

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

Filer's Information

Craft, Kelly

Ambassador to Canada, Department of State

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- **Committee on Foreign Relations**
-

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

/s/ Craft, Kelly [electronically signed on 03/22/2017 by Craft, Kelly in Integrity.gov]

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

/s/ Huitema, David, Certifying Official [electronically signed on 06/29/2017 by Huitema, David in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 07/03/2017 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	University of Kentucky Board of Trustees	Lexington, Kentucky	University/College	Trustee	8/2016	Present
2	Kelly G Knight LLC	Lexington, Kentucky	LLC	Managing Member	9/2004	12/2016
3	The Salvation Army - Central Kentucky Area Services Advisory Board	Lexington, Kentucky	Non-Profit	Board Member	5/2010	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA 1	No			
1.1	Blackstone Group	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Kraft Heinz Co.	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3	Mondelez Int'l Inc.	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.4	New York Community Bancorp Inc.	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.5	PJT Partners Inc.	N/A	None (or less than \$1,001)		None (or less than \$201)
1.6	Cash on Deposit with a US Bank	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	IRA 2	No			
2.1	Vanguard Health Care Fund (VGHCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2	Vanguard US Growth Fund (VWUSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Kelly G Knight LLC (business support services) (liquidated 12/2016)	N/A	None (or less than \$1,001)	Consulting Fees	\$109,000

3. Filer's Employment Agreements and Arrangements

None

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	JWC III Rev Trust	Tulsa, Oklahoma	Consulting services provided via Kelly G. Knight LLC (terminated 4/2016)
2	Codell Construction Company	Winchester, Kentucky	Consulting services provided via Kelly G. Knight LLC (terminated 5/2016)
3	Murphy Graves Trimble PLLC	Lexington, Kentucky	Consulting services provided via Kelly G. Knight LLC (terminated 2014; outstanding 2013 invoice paid 3/2016)

