# **Statement of Financial Interests for 2017**



CONTACT INFORMATION	
Last Name:	First Name and Middle initial:
Fowler	Alex
Work Phone Number:	Other Phone:
(508) 999-8933	
Work Email:	Other Email:
afowler@umassd.edu	
Primary Residence Address:	
Redacted	
Contact mailling address	
Redacted	
You indicated that you did have a spouse residing in your household during	g 2017.
You indicated that you had no dependent child(ren) residing in your housel	hold at any time during 2017.
	\$ P-1
Candidacy and Public Service	
1. If you are a candidate for public office, please indicate the public office you	are seeking.

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Filer reported none.

2. Identify the position you now hold, or have held, which requires you to file a Statement of Financial Interests and provide the required information for that position. If you held more than one public position which requires you to file, identify each position.

Agency Name	Address	Position	Date	Amount of Income
University of Massachusetts Dartmouth (UMASS)	285 Old Westport Rd, North Dartmouth, MA, 02747, US	Associate Provost for Research and Economic Development	09/01/2017	\$100,001 or more

3. Other than the position(s) identified in Question 2, identify every public position you held, and every public agency to which you provided services, at any time during 2017, whether compensated or not, and whether full- or part-time.

Filer reported none.

4. Identify every public position your spouse and/or any dependent child(ren) residing in your household held, and every public agency to which your spouse and/or any dependent child(ren) residing in your household provided services, at any time during 2017, whether compensated or not, and whether full- or part-time.

Public Agency	Public Agency Name	Address	Position	Consultant / Contractor?	Services Provided
State	UMass Dartmouth	285 Old Westport Rd, North Dartmouth, MA, 02747, US	Counselor	N/A	

## **Private Employment and Leaves of Absence**

5. Identify every Business for which you worked as an employee, manager, consultant, or independent contractor at any time during 2017, whether compensated or not, and whether full- or part-time, and provide the required information for each.

Filer reported none.

6. Identify any Business from which you were on a leave of absence at any time during 2017, and provide its address.

Filer reported none.

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7. Identify every Business for which your spouse and/or any dependent child(ren) residing in your household worked as an employee, manager, consultant, or independent contractor at any time during 2017, whether compensated or not, and whether full- or part-time, and provide the required information for each.	
Filer reported none.	
Business Ownership and Transfers	
8. Identify each Business of which you were, in whole or in part, an owner, partner, or proprietor, or in which you owned more than 1% of any class of the outstanding stock or similar ownership interest, at any time during 2017, and provide the required information for each.	
Filer reported none.	
9. Identify each Business of which your spouse and/or any dependent child(ren) residing in your household was, in whole or in part, an owner, partner, or proprietor, or in which your spouse and/or any dependent child(ren) residing in your household owned more than 1% of any class of the outstanding stock or similar ownership interest, at any time during 2017, and provide the required information for each.	
Business Name Address	
Bellevue Counseling LLC 174 Bellevue Ave, Newport, RI, 02840, US	
10. Identify any stock or similar ownership interest in a Business which you transferred to your spouse and/or any dependent child(ren) residing in your household during 2017, and provide the required information for each.	
Filer reported none.	
Service as an Officer, Director, or Trustee	
11. Identify any Business in which you served as an officer, director, or trustee, at any time during 2017, whether compensated or not, and whether full- or part-time, and provide the required information for each.	
Filer reported none.	

