





Official Public Records of  
Harris County  
Diane Trautman  
County Clerk

Campaign Finance Report

		 COUNTY CLERK HARRIS COUNTY, TEXAS
FileNo:	201998	
Received By Clerk:	1/15/2019	
File Date:	January 15, 2019	
Office:	Not Available	
Candidate:	Lee, El Franco	
Treasurer:	Lee Mrs., Ethel Kaye	
Category:	Contributions And Expenditures	
Delivered By:	Courier	
Type:	COR	

Harris County No Fee

# CANDIDATE / OFFICEHOLDER CAMPAIGN FINANCE REPORT

FORM C/OH  
COVER SHEET PG 1

The C/OH Instruction Guide explains how to complete this form.		1 Filer ID		2 Total pages filed: 22	
3 CANDIDATE / OFFICEHOLDER NAME	MS / MRS / MR		FIRST	MI	
	NICKNAME		LAST	SUFFIX	
El Franco		Lee		OFFICE USE ONLY	
4 CANDIDATE / OFFICEHOLDER MAILING ADDRESS		ADDRESS / PO BOX; APT / SUITE #; CITY;		ZIP CODE	
P.O. Box 56386		Houston, TX 77256		Date Hand-delivered or Date Postmarked	
<input type="checkbox"/> Change of Address				Receipt # Amount	
				Date Processed	
				Date Imaged	
5 CAMPAIGN TREASURER NAME	MS / MRS / MR		FIRST	MI	
	NICKNAME		LAST	SUFFIX	
Mrs.		Ethel		Kaye	
Lee					
6 CAMPAIGN TREASURER ADDRESS	STREET ADDRESS (NO PO BOX PLEASE);		APT / SUITE #;	CITY;	STATE; ZIP CODE
	325 W. 18th Street			Houston,	Texas 77008
(Residence or Business)					
7 CAMPAIGN TREASURER PHONE	AREA CODE	PHONE NUMBER	EXTENSION		
	713-942-5800				
8 REPORT TYPE	<input checked="" type="checkbox"/> January 15 <input type="checkbox"/> 30th day before election <input type="checkbox"/> Runoff <input type="checkbox"/> 15th day after campaign treasurer appointment (officeholder only)				
	<input type="checkbox"/> July 15 <input type="checkbox"/> 8th day before election <input type="checkbox"/> Exceeded \$500 limit <input type="checkbox"/> Final Report (Attach C/OH-FR)				
9 PERIOD COVERED	Month	Day	Year	THROUGH	Month Day Year
	07/01/2018				12/31/2018
10 ELECTION	ELECTION DATE		ELECTION TYPE		
	Month	Day Year	<input type="checkbox"/> Primary <input type="checkbox"/> General	<input type="checkbox"/> Runoff <input type="checkbox"/> Special	<input checked="" type="checkbox"/> Other
11 OFFICE	OFFICE HELD (if any)		12 OFFICE SOUGHT (if known)		
	None		None		

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# CANDIDATE / OFFICEHOLDER REPORT: SUPPORT & TOTALS

FORM C/OH  
COVER SHEET PG 2  
2 of 22

13 C / OH NAME Lee, El Franco

14 Filer ID

15 NOTICE  
FROM  
POLITICAL  
COMMITTEE(S)

☐ Additional Pages

This box is for notice of political contributions accepted or political expenditures made by political committees to support the candidate / officeholder. These expenditures may have been made without the candidate's or officeholder's knowledge or consent. Candidates and officeholders are required to report this information only if they receive notice of such expenditures.

COMMITTEE TYPE

☐ GENERAL

☐ SPECIFIC

COMMITTEE NAME

COMMITTEE ADDRESS

COMMITTEE CAMPAIGN TREASURER NAME

COMMITTEE CAMPAIGN TREASURER ADDRESS

16 CONTRIBUTION  
TOTALS

1. TOTAL POLITICAL CONTRIBUTIONS OF \$50 OR LESS (OTHER THAN PLEDGES, LOANS, OR GUARANTEES OF LOANS), UNLESS ITEMIZED \$ 0.00

2. TOTAL POLITICAL CONTRIBUTIONS (OTHER THAN PLEDGES, LOANS, OR GUARANTEES OF LOANS) \$ 0.00

EXPENDITURE  
TOTALS

3. TOTAL POLITICAL EXPENDITURES OF \$100 OR LESS, UNLESS ITEMIZED \$ 0.00

4. TOTAL POLITICAL EXPENDITURES \$ 109,921.25

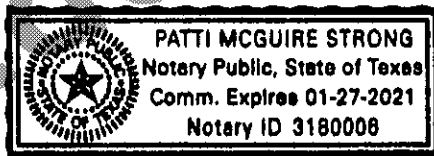
CONTRIBUTION  
BALANCE

5. TOTAL POLITICAL CONTRIBUTIONS MAINTAINED AS OF THE LAST DAY OF THE REPORTING PERIOD \$ 3,584,349.64

OUTSTANDING  
LOAN TOTALS

6. TOTAL PRINCIPAL AMOUNT OF ALL OUTSTANDING LOANS AS OF THE LAST DAY OF THE REPORTING PERIOD \$ 0.00

17 AFFIDAVIT



I swear, or affirm, under penalty of perjury, that the accompanying report is true and correct and includes all information required to be reported by me under Title 15, Election Code.

