

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

Filer's Information

Hutchison III, Malcolm Clark

Director DCR, Commodity Futures Trading Commission

Report Year: 2022

Other Federal Government Positions Held During the Preceding 12 Months:

None

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/ Hutchison III, Malcolm Clark [electronically signed on 05/16/2022 by Hutchison III, Malcolm Clark 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/ Walsh, Frank, Certifying Official [electronically signed on 07/29/2022 by Walsh, Frank in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 07/05/2022

Data Revised 06/23/2022

Data Revised 06/09/2022

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. brokerage – IRA 3A	No			
1.1	Berkshire Hathaway Inc. Class b(3a)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.2	First Eagle Global Fund Class I (SGIIX)(3a)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3	Goldman Sachs Income Builder Fund(3a)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4	iShares MSCI EAFE Min Vol Factor ETF (EFAV)(3a)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	T. Rowe Price International Discovery Fund (PRIDX)(3a)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.6	iShares Core MSCI Emerging Markets ETF (IEMG)(3a)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.7	ETFMG Prime Cyber Security ETF (HACK)(3a)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.8	T Rowe Price Capital Appreciation Fund (PRWCX)(IRA 3a)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.9	U.S. brokerage - IRA #3A (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
2	Morgan Stanley (401K Plan)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.1	State Street Target Retirement 2025 Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.2	Blackrock Bond Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Pimco Core Fixed Income Fund	See Endnote	Yes	\$1,001 - \$15,000	None (or less than \$201)
2.4	Pimco Real Return Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	iShares S&P 500 Index Fund (Blackrock) (BSPPIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.6	Blackrock S&P 400 Midcap (iShares S&P Mid-Cap 400 Value ETF - IJJ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.7	Blackrock Russell 2000 Index	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.8	Global Real Estate Portfolio Fund - REIT - MSIF, Inc.	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.9	Shenkman Captial High Yield Bond	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Deutsche Bank (401K Plan)	No			
3.1	MFS Value Fund Class R4 (MEIJX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	DWS Real Estate Fund	See Endnote	Yes	\$15,001 - \$50,000	None (or less than \$201)
3.3	State Street Russell Small/Midcap Index II (fund name on statement - state street rsl smmdcp idx II cussip 857480552)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.4	State Street Target Retirement 2025 Fund iv	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Deutsche Bank, deferred compensation, cash receivable	N/A	\$100,001 - \$250,000		None (or less than \$201)
5	U.S. brokerage - IRA #3	No			
5.1	Ground Lease REIT (GLRD)(ira 3)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.2	Goldman Sachs BDC, Inc (gsbd-r)(ira 3)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.3	U.S. brokerage - IRA #3 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.4	Hudson Bay Fund (1HBIF) (Ira 3)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Deutsche Bank	New York, New York	I have deferred compensation earned for pay periods up and until 2017. I did not receive an award of deferred compensation for 2018. My deferred compensation is in cash, restricted stock (unvested), and restricted stock options (unvested). Regarding the restricted stock and restricted stock options, I have forfeited all except \$15,000. From Sep 2019 until Sep 2022 I will receive cash payments each year in March and September.	11/2013
2	Deutsche Bank	New York, New York	Future bonus payments represent deferred compensation over and above the salary I received. These payments were annual year-end performance bonus payments. These payments are part of a standard company policy.	11/2013
3	Morgan Stanley	New York, New York	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	8/2009

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
4	Deutsche Bank	New York, New York	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	11/2013

