

# Executive Branch Personnel

## Public Financial Disclosure Report (OGE Form 278e)

### Filer's Information

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Aponte, Mari C

U.S. Ambassador to the Republic of Panama, Department of State

Report Year: 2023

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Aponte, Mari C [electronically signed on 05/10/2023 by Aponte, Mari C in Integrity.gov]

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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/ Hampton, Tommye L, Certifying Official [electronically signed on 05/31/2023 by Hampton, Tommye L in Integrity.gov]

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Other review conducted by

/s/ Hampton, Tommye L, Ethics Official [electronically signed on 05/31/2023 by Hampton, Tommye L in Integrity.gov]

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U.S. Office of Government Ethics Certification

Data Revised 08/07/2023

Data Revised 07/27/2023

Data Revised 07/11/2023

Data Revised 06/27/2023

Data Revised 06/26/2023

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## 1. Filer's Positions Held Outside United States Government

| # | ORGANIZATION NAME                         | CITY, STATE                      | ORGANIZATION TYPE  | POSITION HELD                                   | FROM   | TO     |
|---|---|----------------------------------|--------------------|---|--------|--------|
| 1 | College of William and Mary               | Williamsburg, Virginia           | University/College | Member of Board of Visitors                     | 7/2019 | 9/2022 |
| 2 | International Association of Women Judges | Washington, District of Columbia | Non-Profit         | Member of the Management Board of Directors     | 7/2018 | 9/2022 |
| 3 | International Senior Lawyers Project      | New York, New York               | Non-Profit         | Member, Executive Committee, Board of Directors | 9/2017 | 9/2022 |
| 4 | Community Capital Corporation             | Washington, District of Columbia | Non-Profit         | Chair, Board of Directors                       | 6/2018 | 9/2022 |
| 5 | Family Member Estate                      | Springfield, Virginia            | Estate             | Co-Executrix                                    | 9/2018 | 8/2022 |
| 6 | Family Member Trust                       | Springfield, Virginia            | Trust              | Co-Trustee                                      | 9/2018 | 8/2022 |

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

None

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## 3. Filer's Employment Agreements and Arrangements

None

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

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

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

None

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#### 6. Other Assets and Income

| # | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE   | INCOME AMOUNT             |
|---|---|-----|-----------------------------|---------------|---------------------------|
| 1 | Abbott Laboratories (ABT)   | N/A | None (or less than \$1,001) | Capital Gains | \$100,001 - \$1,000,000   |
| 2 | AMERICAN EQUITY INVESTMENT LIFE HLDG CO 5.95% - A PFD Cusip 025676503   | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 3 | American Equity Investment Life Holding Co 6.625% -B PFDCusip 025676602 | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 4 | AGNC Investment Corp. 06.875% PFD Series-D Cusip 00123Q609              | N/A | \$1,001 - \$15,000          |               | None (or less than \$201) |
| 5 | AGNC Investment Corp. CUM 1/1000 7% PFD SeriesC Cusip 00123Q500         | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 6 | AGNC Investment Corp 6.50% PFD SER-E Cusip 00123Q807                    | N/A | None (or less than \$1,001) |               | \$201 - \$1,000           |
| 7 | AGNC Investment Co. 6.125% PFD SER-F Cusip 00123Q872                    | N/A | None (or less than \$1,001) |               | \$201 - \$1,000           |
| 8 | Aspen Insurance HLDG 5.95% PFD Cusip G05384154                          | N/A | None (or less than \$1,001) |               | None (or less than \$201) |

| #  | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|----|---|-----|-----------------------------|-------------|---------------------------|
| 9  | Aspen Insurance Holdings 5.625% PFD Cusip G05384162               | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 10 | Aspen Insurance Holdings 5.625% PFD Cusip G05384204               | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 11 | Air Lease Corp.Nom Cum PFD A Cusip 00912X500                      | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 12 | Allstate Corp (ALL) 5.100 H PFD cusip 020002838                   | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 13 | Athene Holding Ltd. (ATH) 6.35% PFD SER A cusip G0684D305         | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 14 | Athene Holding Ltd. (ATH) 5.625% PFD SER-B cusip 04686J200        | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 15 | Athene Holding Ltd. 6.375% PFD serie C cusip 04686J309            | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 16 | Atlantic Union Bankshares Corp. 6.875%. PFD Ser-A cusip 04911A206 | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 17 | AXIS Capital Holdings Ltd.5.5% PFD Ser-E cusip 05461T305          | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 18 | Bank of America Corp. (BAC) 6%-PFD Ser GG cusip 060505229         | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 19 | Bank of America Corp. (BAC) 5.875% PFD SER-HH cusip 060505195     | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 20 | Bank of America 7.25% PFD Ser-L cusip 060505682                   | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 21 | Bank of America CO 5.00% PFD SER -LL cusip 06055H202              | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 22 | Bank of America COR 4.375% PFD SER-NN cusip 06055H400             | N/A | None (or less than \$1,001) |             | None (or less than \$201) |