*Ethel Kaye Lee*  
Signature of Candidate or Officeholder

AFFIX NOTARY STAMP / SEAL ABOVE

Sworn to and subscribed before me, by the said Ethel Kaye Lee, this the 15th day of January, 20 19, to certify which, witness my hand and seal of office.

*Patti McGuire Strong*  
Signature of officer administering

PATTI MCGUIRE STRONG  
Printed name of officer administering

Notary Public  
Title of officer administering oath

**SUBTOTALS - C/OH****FORM C/OH  
COVER SHEET PG 3**

3 of 22

**18 FILER NAME**

Lee, El Franco

**19 Filer ID****20 SCHEDULE SUBTOTALS**

NAME OF SCHEDULE

SUBTOTAL AMOUNT

- |     |                                     |  |    |              |
|-----|-------------------------------------|--|----|--------------|
| 1.  | <input type="checkbox"/>            | SCHEDULE A1: MONETARY POLITICAL CONTRIBUTIONS                                      | \$ |              |
| 2.  | <input type="checkbox"/>            | SCHEDULE A2: NON-MONETARY (IN-KIND) POLITICAL CONTRIBUTIONS                        | \$ |              |
| 3.  | <input type="checkbox"/>            | SCHEDULE B: PLEDGED CONTRIBUTIONS  | \$ |              |
| 4.  | <input type="checkbox"/>            | SCHEDULE E: LOANS  | \$ |              |
| 5.  | <input checked="" type="checkbox"/> | SCHEDULE F1: POLITICAL EXPENDITURES FROM POLITICAL CONTRIBUTIONS                   | \$ | 109,921.25   |
| 6.  | <input type="checkbox"/>            | SCHEDULE F2: UNPAID INCURRED OBLIGATIONS   | \$ |              |
| 7.  | <input checked="" type="checkbox"/> | SCHEDULE F3: PURCHASE OF INVESTMENTS FROM POLITICAL CONTRIBUTIONS                  | \$ | 884,840.60   |
| 8.  | <input type="checkbox"/>            | SCHEDULE F4: EXPENDITURES MADE BY CREDIT CARD                                      | \$ |              |
| 9.  | <input type="checkbox"/>            | SCHEDULE G: POLITICAL EXPENDITURES FROM PERSONAL FUNDS                             | \$ |              |
| 10. | <input type="checkbox"/>            | SCHEDULE H: PAYMENT FROM POLITICAL CONTRIBUTIONS TO A BUSINESS OF C/OH             | \$ |              |
| 11. | <input type="checkbox"/>            | SCHEDULE I: NON-POLITICAL EXPENDITURES FROM POLITICAL CONTRIBUTIONS                | \$ |              |
| 12. | <input checked="" type="checkbox"/> | SCHEDULE K: INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER | \$ | 3,674,885.95 |

# POLITICAL EXPENDITURES FROM POLITICAL CONTRIBUTIONS

## SCHEDULE F1

### EXPENDITURE CATEGORIES FOR BOX 8(a)

Advertising Expense  
Accounting/Banking  
Consulting Expense  
Contributions/Donations Made By -  
Candidate/Officeholder/Political Committee  
Credit Card Payment

Event Expense  
Fees  
Food/Beverage Expense  
Gift/Awards/Memorials Expense  
Legal Services

Loan Repayment/Reimbursement  
Office Overhead/Rental Expense  
Polling Expense  
Printing Expense  
Salaries/Wages/Contract Labor

Solicitation/Fundraising Expense  
Transportation Equipment & Related Expense  
Travel in District  
Travel Out of District  
OTHER (enter a category not listed above)

The Instruction Guide explains how to complete this form.

<b>1</b> Total pages Schedule F1: Sch: 1/2 Rpt: 4/22	<b>2</b> FILER NAME Lee, El Franco	<b>3</b> Filer ID
<b>4</b> Date 07/12/2018	<b>5</b> Payee name Harland Clarke	
<b>6</b> Amount (\$) \$29.25	<b>7</b> Payee address; City; State; Zip Code 15955 La Cantera Parkway  San Antonio, TX 78256	
<b>8</b> PURPOSE OF EXPENDITURE	(a) Category (See Categories listed at the top of this schedule) Accounting/Banking	(b) Description <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T. <input type="checkbox"/> Check if Austin, TX, officeholder living expense Check Order
<b>9</b> Complete <u>ONLY</u> if direct expenditure to benefit C/OH		
Date 10/31/2018	Candidate/Officeholder name Justin Nelson Campaign	
Amount (\$) \$100,000.00	Office sought Office held	
Date 10/31/2018	Payee name Justin Nelson Campaign	
Amount (\$) \$100,000.00	Payee address; City; State; Zip Code P.O. Box 301926  Austin, TX 78703	
PURPOSE OF EXPENDITURE	(a) Category (See Categories listed at the top of this schedule) Contributions/Donations Made By Candidate/Officeholder/Political Committee	(b) Description <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T. <input checked="" type="checkbox"/> Check if Austin, TX, officeholder living expense Contribution to Justin Nelson for Attorney General Campaign
Complete <u>ONLY</u> if direct expenditure to benefit C/OH		
Date 07/31/2018	Candidate/Officeholder name WJ Interests LLC	
Amount (\$) \$4,916.00	Office sought Office held	
Date 07/31/2018	Payee name WJ Interests LLC	
Amount (\$) \$4,916.00	Payee address; City; State; Zip Code 2333 Town Center Drive Suite 100 Sugar Land, TX 77478	
PURPOSE OF EXPENDITURE	(a) Category (See Categories listed at the top of this schedule) Accounting/Banking	(b) Description <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T. <input type="checkbox"/> Check if Austin, TX, officeholder living expense Management Fee
Complete <u>ONLY</u> if direct expenditure to benefit C/OH		
Candidate/Officeholder name Office sought Office held		