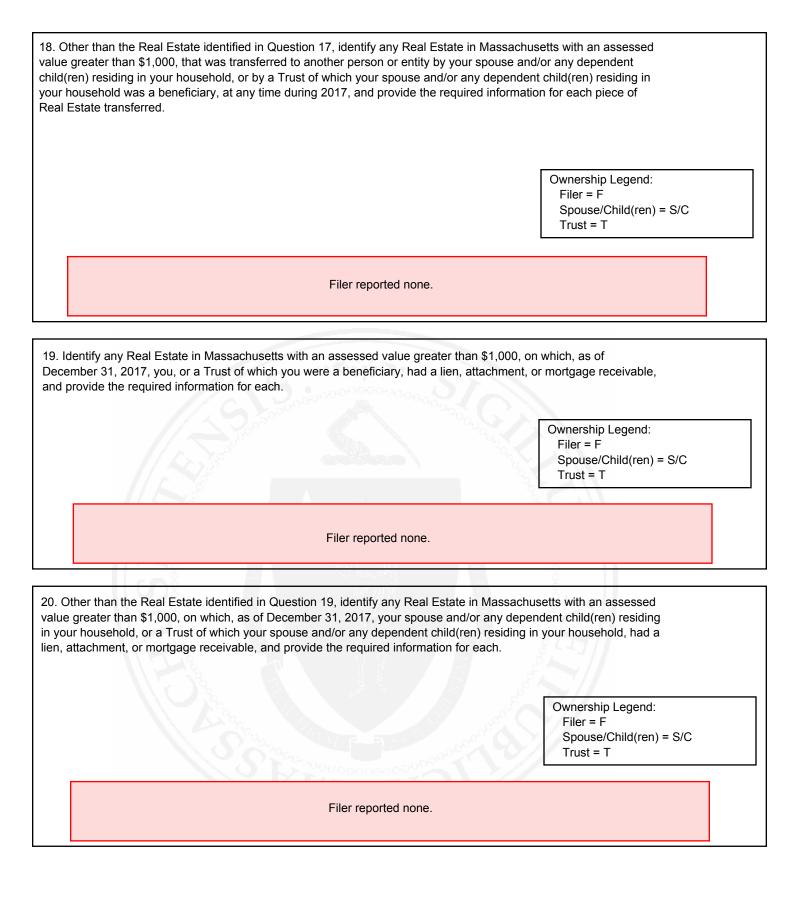
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12. Identify any Business in which your spouse and/or any dependent child(ren) residing in your household served as an officer, director, or trustee, at any time during 2017, whether compensated or not, and whether full- or part-time, and provide the required information for each.	
Filer reported none.	
NOTE: If the Filer answered "YES" to a Question in the following section, one or more columns in the Table for that Question may be blank in the following situations: If the Filer indicated that the name of the person and/or the trust was a family member's name or address, the Filer was not required to provide that name. If the Filer indicated that an address was a family member's address, the Filer was not required to provide that address.	
Real Estate	
13. Identify all Real Estate in Massachusetts which you owned directly or through a Business as of December 31, 2017, and which had an assessed value greater than \$1,000, and provide the required information for each Real Estate holding.  Ownership Legend: Filer = F Spouse/Child(ren) = S/C Trust = T  Filer reported none.	
14. Other than the Real Estate identified in Question 13, identify all Real Estate in Massachusetts which your spouse and/or any dependent child(ren) residing in your household owned directly or through a Business as of December 31, 2017, and which had an assessed value greater than \$1,000, and provide the required information for each Real Estate holding.	
Filer reported none.	

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15. Identify any Trust of which you were a beneficiary and which owned Real Estate in Massa December 31, 2017, with an assessed value greater than \$1,000, and provide the required in Trust and Real Estate holding.	
	Beneficiary Legend: Filer = F Spouse/Child(ren) = S/C Trust = T
Filer reported none.	
16. Other than the Real Estate identified in Question 15, identify any Trust of which your spoudependent child(ren) residing in your household was a beneficiary and which owned Real Est of December 31, 2017, with an assessed value greater than \$1,000, and provide the required such Trust and Real Estate holding.	tate in Massachusetts as
Filer reported none.	
17. Identify any Real Estate in Massachusetts with an assessed value greater than \$1,000, to another person or entity by you, or by a Trust of which you were a beneficiary, at any time duthe required information for each Real Estate holding.	
	Filer = F Spouse/Child(ren) = S/C Trust = T
Filer reported none.	

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NOTE: If the Filer answered "YES" to a Question in the following section, one or more columns in the Table for that Question may be blank in the following situations: If the Filer indicated that the name of the person and/or the trust was a family member's name or address, the Filer was not required to provide that name. If the Filer indicated that an address was a family member's address, the Filer was not required to provide that address.

#### **Financial Investments**

21. Identify every bond or other security issued by the Commonwealth of Massachusetts or its political subdivisions, agencies, and authorities, which you owned directly or through a Business, as of December 31, 2017, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each such investment.

Ownership Legend: Filer = F Spouse/Child(ren) = S/C Trust = T

Filer reported none.

22. Other than the bonds or other securities identified in Question 21, identify every bond or other security issued by the Commonwealth of Massachusetts or its political subdivisions, agencies, and authorities, which your spouse and/or any dependent child(ren) residing in your household owned directly or through a Business, as of December 31, 2017, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each such investment.

Filer reported none.

23. Identify every bond or other security issued by the Commonwealth of Massachusetts or its political subdivisions, agencies, and authorities, which was owned as of December 31, 2017, by a Trust of which you were a beneficiary, whether directly or through a Business, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each such investment.

Beneficiary Legend: Filer = F Spouse/Child(ren) = S/C Trust = T

Filer reported none.

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24. Identify every bond or other security issued by the Commonwealth of Massachusetts or its political subdivisions, agencies, and authorities, which was owned as of December 31, 2017, by a Trust of which your spouse and/or any dependent child(ren) residing in your household was a beneficiary, whether directly or through a Business, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each such investment.