| #  | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE   | INCOME AMOUNT             |
|----|---|-----|-----------------------------|---------------|---------------------------|
| 23 | Brookfield Finance I UK 4.50% Sub Note cusip 11272B103            | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 24 | Bristol-Myers Squibb (BMY) CO                                     | N/A | None (or less than \$1,001) | Capital Gains | \$50,001 - \$100,000      |
| 25 | Citigroup INC 7.125% PFD Ser-J cusip 172967358                    | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 26 | Citigroup, Inc. (C) 6.875% PFD Ser-K cusip 172967341              | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 27 | CITIZENS FINANCIAL GROUP 6.35% PFD Ser-D cusip 174610204          | N/A | \$1,001 - \$15,000          |               | None (or less than \$201) |
| 28 | CHS INC. 7.50% PFD CL B cusip 12542R803                           | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 29 | CHS INC. 6.75% PFD Class B cusip 12542R704                        | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 30 | CHS INC 7.10% PFD CL B cusip 12542R506                            | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 31 | CAPITAL ONE FINANCIAL CO 6% PFD Ser-H cusip 14040H840             | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 32 | CAPITAL ONE FINANCIAL 5% PRF Ser-I cusip 14040H824                | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 33 | Digital Realty Trust, Inc. (DLR) 5.850% PFD Ser-K cusip 253868830 | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 34 | Digital Realty TST INC 5.20% PFD SER-L cusip 253868822            | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 35 | Equitable HLDGS DEP RP PFD A cusip 29452E200                      | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 36 | Enstar Group Ltd. 7% PFD Ser-D cusip 29359U109                    | N/A | None (or less than \$1,001) |               | None (or less than \$201) |

| #  | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|----|---|-----|-----------------------------|-------------|---------------------------|
| 37 | Fifth Third Bancorp (FITB) 6.625% PFD Ser-I cusip 316773605   | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 38 | FNB CORP Corp 7.25% PFD cusip 30255P103                       | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 39 | Farmland Partners, Inc. (FPI-B) 6% PFD Ser-B cusip 31154R208  | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 40 | First Republic Bank 4.125% PFDK cusip 33616C761               | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 41 | The Goldman Sachs GROUP INC 5.5%. PFD Ser-J cusip 38145G308   | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 42 | The Goldman Sachs Group, Inc. 6.37% PFD Ser-K cusip 38148B108 | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 43 | Huntington Bancshares 6.25% PFD Ser-D cusip 446150708         | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 44 | The Home Depot, Inc. (HD) cusip 437076102                     | N/A | \$250,001 - \$500,000       | Dividends   | \$5,001 - \$15,000        |
| 45 | JPMorgan Chase & Co. (JPM) 4.625% PFD Ser-LL cusip 48128B549  | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 46 | KeyCorp (KEY) 6.125% PFD Serie E cusip 493267702              | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 47 | Merck & Co Inc cusip 58933Y105                                | N/A | None (or less than \$1,001) | Dividends   | \$2,501 - \$5,000         |
| 48 | Morgan Stanley 6.875% PFD Ser-F cusip 61763E207               | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 49 | Morgan Stanley 7.125% PFD Ser-E cusip 61762V200               | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 50 | Morgan Stanley 6.375% PFD Ser-I cusip 61761J406               | N/A | None (or less than \$1,001) | Dividends   | \$201 - \$1,000           |

| #  | DESCRIPTION  | EIF | VALUE                       | INCOME TYPE   | INCOME AMOUNT             |
|----|--|-----|-----------------------------|---------------|---------------------------|
| 51 | Morgan Stanley 5.85% PFD Ser-K cusip 61762V606                             | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 52 | NiSource, Inc. (NI) 6.5% PFD cusip 65473P881                               | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 53 | Annaly Capital Management, Inc. (NLY)6.95% PFD Ser-F cusip 035710870       | N/A | \$1,001 - \$15,000          |               | None (or less than \$201) |
| 54 | ANNALY CAP MGMT INC PFD SER I cuisip 035710847                             | N/A | \$1,001 - \$15,000          |               | None (or less than \$201) |
| 55 | NEW YORK CMNTY BANCORP INC 6.375% PFD SER-A cusip 649445202                | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 56 | ORGANON & CO cusip 68622V106   | N/A | None (or less than \$1,001) | Capital Gains | \$2,501 - \$5,000         |
| 57 | People's United Financial, Inc. (PBCT) 5.625% PFD-SER-A cusip 712704204    | N/A | \$1,001 - \$15,000          |               | None (or less than \$201) |
| 58 | PepsiCo, Inc. (PEP) cusip 713448108  | N/A | None (or less than \$1,001) | Capital Gains | \$100,001 - \$1,000,000   |
| 59 | Pfizer Inc. (PFE) cusip 717081103  | N/A | None (or less than \$1,001) | Capital Gains | \$100,001 - \$1,000,000   |
| 60 | The PNC Financial 6.125% PFD cusip 693475857                               | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 61 | Pinnacle Financial Partners, Inc. (PNFP) 6.75% PFD Ser-B cusip 72346Q302   | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 62 | PUBLIC STORAGE 4.00% PFD SER-P cusip 74460W461                             | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 63 | Regions Financial Corp. (RF) 6.375% PFD Ser-B cusip 7591EP506              | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 64 | Signature Bank (New York, New York) (SBNY) 5,00% PFD Ser A cusip 82669G203 | N/A | None (or less than \$1,001) |               | None (or less than \$201) |

| #  | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE   | INCOME AMOUNT             |
|----|---|-----|-----------------------------|---------------|---------------------------|
| 65 | SCE TRUST V 5.45% PFD Ser-K cusip 78409W201                   | N/A | None (or less than \$1,001) | Dividends     | \$201 - \$1,000           |
| 66 | Stifel Financial Corp. (SF) 6.25% PFD Ser-A cusip 860630409   | N/A | \$1,001 - \$15,000          |               | None (or less than \$201) |
| 67 | STATE ST CO 5.90% PFD Ser-d cusip 857477608                   | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 68 | STATE ST CORP 5.350% PFD Ser- G cusip 857477855               | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 69 | AT&T 4.750% PFD Ser-C cusip 00206R706                         | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 70 | TRUIST FINANCIAL CORP 5.25% PFD Ser-O cusip 89832Q745         | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 71 | TRUIST FINANCIAL CORP 4.75% PFD SER-R cusip 89832Q695         | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 72 | U.S. Bancorp (USB) 4.00% PFD SER-M cusip 902973718            | N/A | \$1,001 - \$15,000          |               | None (or less than \$201) |
| 73 | Valley National Bancorp (VLY) 6.25% PFD SER-A cusip 919794206 | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 74 | VIATRIS INC cusip 92556V106                                   | N/A | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500         |
| 75 | Wells Fargo & Co 4.70% PFD CL A cusip 94988U128               | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 76 | Wells Fargo & Co. 7.5% PFD CL A cusip 949746804               | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 77 | Wells Fargo & Co 5.85% PFD Ser-Q cusip 949746556              | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 78 | WELLS FARGO &CO 6.625% PFD Ser- R cusip 949746465             | N/A | None (or less than \$1,001) |               | None (or less than \$201) |

