Oakmark Intl (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

No

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

100%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$10,000 to \$14,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch IRA Trustee*

8 e. What month was the interest transferred?

September

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Oppenheimer International Growth Fund (IRA)(1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$15,000 to \$19,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

December

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch IRA Trustee*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

10-24%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

\$1,000 to \$4,999

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch IRA Trustee*

8 e. What month was the interest transferred?

March

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Oppenheimer International Growth Fund (IRA)(2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*

If other, please specify: *See Oppenheimer Intl (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

No

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

Under 3%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

under \$1,000

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch IRA Trustee*

8 e. What month was the interest transferred?

July

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Oppenheimer International Growth Fund (IRA)(3)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Attributable

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*

If other, please specify: *See Oppenheimer (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

Yes

6 a. What is the name of the lender, creditor, lien holder, etc?

OTHER

If other, please specify: *Merrill Lynch IRA Trustee*

7. Did you acquire an interest in the entity during the reporting period?

No

8. Have you transferred any interest in this entity during the reporting period?

Yes

8 a. What is the type of interest?

Mutual Funds

If other, please specify: *N/A*

8 b. What amount of interest was transferred?

Under 3%

8 c. What consideration did you receive for the interest in the entity?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value and terms at the time you acquired your interest in the property)

under \$1,000

8 d. To whom did you transfer your interest in the entity?

Name of Person or entity: *Merrill Lynch IRA Trustee*

8 e. What month was the interest transferred?

September

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Vanguard FTSE Developed Markets ETF (1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$15,000 to \$19,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

October

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$15,000 to \$19,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Vanguard FTSE Developed Markets ETF (2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *N/A*

If other, please specify: *See Vanguard FTSE above (1)*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

December

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Vanguard Total Bond Market ETF (1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$50,000 to \$74,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

October

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$50,000 to \$74,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Vanguard Total Bond Market ETF (2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*

If other, please specify: *See Vgd Total Bond Mkt (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

N/A

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *ML broker; total reinvest divs Nov, Dec under \$1000*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Vanguard Total Stock Market ETF (1)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$75,000 to \$99,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

October

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Purchase

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$75,000 to \$99,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Vanguard Total Stock Market ETF (2)*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

Solely

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *N/A*

If other, please specify: *See Vgd Total Stock Mkt (1) above*

Value: *N/A* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

December

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity?

(if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Merrill Lynch broker*

7 d. What consideration was given when the interest was acquired?

(dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *under \$1,000*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Vanguard Emerging Markets*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

With Spouse

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$75,000 to \$99,999* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

N/A

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Vanguard; divs Mar,Jun,Sep,Dec;,\$1000-\$4999 total*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$1,000 to \$4,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule B - Interests in Corporations and Partnerships

1. What is the name of the entity? Include the complete name of the entity, do not identify solely by trading symbol.

Name: *Vanguard Total International Stock Index fund*

2. Is the entity publicly traded?

Yes

3. Is the interest held directly by you or is it attributable to you?

Direct

4. Do you hold the interest solely or is it jointly held with another?

With Spouse

5. What is the type of interest and its dollar value or the number of shares? (example: notes, bonds, puts, calls, straddles, purchase options, etc.)

Type: *Mutual Funds*
If other, please specify: *N/A*

Value: *\$100,000 and Over* or *N/A* Shares

6. Are there any legal conditions or encumbrances that apply to your interest in the entity? (for example, mortgage, liens, contracts, options etc.)

No

7. Did you acquire an interest in the entity during the reporting period?

Yes

7 a. What month was the interest acquired?

N/A

7 b. How was the interest in the entity acquired? (For example, purchase, gift, will, etc.)