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Alliance Coal LLC	N/A		Salary and Incentive Plan Payments	
2	MAPCO/Williams Companies Pension, defined benefit plan (value not readily ascertainable)	N/A		Retirement Payments	
3	BOK Financial Corporation (BOKF)	N/A		Director Fees	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Spouse IRA 1	No			
4.1	Williams Companies	N/A	\$50,001 - \$100,000		None (or less than \$201)
4.2	WPX Energy, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.3	North TX TWY Auth Rev 1st Tier Ser B 2 Build America Bonds	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.4	Cash on Deposit with a US Bank	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	Profit Sharing Plan - 401(k)	No			
5.1	Driehaus Active Income Fund (LCMAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.2	Federated Ultra Short Bond Fund (FULIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	Metropolitan West Total Return Bond Fund Class M (MWTRX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
5.4	Thornburg Limited Term Income Fund Class I (THIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.5	Vanguard Total Bond Market Index Admiral Shares (VBTLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.6	Morley Stable Value Fund 220 C (MR20SV)	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.7	American Beacon Small Cap Value Fund Class Instl (AVFIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.8	Dodge & Cox Stock Fund (DODGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.9	Eagle Small Cap Growth Fund Class R6 (HSRUX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
5.10	Franklin Intl Small Cap Growth Fund Advisor Class (FKSCX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.11	Harbor International Fund Institutional Class (HAINX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.12	Oppenheimer Developing Markets Fund Class Y (ODVYX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.13	PRIMECAP Odyssey Growth Fund (POGRX)	Yes	Over \$1,000,000		None (or less than \$201)
5.14	Vanguard 500 Index Fund Admiral Class (VFIAX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
5.15	Vanguard Mid Cap Growth Index Fund Admiral Shares (VMGMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.16	Vanguard Mid Cap Index Fund Admiral Shares (VIMAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.17	Vanguard Mid Cap Value Index Fund Admiral Shares (VMVAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.18	Vanguard REIT Index Fund Admiral Shares (VGSLX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.19	Vanguard Small Cap Index Fund Admiral Shares (VSMAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.20	William Blair Macro Allocation Fund Class I (WMCIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Alliance Coal LLC Supplemental Executive Retirement Plan	No			
6.1	Alliance Resource Partners LP (phantom units)	N/A	Over \$1,000,000		None (or less than \$201)
7	Alliance Coal LLC Deferred Compensation Receivable	No			
7.1	Alliance Resource Partners LP (non-vested phantom units)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brokerage Account	No			
1.1	Alliance Holdings GP LP (AHGP)	N/A	\$1,000,001 - \$5,000,000	Dividends	\$100,001 - \$1,000,000
1.2	Continental Resources, Inc. (CLR)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.3	Crestwood Equity Partners LP (CEQP)	N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
1.4	DCP Midstream LP (DCP)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
1.5	Energy Transfer Equity LP (ETE)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
1.6	EQT Midstream Partners LP (EQM)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
1.7	Kinder Morgan Inc. (KMI)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
1.8	Martin Midstream Partners LP (MMLP)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
1.9	Natural Resource Partners LP (NRP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
1.10	Noble Energy Inc. (NBL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.11	Nustar Energy LP (NS)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
1.12	Plains All American Pipeline LP (PAA)	N/A	\$15,001 - \$50,000	Dividends	\$5,001 - \$15,000
1.13	Plains GP Holdings LP (PAGP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
1.14	USA Compression Partners LP (USAC)	N/A	\$50,001 - \$100,000	Dividends	\$15,001 - \$50,000
1.15	Williams Companies Inc. (WMB)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.16	Williams Partners LP (WPZ)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
1.17	BreitBurn Energy Partners LP (BBEPQ)	N/A	None (or less than \$1,001)	Sale Proceeds	\$4,134