Filer reported none.



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25. Identify every Financial Investment that you owned directly or through a Business as of December 31, 2017, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each.

Ownership Legend: Filer = F Spouse/Child(ren) = S/C Trust = T

Name of Issuer	Owner	<b>Description of Investment</b>	Principal Place of Business or State of Incorporation	Address
Amazon.com, Inc Common Stock (AMZN)	F			
Biocept, Inc Common Stock(BIOC)	F	000000000000000000000000000000000000000		
AmeriGas Partners, L.P. Common Stock(APU)	F			
Alphabet Inc Class A Common Stock(GOOGL)	F			
Alphabet Inc Class C Capital Stock(GOOG)	F			
Apple Inc Common Stock(AAPL)	F			

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Approach Resources Inc Common Stock(AREX)	F
Chipotle Mexican Grill, Inc. Common Stock(CMG)	F
CVS Health Corporation Common Stock(CVS)	F
Dick's Sporting Goods Inc Common Stock(DKS)	F
Discover Financial Services Common Stock(DFS)	F
Eaton Vance Tax-Managed Diversified Equity Income Fund Common Shares of Beneficial Interest, (ETY)	F
LGI Homes, Inc. - Common Stock(LGIH)	F
Mastercard Incorporated Common Stock(MA)	F

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Not 61 in The	
Netflix, Inc Common	F
Stock (NFLX)	
PayPal Holdings,	F
Inc Common Stock(PYPL)	
,	
PIMCO Municipal Income Fund	F
Common	
Stock(PMF)	
Pioneer Municipal High	F 288300000000000000000000000000000000000
Income Advantage Trust Common	
Shares of Beneficial	
Interest (MAV)	
Rio Tinto Plc	F
Common Stock(RIO)	
Beder (REG)	
Tesla Motors,	F
Inc Common Stock(TSLA)	
Visa Inc.(V)	F
West Marine,	F
Inc Common	r.
Stock(WMAR)	

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Whole Foods Market, Inc Common Stock(WFM)	F
Willdan Group, Inc Common Stock(WLDN)	F
Guggenheim S&P Smallcap 600 Pure Growth ETF(RZG)	F
iShares Currency Hedged MSCI Spain(HEWP)	F
iShares MSCI Australia Index Fund(EWA)	F
	$\mathbb{R}$ and $\mathbb{R}$ and $\mathbb{R}$
iShares MSCI Brazil Capped Index Fund(EWZ)	F
Brazil Capped	F

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iShares MSCI South Korea Capped Index Fund(EWY)	F
iShares U.S. Financial Services ETF(IYG)	F
iShares U.S. Health Care Providers ETF(IHF)	F
PowerShares S&P SmallCap Information Technology Portfolio(PSCT)	E Company of the comp
Schwab U.S. Large-Cap ETF(SCHX)	F
SPDR Select Sector Fund - Consumer Staples (XLP)	F
WisdomTree Germany Hedged Equity Fund(DXGE)	F
WisdomTree Japan Hedged Health Care Fund(DXJH)	F

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Guam Govt Bus Priv	F	Bond	Guam	1 Aspenwall Ave, Guam, USA, 96910
Chicago GO	F	Bond	Chicago	121 North LaSalle, Chicago, IL, 60602, US
Illinois GO	F	Bond	Illinois	401 South Second St, Springfield, IL, 62707, US
Rhode Island HLTH and ED	F	Bond	Rhode Island	82 Smith St, Providence, RI, 02903, US
ВР	F	ADR (American Depository Receipt)	Surrey	Chertsey Rd, Sudbury on Thames, UK
Total SA	F	ADR (American Depository Receipt)	Paris	2 Place Jean Miller, Paris, France,92078
BE Semiconductor	F	Common Stock	Duiven	6920 AE Duiven, Duiven, Netherlands
Castlight Health, Inc. Class B Common Stock(CSLT)	F			

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Ellomay Capital Ltd Ordinary Shares (Israel) (ELLO)	F			
First Choice Healthcare	F	Common Stock	Florida	709 South Harbor City, Melbourne, FL, 32901, US
Myomo Inc	F	Common Stock	Massachusetts	1 Broadway, Cambridge, MA, 02142, US
Smart Global Holdings	F	Common Stock	California	39870 Eureka Drive, Newark, CA, 94560, US
Toyota Motor Corporation Common Stock(TM)	F			
iShares MSCI Chile Capped Investable Market Index Fund(ECH)	F			
Ishares MSCI Germany Small Cap ETF(EWGS)	F		7011	
Ishares MSCI India ETF(INDA)	F			

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F			
F			
F			
F	5		
F	Bond	US Virgin Islands	Waterfront Hwy, Charlotte Amalie, VI, 00802, US
F	Bond	New Jersey	125 West State St, Trenton, NJ, 08608, US
	F	F Bond	F  Bond  US Virgin Islands

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26. Other than the Financial Investments identified in Question 25, identify every Financial Investment that your spouse and/or any dependent child(ren) residing in your household owned directly or through a Business as of December 31, 2017, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each. For any Financial Investment not included on the drop-down list of publicly traded stock, you must provide the issuer's principal place of business or state of incorporation as well as its address.

