

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

Filer's Information

Klein, Jennifer L

Gender Policy Council Co-Chair, White House - Biden-Harris Administration

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/ Klein, Jennifer L [electronically signed on 04/28/2022 by Klein, Jennifer L 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/ Kozmycz, Marina M, Certifying Official [electronically signed on 04/29/2022 by Kozmycz, Marina M in Integrity.gov]

Other review conducted by

/s/ Kozmycz, Marina M, Ethics Official [electronically signed on 04/29/2022 by Kozmycz, Marina M in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 04/29/2022

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	TIME'S UP	Washington, District of Columbia	Non-Profit	Chief Strategy and Policy Officer	4/2018	1/2021
2	Georgetown Law Center	Washington, District of Columbia	University/College	Adjunct Professor	1/2015	1/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA SEP	No			
1.1	SPDR S&P 500 ETF TRUST	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2	TIMES UP FOUNDATION	N/A		SALARY	\$30,295

3. Filer's Employment Agreements and Arrangements

None

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	IRA	No			
1.1	U.S. Brokerage account (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.2	BECTON DICKINSON & CO	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.3	METLIFE INC	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
1.4	MORGAN STANLEY FIN LLC	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.5	ROYAL BANK OF CANADA	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.6	ADT CORPORATION DUE 06/15/2023 4.125%	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.7	CBS CORP NEW DUE 01/15/2027 2.9%	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.8	CELGENE CORP SR NT DUE 08/15/2025 3.875%	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.9	CONSTELLATION BRANDS INC DUE 05/19/2027 3.5%	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.10	ISHARES TRUST 4.45% SYMBOL: PFF	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.11	JOHNSON & JOHNSON SR NT DUE 03/01/2026 2.45%	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.12	JPMORGAN CHASE & CO FR DUE 12/23/2026 2.5%	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.13	TEXRON INC DUE 03/15/2027 3.65%	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.14	1.14 ISHARES CORE HIGH DIV ETF 3.47% (HDV)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.15	1.15 SPDR S&P 500 ETF TRUST 1.20% (SPY)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
1.16	1.16 CALIFORNIA ST UNIV REV DUE 11/1/2037 2.57%	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
2	Jupiter Intelligence Inc vested stock options	N/A	\$250,001 - \$500,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	BROKERAGE	No			
1.1	US Bank #3 (cash)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
1.2	ABBOTT LABORATORIES	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
1.3	AIR LIQUIDE-ADR	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.4	ALPHABET INC	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
1.5	ALPHABET INC	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
1.6	AMERICAN ELECTRIC POWER	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.7	BANK OF AMERICA	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
1.8	BANK OF AMERICA	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.9	BANK OF AMERICA	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.10	BARRICK GOLD CORP	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
1.11	BECTON DICKINSON & CO	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
1.12	BLACKROCK INC	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
1.13	BLACKSTONE GROUP INC	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
1.14	BRISTOL MYERS SQUIBB CO	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.15	CIVISTA BANCSHARES INC	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
1.16	CONSOLIDATED EDISON INC	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.17	FACEBOOK INC	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
1.18	HARTFORD FINANCIAL	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