1.18	Cash on Deposit with a U.S. Bank	N/A	\$250,001 - \$500,000	Dividends	None (or less than \$201)
1.19	BCCP LP (Liquidated 12/2016)	No	None (or less than \$1,001)	Distribution	\$192,750
1.19.1	Alliance Holdings GP, L.P.	N/A	None (or less than \$1,001)	Dividends	\$100,001 - \$1,000,000
1.19.2	LEXGP, Inc. (under 1% GP Interest in BCCP LP; Liquidated 12/2016)	N/A	None (or less than \$1,001)		None (or less than \$201)
2	Tulsa Investment Partnership LP	No			
2.1	Apple Inc. (AAPL)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.2	Box Inc. (BOX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.3	Broadcom Ltd (AVGO)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
2.4	Carnival Corp. (CCL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.5	Coca-Cola (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.6	Comcast Corporation (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.7	Cyrusone Inc. (CONE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.8	Gilead Sciences, Inc. (GILD)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.9	JP Morgan Chase & Co (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.10	Kinder Morgan Inc. (KMI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.11	Pfizer Inc. (PFE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.12	Phillips 66 (PSX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.13	Procter & Gamble (PG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.14	Thermo Fisher Scientific Inc. (TMO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.15	Toronto Dominion Bank (TD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.16	3M Company (MMM)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.17	Brookdale Sr Living Inc. (BKD)	N/A	None (or less than \$1,001)	Sale Proceeds	\$326
2.18	Enbridge Energy Mgmt LLC (EEQ)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
2.19	Ford Motor Co. (F)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
2.20	Stratasys Ltd (SSYS)	N/A	None (or less than \$1,001)	Sale Proceeds	\$465
2.21	Williams Companies Inc. (WMB)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
2.22	Wells Fargo & Co. (WFC)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
2.23	Cash on Deposit with a U.S. Bank	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Cash on Deposit with a US Bank	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	JC GP Inc.	See Endnote	No		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	International Insurance Brokers Ltd. Ser B Bond	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
6	Spouse Brokerage Account 1	No			
6.1	BOK Financial Corp (BOKF)	N/A	\$100,001 - \$250,000	Interest	\$15,001 - \$50,000
6.2	Suncoke Energy Inc. (SXC)	N/A	\$1,001 - \$15,000	Dividends	\$2,501 - \$5,000
6.3	Cash on Deposit with a US Bank	N/A	\$15,001 - \$50,000		None (or less than \$201)
7	Spouse Trust	No			
7.1	Notes Receivable (Appalachian Wildlife Foundation, Inc.)	N/A	\$250,001 - \$500,000		None (or less than \$201)
7.2	Spouse Trust Brokerage Account 1	No			
7.2.1	Anadarko Petroleum Corp. (APC)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
7.2.2	Apache Corp. (APA)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
7.2.3	Cabot Oil & Gas Corp. (COG)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
7.2.4	Cobalt International Energy Inc. (CIE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.2.5	Concho Resources Inc. (CXO)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
7.2.6	ConocoPhillips (COP)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
7.2.7	Continental Resources Inc. (CLR)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
7.2.8	DCP Midstream LP (DCP)	N/A	\$500,001 - \$1,000,000	Dividends	\$2,501 - \$5,000
7.2.9	Enterprise Products Partners LP (EPD)	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.2.10	EOG Resources Inc. (EOG)	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
7.2.11	Kinder Morgan Inc. (KMI)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
7.2.12	Natural Resource Partners LP (NRP)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
7.2.13	Noble Energy Inc. (NBL)	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
7.2.14	Pioneer Natural Resources Company (PXD)	N/A	\$250,001 - \$500,000	Dividends	\$201 - \$1,000
7.2.15	Plains All American Pipeline LP (PAA)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
7.2.16	Schlumberger Ltd. (SLB)	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
7.2.17	Targa Resources Corp. (TRGP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7.2.18	Teekay Offshore Partners LP (TOO)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.2.19	Whiting Petroleum Corp. (WLL)	N/A	\$50,001 - \$100,000		None (or less than \$201)