Name of Issuer	Description of Investment	Principal Place of Business or Address State of Incorporation
Goldman Sachs Strategic Income Fund Insti Shares(GSZIX)		
Goldman Sachs High Yield Floating Rate Fd Insti Shs(GSFRX)	515	
Goldman Sachs Large Cap Value Fd Institutional Cl(GSLIX)		
Goldman Sachs U.S. Equity Dividend and Premium Fund Insti Class(GSPKX)		
Goldman Sachs MLP Energy Infrastructure Institutional Shares (GMLPX)	S. A. M.	

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Vanguard Total World Stock Index ETF(VT) Goldman Sachs International Equity Dividend and Premium Fd Class Insti(GIDHX) Goldman Sachs Emerging Markets Equity Fund Institutional Shares(GEMIX) Abbott Laboratories Common Stock (ABT) The AES Corporation Common Stock (AES) Allstate Corporation (The) Common Stock(ALL)

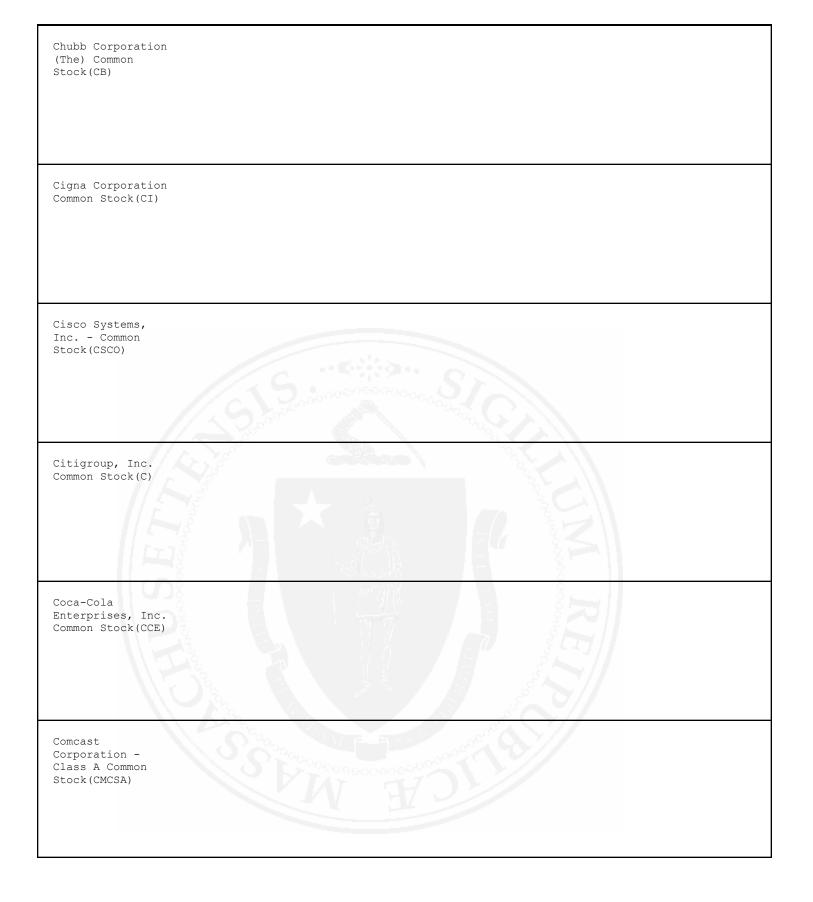
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Alphabet Inc. -Class A Common Stock(GOOGL) American International Group, Inc. New Common Stock(AIG) Anthem, Inc. Common Stock (ANTM) Apple Inc. -Common Stock (AAPL) Bank of America Corporation Common Stock (BAC) Berkshire Hathaway Inc. New Common
Stock(BRK.B)