Reinvested dividend

7 c. From whom did you acquire the interest in the entity? (if you purchased it from a brokerage, the name of the brokerage)

Name of Person or Entity: *Vanguard; 4 quarterly divs, total \$5000-\$9999*

7 d. What consideration was given when the interest was acquired? (dollar amount paid or, if you received the property as a gift or inherited it, the fair market value at the time you acquired your interest in the property)

Consideration paid or Fair Market Value: *\$5,000 to \$9,999*

8. Have you transferred any interest in this entity during the reporting period?

No

Schedule C - Interests in Non-Corporate Business Entities Doing Business with the State

1. Name and address of the principal office of the business entity ?
(include complete name and full address, including city, state and zip code)

Name: N/A
Street Address: N/A
City: N/A State: N/A
Zip Code: N/A

2. Is the interest held directly by you or is it attributable to you?

N/A

3. Do you hold the interest solely or is it jointly held with another?

N/A

Dollar value of the filer's interest in the entity: N/A

4. Are there any legal conditions or encumbrances that apply to your interest in the entity?
(for example, mortgage, liens, contracts, options etc.)

N/A

5. Was any interest acquired during the reporting year?

N/A

6. Did you transfer any of your interest during the reporting period?

N/A

Schedule D - Gifts

1. Who gave you the gift?

Name: *N/A*

2. What kind of gift was it?

(for example, cash, restaurant meal, theater ticket, book, etc.)

N/A

If Other, please describe. *N/A*

3. What was the value of the gift?

Dollar Amount: \$ *N/A*

4. If the gift was given to someone else at your direction, list the identity of the recipient of the gift.

Name: *N/A*

Schedule E - Offices, directorships, salaried employment and similar interests

1. What is the name and address of the business entity?

Name: N/A
Street Address: N/A
City: N/A State: N/A
Zip Code: N/A

2. Who was the individual who held the position or interest listed above? (example, yourself, spouse, dependent child)

N/A

Name: N/A

3. What is the title of the office you held?

(for example, limited partner, director, treasurer, chair of the board of trustees, etc)

Title: N/A

If other, please specify: N/A

4. What year did the position (directorship, salaried employment, etc) begin?

N/A

5. With what State agency did the business entity do business?

N/A

If other, please specify: N/A

6. What was the nature of the business?

(example, regulated by your agency, registered under the lobbying law, or involved with sales and contracts with the State)

N/A

Schedule F - Debts you owe

1. To whom did you owe the debt? (Do not include consumer credit debts)

Name: *N/A*

If other, please specify: *N/A*

2. When was the debt incurred?

N/A

3. What are the interest rate and terms of payment of the debt?

Interest Rate:

N/A

Terms:

N/A

4. Select the appropriate amount to indicate amount of debt as of the end of the reporting period. If debt existed during the reporting period but was paid in full at the end of the period, select \$0.

N/A

5. How much did the principal of the debt increase or decrease during the reporting period?

N/A

N/A

6. Was any collateral given for the debt?

N/A

7. If this is a transaction in which you were involved, but which resulted in a debt being owed by your spouse or dependent child, identify your spouse or child and describe the transaction.

N/A

Name:

N/A

Transaction:

N/A

Schedule G - Family Members Employed by the State

1. What is the relation and name of the immediate family member employed by the State?

N/A

Name:

N/A

2. What is the name of the agency that employed the member of your immediate family?

N/A

If other, please specify: N/A

3. What was the title of your immediate family member's position in the State agency during the reporting period?

N/A

Schedule H - Employment/Business Ownership

1. If, during the reporting period, you or a member of your immediate family had employment from which you earned income, list the relation, name and address of the employment. You need only report the source of earned income for your dependent child if the entity employing your dependent child was subject to regulation by or did business with the agency.

Relation:	N/A		
Name of Employer:	N/A		
Street Address:	N/A		
City:	N/A	State:	N/A
Zip Code:	N/A		

2. If, during the reporting period, you or a member of your immediate family wholly or partially owned any business entity from which income was earned, list the relation, name and address of the business entity.

N/A

Relation:	N/A		
Name of Business Entity:	N/A		
Street Address:	N/A		
City:	N/A	State:	N/A
Zip Code:	N/A		

Schedule I - Other

Please provide information in the narrative form.