# POLITICAL EXPENDITURES FROM POLITICAL CONTRIBUTIONS

## SCHEDULE F1

### EXPENDITURE CATEGORIES FOR BOX 8(a)

Advertising Expense  
Accounting/Banking  
Consulting Expense  
Contributions/Donations Made By -  
Candidate/Officeholder/Political Committee  
Credit Card Payment

Event Expense  
Fees  
Food/Beverage Expense  
Gift/Awards/Memorials Expense  
Legal Services

Loan Repayment/Reimbursement  
Office Overhead/Rental Expense  
Polling Expense  
Printing Expense  
Salaries/Wages/Contract Labor

Solicitation/Fundraising Expense  
Transportation Equipment & Related Expense  
Travel in District  
Travel Out of District  
OTHER (enter a category not listed above)

The Instruction Guide explains how to complete this form.

<b>1</b> Total pages Schedule F1: Sch: 2/2 Rpt: 5/22	<b>2</b> FILER NAME Lee, El Franco	<b>3</b> Filer ID
<b>4</b> Date 10/05/2018	<b>5</b> Payee name WJ Interests LLC	
<b>6</b> Amount (\$) \$4,976.00	<b>7</b> Payee address; City; State; Zip Code 2333 Town Center Drive Suite 100 Sugar Land, TX 77478	
<b>8</b> PURPOSE OF EXPENDITURE	<b>(a)</b> Category (See Categories listed at the top of this schedule) Accounting/Banking	<b>(b)</b> Description <input type="checkbox"/> Check if travel outside of Texas. Complete Schedule T. <input type="checkbox"/> Check if Austin, TX, officeholder living expense Advisor Fee
<b>9</b> Complete <u>ONLY</u> if direct expenditure to benefit C/OH	Candidate/Officeholder name	Office sought      Office held

# PURCHASE OF INVESTMENTS FROM POLITICAL CONTRIBUTIONS

SCHEDULE F3

The Instruction Guide explains how to complete this form.

1 Total pages Schedule F3:  
Sch: 1/2 Rpt: 6/22

2 FILER NAME  
Lee, El Franco

3 Filer ID

4 Date  
10/02/2018

5 Name of person from whom investment is purchased  
Equinox Chesapeake Strat FD Inst

6 Address of person from whom investment is purchased; City; State; Zip Code  
2333 Town Center Drive  
Suite 100  
Sugar Land, TX 77478

7 Description of investment  
Purchase of 3773.07 units

8 Amount of investment (\$)  
47,929.95

Date  
08/07/2018

Name of person from whom investment is purchased  
FPA New Income

Address of person from whom investment is purchased; City; State; Zip Code  
2333 Town Center Drive  
Suite 100  
Sugar Land, TX 77478

Description of investment  
Purchase of 7344.15 units

Amount of investment (\$)  
72,865.95

Date  
08/07/2018

Name of person from whom investment is purchased  
ASG MGD Futures Strategic Fund

Address of person from whom investment is purchased; City; State; Zip Code  
2333 Town Center Drive  
Suite 100  
Sugar Land, TX 77478

Description of investment  
Purchase of 6645.78 units

Amount of investment (\$)  
55,902.95

Date  
10/17/2018

Name of person from whom investment is purchased  
ASG MGD Futures Strategic Fund

Address of person from whom investment is purchased; City; State; Zip Code  
2333 Town Center Drive  
Suite 100  
Sugar Land, TX 77478

Description of investment  
Purchase of 6601.92 units

Amount of investment (\$)  
58,570.95

# PURCHASE OF INVESTMENTS FROM POLITICAL CONTRIBUTIONS

SCHEDULE F3

The Instruction Guide explains how to complete this form.