| #  | DESCRIPTION  | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|----|--|-----|-----------------------------|-------------|---------------------------|
| 79 | WELLS FARGO & CO 5.5% PFD SER-X<br>cusip 94988U672                     | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 80 | WELLS FARGO & CO 4.75% PFD SER-Z<br>cusip 94988U151                    | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 81 | Wintrust Financial Corp. (WTFC) cusip<br>97650W405                     | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 82 | Wintrust Financial Corp. (WTFC) 6.875% PFD<br>Ser E cusip 97650W504    | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 83 | Zions Bancorporation NA (ZION) 6.3000%<br>PFD SER S G cusip 989701859  | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 84 | ISHARES INC MSCI JAPAN ETF cusip<br>46434G822                          | Yes | None (or less than \$1,001) |             | None (or less than \$201) |
| 85 | ISHARES S&P MIDCAP 400 INDEX cusip<br>464287507                        | Yes | \$100,001 - \$250,000       |             | \$1,001 - \$2,500         |
| 86 | iShares Preferred and Income Securities ETF<br>(PFF)cusip 464288687    | Yes | None (or less than \$1,001) |             | \$201 - \$1,000           |
| 87 | SPDR Portfolio Short Term Corporate Bond<br>ETF (SPSB) cusip 78464A474 | Yes | None (or less than \$1,001) |             | \$201 - \$1,000           |
| 88 | iShares TIPS Bond ETF (TIP) cusip<br>464287176                         | Yes | None (or less than \$1,001) |             | None (or less than \$201) |
| 89 | VANGUARD FTSE EUROPE ETF cusip<br>922042874                            | Yes | \$100,001 - \$250,000       |             | \$1,001 - \$2,500         |
| 90 | BlackRock Low Duration Bond Fund INST<br>cusip 09260B465               | Yes | \$250,001 - \$500,000       |             | \$5,001 - \$15,000        |
| 91 | Eaton Vance Income Fund of Boston I cusip<br>277907200                 | Yes | None (or less than \$1,001) |             | \$1,001 - \$2,500         |
| 92 | INVESCO CONSERVATIVE INCOME FUND<br>INST cusip 46134M103               | Yes | None (or less than \$1,001) |             | None (or less than \$201) |

| #   | DESCRIPTION   | EIF | VALUE                          | INCOME TYPE | INCOME AMOUNT                |
|-----|---|-----|--------------------------------|-------------|------------------------------|
| 93  | JP MORGAN EMERGING MKTS EQ I cusip<br>4812A0623                           | Yes | \$100,001 -<br>\$250,000       |             | None (or less<br>than \$201) |
| 94  | LORD ABBETT SHT DURATION INCOME<br>FUND cusip 543916464                   | Yes | \$250,001 -<br>\$500,000       |             | \$5,001 - \$15,000           |
| 95  | BLACKROCK TOTAL RETURN FUND I cusip<br>09252M883                          | Yes | None (or less<br>than \$1,001) |             | \$2,501 - \$5,000            |
| 96  | PIMCO MORTGAGE OPP & BD I2 cusip<br>72201U646                             | Yes | None (or less<br>than \$1,001) |             | \$1,001 - \$2,500            |
| 97  | PUTNAM ULTRA SHT DUR INCOME FUND<br>Y cusip 74676P698                     | Yes | \$500,001 -<br>\$1,000,000     |             | \$2,501 - \$5,000            |
| 98  | TCW Total Return Bond I cusip 87234N880                                   | Yes | None (or less<br>than \$1,001) |             | \$1,001 - \$2,500            |
| 99  | WESTERN ASSETS CORE BD I cusip<br>957663305                               | Yes | None (or less<br>than \$1,001) |             | \$1,001 - \$2,500            |
| 100 | Assurant, Inc. 5.25% Sub Note cusip<br>04621X306                          | N/A | None (or less<br>than \$1,001) |             | None (or less<br>than \$201) |
| 101 | Allstate Corp 5.1% Fix 2 01/20/23 Sub<br>Debentures cusip 020002309       | N/A | None (or less<br>than \$1,001) |             | None (or less<br>than \$201) |
| 102 | GMAC CAP TRUST I 8,125% PFD Ser-2<br>cusip 361860208                      | N/A | \$1,001 - \$15,000             | Interest    | \$201 - \$1,000              |
| 103 | ALGONQUIN POWER & UTILITIES CORP<br>6.875%-A Sub Note cusip 015857709     | N/A | None (or less<br>than \$1,001) |             | None (or less<br>than \$201) |
| 104 | ALGONQUIN PWR & UTILS CORP A Sub<br>Note cusip 015857808                  | N/A | None (or less<br>than \$1,001) |             | None (or less<br>than \$201) |
| 105 | BROOKFIELD FIN INC 4.625% Sub Notes<br>SER-50 cusip 11271L102             | N/A | None (or less<br>than \$1,001) |             | None (or less<br>than \$201) |
| 106 | BROOKFIELD INFRASTRUCTURE<br>PARTNERS ULC 5% Sub Notes cusip<br>11276B109 | N/A | None (or less<br>than \$1,001) |             | None (or less<br>than \$201) |