ITEM 1

Additional items, Nancy K Kopp:

Merrill Lynch Bank Deposit Program. Amount varied during course of year with cash transactions; cash/money accounts total value at end of year \$25,000-\$49,999.

2. Merrill Lynch Retirement Reserve, money market fund for IRA accounts; value at end of year \$1000-\$4999.

3. Citibank joint checking account with spouse.

4. Maryland College Savings Plan for benefit of Mateo Dantas, grandson. Spouse has one for Maya Dantas, granddaughter.

Schedule I - Other

Please provide information in the narrative form.

ITEM 2

A. ASSETS AND INTERESTS OF ROBERT E KOPP (spouse)

REAL PROPERTY INTERESTS not otherwise listed on Schedule A

109 Wheeler Street, Gloucester MA 01930

Vacation Home

Direct

Owner

Interest held jointly with other than spouse

Co-owners (all have 1/3 interest)

Elizabeth Levin

Jane Brown

No encumbrances

Property acquired 2010 by purchase

Acquired from Jennifer B. Pinck

Consideration \$300,000-\$349,000.

No transfer of interest in reporting period,

The parties owning 109 Wheeler and 109R Wheeler are all family members. They have entered into an agreement where if a current family group wishes to transfer their share in the property, priority shall be given to the other family groups before the property is sold on the market.

B. INTERESTS OF SPOUSE IN CORPORATIONS AND PARTNERSHIPS, ETC.

Assets owned by Robert E. Kopp, spouse of Nancy Kopp, not otherwise reported on Schedule B:

1. Vanguard Balanced Index Fund, Direct, solely, value \$200,000-\$300,000. Dividends reinvested quarterly, Mar \$1000-\$4999, Jun \$1000-\$4999, Sep \$1000-\$4999; Dec \$1000-\$4999. No transfers.
2. Vanguard Capital Opportunity Fund, Direct, solely, value \$100,000-\$200,000. Dividends reinvested, Dec., \$5000-\$9999. No transfers.
3. Vanguard Primecap Fund, Direct, solely, value \$200,000-\$300,000. Dividends reinvested, Dec. \$10,000-\$14,999. No transfers.
4. Vanguard Wellesley Income Fund, Direct, solely, value \$300,000-\$400,000. Dividends reinvested, Mar \$1000-\$4999, Jun \$1000-\$4999, Sep \$1000-\$4999, Dec., divs/cap gains, \$10,000-\$14,999. No transfers.
5. Bonds in various governmental units (face amounts stated) direct, solely, no purchases or transfers during reporting period except where indicated (Merrill Lynch, broker):
 - a. Annapolis, Md, 3/11, \$50,000, due 2040, income \$1000-\$4999.
 - b. Anne Arundel County Md 3/06, \$30,000, due 2023, income \$1000-4999
 - c. Anne Arundel County Md 4/09, \$25,000, due 2026, income \$1000-\$4999
 - d. Anne Arundel County Md 4/11, \$25,000 due 2029, income \$1000-\$4999.
 - e. Baltimore County Md 1/08, \$25,000, due 2034, income \$1000-\$4999.
 - f. Baltimore County Md, 12/12, \$25,000, due 2042, income under \$1000
 - g. Baltimore Md, 1/13, \$25,000, due 2031, income under \$1000
 - h. Calvert County Md, 5/12, \$50,000, due 2026, income \$1000-\$4999.
 - i. Carroll Cnty Md, 11/08, \$30,000, due 2027, income \$1000-\$4999.
 - j. Frederick Cnty Md, 5/05, \$30,000, redeemed \$30000 Aug 2015, income \$1000-\$4999,
 - l. Howard County Md, 12/09, \$25,000, due 2027, income under \$1000.
 - m. Howard County Md, 11/11, \$35,000, due 2033, income \$1000-\$5000.
 - n. Prince Georges County Md, 6/08, \$30,000, due 2021, income \$1000-\$4999.
 - o. Prince Georges County Md 6/08, \$25,000, due 2022, income \$1000-\$4999.
 - p. Puerto Rico Commonwealth, 4/12, \$30,000, due 2033, income \$1000-\$5000.
 - q. Rockville Md 9/05, \$15,000, redeemed \$15,000, Jun 2015, income under \$1000
 - r. Rockville Md, 9/05, \$10,000, redeemed \$10,000, Jun 2015, income under \$1000
 - t. Rockville Md.9/05, \$15,000, redeemed \$15,000 Jun 2015, income under \$1000
 - u. Worcester Cnty Md, 11/08, \$25,000, due 2017, income \$1000-\$4999.
6. DN Goldman Sachs Bank Callable CD FDIC insured 2.5%, \$100000, due 2025, interest May \$1000-\$4999; Nov \$1000-\$4999. No transfers.
7. Wells Fargo Advisors Account, Robert E. Kopp
 - a. Universal Display Corp., stock, value \$300,000-\$500,000. No dividends. A charitable annuity transfer of stock was made to Wellesley College, Wellesley, MA., December, value \$10,000-\$14,999.
 - b. United Parcel Service, stock, value \$300,000-\$500,000. Dividends: March \$1000-\$4999, May