1 Total pages Schedule F3:  
Sch: 2/2 Rpt: 7/22

2 FILER NAME  
Lee, El Franco

3 Filer ID

4 Date  
08/07/2018

5 Name of person from whom investment is purchased  
Equinox Chesapeake Strat FD Inst

6 Address of person from whom investment is purchased; City; State; Zip Code  
2333 Town Center Drive  
Suite 100  
Sugar Land, TX 77478

7 Description of investment  
Purchase of 3,943.59 units

8 Amount of investment (\$)  
47,965.95

Date  
10/17/2018

Name of person from whom investment is purchased  
Equinox Chesapeake Strat FD Inst

Address of person from whom investment is purchased; City; State; Zip Code  
2333 Town Center Drive  
Suite 100  
Sugar Land, TX 77478

Description of investment  
Purchase of 3029.11 units

Amount of investment (\$)  
38,071.95

Date  
10/02/2018

Name of person from whom investment is purchased  
Stone Ridge Alt Lending Risk Premium Inst

Address of person from whom investment is purchased; City; State; Zip Code  
2333 Town Center Drive  
Suite 100  
Sugar Land, TX 77478

Description of investment  
Purchase of 22381.70 units

Amount of investment (\$)  
228,752.95

Date  
10/02/2018

Name of person from whom investment is purchased  
Wells Fargo Muni Bond FD

Address of person from whom investment is purchased; City; State; Zip Code  
2333 Town Center Drive  
Suite 100  
Sugar Land, TX 77478

Description of investment  
Purchase of 33112.56 units

Amount of investment (\$)  
334,779.95



# INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER

**SCHEDULE K**

The Instruction Guide explains how to complete this form.

1 Total pages Schedule K:  
Sch: 1/15 Rpt: 8/22

2 FILER NAME  
Lee, El Franco

3 Filer ID

4 Date 09/28/2018	5 Name of person from whom amount is received AMG GW&K Muni BD FD	8 Amount (\$) \$306,004.44
	6 Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	7 Purpose for which amount is received Sale of 27009.39 shares <input type="checkbox"/> Check if political contribution returned to filer	

Date 11/07/2018	Name of person from whom amount is received AQR Int' Defensive Style	Amount (\$) \$27,417.28
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Sale of 2185.60 shares <input type="checkbox"/> Check if political contribution returned to filer	

Date 11/07/2018	Name of person from whom amount is received AQR Intl Multi Style	Amount (\$) \$25,099.35
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Sale of 2297.47 shares <input type="checkbox"/> Check if political contribution returned to filer	

Date 11/07/2018	Name of person from whom amount is received AQR LG Cap Defensive	Amount (\$) \$39,936.24
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Sale of 1968.86 shares <input type="checkbox"/> Check if political contribution returned to filer	

Date 11/07/2018	Name of person from whom amount is received AQR LG Cap Relaxed	Amount (\$) \$54,835.59
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Sale of 4761.07 shares <input type="checkbox"/> Check if political contribution returned to filer	

# INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER

SCHEDULE K

201998

The Instruction Guide explains how to complete this form.

1 Total pages Schedule K:  
Sch: 2/15 Rpt: 9/22

2 FILER NAME  
Lee, El Franco

3 Filer ID

4 Date 11/07/2018	5 Name of person from whom amount is received AQR MGD Futures Strat HV FD	8 Amount (\$) \$85,830.11
	6 Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	7 Purpose for which amount is received Sale of 10676.87 shares <input type="checkbox"/> Check if political contribution returned to filer	

Date 11/07/2018	Name of person from whom amount is received AQR Style Premia Alt FD	Amount (\$) \$97,954.24
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Sale of 10433.03 shares <input type="checkbox"/> Check if political contribution returned to filer	

Date 11/07/2018	Name of person from whom amount is received ASG MGD Futures Strategy Fund	Amount (\$) \$136,139.07
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Sale of 15560.12 shares <input type="checkbox"/> Check if political contribution returned to filer	

Date 07/31/2018	Name of person from whom amount is received Allegiance Bank	Amount (\$) \$87.12
	Address of person from whom amount is received; City; State; Zip Code P.O. Box 41314 Houston, TX 77241	
	Purpose for which amount is received Interest <input type="checkbox"/> Check if political contribution returned to filer	

Date 08/31/2018	Name of person from whom amount is received Allegiance Bank	Amount (\$) \$87.14
	Address of person from whom amount is received; City; State; Zip Code P.O. Box 41314 Houston, TX 77241	
	Purpose for which amount is received Interest <input type="checkbox"/> Check if political contribution returned to filer	

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# INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER

**SCHEDULE K**

The Instruction Guide explains how to complete this form.

**1** Total pages Schedule K:  
Sch: 3/15 Rpt: 10/22

**2** FILER NAME

Lee, El Franco

**3** Filer ID

**4** Date  
09/30/2018

**5** Name of person from whom amount is received  
Allegiance Bank

**8** Amount (\$)  
\$84.34

**6** Address of person from whom amount is received; City; State; Zip Code  
P.O. Box 41314  
  
Houston, TX 77241

**7** Purpose for which amount is received ☐ Check if political contribution returned to filer  
Interest

Date  
10/31/2018

Name of person from whom amount is received  
Allegiance Bank

Amount (\$)  
\$87.17

Address of person from whom amount is received; City; State; Zip Code  
P.O. Box 41314  
  
Houston, TX 77241

Purpose for which amount is received ☐ Check if political contribution returned to filer  
Interest