| #   | DESCRIPTION  | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|-----|--|-----|-----------------------------|-------------|---------------------------|
| 107 | Citigroup Capital XIII 7.875% PFD cusip 173080201                    | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 108 | CARLYLE FIN LLLC 4.625% Sub Notes cusip 14314C105                    | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 109 | CMS Energy Corp. (CMS) 5.875% Sub Notes cusip 125896845              | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 110 | ENBRIDGE INC 6.375%-B Sub Notes cusip 29250N477                      | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 111 | Affiliated Managers Group, Inc. (AMG)5.875% Sub Note cusip 008252850 | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 112 | Prudential Financial, Inc. (PRU) cusip 744320888                     | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 113 | Reinsurance Group of America, Inc. (RGA) cusip 759351703             | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 114 | Reinsurance Group of America cusip 759351802                         | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 115 | The Southern Co. (SO) 4.95% Sub Notes SER- A cusip 842587800         | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 116 | The Southern Co. (SO)4.20% Sub Notes cusip 842587883                 | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 117 | ALAMO TX CMNTY COLLEGE DIST SENIOR LIEN REV cusip 011420LU8          | N/A | None (or less than \$1,001) | Interest    | \$201 - \$1,000           |
| 118 | ARIZONA ST TRANSN BRD HWY REV REF Bond cusip 040654WS0               | N/A | None (or less than \$1,001) | Interest    | \$201 - \$1,000           |
| 119 | AUSTIN TEX PUB IMPT GENL OBLIG Bond cusip 052397PH3                  | N/A | \$1,001 - \$15,000          | Interest    | \$201 - \$1,000           |
| 120 | BREVARD COUNTY FLA SCH BRD CTSF PARTN BOND cusip 107431LB2           | N/A | None (or less than \$1,001) | Interest    | \$1,001 - \$2,500         |

| #   | DESCRIPTION  | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|-----|--|-----|-----------------------------|-------------|---------------------------|
| 121 | CLARK CNTY NEV GENL OBLIG BOND<br>cusip 180848YX5                  | N/A | None (or less than \$1,001) | Interest    | \$1,001 - \$2,500         |
| 122 | COLUMBIA S C WTRWKS & SWR SYS REV-A BOND<br>cusip 198504Z14        | N/A | None (or less than \$1,001) | Interest    | \$201 - \$1,000           |
| 123 | COLUMBUS OHIO VAR PURP RGENL OBLIG REF-2 BOND<br>cusip 199492QE2   | N/A | None (or less than \$1,001) | Interest    | \$201 - \$1,000           |
| 124 | LEE CNTY FLA TOURIST DEV TAX REV REF-A BOND<br>cusip 523520CY8     | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 125 | LUBBROCK TEX BOND<br>cusip 549188M49                               | N/A | None (or less than \$1,001) | Interest    | \$201 - \$1,000           |
| 126 | MASSACHUSETTS ST TRANSN FD REV BOND<br>cusip 57604TEZ5             | N/A | None (or less than \$1,001) | Interest    | \$1,001 - \$2,500         |
| 127 | MUNCIE IND SAN DIST REV REF-A BOND<br>cusip 625847FR4              | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 128 | NEW YORK ST URBAN DEV CORP REV BOND<br>cusip 6500356R4             | N/A | \$1,001 - \$15,000          | Interest    | \$201 - \$1,000           |
| 129 | OHIO ST SCH GENL OLBIG SER-A BOND<br>cusip 677522ZD9               | N/A | None (or less than \$1,001) | Interest    | \$201 - \$1,000           |
| 130 | OMAHA NEB VAR PURP GENL OBLIG REF BOND<br>cusip 6817125Q4          | N/A | None (or less than \$1,001) | Interest    | \$201 - \$1,000           |
| 131 | PIMA CNTY ARIZ CMNTY COLLEGE DIST REV BOND<br>cusip 721666CA1      | N/A | None (or less than \$1,001) | Interest    | \$201 - \$1,000           |
| 132 | PUERTO RICO COMWLTH HWY& TRANS AUTH HW BOND<br>cusip 745181P27     | N/A | \$50,001 - \$100,000        | Interest    | \$2,501 - \$5,000         |
| 133 | SEMINOLE CNTY FLA SCH BRD CTFSPARTN COPS R BOND<br>cusip 816692MB0 | N/A | None (or less than \$1,001) | Interest    | \$1,001 - \$2,500         |
| 134 | TEXAS ST BOND<br>cusip 8827237D5                                   | N/A | None (or less than \$1,001) | Interest    | \$201 - \$1,000           |