*\$1000-\$4999, Sep \$1000-\$4999; Dec \$1000-\$4999. No transfers.
c. PIMCO Short Term Fund, value \$100,000-\$200,000. Reinv monthly dividends, total \$1000-\$4999. No transfers.
d. PIMCO Low Duration Fund, value \$100,000-\$200,000. Reinv monthly dividends, \$1000-\$4999. No transfers.
e. USA Technologies Inc., stock, value \$25,000-\$49,999. No activity 2015. [Although listed on earlier forms, this stock failed to appear on the 2014 ethics form due to error; for 2014 value was \$15,000-\$19,999; no activity.]*

8. IRA Mutual Funds, Merrill Lynch Trustee for benefit of Robert E. Kopp, 100%, sole:

*a. Emerging Global Shares Dow Jones ETF, value Jan 1, \$1000-\$4999
Div Jan, value under \$1000
Bought Jan value under \$1000
Bought Mar, value under \$1000
Sold Mar, value under \$1000
Sold Aug, value under \$1000
Sold Sep, value under \$1000
Sold Oct, 100%, value \$1000-\$4999*

*b. Ishares Inc MSCI Core Emerging Mkts ETF, value Jan 1, \$5000-\$9999
Bought Jan, value under \$1000
Bought Mar, value under \$1000
Sold Mar, value under \$1000
Div Jul, value under \$1000
Sold Aug, value \$1000-\$4999 15-24 percent
Sold Sep, value under \$1000
Bought Oct, \$1000-\$4999
Div Dec, value under \$1000
Dec 31, value \$5000-\$9999*

*c. Ishares MSCI CDA (Canada) ETF. Value Jan 1, \$1000-\$4999
Bought Jan, value under \$1000
Sold Mar, value under \$1000
Div Jul, value under \$1000
Sold Aug, value under \$1000
Sold Sep, value under \$1000
Div Dec, value under \$1000
Dec 31, value \$1000-\$4999*

*d. Ishares MSCI EMU (European Monetary Union) ETF, value Jan 1 \$10000-\$14999
Sold Jan 100%, value \$10000-\$14999*

*e. Ishares MSCI Pacific Ex-Japan ETF value Jan 1 \$1000-\$4999
Bought Jan, value under \$1000
Bought Mar, value under \$1000
Sold Mar, value under \$1000
Div Jul, value under \$1000
Bought Aug, value under \$1000
Sold Oct, value under \$1000
Div Dec, value under \$1000
Value Dec 31 \$1000-\$4999*

*f. Ishares MSCI Sweden ETF, value Jan 1 \$1000-\$4999
Sold Jan, value under \$1000
Bought Mar value under \$1000
Sold Mar, value under \$1000
Div Jul value under \$1000
Bought Aug value under \$1000
Bought Oct value under \$1000
Dividends Dec, value under \$1000
Value Dec 31 \$1000-\$4999*