1.19	HORMEL FOODS CORP	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.20	HOWMET AEROSPACE INC	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.21	JOHNSON & JOHNSON	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.22	JPMORGAN CHASE & CO	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.23	JPMORGAN CHASE & CO	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.24	KEYCORP	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.25	METLIFE INC	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
1.26	MORGAN STANLEY FIN LLC	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.27	NEWMONT CORPORATION	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.28	PACKAGING CORP AMER	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
1.29	PFIZER INC	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
1.30	PJT PARTNERS INC	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.31	SHOPIFY INC	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
1.32	TORONTO DOMINION BANK	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.33	TOWNE BANK PORTSMOUTH VA	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
1.34	US BANCORP	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.35	VIATRIS INC	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.36	VISA INC	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
1.37	WELLS FARGO & CO bond	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
1.38	WELLS FARGO & CO NEW bond	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
1.39	3M COMPANY SR UNSECURED DATED; DUE 09/19/2026 2.25% MS 19	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.40	ABBVIE INC SR NT 2.9% DUE 11/06/2022	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.41	BANK NEW YORK MELLON CORP 2.5 % DUE 04/15/2021	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.42	BERKSHIRE HATHAWAY INC SR NT 2.2% DUE 03/15/2021	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.43	BERLIN CONN GO BDS 2011 3.0% DUE 06/01/2021	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.44	CELGENE CORP 3.875% DUE 08/15/2025	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.45	CHICAGO PARK DIST 3.0% DUE 01/01/2021	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.46	CONN ST GEN REV REV BDS 4.0% DUE 01/01/2021	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.47	CONSTELLATION BRANDS INC 3.70% DUE 12/06/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.48	DISTRICT COLUMBIA INCOME 4.0% DUE 12/01/2037	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.49	DISTRICT COLUMBIA REV BDS 5.0% DUE 10/01/2021	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.50	DISTRICT COLUMBIA UNIV 5.0% DUE 04/01/2042	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.51	DISTRICT COLUMBIA WTR & SWR 5% DUE 10/01/2052	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.52	DISTRICT COLUMBIA WTR & SWR 5% DUE 10/15/2045	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.53	DISTRICT COLUMBIA WTR & SWR 5% DUE 10/01/2043	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.54	DISTRICT COLUMBIA WTR & SWR 5% DUE 10/01/2044	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.55	DISTRICT COLUMBIA WTR & SWR 5% DUE 10/01/2039	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.56	DOW CHEMICAL CO 3.5% DUE 10/01/2024	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.57	G N M A PASS THRU 5% DUE 02/15/2034	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.58	GEORGIA POWER CO 2.4% DUE 04/01/2021	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.59	GLAXOSMITHKLINE CAP PLC 2.85% DUE 05/08/2022	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.60	GOLDMAN SACHS GROUP INC 3.2% DUE 02/23/2023	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.61	GOLDMAN SACHS GROUP INC 3.5% DUE 01/23/2025	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.62	HERSHEY COMPANY 3.375% DUE 05/15/2023	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.63	HONOLULU HAWAII CITY & CNTY GO BDS 2.4% DUE 10/01/2021	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.64	ILLINOIS FINANCE AUTH REV BNDS 5% DUE 10/01/2048	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.65	IRVING TEXAS REF IMPT GEN OBLIG 3% DUE 09/15/2032	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.66	ISHARES TRUST YIELD 