| #   | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|-----|---|-----|-----------------------------|-------------|---------------------------|
| 135 | UNIVERSITY DEL REV-A BOND cusip 91425MDK0                                   | N/A | \$1,001 - \$15,000          | Interest    | \$201 - \$1,000           |
| 136 | UNIVERSITY TEX UNIV REVS ID 06-01-19 BOND cusip 91514AJM8                   | N/A | None (or less than \$1,001) | Interest    | \$1,001 - \$2,500         |
| 137 | WASHINGTON CNTY ORE REF BOND cusip 938234RM5                                | N/A | \$15,001 - \$50,000         | Interest    | \$1,001 - \$2,500         |
| 138 | WASHINGTON ST GENL OBLIG REF R-2013C BOND cusip 93974C8G8                   | N/A | None (or less than \$1,001) | Interest    | \$201 - \$1,000           |
| 139 | WISCONSIN HSG & ECONOMIC DEV AUTH HOME BOND cusip 97689QPB6                 | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 140 | WISCONSIN HSG & ECONOMIC DEV AUTH HOME BOND cusip 97689QLE4                 | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 141 | U.S. Brokerage money market account (cash)                                  | N/A | \$100,001 - \$250,000       | Interest    | None (or less than \$201) |
| 142 | Muzinich Credit Opportunities Fund Supra Institutional Class Shares (MZCSX) | Yes | \$500,001 - \$1,000,000     |             | \$5,001 - \$15,000        |
| 143 | JPMorgan Floating Rate Income Fund Class I                                  | Yes | \$500,001 - \$1,000,000     |             | \$15,001 - \$50,000       |
| 144 | U.S. bank # 1 (cash)  | N/A | \$50,001 - \$100,000        |             | None (or less than \$201) |
| 145 | U.S. bank # 2 (cash)  | N/A | \$50,001 - \$100,000        |             | None (or less than \$201) |
| 146 | Blackstone Real Estate Income Trust, Inc (BREIT)                            | N/A | \$100,001 - \$250,000       | Dividends   | \$5,001 - \$15,000        |
| 147 | Resolute Fund II SIE, LP  | Yes | \$50,001 - \$100,000        |             | \$50,001 - \$100,000      |
| 148 | Resolute IV LP  | Yes | \$500,001 - \$1,000,000     |             | \$5,001 - \$15,000        |

| #   | DESCRIPTION   | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|-----|---|-----|-----------------------------|-------------|---------------------------|
| 149 | Siguler Guff Bric Opportunities   | Yes | \$50,001 - \$100,000        |             | \$15,001 - \$50,000       |
| 150 | Fund A LP   | Yes | \$250,001 - \$500,000       |             | None (or less than \$201) |
| 151 | MS Direct Lending Fund Cusip 9867689Q4                                    | Yes | \$50,001 - \$100,000        |             | \$1,001 - \$2,500         |
| 152 | Putnam Ultra Short Duration Income Fund Class Y Shares (PSDYX)            | Yes | None (or less than \$1,001) |             | \$201 - \$1,000           |
| 153 | The Home Depot, Inc. (HD)   | N/A | \$250,001 - \$500,000       | Dividends   | \$15,001 - \$50,000       |
| 154 | John Hancock Whole Life Insurance   | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 155 | Miami Dade Revenue Bond health trust                                      | N/A | None (or less than \$1,001) | Interest    | \$201 - \$1,000           |
| 156 | American Homes 4 Rent (AMH) 5.875%-F                                      |     | None (or less than \$1,001) |             | None (or less than \$201) |
| 157 | BIP Bermuda Holdings I Limited 5.125% Perpetual Subordinated Notes (BIPI) |     | None (or less than \$1,001) |             | None (or less than \$201) |
| 158 | Capital One Financial Corp. (COF) 4.80%-J                                 |     | None (or less than \$1,001) |             | None (or less than \$201) |
| 159 | District Colum BE 5.00% *35MH01   |     | None (or less than \$1,001) |             | None (or less than \$201) |
| 160 | FIRST REP BK SAN FCO CAL 4.5 %  |     | None (or less than \$1,001) |             | None (or less than \$201) |
| 161 | FIRST REPUBLIC BANK 4.0% SER-M  |     | None (or less than \$1,001) |             | None (or less than \$201) |
| 162 | FORD MTR CO DEL 6500 62AU15   |     | None (or less than \$1,001) |             | None (or less than \$201) |

| #   | DESCRIPTION  | EIF | VALUE                       | INCOME TYPE   | INCOME AMOUNT             |
|-----|--|-----|-----------------------------|---------------|---------------------------|
| 163 | HARRIS CNTY TE BE 4000 *34AU15   |     | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000           |
| 164 | HONOLULU HAWAI BE 5000 *34JL01   |     | None (or less than \$1,001) | Capital Gains | \$1,001 - \$2,500         |
| 165 | HUDSON PAC PPTYS INC 4.750%  |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 166 | HUNTINGTON BANCSHAR 4.5%SER-H  |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 167 | KANSAS ST DEV BE 4000 *33AP01  |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 168 | KEMPER CORP 5875 *62MH15   |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 169 | KKR Group Finance Co. IX LLC 4.625% Subordinated Notes due 2061 (KKRS) |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 170 | LINCOLN NATL CP IND 9% DEP PFD   |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 171 | MORGAN STANLEY 6.5% DP SH PFD  |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 172 | NUSTAR LOGISTICS 10813 *43JA15   |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 173 | PACWEST BANCORP DEL RT PFD A   |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 174 | PUBLIC STORAGE 4% DEP PFD R  |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 175 | QWEST CORPORATION 6500 *56SP01   |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 176 | SEMPRA ENERGY 5750 *79JL01   |     | None (or less than \$1,001) |               | None (or less than \$201) |