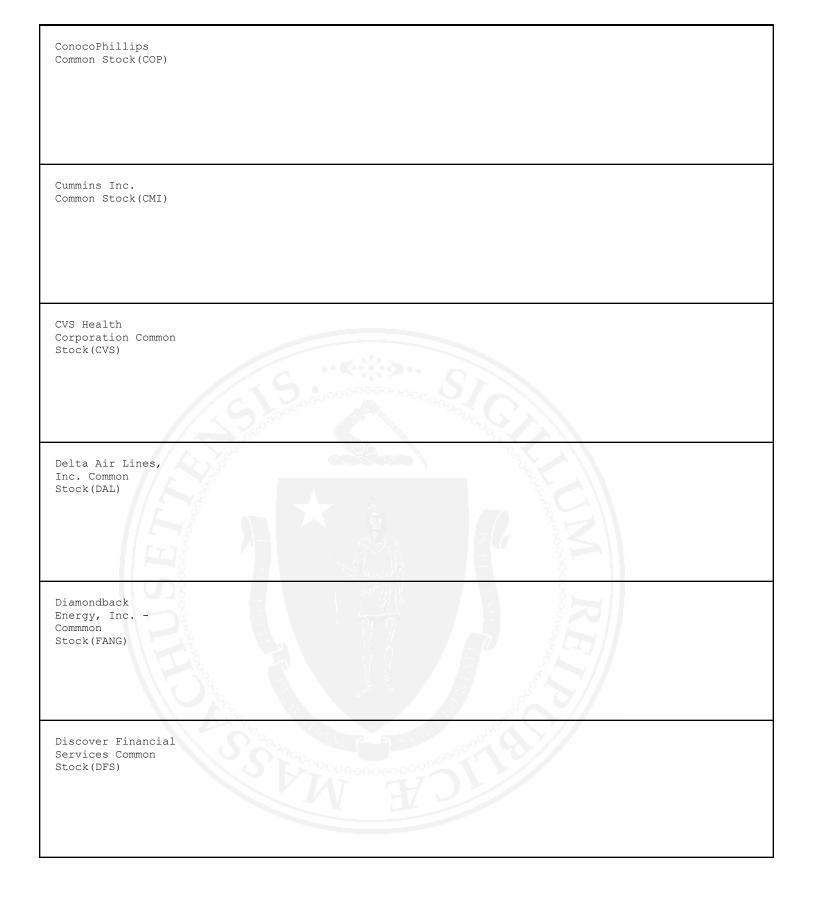
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BorgWarner Inc. Common Stock(BWA) Capital One Financial Corporation Common Stock(COF) CBS Corporation Class B Common Stock(CBS) Celanese Corporation Celanese Corporation Series A Common Stock(CE) Cemex, S.A.B. de C.V. Sponsored ADR (CX) Chevron Corporation Common Stock(CVX)