4.45% (PFF)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.67	JOHNSON & JOHNSON SR NT 2.45% DUE 03/01/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.68	JPMORGAN CHASE & CO FR 2.5% DUE 12/23/2026	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.69	MARYLAND ST HEALTH & HIGHER ED 5% DUE 07/01/2023	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.70	MASSACHUSETTS ST DEV FIN AGY 5% DUE 12/01/2041	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.71	MICHIGAN ST UNIV REVS FRMLY GEN REV 5% DUE 08/15/2041	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.72	MICROSOFT CORP NT 2.875% DUE 02/06/2024	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.73	MORGAN STANLEY SR NT 3.75% DUE 02/25/2023	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
1.74	NEW JERSEY ST EDL FACS AUTH 4% DUE 07/01/2037	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.75	NEW YORK ST DORM AUTH REVS 5% DUE 11/01/2022	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.76	NEW YORK ST DORM AUTH REVS 5% DUE 11/01/2022	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.77	NEW YORK ST DORM AUTH REVS 5% DUE 10/01/2041	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.78	NORTH TEX MUN WTR DIST 3.125% DUE 06/01/2032	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.79	PALM BEACH CNTY FLA SCH BRD 4% DUE 08/01/2021	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.80	PALM BEACH CNTY FLA SCH BRD 4% DUE 08/01/2021	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.81	PENNSYLVANIA ST UNIV BDS SER 2015A 5% DUE 09/01/2040	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.82	PENNSYLVANIA ST UNIVG/O SER 2020 A 5% DUE 09/01/2045	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.83	PEPSICO INC SR NT 3% DUE 10/15/2027	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.84	STATE STREET CORP SR UNSECURED 4.375% DUE 03/07/2021	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.85	SYSCO CORP 2.5% DUE 07/15/2021	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.86	TEVA PHARMACEUTICAL FIN CO NV SR NT 3.65% DUE 11/10/2021	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.87	TEXAS ST GO BDS 20158 D GO 5% DUE 05/15/2040	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.88	TEXAS ST REF-SER A 5% DUE 10/01/2044	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.89	TYSON FOODS INC 3.95% DUE 08/15/2024	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.90	UNITED STATES TREASURY NT 2.25% DUE 04/30/2021	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.91	UNIVERSITY CONN GO BDS 2015A 2.125% DUE 02/15/2024	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.92	UNIVERSITY TEX UNIV REVS REV 2012 B 5% DUE 08/15/2022	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.93	UNIVERSITY VA UNIV REVS GEN REV 4% DUE 04/01/2044	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.94	VIACOM INC 3.25% DUE 03/15/2023	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.95	WALMART INC NT 3.125% DUE 06/23/2021	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.96	WELLS FARGO & CO SR NT 3.5% DUE 03/08/2022	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.97	AMERICAN TOWER	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
1.98	Black Hills Corporation (BKH)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.99	BNP Paribas	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
1.100	ISHARES CORE HIGH DIVIDEND ETF 3.47% (HDV)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
1.101	Consumer Discretionary Select Sector SPDR Fund (XLY)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
1.102	Financial Select Sector SPDR Fund (XLF)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
1.103	Health Care Select Sector SPDR Fund (XLV)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
1.104	Technology Select Sector SPDR Fund (XLK)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
1.105	SPDR S&P 500 ETF Trust (SPY)	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000	
1.106	DISTRICT COLUMBIA WTR & SWR AU SR LIEN BDS DUE 10/1/2049 5%	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000	
1.107	METROPOLITAN WASH DC ARPTS AU AMT REF BDS DUE 10/01/2046 5%	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000	