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. brokerage – IRA #2	No			
1.1	U.S. brokerage - IRA #2 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.2	Fidelity® Investments Money Market Government Portfolio - Institutional Class (FRGXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3	Kayne Anderson MLP Midstream Investment Co (KYN) (closed-end fund)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	U.S. brokerage – IRA #4	No			
2.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	Costco Corp	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.3	Enbridge Inc (ENB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.4	Mid America Apartment Communities Inc. - REIT (MAA)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.5	Philip Morris International Inc. (PM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.6	Vanguard Mid-cap Value Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.7	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.8	Walgreens Boots Alliance, Inc. (WBA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.9	Vanguard Dividend Growth Fund Investor Shares (VDIGX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.10	Invesco BulletShares 2022 Corporate Bond ETF (BSCM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	U.S. brokerage - IRA #5	No			
3.1	Vanguard Dividend Growth Fund Investor Shares (VDIGX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. brokerage account - #1 (account liquidated in July 2020)	No			
2	U.S. brokerage account - #2(spouse)	No			
2.1	Fidelity Investments Money Market Government Portfolio - Institutional Class (FRGXX)(brok 2)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3	U.S. brokerage account - #3	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	BTAS, Inc. (brok 3)(privately held - Federal and commercial customers with business and technological solutions for program management, engineering, information technology, security, communications, and marketing) (ibtas4)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3.2	Goldman Sachs Middle Market Lending Corp (brok 3) merged and is now Goldman Sachs BDC inc (GSBD)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.3	Invesco High Yield Equity Dividend Achievers ETF (PEY)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
3.4	Paloma Partners(1POLM) (Brok 3)/Palamo Resources (privately held - oil and gas acreage acquisition and development)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3.5	Fidelity Investments Money Market Government Portfolio - Institutional Class (FRGXX)(brok 3)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.6	Lyft, Inc. (LYFT)(brok 3)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.7	PagSeguro Digital Ltd. (PAGS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.8	Dave & Buster's Entertainment, Inc. (PLAY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.9	U.S. brokerage account - #3 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3.10	Alphabet, Inc. (GOOG)(brok 3)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	U.S. brokerage account - #6	No			
4.1	Broadcom Inc. (AVGO)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.2	Home Depot Inc (HD)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.3	United Parcel Service Inc B (UPS)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.4	Cummins Inc (CMI)(brok 6)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.5	LyondellBasell Industries N.V. (LYB)(brok 6)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.6	International Business Machines Corporation (IBM)(brok 6)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
4.7	Cisco Systems Inc (CSCO)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.8	Hewlett-Packard Co (HPQ)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.9	Travelers Companies Inc (TRV)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.10	Verizon Communications Inc (VZ)(brok 6)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.11	Comcast Corp (CMCSA)(brok 6)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.12	Metlife Inc (MET)(brok 6)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.13	AT&T Inc (T)(brok 6)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
4.14	Procter & Gamble (PG)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.15	Public Service Enterprise Group Inc. (PEG)(brok 6)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.16	McDonald's Corp (MCD)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