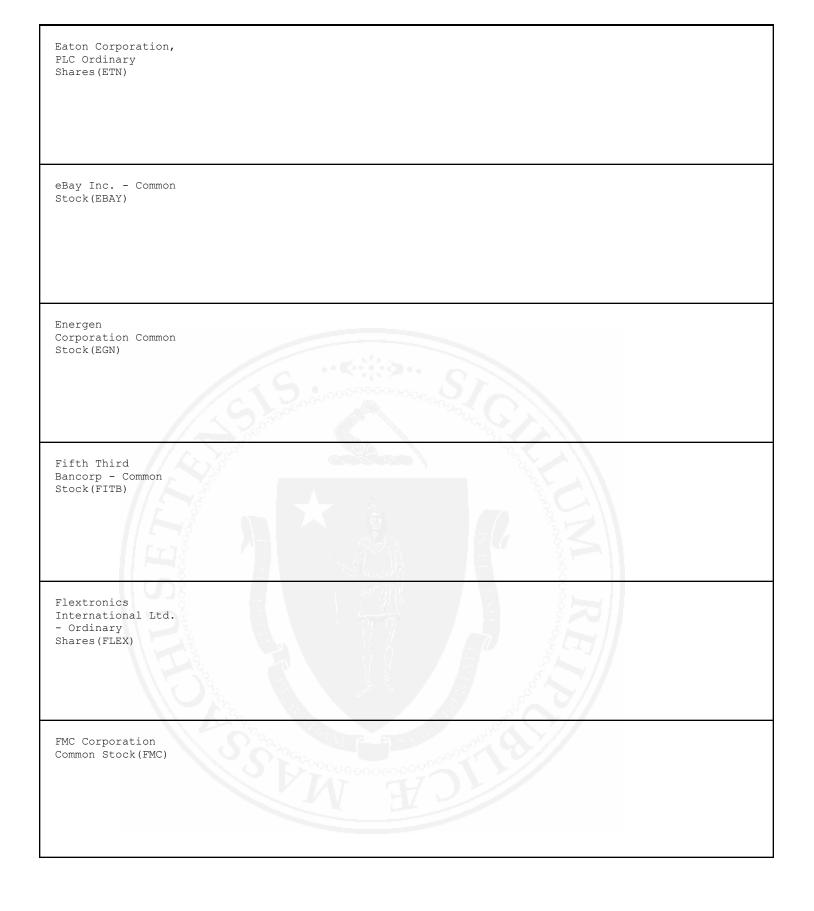
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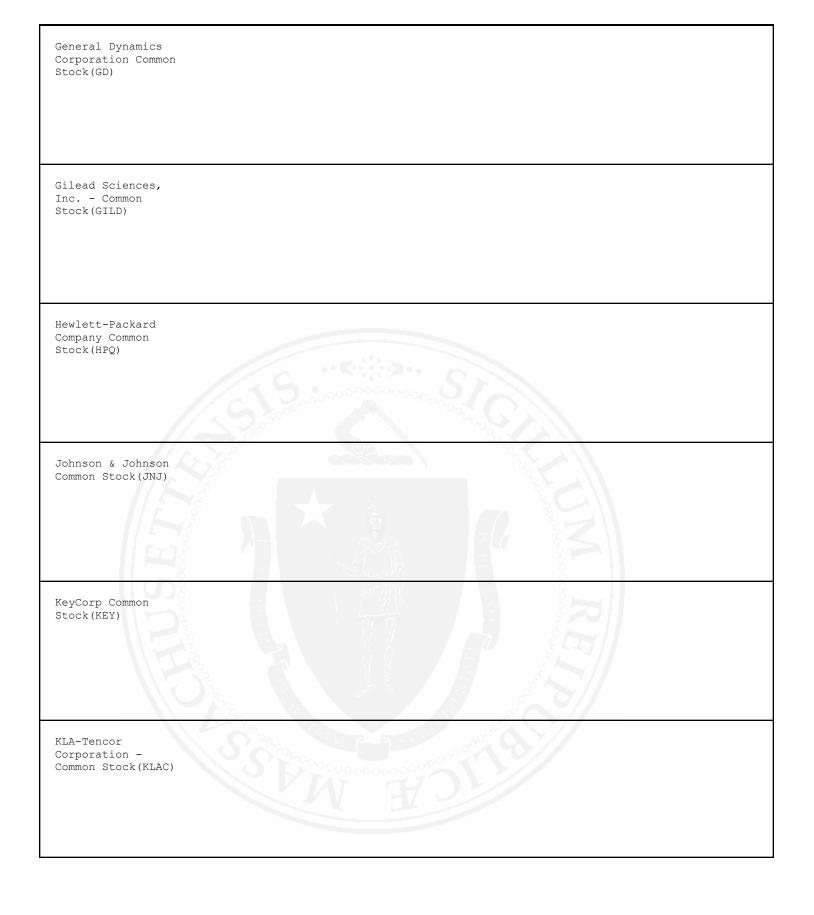
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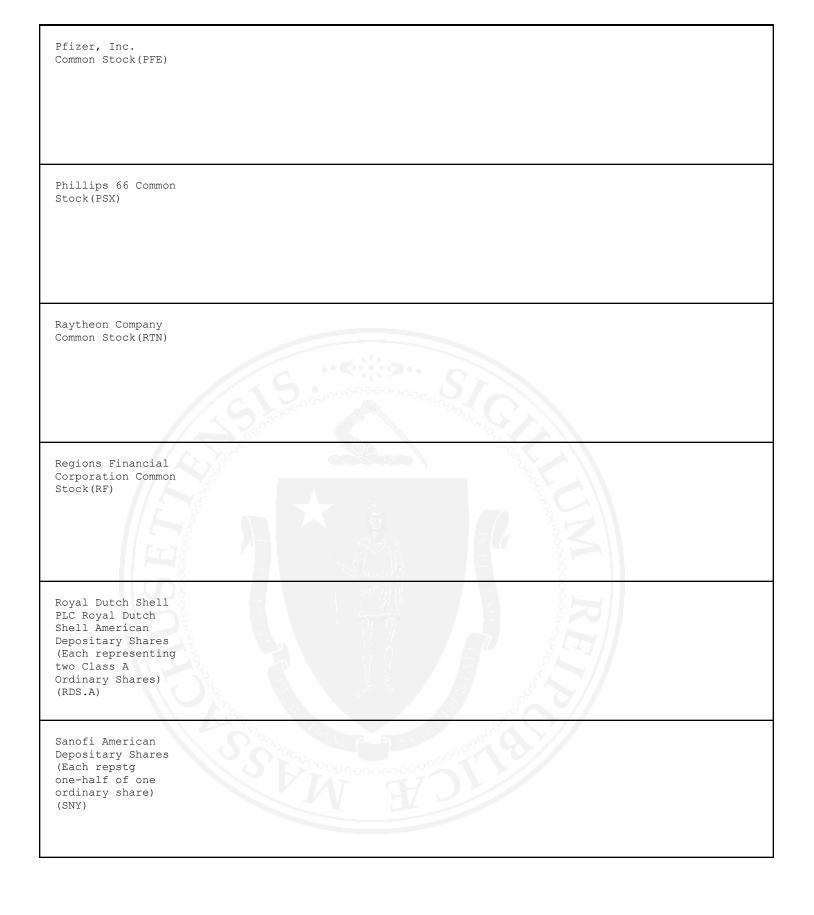
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Koninklijke Philips N.V. NY Registry Shares (PHG) L-3 Communications Holdings, Inc. Common Stock(LLL) Laboratory Corporation of America Holdings Common Stock(LH) Liberty Global plc - Class C Ordinary Shares (LILAK) Lloyds Banking Group Plc American Depositary Shares (LYG) Marathon Petroleum Corporation Common Stock (MPC)