1.108	METROPOLITAN WASH DC ARPTS AUTH ARPT SYS REV AND RFDG BDS SERIES 2017A DUE 10/01/2047 5%	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000	
1.109	UNIVERSITY N C CHAPEL HILL REV DUE 12/01/2036 3.327%	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500	
2	JPMORGAN BROKERAGE - DC2	No				
2.1	US Bank #4 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)	
2.2	ABBOTT LABORATORIES	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000	
2.3	NIKE INC	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000	
2.4	-PEPSICO INC	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000	
2.5	-WALT DISNEY CO	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000	
2.6	-AMERICAN TOWER	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000	
2.7	SPDR S&P 500 ETF Trust (SPY)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	
3	Trust #1	No				
3.1	PRIVATE BANK-XXX5809	See Endnote	N/A	None (or less than \$1,001)	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2	BSV LP See Endnote	N/A	\$500,001 - \$1,000,000	PARTNERSHIP INCOME	\$0
3.3	BULLS MEDIA LP (0.33 OF 2/3 INTEREST)	N/A	\$100,001 - \$250,000	PARTNERSHIP INCOME	\$113,646
3.4	CIBC Bank - XXX5809	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
4	Trust #2	No			
4.1	US Bank # 4 (cash)	N/A	\$250,001 - \$500,000	Interest	None (or less than \$201)
4.2	CHICAGO BULLS LP (0.33 OF 2/3 INTEREST)	N/A	\$500,001 - \$1,000,000	PARTNERSHIP INCOME	\$385,816
5	Trust #3	No			
5.1	US Bank # 4 (cash)	N/A	\$500,001 - \$1,000,000	Interest	None (or less than \$201)
5.2	-BANK OF AMERICA	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
5.3	HOWMET AEROSPACE INC	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
5.4	-KEYCORP	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
5.5	-REGIONS FINL CORP 6.375%	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
5.6	-US BANCORP	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
5.7	3M COMPANY 2.25% DUE 09/19/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.8	BANK NEW YORK MELLON CORP 2.5% DUE 04/15/2021	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.9	CELGENE CORP 3.875% DUE 08/15/2025	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000
5.10	CONSTELLATION BRANDS INC 3.7% DUE 12/06/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.11	-GENERAL ELECTRIC CAPITAL 3.5% DUE 09/15/2029	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.12	J P MORGAN CHASE & CO 6.125% DUE 12/29/2049	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
5.13	JOHNSON & JOHNSON 2.45% DUE 03/01/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.14	JPMORGAN CHASE & CO FR 2.5% DUE 12/23/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.15	JPMORGAN CHASE FINL CO 2.95% DUE 10/01/2026	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.16	PEPSICO INC 3.0% DUE 10/15/2027	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.17	SMUCKER J M CO 3.5% DUE 10/15/2021	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
5.18	TEXTRON INC 3.65% DUE 03/15/2027	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.19	-TYSON FOOD INC. 3.55% 06/02/2027	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.20	-UNITED STATES TREASURY NT 1.5% 10/31/2021	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
5.21	WELLS FARGO 3.5% 03/08/2022	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
5.22	iShares Core High Dividend ETF (HDV)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.23	VANGUARD TOTALSTOCK MARKET ETF 1.21% (VTI)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
5.24	THE PENNSYLVANIA STATE UNIVER G/O SER B DUE 9/1/2034 2.459%	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
6	Trust #5	No			
6.1	U.S. Brokerage account (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
7	Trust #6	No			
7.1	US Bank #4 (cash)	N/A	\$500,001 - \$1,000,000	Interest	None (or less than \$201)
7.2	-3M COMPANY	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
7.3	-BECTON DICKINSON & CO	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
7.4	-CLOROX CO	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
7.5	DIAGEO PLC-SPONSORED ADR	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
7.6	ESSENTIAL UTILITIES INC	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