4.17	Gilead Sciences Inc (GILD)(brok 6)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.18	Lockheed Martin (LMT)(brok 6)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.19	Sonoco Products Co. (SON)(brok 6)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.20	Pfizer Inc (PFE)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.21	PepsiCo Inc (PEP)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.22	AbbVie Inc. (ABBV)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.23	Merck & Co Inc (MRK)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.24	Amgen Inc (AMGN)(brok 6)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.25	Johnson & Johnson (JNJ)(brok 6)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.26	Kroger Co (KR)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.27	Bristol-Myers Squibb (BMY)(brok 6)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.28	CVS Health Corp. (CVS)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.29	Dick's Sporting Goods, Inc. (DKS)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.30	Genuine Parts Co. (GPC)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.31	Life Storage, Inc. (LSI)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.32	MSC Industrial Direct Co., Inc. (MSM)(brok 6)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.33	NetApp, Inc. (NTAP)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.34	Portland General Electric Co. (POR)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.35	QUALCOMM, Inc. (QCOM)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
4.36	Truist Financial Corporation (TFC)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.37	W.P. Carey, Inc. (WPC)(brok 6)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
4.38	medical properties (mpw) (brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.39	amdocs ltd (dox)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.40	General Dynamics Corp. (GD)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.41	General Mills, Inc. (GIS)(brok 6)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.42	charles schwab (brok 6) cash	N/A	\$250,001 - \$500,000	Interest	None (or less than \$201)
5	U.S. brokerage account - #7	No			
5.1	Broadcom Inc. (AVGO)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.2	Anthem Inc (ANTM)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
5.3	Ross Stores Inc (ROST)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
5.4	Cigna Corporation (CI)(brok 7)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.5	Apple Inc. (AAPL)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
5.6	Celanese Corporation (CE)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
5.7	Microchip Technology Inc (MCHP)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
5.8	Honeywell Intl Inc (HON)(brok 7)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.9	Assurant Inc (AIZ)(brok 7)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.10	T-Mobile US, Inc. (TMUS)(brok 7)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.11	Ingredion Inc (INGR)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
5.12	Cisco Systems Inc (CSCO)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
5.13	LKQ Corporation - Common Stock (LKQ)(brok 7)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.14	Microsoft Corp (MSFT)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
5.15	SS&C Technologies Holdings, Inc. - Common Stock (SSNC)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.16	Verizon Communications Inc (VZ)(brok 7)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.17	The Progressive Corporation (PGR)(brok 7)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.18	Accenture plc (ACN)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
5.19	Oracle Corp (ORCL)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
5.20	CVS Caremark Corp. (CVS)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
5.21	Pfizer Inc (PFE)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
5.22	AmerisourceBergen Corp (ABC)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
5.23	Amgen Inc (AMGN)(brok 7)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.24	Comcast Corp (CMCSA)(brok 7)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.25	Johnson & Johnson (JNJ)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
5.26	Advance Auto Parts, Inc. (AAP)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