Date  
10/30/2018

Name of person from whom amount is received  
Allegiance Bank

Amount (\$)  
\$84.37

Address of person from whom amount is received; City; State; Zip Code  
P.O. Box 41314  
  
Houston, TX 77241

Purpose for which amount is received ☐ Check if political contribution returned to filer  
Interest

Date  
12/31/2018

Name of person from whom amount is received  
Allegiance Bank

Amount (\$)  
\$87.19

Address of person from whom amount is received; City; State; Zip Code  
P.O. Box 41314  
  
Houston, TX 77241

Purpose for which amount is received ☐ Check if political contribution returned to filer  
Interest

Date  
11/07/2018

Name of person from whom amount is received  
Artisan Dev World FD

Amount (\$)  
\$13,640.60

Address of person from whom amount is received; City; State; Zip Code  
2333 Town Center Dr.  
Suite 100  
Sugar Land, TX 77478

Purpose for which amount is received ☐ Check if political contribution returned to filer  
Sale of 1254.83 shares

# INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER

**SCHEDULE K**

201998

<b>The Instruction Guide explains how to complete this form.</b>		<b>1</b> Total pages Schedule K: Sch: 4/15 Rpt: 11/22
<b>2</b> FILER NAME Lee, El Franco		<b>3</b> Filer ID
<b>4</b> Date 08/03/2018	<b>5</b> Name of person from whom amount is received Artisan Intl Value FD	<b>8</b> Amount (\$) \$11,658.00
	<b>6</b> Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	<b>7</b> Purpose for which amount is received Sale of 314.64 shares <input type="checkbox"/> Check if political contribution returned to filer	
<b>Date</b> 11/07/2018	<b>Name of person from whom amount is received</b> Artisan Intl Value FD	<b>Amount (\$)</b> \$34,168.00
	<b>Address of person from whom amount is received; City; State; Zip Code</b> 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	<b>Purpose for which amount is received</b> Sale of 985.58 shares <input type="checkbox"/> Check if political contribution returned to filer	
<b>Date</b> 11/07/2018	<b>Name of person from whom amount is received</b> Bridgeway Ultra Small Company Market FD	<b>Amount (\$)</b> \$21,234.86
	<b>Address of person from whom amount is received; City; State; Zip Code</b> 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	<b>Purpose for which amount is received</b> Sale of 1480.61 shares <input type="checkbox"/> Check if political contribution returned to filer	
<b>Date</b> 08/03/2018	<b>Name of person from whom amount is received</b> Carillon Reams	<b>Amount (\$)</b> \$70,200.18
	<b>Address of person from whom amount is received; City; State; Zip Code</b> 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	<b>Purpose for which amount is received</b> Sale of 6073.71 shares <input type="checkbox"/> Check if political contribution returned to filer	
<b>Date</b> 11/07/2018	<b>Name of person from whom amount is received</b> Causeway Emerg Mkts Fd Instl Shr	<b>Amount (\$)</b> \$14,238.65
	<b>Address of person from whom amount is received; City; State; Zip Code</b> 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	<b>Purpose for which amount is received</b> Sale of 1185.57 shares <input type="checkbox"/> Check if political contribution returned to filer	

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# INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER

SCHEDULE K

The Instruction Guide explains how to complete this form.

1 Total pages Schedule K:  
Sch: 5/15 Rpt: 12/22

2 FILER NAME  
Lee, El Franco

3 Filer ID

4 Date 07/31/2018	5 Name of person from whom amount is received Charles Schwab & Co.	8 Amount (\$) \$2,778.45
	6 Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	7 Purpose for which amount is received Dividends <input type="checkbox"/> Check if political contribution returned to filer	

Date 08/31/2018	Name of person from whom amount is received Charles Schwab & Co.	Amount (\$) \$1.52
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Interest <input type="checkbox"/> Check if political contribution returned to filer	

Date 08/31/2018	Name of person from whom amount is received Charles Schwab & Co.	Amount (\$) \$19.10
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Interest <input type="checkbox"/> Check if political contribution returned to filer	

Date 08/31/2018	Name of person from whom amount is received Charles Schwab & Co.	Amount (\$) \$1,473.55
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Dividends <input type="checkbox"/> Check if political contribution returned to filer	

Date 08/31/2018	Name of person from whom amount is received Charles Schwab & Co.	Amount (\$) \$486.17
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Interest <input type="checkbox"/> Check if political contribution returned to filer	

# INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER

SCHEDULE K

The Instruction Guide explains how to complete this form.

1 Total pages Schedule K:  
Sch: 6/15 Rpt: 13/22

2 FILER NAME  
Lee, El Franco

3 Filer ID

4 Date 09/30/2018	5 Name of person from whom amount is received Charles Schwab & Co.	8 Amount (\$) \$3.12
	6 Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	7 Purpose for which amount is received Interest <input type="checkbox"/> Check if political contribution returned to filer	

Date 09/30/2018	Name of person from whom amount is received Charles Schwab & Co.	Amount (\$) \$2,600.40
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Dividends <input type="checkbox"/> Check if political contribution returned to filer	

Date 09/30/2018	Name of person from whom amount is received Charles Schwab & Co.	Amount (\$) \$480.77
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Interest <input type="checkbox"/> Check if political contribution returned to filer	

Date 10/31/2018	Name of person from whom amount is received Charles Schwab & Co.	Amount (\$) \$3,114.03
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Dividends <input type="checkbox"/> Check if political contribution returned to filer	

Date 10/31/2018	Name of person from whom amount is received Charles Schwab & Co.	Amount (\$) \$885.53
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Interest <input type="checkbox"/> Check if political contribution returned to filer	

# INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER

SCHEDULE K

The Instruction Guide explains how to complete this form.