7.7	-HARTFORD FINANCIAL	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
7.8	JPMORGAN CHASE & CO	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
7.9	-KIMBERLY CLARK CORP	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
7.10	-NESTLE SA-SPONSORED ADR	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.11	NOVARTIS AG	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
7.12	-PACKAGING CORP AMER	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
7.13	PEPSICO INC	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
7.14	REGIONS FINL CORP 6.375%	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
7.15	-SYSCO CORP	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
7.16	US BANCORP	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
7.17	WALT DISNEY CO	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
7.18	WELLS FARGO & COMPANY	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
7.19	3M COMPANY 2.25% DUE 09/19/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.20	CBS CORP NEW 2.9% 01/15/2027	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
7.21	-CELGENE CORP 3.875% 08/15/2025	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.22	COLGATE-PALMOLIVE CO 1.95% DUE 02/01/2023	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.23	ISHARES TRUST 4.45% (PFF)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
7.24	-J P MORGAN CHASE & CO 6.125% DUE 12/29/2049	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.25	JOHNSON & JOHNSON 2.45% DUE 03/01/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.26	-JPMORGAN CHASE & CO FR 2.5% DUE 12/23/2026	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
7.27	-MASTERCARD INC SR NT 2.95% DUE 11/21/2026	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.28	METLIFE INC 6.4% DUE 12/15/2036	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
7.29	-PEPSICO INC 2.75% DUE 04/30/2025	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.30	TEXTRON INC 3.65% DUE 03/15/2027	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
7.31	-UNITED STATES TREASURY NT 1.5% DUE 10/31/2021	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
7.32	US bank (cash)	N/A	\$500,001 - \$1,000,000	Interest	None (or less than \$201)
7.33	iShares Core High Dividend ETF (HDV)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
7.34	VANGUARD TOTAL STOCK MARKET ETF 1.21% (VTI)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
7.35	THE PENNSYLVANIA STATE UNIVER G/O SER B DUE 9/1/2034 2.459%	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
8	Trust #1 for DC#1	See Endnote	No		
8.1	US Bank #4 (cash)	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
8.2	AMERICAN ELECTRIC POWER	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.3	AMERICAN WTR WKS CO INC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.4	DIAGEO PLC-SPONSORED ADR	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.5	JPMORGAN CHASE & CO	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.6	KELLOGG CO	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.7	-KIMBERLY CLARK CORP	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.8	-MONDELEZ INTERNATIONAL	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.9	NOVARTIS AG	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.10	-SYSCO CORP	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.11	VISA INC	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.12	POTASH CORP SASKATCHEWAN 3.625% DUE 03/15/2024	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.13	-TYSON FOODS INC 3.95% DUE 08/15/2024	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
9	Trust #2 for DC1	See Endnote	No		
9.1	US Bank #4 (cash)	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
9.2	ABBOTT LABORATORIES	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.3	AIR LIQUIDE-ADR	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
9.4	-BECTON DICKINSON & CO	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
9.5	CISCO SYSTEMS INC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.6	PACKAGING CORP AMER	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
9.7	PFIZER INC	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.8	SHOPIFY INC	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