5.27	CACI International, Inc. (CACI)(brok 7)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.28	Dollar General Corp. (DG)(brok 7)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.29	EMCOR Group, Inc. (EME)(brok 7)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.30	Hubbell, Inc. (HUBB)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
5.31	Newmont Corp. (NEM)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
5.32	National Fuel Gas Co. (NFG)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
5.33	iShares Russell 1000 Growth ETF (IWF)(brok 7)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.34	Starwood Property Trust, Inc. (STWD)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
5.35	charles schwab (brok 7) cash	N/A	\$50,001 - \$100,000	Interest	\$201 - \$1,000
5.36	Advance Auto Parts, Inc. (AAP)(brok 7)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
5.37	Affiliated Managers Group, Inc. (AMG)(Brok 7)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
5.38	Alphabet, Inc. (GOOGL)(brok 7)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.39	Darden Restaurants, Inc. (DRI)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
5.40	Lumentum Holdings, Inc. (LITE)(brok 7)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.41	meta platforms inc(FB) (brok 7)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.42	Tapestry, Inc. (TPR)(brok 7)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
5.43	Vertex Pharmaceuticals, Inc. (VRTX)(brok 7)	N/A	\$50,001 - \$100,000		None (or less than \$201)
6	U.S. brokerage account - #8	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.1	Fidelity Treasury Money Market Fund (FZFX)(brok 8)	Yes	\$250,001 - \$500,000		\$201 - \$1,000
6.2	Google Inc (GOOG)(brok 8)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
6.3	Google Inc. - Class A Common Stock (GOOGL)(brok 8)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
6.4	Check Point Software Technologies Ltd. - Ordinary Shares (CHKP)(brok 8)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.5	First Trust NASDAQ-100- Technology Sector Index Fund (QTEC)(brok 8)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6.6	Invesco BulletShares 2022 High Yield Corporate Bond ETF (BSJM)(brok 8)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
6.7	iShares Expanded Tech Sector ETF (IGM)(brok 8)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
6.8	New Jersey Resources Corp (NJR)(brok 8)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.9	Waste Connections, Inc. (WCN)(brok 8)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
6.10	Zoetis Inc (ZTS)(brok 8)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
6.11	Harding Loevner Institutional Emerging Markets Portfolio Class I (HLMEX)(brok 8)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.12	Invesco Developing Markets Fund Class Y (ODVYX)(brok 8)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
6.13	Loomis Sayles Senior Floating Rate and Fixed Income Fund Class Y (LSFYX)(brok 8)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.14	Matthews Pacific Tiger Fund Investor Class (MAPTX)(brok 8)	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.15	PRIMECAP Odyssey Growth Fund (POGRX)(brok 8)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
6.16	T. Rowe Price Global Technology Fund I Class (PGTIX)(brok 8)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
6.17	T. Rowe Price Health Sciences Fund I Class (THISX)(brok 8)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.18	T. Rowe Price Mid-Cap Growth Fund I Class (RPTIX)(brok 8)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
6.19	Vanguard International Growth Fund Admiral Shares (VWILX)(brok 8)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
6.20	William Blair Small Cap Growth Fund Class I (WBSIX)(brok 8)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.21	Cisco Systems, Inc. (CSCO) corporate note(brok 8)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.22	Oracle Corporation, corporate note(brok 8)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.23	Philip Morris International Inc. (PM) corporate note(brok 8)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.24	Crown Castle International Corp. (REIT) (CCI)(brok 8)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.25	Gaming and Leisure Properties, Inc. - Common Stock (GLPI)(brok 8)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.26	STAG Industrial, Inc. (STAG)(brok 8)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.27	Iron Mountain Inc (IRM)(brok 8)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