| #   | DESCRIPTION                          | EIF | VALUE                       | INCOME TYPE   | INCOME AMOUNT             |
|-----|--------------------------------------|-----|-----------------------------|---------------|---------------------------|
| 177 | SOUTH BROWARD BE 3000 *37MY01        |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 178 | UNITED STATES CEL 5500 *70JN01       |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 179 | UNITED STATES CEL 5500 *70MH01       |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 180 | US BANCORP-F 6.5% FLTS 1/15/22       |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 181 | VORNADO REALTY TR 5.25% SER-N        |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 182 | WASHINGTON FED 4.875% SER-A          |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 183 | WELLS FARGO & COM 4.25% SER-DD       | N/A | None (or less than \$1,001) |               | None (or less than \$201) |
| 184 | WISCONSIN ST BE 5000 *37MY01         |     | None (or less than \$1,001) | Capital Gains | \$201 - \$1,000           |
| 185 | AFFILIATED 4750 *60SP30              |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 186 | Merck & Co Inc New Com               |     | None (or less than \$1,001) | Capital Gains | \$100,001 - \$1,000,000   |
| 187 | Jpmorgan Chase & C 4.55 Ser-JJ       |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 188 | Jpmorgan Chase & Co 5.75-Dd          |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 189 | JpMorgan Chase & Co 6.0% S-Ee        |     | None (or less than \$1,001) |               | None (or less than \$201) |
| 190 | M & T Bk Corp Fix to Flt Pfd A 4.25% |     | None (or less than \$1,001) |               | None (or less than \$201) |

| #   | DESCRIPTION                    | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|-----|--------------------------------|-----|-----------------------------|-------------|---------------------------|
| 191 | Wesco Intl Inc Dp Sh Fxrt Pfd  |     | None (or less than \$1,001) |             | None (or less than \$201) |
| 192 | Western All Bancor Pfd A 4.25% |     | None (or less than \$1,001) |             | None (or less than \$201) |

## 7. Transactions

| #  | DESCRIPTION   | TYPE                 | DATE       | AMOUNT              |
|----|---|----------------------|------------|---------------------|
| 1  | OMAHA NEB VAR PURP GENL OBLIG REF Bond cusip 6817125Q4    | Sale                 | 12/09/2022 | \$15,001 - \$50,000 |
| 2  | KANSAS ST DEV FIN AUTH REV REF-D Bond cusip 48542RVC5     | Purchase             | 12/09/2022 | \$15,001 - \$50,000 |
| 3  | Texas St Bond cusip 8827237D5                             | Sale                 | 11/14/2022 | \$1,001 - \$15,000  |
| 4  | WISCONSIN ST GENL OBLIG REF Bond cusip 97705MYK5          | Purchase             | 10/24/2022 | \$15,001 - \$50,000 |
| 5  | UNIVERSITY TEX UNIV REVS ID 06-01-19 Bond cusip 91514AJM8 | Sale                 | 10/24/2022 | \$15,001 - \$50,000 |
| 6  | HONOLULU HAWAII CITY & CNTY Bond cusip 438687MU6          | Purchase             | 10/19/2022 | \$15,001 - \$50,000 |
| 7  | CLARK CNTY NEV GENL OBLIG BOND cusip 180848YX5            | Sale                 | 10/19/2022 | \$15,001 - \$50,000 |
| 8  | ATHENE HOLDING LTD 7.75% cusip ATHLL                      | Purchase             | 12/12/2022 | \$1,001 - \$15,000  |
| 9  | LINCOLN NATL CP IND 9% DEP PFD cusip LNC.D                | Purchase             | 12/06/2022 | \$1,001 - \$15,000  |
| 10 | JPMORGAN CHASE & CO 4.625%-LL 304M8V68 JPM.L              | See Endnote Purchase | 11/02/2022 | \$1,001 - \$15,000  |
| 11 | PNC FINL-P 6.849% FLTS 5/01/22 693475857                  | Sale                 | 11/02/2022 | \$1,001 - \$15,000  |

| #  | DESCRIPTION                                      | TYPE     | DATE       | AMOUNT                   |
|----|--|----------|------------|--------------------------|
| 12 | BK OF AMERICA CO 5.875% SER-HH<br>34797398 BAC.K | Sale     | 12/13/2022 | \$1,001 - \$15,000       |
| 13 | REINSURANCE GRP OF AMERICA INCNT<br>28010J21 RZC | Purchase | 10/12/2022 | \$1,001 - \$15,000       |
| 14 | Abbott Laboratories                              | Sale     | 12/20/2022 | \$250,001 -<br>\$500,000 |
| 15 | Bristol Myers Squibb Co                          | Sale     | 12/20/2022 | \$100,001 -<br>\$250,000 |
| 16 | Ishares Inc Msci Japan Etf                       | Sale     | 12/20/2022 | \$15,001 -<br>\$50,000   |
| 17 | Merck & Co Inc New Com                           | Sale     | 12/20/2022 | \$100,001 -<br>\$250,000 |
| 18 | Organon & Co                                     | Sale     | 12/20/2022 | \$1,001 - \$15,000       |
| 19 | Pepsico Inc Nc                                   | Sale     | 12/20/2022 | \$100,001 -<br>\$250,000 |
| 20 | Pfizer Inc                                       | Sale     | 12/20/2022 | \$100,001 -<br>\$250,000 |
| 21 | Viatis Inc                                       | Sale     | 12/20/2022 | \$1,001 - \$15,000       |
| 22 | At&T Inc 4.750% Ser-C                            | Sale     | 12/20/2022 | \$1,001 - \$15,000       |
| 23 | At&T Inc 4.750% Ser-C                            | Sale     | 12/20/2022 | \$1,001 - \$15,000       |
| 24 | Bk Of America Co 5.875% Ser-Hh                   | Sale     | 12/20/2022 | \$1,001 - \$15,000       |
| 25 | Bank Of America Corp 6%-Gg                       | Sale     | 12/20/2022 | \$1,001 - \$15,000       |
| 26 | Bank Amer 7.2500 Sers L                          | Sale     | 12/20/2022 | \$1,001 - \$15,000       |
| 27 | Bank Of America Co 5.00 Ser LI                   | Sale     | 12/20/2022 | \$1,001 - \$15,000       |
| 28 | Bank Of America Cor 4.375%-Nn                    | Sale     | 12/20/2022 | \$1,001 - \$15,000       |
| 29 | Chs Inc  | Sale     | 12/20/2022 | \$1,001 - \$15,000       |