9.9	-VIATRIS INC	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
9.10	VISA INC	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
9.11	WELLS FARGO & CO NEW	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
9.12	ABBOTT LABORATORIES 2.95% DUE 03/15/2025	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
9.13	US Bank #4 (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
10	Trust #1 for DC2	No			
10.1	US Bank #4 (cash)	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
10.2	AMERICAN ELECTRIC POWER	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
10.3	AMERICAN WTR WKS CO INC	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
10.4	DIAGEO PLC-SPONSORED ADR	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
10.5	KELLOGG CO	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
10.6	-KIMBERLY CLARK CORP	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
10.7	-SHOPIFY INC	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
10.8	Technology Select Sector SPDR Fund (XLK)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11	Trust #2 for DC2	No			
11.1	US Bank #4 (cash)	N/A	\$100,001 - \$250,000	Interest	None (or less than \$201)
11.2	-ABBOTT LABORATORIES	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
11.3	AIR LIQUIDE-ADR	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
11.4	-BECTON DICKINSON & CO	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
11.5	-JPMORGAN CHASE & CO	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
11.6	MONDELEZ INTERNATIONAL	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
11.7	NOVARTIS AG	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
11.8	PACKAGING CORP AMER	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
11.9	SYSCO CORP	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
11.10	-VISA INC	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
11.11	BANK AMER CORP SR 3.4% DUE 05/15/2023	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.12	US Bank #4 (cash)	N/A	None (or less than \$1,001)	Interest	None (or less than \$201)
11.13	Vanguard Growth Index Fund ETF Class Shares (VUG)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
12	US Bank #1 (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13	US Bank #1 (cash)	N/A	None (or less than \$1,001)	Interest	None (or less than \$201)
14	US Bank #1 (cash)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
15	US Bank #1 (cash)	N/A	None (or less than \$1,001)	Interest	None (or less than \$201)
16	US Bank #1 (CD)	N/A	\$50,001 - \$100,000	Interest	None (or less than \$201)
17	US Bank # 1 (cash)	N/A	None (or less than \$1,001)	Interest	None (or less than \$201)
18	US Bank #2 (cash)	N/A	None (or less than \$1,001)	Interest	None (or less than \$201)
19	STERN INVESTMENT CO	No	\$500,001 - \$1,000,000	PARTNERSHIP INCOME	\$249,732
19.1	CHICAGO BULLS LP (0.33 OF 1/3 INTEREST)	N/A	\$250,001 - \$500,000	PARTNERSHIP INCOME	\$192,908
19.2	BULLS MEDIA LP (0.33 OF 1/3 INTEREST)	N/A	\$50,001 - \$100,000	PARTNERSHIP INCOME	\$56,824
19.3	BSV LP (0.33 OF 1/3 INTEREST) See Endnote	N/A	\$250,001 - \$500,000	PARTNERSHIP INCOME	\$0
20	Residential Real Estate, Sun Valley, Idaho	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$15,001 - \$50,000

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	1.14 iShares Core High Dividend ETF (HDV)	Purchase	04/15/2021	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
2	1.15 Spider S&P 500 ETF Trust (SPY)	Purchase	03/31/2021	\$100,001 - \$250,000
3	1.4 Morgan Stanley Fin LLC	Sale	04/15/2021	\$50,001 - \$100,000
4	1.3 Metlife Inc	Sale	04/15/2021	\$15,001 - \$50,000
5	1.2 Becton Dickinson	Sale	04/15/2021	\$15,001 - \$50,000
6	1.5 Royal Bank of Canada	Sale	04/15/2021	\$15,001 - \$50,000
7	1.109 University NC Chapel Hill Rev Taxable Due 12/1/36 3.327%	Purchase	02/02/2021	\$50,001 - \$100,000
8	1.99 BNP Paribas Phoenix FDX US 70% Barrier 13.3% CPN Due 2/24/22	Purchase	02/10/2021	\$15,001 - \$50,000
9	1.98 Black Hills Corp	Purchase	03/01/2021	\$15,001 - \$50,000
10	1.100 iShares core High Dividend ETF (HDV)	Purchase	04/19/2021	\$100,001 - \$250,000
11	1.101 Select Sector SPDR Fund Shs Ben Consumer Discretionary (XLY)	Purchase	08/24/2021	\$100,001 - \$250,000