6.28	Metlife Inc., corporate note(brok 8)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.29	Berkshire Hathaway Inc. (BRKB)(brok 8)	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.30	CarMax, Inc. (KMX)(brok 8)	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.31	Carrier Global Corporation (CARR)(brok 8)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.32	Otis Worldwide Corporation (OTIS)(brok 8)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.33	ACADIA Pharmaceuticals Inc. (ACAD)(brok 8)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.34	Duke Energy Corp. (DUK)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7	U.S. brokerage account - #9	No			
7.1	Vanguard Treasury Money Market Fund Investor Shares (VUSXX)(brok 9)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
8	U.S. brokerage account - #10 (no reportable underlying assets)	No			
9	U.S. bank account - #1 (cash)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
10	Northwestern Mutual (whole life insurance policy)	N/A	\$50,001 - \$100,000		None (or less than \$201)
11	Northwestern Mutual (whole life insurance policy)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
12	Northwestern Mutual (whole life insurance policy)	N/A	\$250,001 - \$500,000		None (or less than \$201)
13	U.S. brokerage account - # 11	No			
13.1	Invesco DWA Momentum ETF (PDP)(brok 11)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.2	Global X NASDAQ 100 Covered Call ETF (QYLD)(brok 11)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
13.3	Invesco S&P 500 Low Volatility ETF (SPLV)(brok 11)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
13.4	iShares Russell 2000 ETF (IWM)(brok 11)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
14	U.S. brokerage account - # 12	No			
14.1	Invesco DWA Momentum ETF (PDP)(brok 12)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
14.2	Global X NASDAQ 100 Covered Call ETF (QYLD)(brok 12)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
14.3	Invesco S&P 500 Low Volatility ETF (SPLV)(brok 12)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
15	U.S. brokerage account - # 13	No			
15.1	Global X NASDAQ 100 Covered Call ETF (QYLD)(brok 13)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
15.2	Invesco S&P 500 Low Volatility ETF (SPLV)(brok 13)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
15.3	iShares Russell 2000 ETF (IWM)(brok 13)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
15.4	Invesco DWA Momentum ETF (PDP)(brok 13)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16	U.S. brokerage account - # 14	No			
16.1	Global X NASDAQ 100 Covered Call ETF (QYLD)(brok 14)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
16.2	Invesco S&P 500 Low Volatility ETF (SPLV)(brok 14)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.3	Invesco DWA Momentum ETF (PDP)(brok 14)	Yes	\$50,001 - \$100,000		None (or less than \$201)
17	U.S. brokerage account - # 15	No			
17.1	Loomis Sayles Growth Fund Class Y (LSGRX)(brok 15)	Yes	\$50,001 - \$100,000		None (or less than \$201)
17.2	U.S. brokerage account - # 15 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
17.3	roche hldg ltd adr(rhhby)(brok 15)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.4	Berkshire Hathaway Inc. (BRKB)(brok 15)	N/A	\$100,001 - \$250,000		None (or less than \$201)
17.5	lowes (low)(brok 15)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.6	Microsoft Corp. (MSFT)(brok 15)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.7	Oracle Corp. (ORCL)(brok 15)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.8	Texas Instruments Incorporated (TXN)(brok 15)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17.9	The Williams Cos., Inc. (WMB)(brok 15)	No	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
17.10	T Rowe Price International Discovery Fund (PRIDX)(brok 15)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.11	iShares Russell 2000 ETF (IWM)(brok 15)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
17.12	iShares Edge MSCI Min Vol EAFE ETF (EFAV)(brok 15)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17.13	iShares Core MSCI Emerging Markets ETF (IEMG)(brok 15)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.14	Putnam Ultra Short Duration Income Fund Class Y Shares (PSDYX)(brok 15)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
18	CenterPoint Energy, Inc. (CNP)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
19	U.S. brokerage account #17	No			
19.1	Alex Brown Brokerage 17 (cash)	No	\$500,001 - \$1,000,000		None (or less than \$201)
19.2	Ishares tr 3 yr(SHY)(brok 17)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