1 Total pages Schedule K:  
Sch: 7/15 Rpt: 14/22

2 FILER NAME

Lee, El Franco

3 Filer ID

4 Date

11/30/2018

5 Name of person from whom amount is received

Charles Schwab & Co.

8 Amount (\$)

\$322.91

6 Address of person from whom amount is received; City; State; Zip Code

2333 Town Center Dr.  
Suite 100  
Sugar Land, TX 77478

7 Purpose for which amount is received

Interest

☐ Check if political contribution returned to filer

Date

11/30/2018

Name of person from whom amount is received

Charles Schwab & Co.

Amount (\$)

\$432.49

Address of person from whom amount is received; City; State; Zip Code

2333 Town Center Dr.  
Suite 100  
Sugar Land, TX 77478

Purpose for which amount is received

Dividend

☐ Check if political contribution returned to filer

Date

11/30/2018

Name of person from whom amount is received

Charles Schwab & Co.

Amount (\$)

\$181.35

Address of person from whom amount is received; City; State; Zip Code

2333 Town Center Dr.  
Suite 100  
Sugar Land, TX 77478

Purpose for which amount is received

Interest

☐ Check if political contribution returned to filer

Date

12/31/2018

Name of person from whom amount is received

Charles Schwab & Co.

Amount (\$)

\$1,275.41

Address of person from whom amount is received; City; State; Zip Code

2333 Town Center Dr.  
Suite 100  
Sugar Land, TX 77478

Purpose for which amount is received

Interest

☐ Check if political contribution returned to filer

Date

12/31/2018

Name of person from whom amount is received

Charles Schwab & Co.

Amount (\$)

\$4,586.02

Address of person from whom amount is received; City; State; Zip Code

2333 Town Center Dr.  
Suite 100  
Sugar Land, TX 77478

Purpose for which amount is received

Dividends

☐ Check if political contribution returned to filer

# INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER

SCHEDULE K

201998

<b>The Instruction Guide explains how to complete this form.</b>		<b>1</b> Total pages Schedule K: Sch: 8/15 Rpt: 15/22
<b>2</b> FILER NAME Lee, El Franco		<b>3</b> Filer ID
<b>4</b> Date 07/31/2018	<b>5</b> Name of person from whom amount is received Charles Schwab & Co. <b>6</b> Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478 <b>7</b> Purpose for which amount is received Interest	<b>8</b> Amount (\$) \$28.66 <input type="checkbox"/> Check if political contribution returned to filer
Date 07/31/2018	Name of person from whom amount is received Charles Schwab & Co. Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478 Purpose for which amount is received Interest	Amount (\$) \$480.77 <input type="checkbox"/> Check if political contribution returned to filer
Date 08/06/2018	Name of person from whom amount is received Core MSCI Emerging ETF Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478 Purpose for which amount is received Sale of 964 shares	Amount (\$) \$51,160.80 <input type="checkbox"/> Check if political contribution returned to filer
Date 11/07/2018	Name of person from whom amount is received Doubleline Schiller EHNCD Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478 Purpose for which amount is received Sale of 2208.40 shares	Amount (\$) \$34,637.83 <input type="checkbox"/> Check if political contribution returned to filer
Date 11/07/2018	Name of person from whom amount is received Doubleline Total Return BD FD Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478 Purpose for which amount is received Sale of 25896.76 shares	Amount (\$) \$265,429.83 <input type="checkbox"/> Check if political contribution returned to filer

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# INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER

SCHEDULE K

The Instruction Guide explains how to complete this form.

1 Total pages Schedule K:  
Sch: 9/15 Rpt: 16/22

2 FILER NAME

Lee, El Franco

3 Filer ID

4 Date

11/07/2018

5 Name of person from whom amount is received

Equinox Chesapeake Strat Fd Inst

8 Amount (\$)

\$127,163.93

6 Address of person from whom amount is received; City; State; Zip Code

2333 Town Center Dr.

Suite 100

Sugar Land, TX 77478

7 Purpose for which amount is received

Sale of 10925.76 shares

☐ Check if political contribution returned to filer

Date

11/07/2018

Name of person from whom amount is received

FPA New Income

Amount (\$)

\$213,286.91

Address of person from whom amount is received; City; State; Zip Code

2333 Town Center Dr.

Suite 100

Sugar Land, TX 77478

Purpose for which amount is received

Sale of 21610.83 shares

☐ Check if political contribution returned to filer

Date

07/31/2018

Name of person from whom amount is received

Harris County Federal Credit Union

Amount (\$)