*g. Ishares MSCI Switzerland ETF, value Jan 1, \$1000-\$4999
Sold Jan, value under \$1000
Bought Mar, value under \$1000
Sold Mar value under \$1000
Div Jul value under \$1000
Bought Aug value under \$1000
Bought Oct value under \$1000
Value Dec 31 \$1000-\$4999*

*h. Ishares MSCI United Kingdom (ETF), Value Jan 1, \$5000-\$9999
Bought Jan, value under \$1000
Sold Mar, value under \$1000
Div, Jul, value under \$1000
Sold Sep value under \$1000
Sold Oct, value under \$1000
Div Dec, value under \$1000
Dec 31, value \$5000-\$9999*

i. Wisdom Tree Europe Hedged Equity Fund (ETF)

Initial purchase Jan, value \$10000-\$14999

Bought Mar value under \$1000

Sold Mar, value under \$1000

Div Mar, value under \$1000

Bought Apr, value under \$1000

Div Jun, value under \$1000

Bought Aug, value \$1000-\$4999

Sold Sep, value under \$1000

Div Sep, value under \$1000

Bought Oct, value under \$1000

Div Dec, value \$1000-\$4999

Value Dec 31 \$10000-\$14999

j. Wisdom Tree Trust Japan Hedged (ETF), value Jan 1 \$5000-\$9999

Bought Jan value \$1000-\$4999

Sold Mar, value \$1000-\$4999 15-24%

Div June value under \$1000

Sold Sep value under \$1000

Div Sep value under \$1000

Bought Oct value under \$1000

Div Dec value under \$1000

Value Dec 31, \$5000-\$9999

9. Merrill Lynch Bank Deposit program. Amount varied during course of year but value at end of year \$1000-\$4999.

10. Merrill Lynch Retirement Reserve, money market fund for IRA accounts; value at end of year \$1000-\$4999.

11. Maryland College Savings Plan for benefit of Maya K. Dantas, granddaughter.

Schedule I - Other

Please provide information in the narrative form.

Other State management Boards and Commissions on which I sit ex officio and for which this disclosure statement is appropriate: State Retirement Agency Board of Trustees; Maryland Supplemental Retirement Plans Board of Trustees; Maryland College Savings Plans Board of Trustees; Maryland Agricultural Land Preservation Board; Maryland Health and Higher Education Financing Authority; Maryland Small Business Financing Authority; and Board of Public Works. During this period of time, and at the present time, I also serve as a member of advisory, non-managing boards for: The (University of Maryland's) Institute for Human Virology; UMCP Division of Computer, Mathematical and Natural Sciences; the UMBC Public Policy Program; and the Universities at Shady Grove (USM). In my capacity as State Treasurer, I hold leadership positions in the National Association of State Auditors, Comptrollers and Treasurers and the National Association of State Treasurers (NAST) and am a member of the NAST Foundation Board of Trustees. I am also one of three state/local government representatives on the Financial Accounting Foundation Board, the group designated by federal law to oversee the GASB and FASB procedures and appointments. I receive reimbursement for travel expenses, but no other stipend.

Schedule I - Other

Please provide information in the narrative form.

ITEM 4

Note regarding schedule B and this Schedule I :

a. Mutual funds and ETFs listed as owned through Merrill Lynch (broker or IRA trustee) are in three Merrill Lynch accounts for Nancy Kopp (one non-IRA; one containing only Vanguard ETFs; and one IRA). These are accounts where for the mutual funds and ETFs Merrill Lynch is authorized to make periodic rebalancings and reinvestment of dividends and capital earnings without consultation with the client.

b. Spouse Robert Kopp has granted similar authority to Merrill Lynch concerning mutual funds and ETFs where Merrill Lynch is the broker or IRA trustee.

c. For purposes of this report ETFs appear under the caption of "Mutual Funds" but are identified in their name as ETFs.