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Masco Corporation Common Stock(MAS) Merck & Company, Inc. Common Stock (new) (MRK) Methanex Corporation -Common Stock (MEOH) Microsoft Corporation -Common Stock(MSFT) NetApp, Inc. -Common Stock(NTAP) Oracle Corporation Common Stock(ORCL)

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Southwest Airlines Company Common Stock(LUV) Spirit Aerosystems Holdings, Inc. Common Stock(SPR) Steel Dynamics, Inc. - Common Stock(STLD) Synchrony Financial Common Stock(SYF) TE Connectivity Ltd. New Switzerland Registered Shares (TEL) Home Depot, Inc. (The) Common Stock (HD)

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Time Warner Inc. New Common Stock(TWX) TJX Companies, Inc. (The) Common Stock(TJX) Twenty-First Century Fox, Inc. - Class A Common Stock (FOXA) United Technologies Corporation Common Stock (UTX) UnitedHealth Group Incorporated Common Stock (DE) (UNH) Wells Fargo & Company Common Stock (WFC)

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Westrock Company Common Stock(WRK)			
ASML Holding N.V ADS represents 1 ordinary share(ASML)			
Goldman Sachs - Cap growth PCS: non-US equity	Mutual Fund	New York	200 West St, New York, NY, 10282, US
Goldman Sachs - Emily Hardin Loevner: Non-US equity	Mutual Fund	New York	200 West St, New York, NY, 10282, US

27. Identify every Financial Investment that was owned as of December 31, 2017, by a Trust of which you were a beneficiary, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each. For any Financial Investment not included on the drop-down list of publicly traded stock, you must provide the issuer's principal place of business or state of incorporation as well as its address.

Beneficiary Legend: Filer = F Spouse/Child(ren) = S/C Trust = T

Filer reported none.

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28. Other than the Financial Investments identified in Question 27, identify every Financial Investment that was owned as of December 31, 2017, by a Trust of which your spouse and/or any dependent child(ren) residing in your household was a beneficiary, and which had a fair market value as of that date greater than \$1,000, and provide the required information for each. For any Financial Investment not included on the drop-down list of publicly traded stock, you must provide the issuer's principal place of business or state of incorporation as well as its address.

Name of Issuer	Description of Investment	Principal Place of Business or State of Incorporation	Issuer Address	Name of Trust
Goldman Sachs Core Fixed Income Fund Institutional Shares(GSFIX)				
Goldman Sachs Short Duration Income Fd Inst Cl(GDFIX)	615	300000000000000000000000000000000000000		
Goldman Sachs Short Duration Tax Free Fund Institutional Shares (GSDUX)				
Goldman Sachs Short Duration Government Fd Institutional Shares (GSTGX)			R	
Goldman Sachs High Yield Floating Rate Fd Insti Shs(GSFRX)		October of the second of the s		

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<u>NOTE</u>: If the Filer answered "YES" to a Question in the following section, one or more columns in the Table for that Question may be blank in the following situations: If the Filer indicated that the name of the person and/or the trust was a family member's name or address, the Filer was not required to provide that name. If the Filer indicated that an address was a family member's address, the Filer was not required to provide that address.

## **Debts and Mortgages**

29. Identify all mortgages, including home equity and reverse mortgage loans, on your Primary Residence, on which more than \$1,000 was owed as of December 31, 2017, where the creditor (person who loaned you the money) is NOT, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative, and provide the required information for each.

Creditor Name	Creditor Address	Mortgage Term	Interest Rate (%)	Termination Year
WEBSTER BANK	137 BANK ST, WATERBURY, CT, 06702, US	10	3	2022

30. Did you have a mortgage, including a home equity or reverse mortgage loan, on any property OTHER than your Primary Residence, on which more than \$1,000 was owed as of December 31, 2017, which you were obligated to pay and where the creditor (person who loaned you the money) is NOT, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative?