\$0.24

Address of person from whom amount is received; City; State; Zip Code

1400 Franklin St.

Houston, TX 77002

Purpose for which amount is received

Interest

☐ Check if political contribution returned to filer

Date

07/31/2018

Name of person from whom amount is received

Harris County Federal Credit Union

Amount (\$)

\$86.90

Address of person from whom amount is received; City; State; Zip Code

1400 Franklin St.

Houston, TX 77002

Purpose for which amount is received

Interest

☐ Check if political contribution returned to filer

Date

07/31/2018

Name of person from whom amount is received

Harris County Federal Credit Union

Amount (\$)

\$12.21

Address of person from whom amount is received; City; State; Zip Code

1400 Franklin St.

Houston, TX 77002

Purpose for which amount is received

Interest

☐ Check if political contribution returned to filer

# INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER

SCHEDULE K

201998

The Instruction Guide explains how to complete this form.

1 Total pages Schedule K:  
Sch: 10/15 Rpt: 17/22

2 FILER NAME  
Lee, El Franco

3 Filer ID

4 Date 08/31/2018	5 Name of person from whom amount is received Harris County Federal Credit Union	8 Amount (\$) \$26.78
	6 Address of person from whom amount is received; City; State; Zip Code 1400 Franklin St.  Houston, TX 77002	
	7 Purpose for which amount is received Interest <input type="checkbox"/> Check if political contribution returned to filer	
Date 09/30/2018	Name of person from whom amount is received Harris County Federal Credit Union	Amount (\$) \$25.92
	Address of person from whom amount is received; City; State; Zip Code 1400 Franklin St.  Houston, TX 77002	
	Purpose for which amount is received Interest <input type="checkbox"/> Check if political contribution returned to filer	
Date 10/31/2018	Name of person from whom amount is received Harris County Federal Credit Union	Amount (\$) \$26.37
	Address of person from whom amount is received; City; State; Zip Code 1400 Franklin St.  Houston, TX 77002	
	Purpose for which amount is received Interest <input type="checkbox"/> Check if political contribution returned to filer	
Date 11/30/2018	Name of person from whom amount is received Harris County Federal Credit Union	Amount (\$) \$13.62
	Address of person from whom amount is received; City; State; Zip Code 1400 Franklin St.  Houston, TX 77002	
	Purpose for which amount is received Interest <input type="checkbox"/> Check if political contribution returned to filer	
Date 12/31/2018	Name of person from whom amount is received Harris County Federal Credit Union	Amount (\$) \$14.07
	Address of person from whom amount is received; City; State; Zip Code 1400 Franklin St.  Houston, TX 77002	
	Purpose for which amount is received Interest <input type="checkbox"/> Check if political contribution returned to filer	

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# INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER

**SCHEDULE K**

The Instruction Guide explains how to complete this form.

1 Total pages Schedule K:

Sch: 11/15 Rpt: 18/22

2 FILER NAME

Lee, El Franco

3 Filer ID

4 Date

11/08/2018

5 Name of person from whom amount is received

IShares Core MSCI Emerging Etf

8 Amount (\$)

\$55,261.41

6 Address of person from whom amount is received; City; State; Zip Code

2333 Town Center Dr.  
Suite 100  
Sugar Land, TX 77478

7 Purpose for which amount is received

Sale of 1124 shares

☐ Check if political contribution returned to filer

Date

11/08/2018

Name of person from whom amount is received

IShares Core MSCI Emerging Etf

Amount (\$)

\$200,157.08

Address of person from whom amount is received; City; State; Zip Code

2333 Town Center Dr.  
Suite 100  
Sugar Land, TX 77478

Purpose for which amount is received

Sale of 2001 shares

☐ Check if political contribution returned to filer

Date

07/05/2018

Name of person from whom amount is received

JP Morgan Chase Bank NA

Amount (\$)

\$1.22

Address of person from whom amount is received; City; State; Zip Code

P.O. Box 659754

San Antonio, TX 78265

Purpose for which amount is received

Interest

☐ Check if political contribution returned to filer

Date

08/03/2018

Name of person from whom amount is received

JP Morgan Chase Bank NA

Amount (\$)

\$1.18

Address of person from whom amount is received; City; State; Zip Code

P.O. Box 659754

San Antonio, TX 78265

Purpose for which amount is received

Interest

☐ Check if political contribution returned to filer

Date

09/06/2018

Name of person from whom amount is received

JP Morgan Chase Bank NA

Amount (\$)

\$1.39

Address of person from whom amount is received; City; State; Zip Code

P.O. Box 659754

San Antonio, TX 78265

Purpose for which amount is received

Interest

☐ Check if political contribution returned to filer

# INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER

SCHEDULE K

The Instruction Guide explains how to complete this form.