7.2.20	Williams Partners LP (WPZ)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
7.2.21	Atlas Energy Group LLC (ATLS)	N/A	None (or less than \$1,001)	Sale Proceeds	\$785
7.2.22	BreitBurn Energy Partners, L.P. (BBEPQ)	N/A	None (or less than \$1,001)	Sale Proceeds	\$4,895
7.2.23	Legacy Reserves LP (LGCY)	N/A	None (or less than \$1,001)	Sale Proceeds	\$5,180
7.2.24	Cash on Deposit with a US Bank	N/A	\$250,001 - \$500,000		None (or less than \$201)
7.3	Spouse Trust Brokerage Account 2	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.3.1	Alliance Holdings GP LP (AHGP)	N/A	Over \$50,000,000	Dividends	Over \$1,000,000
7.3.2	Alliance Resource Partners LP (ARLP)	N/A	Over \$1,000,000	Dividends	\$100,001 - \$1,000,000
7.3.3	Enbridge Energy Partners LP (EEP)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
7.3.4	Energy Transfer Partners LP (ETP)	N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
7.3.5	Enterprise Products Partners LP (EPD)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
7.3.6	Kinder Morgan Inc. (KMI)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
7.3.7	Magellan Midstream Partners LP (MMP)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
7.3.8	Plains All American Pipeline LP (PAA)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
7.3.9	Targa Resources Corp. (TRGP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7.3.10	Targa Resources Partners LP (NGLS)	N/A	None (or less than \$1,001)	Dividends	\$5,001 - \$15,000
7.3.11	Western Gas Partners LP (WES)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
7.3.12	Williams Partners LP (WPZ)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
7.3.13	Ford Motor Credit Co LLC Senior Unsecured	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
7.3.14	Goldman Sachs Group Inc Sub Notes	N/A	None (or less than \$1,001)	Interest Capital Gains	\$15,001 - \$50,000
7.3.15	Pioneer Natural Resource Senior Notes	N/A	None (or less than \$1,001)	Interest Capital Gains	\$50,001 - \$100,000
7.3.16	Grand Prairie TX Independent School District (Bond)	N/A	None (or less than \$1,001)	Interest Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.3.17	University of Oklahoma (Bond 1)	N/A	\$1,001 - \$15,000	Interest	\$2,501 - \$5,000
7.3.18	North Texas Tollway Authority (Bond)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
7.3.19	Fort Worth TX Independent School District (Bond)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
7.3.20	Auburn University AL (Bond)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.3.21	Houston, TX (Bond)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
7.3.22	El Paso TX Independent School District (Bond 1)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7.3.23	Grand River Dam Authority, OK (Bond)	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
7.3.24	Brownsville TX Utility System (Bond 1)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
7.3.25	Tulsa, OK (Bond)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.3.26	Oklahoma County, OK (Bond)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.3.27	Oklahoma Development Authority - St. John Health System (Bond)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7.3.28	Brownsville TX Utility System (Bond 2)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.3.29	Oklahoma Agricultural and Mechanical Colleges (Bond 1)	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
7.3.30	Houston Airport System, TX (Bond)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.3.31	Oklahoma Agricultural and Mechanical Colleges (Bond 2)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.3.32	El Paso Independent School District TX (Bond 2)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.3.33	University of Oklahoma (Bond 2)	N/A	\$15,001 - \$50,000	Capital Gains Interest	\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.3.34	Dallas Fort Worth Airport, TX (Bond)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
7.3.35	University of Alabama-Birmingham Hospital (Bond)	N/A	None (or less than \$1,001)	Capital Gains Interest	\$50,001 - \$100,000
7.3.36	University of Texas Permian Basin, TX (Bond)	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
7.3.37	Dallas Independent School District, TX (Bond)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
7.3.38	Citigroup Car Tr Pfd XIII Fixed to Flt (Treasury Securities)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
7.3.39	HSBC Holdings 8% Prd Non Cum Sub Cap	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
7.3.40	BP PLC (BP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7.3.41	El Paso Natural Gas Senior Notes	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
7.3.42	Cash on Deposit with a US Bank	N/A	Over \$1,000,000	Interest	\$201 - \$1,000