19.3	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)(brok 17)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
20	U.S. brokerage account #16	No			
20.1	AbbVie Inc. (ABBV)(brok 16)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
20.2	Canadian Pacific Railway Limited (CP)(Brok 16)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
20.3	Costco Wholesale Corp (COST)(brok 16)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
20.4	Exxon Mobil Corp (XOM)(brok 16)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
20.5	FedEx Corp (FDX)(brok 16)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
20.6	First American Financial Corporation (FAF)(brok 16)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
20.7	Home Depot Inc (HD)(brok 16)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
20.8	iShares Core S&P Small-Cap ETF (IJR)(brok 16)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20.9	Novartis (nvs)(brok 16)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
20.10	Unilever PLC (UL)(brok 16)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
20.11	Verizon Communications Inc (VZ)(brok 16)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
20.12	Visa Inc (V)(brok 16)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
20.13	Wisconsin Energy Corp (WEC)(brok 16)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
20.14	Realty Income, The Monthly Dividend Company (O) (REIT)(brok 16)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
20.15	Raytheon Co. (RTN) (formerly United Technologies Inc.)(brok 16)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
20.16	Walgreens Boots Alliance, Inc. (WBA)(brok 16)	N/A	\$50,001 - \$100,000		None (or less than \$201)
20.17	Air Products and Chemicals, Inc. (APD)(brok 16)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
20.18	Baxter International, Inc. (BAX)(brok 16)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
20.19	Cisco Systems, Inc. (CSCO)(brok 16)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
20.20	Comcast Corp. (brok 16)(CMCSA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
20.21	DuPont de Nemours, Inc. (DD)(brok 16)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
20.22	Ecolab, Inc. (ECL)(brok 16)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20.23	McCormick & Co., Inc. (brok 16)(MKC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
20.24	Merck & Co., Inc. (MRK)(brok 16)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
20.25	Orion office reit(oni)(brok 16)	No	None (or less than \$1,001)		None (or less than \$201)
20.26	Skyworks Solutions, Inc. (SWK)(brok 16)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
20.27	The Coca-Cola Co. (KO)(brok 16)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
20.28	VF Corp. (VFC)(brok 16)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	PagSeguro Digital Ltd. (PAGS)	Sale	01/27/2021	\$15,001 - \$50,000
2	PagSeguro Digital Ltd. (PAGS)	Purchase	01/29/2021	\$1,001 - \$15,000
3	PagSeguro Digital Ltd. (PAGS)	Sale	03/01/2021	\$15,001 - \$50,000
4	MercadoLibre, Inc. (MELI)	Purchase	05/04/2021	\$15,001 - \$50,000
5	ViacomCBS Inc. (VIAC)	Sale	01/29/2021	\$15,001 - \$50,000
6	Prudential Financial, Inc. (PRU)	Purchase	02/09/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
7	Vistra Corp. (VST)	Sale	03/23/2021	\$15,001 - \$50,000
8	ViacomCBS, Inc. (VIAC)	Sale	03/04/2021	\$15,001 - \$50,000
9	ViacomCBS, Inc. (VIAC)	Sale	03/09/2021	\$15,001 - \$50,000
10	AT&T Inc. (T)	Purchase	03/19/2021	\$1,001 - \$15,000
11	Essential Utilities, Inc. (WTRG)	Sale	05/03/2021	\$15,001 - \$50,000
12	MercadoLibre, Inc. (MELI) (ira3)	Sale	05/06/2021	\$15,001 - \$50,000
13	Organon & Co. (OGN) (brok6)	Sale	06/17/2021	\$1,001 - \$15,000
14	Alerian MLP ETF (AMLPE) (IRA3)	Sale	07/19/2021	\$15,001 - \$50,000
15	Crestwood Equity Partners (CEQP) (Brok 15)	Sale	07/19/2021	\$15,001 - \$50,000
16	Trimble, Inc. (TRMB) (IRA3)	Purchase	07/02/2021	\$1,001 - \$15,000
17	Laboratory Corporation of America Holdings (LH) (Broko #7)	Sale	09/09/2021	\$50,001 - \$100,000
18	Natera, Inc. (NTRA) (broko #3)	Purchase	09/23/2021	\$1,001 - \$15,000
19	Invesco High Yield Equity Dividend Achievers ETF (PEY) (broko #15)	Sale	09/20/2021	\$50,001 - \$100,000
20	Enable Midstream Partners, LP (ENBL) (Broko #15)	Sale	09/20/2021	\$1,001 - \$15,000
21	Union Pacific Corp. (UNP) (Broko 15)	Sale	09/10/2021	\$1,001 - \$15,000
22	iShares 1-5 Year Investment Grade Corporate Bond ETF (IGSB)(ira3)	Sale	10/05/2021	\$15,001 - \$50,000