1 Total pages Schedule K:

Sch: 12/15 Rpt: 19/22

2 FILER NAME

Lee, El Franco

3 Filer ID

4 Date

10/03/2018

5 Name of person from whom amount is received

JP Morgan Chase Bank NA

8 Amount (\$)

\$1.10

6 Address of person from whom amount is received; City; State; Zip Code

P.O. Box 659754

San Antonio, TX 78265

7 Purpose for which amount is received  
Interest

☐ Check if political contribution returned to filer

Date

11/05/2018

Name of person from whom amount is received

JP Morgan Chase Bank NA

Amount (\$)

\$1.34

Address of person from whom amount is received; City; State; Zip Code

P.O. Box 659754

San Antonio, TX 78265

Purpose for which amount is received  
Interest

☐ Check if political contribution returned to filer

Date

12/05/2018

Name of person from whom amount is received

JP Morgan Chase Bank NA

Amount (\$)

\$1.22

Address of person from whom amount is received; City; State; Zip Code

P.O. Box 659754

San Antonio, TX 78265

Purpose for which amount is received  
Interest

☐ Check if political contribution returned to filer

Date

11/07/2018

Name of person from whom amount is received

LOCORR Mkt Trend FD

Amount (\$)

\$86,375.81

Address of person from whom amount is received; City; State; Zip Code

2333 Town Center Dr.

Suite 100

Sugar Land, TX 77478

Purpose for which amount is received  
Sale of 8527.91 shares

☐ Check if political contribution returned to filer

Date

09/28/2018

Name of person from whom amount is received

Litman Gregory Masters Alt Strat Inst

Amount (\$)

\$154,797.00

Address of person from whom amount is received; City; State; Zip Code

2333 Town Center Dr.

Suite 100

Sugar Land, TX 77478

Purpose for which amount is received  
Sale of 13368.65 shares

☐ Check if political contribution returned to filer

# INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER

SCHEDULE K

The Instruction Guide explains how to complete this form.

1 Total pages Schedule K:  
Sch: 13/15 Rpt: 20/22

2 FILER NAME  
Lee, El Franco

3 Filer ID

4 Date 11/07/2018	5 Name of person from whom amount is received Litman Gregory Masters Alt Strat Inst	8 Amount (\$) \$61,279.05
	6 Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	7 Purpose for which amount is received Sale of 5362.29 shares <input type="checkbox"/> Check if political contribution returned to filer	

Date 11/07/2018	Name of person from whom amount is received Oakmark Global Select FD	Amount (\$) \$28,538.64
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Sale of 1674.80 shares <input type="checkbox"/> Check if political contribution returned to filer	

Date 08/07/2018	Name of person from whom amount is received Schwab 1000 Index Fund	Amount (\$) \$30,971.00
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Sale of 458.90 shares <input type="checkbox"/> Check if political contribution returned to filer	

Date 11/07/2018	Name of person from whom amount is received Schwab 1000 Index Fund	Amount (\$) \$245,083.95
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Sale of 3754.93 shares <input type="checkbox"/> Check if political contribution returned to filer	

Date 11/07/2018	Name of person from whom amount is received Schwab Int'l Index Fund	Amount (\$) \$144,772.02
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Sale of 7501.14 shares <input type="checkbox"/> Check if political contribution returned to filer	

# INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER

SCHEDULE K

The Instruction Guide explains how to complete this form.

1 Total pages Schedule K:  
Sch: 14/15 Rpt: 21/22

2 FILER NAME  
Lee, El Franco

3 Filer ID

4 Date 10/17/2018	5 Name of person from whom amount is received Schwab Intl Index Fund	8 Amount (\$) \$96,631.00
	6 Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	7 Purpose for which amount is received Sale of 4907.62 shares	

Date 11/07/2018	Name of person from whom amount is received Schwab Small Cap Index FD	Amount (\$) \$66,450.50
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Sale of 2116.93 shares	

Date 11/08/2018	Name of person from whom amount is received Share Edge MSCI USA SZ FCTR	Amount (\$) \$27,022.93
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Sale of 321 shares	

Date 12/31/2018	Name of person from whom amount is received Stone Ridge Alt Lending Risk Premium	Amount (\$) \$230,519.59
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Sale of 22381.70 shares	

Date 11/08/2018	Name of person from whom amount is received Stone Ridge Reinsurance Risk Premium Interval	Amount (\$) \$112,358.33
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Sale of 12668.58 shares	

# INTEREST, CREDITS, GAINS, REFUNDS, AND CONTRIBUTIONS RETURNED TO FILER

SCHEDULE K

The Instruction Guide explains how to complete this form.

1 Total pages Schedule K:  
Sch: 15/15 Rpt: 22/22

2 FILER NAME  
Lee, El Franco

3 Filer ID

4 Date 09/28/2018	5 Name of person from whom amount is received Wells Fargo Absolute Return Instl	8 Amount (\$) \$153,636.92
	6 Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	7 Purpose for which amount is received Sale of 13633.44 shares	

Date 11/07/2018	Name of person from whom amount is received Wells Fargo Muni Bond FD	Amount (\$) \$331,113.67
	Address of person from whom amount is received; City; State; Zip Code 2333 Town Center Dr. Suite 100 Sugar Land, TX 77478	
	Purpose for which amount is received Sale of 33112.56 shares	

**RECORDER'S MEMORANDUM:**  
At the time of recordation, this instrument was found to be inadequate for the best photographic reproduction because of illegibility, carbon or photo copy, discolored paper, etc. All blockouts, additions and changes were present at the time the instrument was filed and recorded.