| #  | DESCRIPTION                    | TYPE | DATE       | AMOUNT             |
|----|--------------------------------|------|------------|--------------------|
| 30 | Chs Inc                        | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 31 | Chs Inc/Red Pfd Cl B S 4       | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 32 | Capital One Financial 5%-I Prf | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 33 | Citigroup Inc 6.875%-K         | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 34 | Citigrp Inc 7.125%-J           | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 35 | Goldman Sachs Grp Inc 5.50%-J  | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 36 | Goldman Sachs Grp Inc 6.375%-K | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 37 | Jpmorgan Chase & Co 4.625%-LI  | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 38 | Jpmorgan Chase & Co 4.625%-LI  | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 39 | Wells Fargo 7.5 Non-Cum Cl A   | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 40 | Wells Fargo & Co 4.75% Ser-Z   | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 41 | Wells Fargo & Com 4.25% Ser-Dd | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 42 | Wells Fargo & Company 6.625%-R | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 43 | Wells Fargo Co Dep Pfd 4.7 C-A | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 44 | Wells Fargo 5.85-Q Fixd-To-Flt | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 45 | Wells Fargo 7.5 Non-Cum Cl A   | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 46 | Citigroup Capt 10784 *40Oc30   | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 47 | Citigroup Capt 10784 *40Oc30   | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 48 | Athene Holding Ltd 7.75%Dp Rt  | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 49 | Ford Mtr Co Del 6500 62Au15    | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 50 | Lincoln Natl Cp Ind 9% Dep Pfd | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 51 | Morgan Stanley 6.5% Dp Sh Pfd  | Sale | 12/20/2022 | \$1,001 - \$15,000 |

| #  | DESCRIPTION                    | TYPE | DATE       | AMOUNT             |
|----|--------------------------------|------|------------|--------------------|
| 52 | Pacwest Bancorp Del Rt Pfd A   | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 53 | Reinsurance Grp 7125 52Oc15    | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 54 | Affiliated Manage 5875 *59Mh30 | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 55 | Agnc Invmnt Co 6.125% Ser-F    | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 56 | Agnc Invt Corp Cum 1/1000 9% C | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 57 | Air Lease Corp Non Cum Pfd A   | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 58 | Algonquin Power & 6875 *78Oc17 | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 59 | Algonquin Pwr & U 6200 *79JI01 | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 60 | Allstate Corp 5100 *53Ja15     | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 61 | Allstate Corp 5.100 H          | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 62 | Amer Eq Inv Hldg Co 5.95%-A    | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 63 | American Equity 6.625%-B       | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 64 | Annaly Cap Mgmt Inc Pfd Ser I  | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 65 | Aspen Insurance Hldg Ltd 5.95% | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 66 | Aspen Insurance Holdings 5.625 | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 67 | Assurant Inc 5250 *61Ja15      | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 68 | Athene Holding Ltd 5.625 Ser-B | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 69 | Athene Holding Ltd 6.35 Ser A  | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 70 | Athene Holding Ltd 6.375%-C    | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 71 | Atlantic Un Bankshares 6.875-A | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 72 | Axis Cap Holdings Ltd 5.5%-E   | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 73 | Brookfield In 5000 *81My24     | Sale | 12/20/2022 | \$1,001 - \$15,000 |

| #  | DESCRIPTION                    | TYPE | DATE       | AMOUNT             |
|----|--------------------------------|------|------------|--------------------|
| 74 | Carlyle Finance L 4625 *61My15 | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 75 | Citizens Fin Group 6.35%-D     | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 76 | Cms Energy Corpor 5875 *79Mh01 | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 77 | Digital Realty Trst 5.850-K    | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 78 | Digital Rlty Tst Inc 5.20%Serl | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 79 | Enbridge Inc 6375 *78Ap15      | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 80 | Enstar Group Ltd 7%-D          | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 81 | Equitable Hldgs Inc 5.25% Dprp | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 82 | F N B Corp Fla Dep Shs Repstg  | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 83 | Fifth Third Bancorp 6.625%-I   | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 84 | First Rep Bk San Fco Cal 4.5 % | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 85 | First Republic Bank 4.0% Ser-M | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 86 | Keycorp 6.125% Ser-E           | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 87 | M & T Bk Corp Fix To Flt Pfd H | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 88 | Morgan Stanley 6.375%-I        | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 89 | Morgan Stanley 6.875%-F        | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 90 | Morgan Stanley 7.125%-E        | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 91 | New York Cmnty Bc Inc Ser A    | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 92 | Nisource Inc 6.5% Depshs Pfdb  | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 93 | Pinnacle Fin Prtnrs 6.75%-B    | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 94 | Prudential Finan 4125 *60Sp01  | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 95 | Public Storage 4.00% Ser-P     | Sale | 12/20/2022 | \$1,001 - \$15,000 |