23	Conagra Brands, Inc. (CAG)	Sale	01/14/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
24	Visa, Inc. (V)	Sale	01/27/2021	\$1,001 - \$15,000
25	Amazon.com, Inc. (AMZN)	Sale	01/14/2021	\$1,001 - \$15,000
26	Comcast Corp. (CMCSA)	Sale	01/20/2021	\$1,001 - \$15,000
27	Amazon.com, Inc. (AMZN)	Purchase	01/22/2021	\$15,001 - \$50,000
28	Lyft, Inc. (LYFT)	Sale	01/20/2021	\$15,001 - \$50,000
29	LyondellBasell Industries NV (LYB)	Sale	01/29/2021	\$1,001 - \$15,000
30	Mondelez International, Inc. (MDLZ)	Sale	02/02/2021	\$1,001 - \$15,000
31	QUALCOMM, Inc. (QCOM)	Sale	02/24/2021	\$1,001 - \$15,000
32	Philip Morris International, Inc. (PM)	Sale	02/03/2021	\$1,001 - \$15,000
33	Amazon.com, Inc. (AMZN)	Sale	03/01/2021	\$15,001 - \$50,000
34	PayPal Holdings, Inc. (PYPL)	Sale	03/01/2021	\$15,001 - \$50,000
35	AmerisourceBergen Corp. (ABC)	Purchase	01/06/2021	\$1,001 - \$15,000
36	First Trust NASDAQ Semiconductor ETF (FTXL)	Purchase	04/12/2021	\$15,001 - \$50,000
37	Evergy, Inc. (EVRG)	Purchase	01/06/2021	\$1,001 - \$15,000
38	National Fuel Gas Co. (NFG)	Purchase	01/06/2021	\$1,001 - \$15,000
39	Pfizer Inc. (PFE)	Purchase	01/06/2021	\$1,001 - \$15,000
40	AbbVie, Inc. (ABBV)	Sale	02/10/2021	\$1,001 - \$15,000
41	HP, Inc. (HPQ)	Sale	02/10/2021	\$1,001 - \$15,000
42	MetLife, Inc. (MET)	Sale	02/10/2021	\$1,001 - \$15,000
43	The Travelers Cos., Inc. (TRV)	Sale	02/10/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
44	American Electric Power Co., Inc. (AEP)	Sale	02/24/2021	\$15,001 - \$50,000
45	General Mills, Inc. (GIS)	Purchase	02/22/2021	\$15,001 - \$50,000
46	Facebook, Inc. (FB)	Purchase	02/02/2021	\$1,001 - \$15,000
47	Alphabet, Inc. (GOOGL)	Purchase	02/19/2021	\$15,001 - \$50,000
48	Ciena Corp. (CIEN)	Sale	02/19/2021	\$50,001 - \$100,000
49	Evergy, Inc. (EVERG)	Sale	03/22/2021	\$15,001 - \$50,000
50	Vistra Energy Corp. (VST)	Sale	03/22/2021	\$1,001 - \$15,000
51	CenterPoint Energy, Inc. (CNP)	Purchase	03/23/2021	\$15,001 - \$50,000
52	CenterPoint Energy, Inc. (CNP)	Purchase	03/24/2021	\$1,001 - \$15,000
53	CACI International, Inc. (CACI)	Purchase	03/29/2021	\$1,001 - \$15,000
54	Newmont Corp. (NEM)	Purchase	03/29/2021	\$1,001 - \$15,000
55	LKQ Corp. (LKQ)	Purchase	03/29/2021	\$1,001 - \$15,000
56	Progressive Corp. (PGR)	Purchase	03/29/2021	\$1,001 - \$15,000
57	Tapestry, Inc. (TPR)	Purchase	03/29/2021	\$1,001 - \$15,000
58	Verizon Communications, Inc. (VZ)	Purchase	03/29/2021	\$1,001 - \$15,000
59	General Dynamics Corp. (GD)	Purchase	03/18/2021	\$15,001 - \$50,000
60	Gilead Sciences, Inc. (GILD)	Purchase	03/19/2021	\$1,001 - \$15,000
61	Lockheed Martin Corp. (LMT)	Purchase	03/19/2021	\$1,001 - \$15,000
62	Pfizer Inc. (PFE)	Purchase	03/19/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
63	Verizon Communications, Inc. (VZ)	Purchase	03/19/2021	\$1,001 - \$15,000
64	Cardinal Health, Inc. (CAH)	Purchase	04/23/2021	\$15,001 - \$50,000
65	Quest Diagnostics, Inc. (DGX)	Sale	04/21/2021	\$50,001 - \$100,000
66	VF Corp. (VFC)	Purchase	05/03/2021	\$15,001 - \$50,000
67	The Southern Co. (SO)	Sale	05/03/2021	\$15,001 - \$50,000
68	The Coca-Cola Co. (KO)	Purchase	05/03/2021	\$15,001 - \$50,000
69	Honeywell International, Inc. (HON)	Purchase	05/03/2021	\$15,001 - \$50,000
70	Merck & Co., Inc. (MRK)	Purchase	05/04/2021	\$15,001 - \$50,000
71	iShares Core S&P Small-Cap ETF (IJR)	Sale	05/04/2021	\$1,001 - \$15,000
72	First Trust NASDAQ Semiconductor ETF (FTXL)(ira3)	Sale	05/13/2021	\$15,001 - \$50,000
73	eBay, Inc. (EBAY)(brok7)	Sale	05/21/2021	\$15,001 - \$50,000
74	Dave & Buster's Entertainment, Inc. (PLAY)(broko 3)	Sale	05/13/2021	\$15,001 - \$50,000
75	Darden Restaurants, Inc. (DRI)(brok7)	Purchase	05/21/2021	\$50,001 - \$100,000
76	CoreSite Realty Corp. (COR)(brok 6)	Purchase	05/19/2021	\$15,001 - \$50,000
77	Mid-America Apartment Communities, Inc. (MAA)(brok6)	Sale	05/19/2021	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
78	eBay, Inc. (EBAY)(brok7)	Sale	05/20/2021	\$15,001 - \$50,000
79	Affiliated Managers Group, Inc. (AMG)(brok7)	Purchase	05/07/2021	\$1,001 - \$15,000
80	Affiliated Managers Group, Inc. (AMG)(brok7)	Purchase	05/11/2021	\$1,001 - \$15,000
81	Affiliated Managers Group, Inc. (AMG)(brok7)	Purchase	05/06/2021	\$15,001 - \$50,000
82	Affiliated Managers Group, Inc. (AMG)(brok7)	Purchase	05/06/2021	\$1,001 - \$15,000
83	T. Rowe Price Group, Inc. (TROW)(brok7)	Sale	05/04/2021	\$15,001 - \$50,000
84	Alerian MLP ETF (AMLP)(ira3)	Purchase	06/22/2021	\$15,001 - \$50,000
85	McCormick & Co., Inc. (MKC)(brok11)	Purchase	06/04/2021	\$15,001 - \$50,000