Obligor Legend:
Filer = F
Spouse/Child(ren) = S/C
Trust = T

Filer reported none.

31. Identify all mortgages, including home equity and reverse mortgage loans, OTHER than any mortgage on your Primary Residence or any mortgage identified in response to Question 30, on which more than \$1,000 was owed as of December 31, 2017, and which your spouse and/or any dependent child(ren) residing in your household were obligated to pay and where the creditor (person who loaned the money to your spouse and/or dependent child(ren) residing in your household) is NOT, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative, and provide the required information for each.

Filer reported none.

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32. Identify all non-mortgage debts of more than \$1,000 that you owed as of December 31, 2017, IF the person to whom you owed the debt is NOT, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative, and provide the required information for each.
Filer reported none.
33. Identify all non-mortgage debts of more than \$1,000 that your spouse and/or any dependent child(ren) residing in your household owed as of December 31, 2017, IF the person to whom your spouse and/or any dependent child(ren) residing in your household owed the debt is NOT, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative, and provide the required information for each.
Filer reported none.
34. Identify non-mortgage debts of more than \$1,000 which you owed and which were forgiven at any time during 2017, EXCLUDING debts forgiven by a person who is, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative, and provide the required information for each.  Filer reported none.
35. Identify non-mortgage debts of more than \$1,000 that were owed by your spouse and/or any dependent child(ren) residing in your household and were forgiven at any time during 2017, EXCLUDING debts forgiven by a person who is, by blood or marriage, your parent, grandparent, great grandparent, child, grandchild, great grandchild, aunt, uncle, sister, brother, niece, nephew, or the spouse of any such relative, and provide the required information for each.  Filer reported none.
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Reimbursments, Gifts, and Honoraria
36. Identify any Reimbursements for expenses in excess of \$100 provided to you at any time during 2017 by any legislative agent or executive agent (lobbyist).
Filer reported none.
36.a Identify any Reimbursements for expenses in excess of \$100, other than those identified in response to Question 36, you received at any time during 2017 from any person having a direct interest in legislation, legislative action, or a matter before a governmental body.
Filer reported none.
37. Identify any Reimbursements for expenses in excess of \$100 provided to your spouse and/or any dependent child(ren) residing in your household at any time during 2017 by any legislative agent or executive agent (lobbyist).  Filer reported none.
37.a Identify any Reimbursements for expenses in excess of \$100, other than those identified in response to Question 37, provided to your spouse and/or dependent child(ren) residing in your household at any time during 2017 by any person having a direct interest in legislation, legislative action, or a matter before a governmental body.
Filer reported none.
38. Identify any Gifts and/or Honoraria worth more than \$100 provided to you at any time during 2017 by any person having a direct interest in legislation, legislative action, or a matter before a governmental body.
Filer reported none.

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39. Identify any Gifts and/or Honoraria worth more than \$100 provided to your spouse and/or any dependent child(ren) residing in your household at any time during 2017 by any person having a direct interest in legislation, legislative action, or a matter before a governmental body.

Filer reported none.

NOTE: If the Filer answered "YES" to a Question in the following section, one or more columns in the Table for that Question may be blank in the following situations: If the Filer indicated that the name of the person and/or the trust was a family member's name or address, the Filer was not required to provide that name. If the Filer indicated that an address was a family member's address, the Filer was not required to provide that address.

## **Blind Trusts**

40. Did you, your spouse and/or any dependent child(ren) residing in your household during 2017, own anything that you have not reported on this Statement of Financial Interests because it was held in a Blind Trust during 2017?

Filer reported none.



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I, Alex Fowler, certify under the pains and penalties of perjury that:

I made a diligent effort to obtain the required information concerning myself and my spouse and/or any dependent child(ren); and

The information provided on this form is true and complete, to the best of my knowledge.

Submitted: 04/25/2018

Did your spouse and/or any dependent child(ren) residing in your household decline to disclose information which is necessary to complete this form fully and accurately?

The following are the specific Question(s) which I decline to answer in whole or in part because I assert that the information is privileged by law:

Please explain the basis of your claim of privilege:

#### IMPORTANT:

- 1. No DESIGNATED PUBLIC EMPLOYEE shall be allowed to continue in their duties or to receive compensation from public funds unless they have filed a Statement of Financial Interests with the State Ethics Commission.
- 2. The State Ethics Commission does not accept a faxed or emailed copy of a Statement of Financial Interests for filing.
- 3. If you were required to amend your Statement of Financial Interests last year, we encourage you to carefully review your 2017 filling before submitting.

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