7.4	Spouse Trust Brokerage Account 3	No			
7.4.1	Alliance Holdings GP LP (AHGP)	N/A	Over \$1,000,000	Dividends	\$100,001 - \$1,000,000
7.4.2	Alliance Resource Partners LP (ARLP)	N/A	Over \$1,000,000	Dividends	\$100,001 - \$1,000,000
7.4.3	Cash on Deposit with a US Bank	N/A	Over \$1,000,000	Interest	\$201 - \$1,000
7.5	Spouse Trust Brokerage Account 4	No			
7.5.1	Cash on Deposit with a US Bank	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.6	KC-Battery LLC (Industrial Real Estate; Concord NC)	N/A	Over \$1,000,000		None (or less than \$201)
7.7	JC Third LP	See Endnote	N/A		
7.7.1	JC Land LLC	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.7.1.1	RePower South LLC (Waste Processing; North Charleston SC)	N/A	\$100,001 - \$250,000		None (or less than \$201)
7.7.1.2	JRAM LLC (Liquidated 12/2016)	No	None (or less than \$1,001)	Distribution	\$61,212
7.7.1.2.1	KC-Talon LLC (Oil and Gas E&P; Houston TX) (Liquidated 12/2016)	N/A	None (or less than \$1,001)	Distribution	\$51,658
7.7.2	Notes Receivable (Tulsa PT Consultants, LLC)	N/A	\$50,001 - \$100,000	Interest	\$5,001 - \$15,000
7.7.3	Aircraft - 2009 Cessna 680	N/A	Over \$1,000,000	Rent or Royalties	\$100,001 - \$1,000,000
7.7.4	Cash on Deposit with a U.S. Bank	N/A	\$100,001 - \$250,000		None (or less than \$201)
7.8	Drone Aviation Holding Corp (DRNE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	Alliance Resources Holdings II, Inc.	No			
8.1	Cash on Deposit with a U.S. Bank	N/A	Over \$1,000,000	Interest	\$100,001 - \$1,000,000
8.2	Notes Receivable	No			
8.2.1	N/R (Mr Flynn)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
8.2.2	N/R (Mr Davidson)	N/A	Over \$1,000,000	Interest	\$100,001 - \$1,000,000
8.2.3	N/R (WKY CoalPlay LLC)	N/A	Over \$1,000,000	Interest	\$100,001 - \$1,000,000
8.2.4	N/R (KC-Properties LLC)	N/A	Over \$1,000,000	Interest	\$100,001 - \$1,000,000
8.2.5	N/R (Automotive Development Group LLC)	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
8.3	KC-Instawares LLC (Restaurant Services; Atlanta GA)	N/A	\$100,001 - \$250,000	Distribution	\$401,400
8.4	KC-Everfi LLC (Education Technology; Washington DC)	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.5	KC-Big Red LLC (Diversified Beverages; Austin TX) (Liquidated 2/2017)	N/A	None (or less than \$1,001)	Distribution	\$24,671
8.6	KC-Bandwidth LLC (Communications Network and Mobile Carrier; Raleigh NC)	N/A	\$250,001 - \$500,000		None (or less than \$201)
8.7	KC-Piedmont LLC (Community Bank; Raleigh NC) (Liquidated 7/2016)	N/A	None (or less than \$1,001)	Distribution	\$1,120,159
8.8	KC-Properties LLC (Residential and Commercial Real Estate; Charleston SC, Lake Toxaway NC, Hilton Head SC, Daufuskie Island FL, Berkeley County SC, Klamath/Deschutes County OR)	N/A	\$500,001 - \$1,000,000	Distribution	\$123,207
8.9	WKY CoalPlay LLC (Coal Reserves; Union/Henderson/Webster County KY)	N/A	Over \$1,000,000	Rent or Royalties	Over \$1,000,000
8.10	Trilantic Capital Partners Fund III LP	Yes	\$15,001 - \$50,000		\$50,001 - \$100,000
8.11	Silverpeak Legacy Fund II LP	Yes	\$50,001 - \$100,000		\$100,001 - \$1,000,000
8.12	Spouse Brokerage Account 2	No			
8.12.1	Alliance Holdings GP LP (AHGP)	N/A	Over \$1,000,000	Dividends	Over \$1,000,000
8.12.2	Antero Resources Corp. (AR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.12.3	Cash on Deposit with a U.S. Bank	N/A	\$100,001 - \$250,000		None (or less than \$201)
8.13	Oil and Gas Reserves (Ohio County, WV)	N/A	Over \$1,000,000	Rent or Royalties	\$100,001 - \$1,000,000
8.14	Coal Reserves (Ohio County WV, Washington County PA)	N/A	Over \$1,000,000	Rent or Royalties	Over \$1,000,000
8.15	Coal Reserves (Pike County, KY)	N/A	Over \$1,000,000	Rent or Royalties	\$100,001 - \$1,000,000
8.16	Coal Equipment (Gibson County, IN) (Liquidated)	N/A	None (or less than \$1,001)	Rent or Royalties Capital Gains	Over \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.17	Alliance Resource Partners LP (ARLP)	N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
8.18	Alliance Holdings GP LP (AHGP)	N/A	Over \$1,000,000	Dividends	Over \$1,000,000

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	KC-Properties LLC	Capital Commitment	\$15,001 - \$50,000	2010	n/a	on demand

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
6.	4	Refer to Endnote 7.7
6.	7.7	99% LP Interest owned by Spouse Trust. 1% GP Interest owned by JC GP Inc., an entity owned by Spouse and listed at Line 4.

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$375 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$150 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

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

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