86	Baxter International, Inc. (BAX)(brok11)	Purchase	06/04/2021	\$15,001 - \$50,000
87	iShares Core S&P Small-Cap ETF (IJR)(xferbrok11)	Sale	06/04/2021	\$15,001 - \$50,000
88	AT&T (T) (brok11xfer)	Sale	06/04/2021	\$15,001 - \$50,000
89	CVS Health Corp. (CVS) (Brok 6)	Sale	08/31/2021	\$1,001 - \$15,000
90	NetApp, Inc. (NTAP)(brok 6)	Sale	08/31/2021	\$1,001 - \$15,000
91	Life Storage, Inc. (LSI)(brok 6)	Sale	08/31/2021	\$1,001 - \$15,000
92	Chubb Ltd. (CB)(brok 16)	Sale	08/20/2021	\$15,001 - \$50,000
93	Skyworks Solutions, Inc. (SWKS)(brok 16)	Purchase	08/20/2021	\$15,001 - \$50,000
94	Boeing Co (BA)(brok 16)	Sale	08/20/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
95	Corning, Inc. (GLW)(brok 6)	Purchase	08/19/2021	\$15,001 - \$50,000
96	VICI Properties, Inc. (VICI)	Purchase	08/30/2021	\$50,001 - \$100,000
97	Paychex, Inc. (PAYX)(brok 6)	Sale	08/19/2021	\$15,001 - \$50,000
98	Air Products and Chemicals, Inc. (APD)(brok 16)	Purchase	08/20/2021	\$15,001 - \$50,000
99	JPMorgan Chase & Co. (JPM)(brok 14)	Sale	08/18/2021	\$50,001 - \$100,000
100	Global X NASDAQ 100 Covered Call ETF (QYLD)(brok 14)	Purchase	08/18/2021	\$15,001 - \$50,000
101	Invesco S&P 500 Low Volatility ETF (SPLV)	Purchase	08/18/2021	\$15,001 - \$50,000
102	Invesco DWA Momentum ETF (PDP)(brok 14)	Purchase	08/18/2021	\$15,001 - \$50,000
103	Vertex Pharmaceuticals, Inc. (VRTX)	Purchase	09/10/2021	\$50,001 - \$100,000
104	iShares Russell 2000 ETF (IWM) (Brok 15)	Purchase	10/14/2021	\$100,001 - \$250,000
105	Trimble, Inc. (TRMB)(IRA#3)	Purchase	10/14/2021	\$15,001 - \$50,000
106	AT&T (T) (brok6)	Purchase	10/13/2021	\$15,001 - \$50,000
107	Cardinal Health, Inc. (CAH)(brok 6)	Sale	10/13/2021	\$15,001 - \$50,000
108	Vanguard Short-Term Corporate Bond Index Fund ETF Class Shares (VCSH) (IRA3)	Sale	10/05/2021	\$15,001 - \$50,000
109	Natera, Inc. (NTRA)(Brok 3)	Sale	11/23/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
110	AMDOCS Limited (DOX)(brok6)	Purchase	11/18/2021	\$50,001 - \$100,000
111	Lockheed Martin Corp. (brok 7)(LMT)	Sale	11/23/2021	\$15,001 - \$50,000
112	Trimble, Inc. (TRMB)(ira 3)	Sale	11/10/2021	\$15,001 - \$50,000
113	Lumentum Holdings, Inc. (brok 7)(LITE)	Purchase	11/23/2021	\$15,001 - \$50,000
114	Medtronic Plc (MDT)(brok 15)	Sale	11/12/2021	\$1,001 - \$15,000
115	Newmont Corp. (NEM)(brok 7)	Sale	11/05/2021	\$15,001 - \$50,000
116	Kyndryl Holdings, Inc. (KD)(brok 6)	Sale	11/18/2021	\$1,001 - \$15,000
117	AT&T Inc (T)(brok6)	Sale	11/18/2021	\$15,001 - \$50,000
118	Organon & Co. (OGN)(brok 16)	Sale	11/04/2021	\$1,001 - \$15,000
119	Intel Corp. (INTC)(brok 16)	Sale	11/04/2021	\$50,001 - \$100,000
120	Ecolab, Inc. (ECL)(brok 16)	Purchase	11/04/2021	\$15,001 - \$50,000
121	Comcast Corp. (CMCSA)(brok 16)	Purchase	11/04/2021	\$15,001 - \$50,000
122	Cisco Systems, Inc. (CSCO)(brok 16)	Purchase	11/04/2021	\$15,001 - \$50,000
123	DuPont de Nemours, Inc. (DD)(brok 16)	Purchase	11/04/2021	\$15,001 - \$50,000
124	VICI Properties, Inc. (VICI)(broko 6)	Sale	12/22/2021	\$15,001 - \$50,000
125	Newmont Corp. (NEM)(broko 7)	Purchase	12/08/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
126	Corning, Inc. (GLW)(broko6)	Sale	12/22/2021	\$15,001 - \$50,000
127	DoubleLine Income Solutions Fund (DSL)	Sale	12/31/2020	\$15,001 - \$50,000
128	Eaton Vance Limited Duration Income Fund (EVV)	Sale	12/31/2020	\$1,001 - \$15,000
129	Hudson Bay Fund (1HBIF)	Purchase	02/01/2021	\$500,001 - \$1,000,000
130	First Trust Morningstar Dividend Leaders Index Fund (FDL)	Sale	12/31/2020	\$50,001 - \$100,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	2.3	No ticker symbol associated with this asset under a Morgan Stanley 401(k) plan.
2.	3.2	Name reported is exactly as provided in the account statement and no ticker symbol was provided.

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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's 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 (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

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

6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received 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 in income was received). 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 the 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 \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 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 \$166 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

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

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