| #   | DESCRIPTION                    | TYPE | DATE       | AMOUNT             |
|-----|--------------------------------|------|------------|--------------------|
| 96  | Regions Financial Co 6.375%-B  | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 97  | Reinsurance Grp 5750 *56Jn15   | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 98  | Sce Trust V 5.45%-K            | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 99  | Signature Bk Ny 5.00% Ser-A    | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 100 | State St Co 5.90%-D Fxd-To-Flt | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 101 | State Street Corp 5.350%-G     | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 102 | The Southern 4200 *60Oc15      | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 103 | The Southern 4950 *80Ja30      | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 104 | Truist Financial Corp 5.25%-O  | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 105 | Truist Fincl Corp 4.75% Ser-R  | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 106 | Valley Natl Bancorp Ser-A      | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 107 | Wesco Intl Inc Dp Sh Fxrt Pfd  | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 108 | Western All Bancor Pfd A 4.25% | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 109 | Wintrust Financial Corp        | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 110 | Wintrust Finl Cor Dep Rep Sr E | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 111 | Zions Bancorp Na 6.3000% Srs G | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 112 | Ishares Preferred & Income S   | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 113 | Ishares Tips Bond Etf          | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 114 | District Colum Be 5000 *35Mh01 | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 115 | Lee Cnty Fla T Be 5000 *31Oc01 | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 116 | Muncie Ind San Be 3000 *31Jl01 | Sale | 12/20/2022 | \$1,001 - \$15,000 |
| 117 | Alamo Tx Cmnt Be 5000 *35Nv01  | Sale | 12/20/2022 | \$1,001 - \$15,000 |

| #   | DESCRIPTION                    | TYPE | DATE       | AMOUNT              |
|-----|--------------------------------|------|------------|---------------------|
| 118 | Ohio St Be 5000 *31Jn15        | Sale | 12/20/2022 | \$1,001 - \$15,000  |
| 119 | Pima Cnty Ariz Be 5000 *34Jl01 | Sale | 12/20/2022 | \$1,001 - \$15,000  |
| 120 | Washington St Be 4000 *28Jl01  | Sale | 12/20/2022 | \$1,001 - \$15,000  |
| 121 | Wisconsin Hsg Be 1400 24Sp01   | Sale | 12/20/2022 | \$1,001 - \$15,000  |
| 122 | Wisconsin Hsg Be 1800 *31Mh01  | Sale | 12/20/2022 | \$1,001 - \$15,000  |
| 123 | E V Income Fund Of Boston I    | Sale | 12/20/2022 | \$15,001 - \$50,000 |
| 124 | Invesco Conservative Inc Inst  | Sale | 12/20/2022 | \$15,001 - \$50,000 |
| 125 | Spdr Portf Short Term Crp Etf  | Sale | 12/20/2022 | \$15,001 - \$50,000 |
| 126 | Harris Cnty Te Be 4000 *34Au15 | Sale | 12/20/2022 | \$15,001 - \$50,000 |
| 127 | Honolulu Hawai Be 5000 *34Jl01 | Sale | 12/20/2022 | \$15,001 - \$50,000 |
| 128 | Kansas St Dev Be 4000 *33Ap01  | Sale | 12/20/2022 | \$15,001 - \$50,000 |
| 129 | Wisconsin St Be 5000 *37My01   | Sale | 12/20/2022 | \$15,001 - \$50,000 |
| 130 | Arizona St Tra Be 5000 *32Jl01 | Sale | 12/20/2022 | \$15,001 - \$50,000 |
| 131 | Brevard Cnty F Be 5000 *32Jl01 | Sale | 12/20/2022 | \$15,001 - \$50,000 |
| 132 | Columbia S C W Be 5000 *31Fb01 | Sale | 12/20/2022 | \$15,001 - \$50,000 |
| 133 | Columbus Ohio Be 4000 26Jl01   | Sale | 12/20/2022 | \$15,001 - \$50,000 |

| #   | DESCRIPTION                   | TYPE | DATE       | AMOUNT               |
|-----|-------------------------------|------|------------|----------------------|
| 134 | Lubbock Tex Be 5000 26Fb15    | Sale | 12/20/2022 | \$15,001 - \$50,000  |
| 135 | Massachusetts Be 5000 *32Jn01 | Sale | 12/20/2022 | \$15,001 - \$50,000  |
| 136 | Seminole Cnty Be 5000 *25Jl01 | Sale | 12/20/2022 | \$15,001 - \$50,000  |
| 137 | Blackrock Total Ret I         | Sale | 12/20/2022 | \$50,001 - \$100,000 |
| 138 | Pimco Mortgage Opp & Bd I2    | Sale | 12/20/2022 | \$50,001 - \$100,000 |
| 139 | Tcw Total Return Bond I       | Sale | 12/20/2022 | \$50,001 - \$100,000 |
| 140 | Western Asset Core Bd I       | Sale | 12/20/2022 | \$50,001 - \$100,000 |

## 8. Liabilities

| # | CREDITOR NAME            | TYPE                           | AMOUNT                | YEAR INCURRED | RATE     | TERM      |
|---|--------------------------|--------------------------------|-----------------------|---------------|----------|-----------|
| 1 | BSI Finacial Services    | Mortgage on Personal Residence | \$100,001 - \$250,000 | 2010          | 4.50000% | 30 years  |
| 2 | The Resolute Fund II     | Unfunded Investment Commitment | \$15,001 - \$50,000   | 2003          | N/A      | On Demand |
| 3 | The Resolute Fund IV     | Unfunded Investment Commitment | \$50,001 - \$100,000  | 2017          | N/A      | On Demand |
| 4 | Siguler Guff Investments | Unfunded Investment Commitment | \$10,001 - \$15,000   | 2008          | N/A      | On Demand |

| # | CREDITOR NAME           | TYPE                           | AMOUNT              | YEAR INCURRED | RATE | TERM      |
|---|-------------------------|--------------------------------|---------------------|---------------|------|-----------|
| 5 | J Z Capital Fund A, LLP | Unfunded Investment Commitment | \$15,001 - \$50,000 | 2010          | N/A  | On Demand |

## 9. Gifts and Travel Reimbursements

None

## Endnotes

| PART | #  | ENDNOTE                       |
|------|----|-------------------------------|
| 7.   | 10 | This asset has been divested. |

# 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.

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