12	1.104 Select Sector SPDR Trust The Technology Select Sector SPDR Fund (XLK)	Purchase	08/24/2021	\$100,001 - \$250,000
13	1.103 Select Sector SPDR Trust The Health Care Select Sector SPDR Fund (XLV)	Purchase	08/24/2021	\$100,001 - \$250,000
14	1.102 Select Sector SPDR Trust The Financial Select Sector SPDR Fund (XLF)	Purchase	08/24/2021	\$100,001 - \$250,000
15	1.105 SPDR S&P 500 ETF Trust (SPY)	Purchase	09/29/2021	\$500,001 - \$1,000,000
16	1.106 District Columbia Wtr & Swr Au Sr Lien Bds 2018 Due 10/1/2049 5% AO 01	Purchase	12/14/2021	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
17	1.108 Metropolitan Wash DC ARPTS AUTH ARPT Sys Rev and RFDG BDs Due 10/1/2047 5%	Purchase	12/14/2021	\$100,001 - \$250,000
18	1.107 Metropolitan Wash DC ARPTS AUTH AU AMT Ref BDs Due 10/1/2046 5%	Purchase	12/14/2021	\$250,001 - \$500,000
19	1.46 Conn St Gen Rev Rev BDs 2011A	Sale	01/04/2021	\$15,001 - \$50,000
20	1.45 Chicago Park Dist Illinois G/O Unltd Tax RFDG BDs Ser 2011C	Sale	01/04/2021	\$15,001 - \$50,000
21	1.34 US Bancorp 5.15% Non Cumulative Perp Pfd Dep Rep 1/100th Int Ser H Full Call 1/15/21 @25.0000	Sale	02/24/2021	\$15,001 - \$50,000
22	1.58 Georgia Power Co Senior Notes Full Call 3/1/21 @1000.0000	Sale	03/08/2021	\$15,001 - \$50,000
23	1.84 State Street Corp Sr Unsevured	Sale	03/08/2021	\$15,001 - \$50,000
24	1.41 Bank New York Mellon Corp Full Call 3/15/21 @1000.0000	Sale	03/15/2021	\$15,001 - \$50,000
25	1.42 Bershire Hathaway Inc Senior Notes	Sale	03/15/2021	\$15,001 - \$50,000
26	1.94 Viacom Inc Full Call 3/29/21 @1056.6300	Sale	03/29/2021	\$50,001 - \$100,000
27	1.26 Morgan Stanley Fin LLC Phoenix C US 75% Barrier 12% CPN Full Call 4/5/21 @1000.0000	Sale	04/05/2021	\$15,001 - \$50,000
28	1.77 New York St Dorm Auth Revs Non St Supported Debt Columbia Univ-Ser 2011 A Full Call 4/9/21 @1000.0000	Sale	04/09/2021	\$100,001 - \$250,000
29	1.32 Toronto Dominion Bank Poenix Bac US 75% Barrier - 10% CPN Full Call 4/15/21 @1000.0000	Sale	04/15/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
30	1.35 Viatris Inc	Sale	04/16/2021	\$1,001 - \$15,000
31	1.6 American Electric Power Company Inc common stock	Sale	04/28/2021	\$15,001 - \$50,000
32	1.16 Consolidated Edison Inc	Sale	04/28/2021	\$15,001 - \$50,000
33	1.27 Newmont Corporation common stock	Sale	04/28/2021	\$15,001 - \$50,000
34	1.90 United States Treasury Note	Sale	04/30/2021	\$100,001 - \$250,000
35	1.43 Berlin Conn Go BDs 2011 GO Full Call 6/1/21 @ 1000.0000	Sale	06/01/2021	\$15,001 - \$50,000
36	1.56 Dow Chemical Co Full Call 6/2/21 @ 1095.8600	Sale	06/02/2021	\$50,001 - \$100,000
37	1.85 Sysco Corp Full Call 6/15/21 @ 1000.0000	Sale	06/15/2021	\$50,001 - \$100,000
38	1.95 Walmart Inc NT	Sale	06/23/2021	\$50,001 - \$100,000
39	1.79 Palm Beach Cnty FLA Sch Brd CT Cops 2011A	Sale	08/02/2021	\$15,001 - \$50,000
40	1.80 Palm Beach Cnty FLA Sch Brd CT Cops 2012C	Sale	08/02/2021	\$15,001 - \$50,000
41	1.30 PJT Partners Inc Class A com	Sale	09/28/2021	\$1,001 - \$15,000
42	1.4 Alphabet Inc Class A Common Stock	Sale	09/28/2021	\$50,001 - \$100,000
43	1.5 Alphabet Inc Class C Capital Stock	Sale	09/28/2021	\$50,001 - \$100,000
44	1.7 Bank of America 7.25% Non cumulative Perp C V T PFD Series L	Sale	09/28/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
45	1.31 Shopify Inc Cl A	Sale	09/28/2021	\$50,001 - \$100,000
46	1.37 Wells Fargo & Co New 7.5% Non-cumulative Perpetual Cl A Pfd Ser L	Sale	09/28/2021	\$50,001 - \$100,000
47	1.11 Becton Dickinson & Co	Sale	09/28/2021	\$15,001 - \$50,000
48	1.97 American Tower Corporation REIT	Sale	09/28/2021	\$15,001 - \$50,000
49	1.12 Blackrock Inc	Sale	09/28/2021	\$100,001 - \$250,000
50	1.20 Howmet Aerospace IN \$3.75 Preferred Stock	Sale	09/28/2021	\$15,001 - \$50,000
51	1.36 Visa Inc CL A Common Stock	Sale	09/28/2021	\$15,001 - \$50,000
52	1.17 Facebook Inc CL A	Sale	09/28/2021	\$50,001 - \$100,000
53	1.21 Johnson & Johnson	Sale	09/28/2021	\$15,001 - \$50,000
54	1.28 Packaging Corp Amer	Sale	09/28/2021	\$15,001 - \$50,000
55	1.2 Abbott Laboratories	Sale	09/28/2021	\$15,001 - \$50,000
56	1.14 Bristol Myers Squibb Co	Sale	09/28/2021	\$15,001 - \$50,000
57	1.19 Hormel Foods Corp	Sale	09/28/2021	\$15,001 - \$50,000
58	1.68 JPMorgan Chase & Co	Sale	09/28/2021	\$50,001 - \$100,000
59	1.25 Metlife Inc	Sale	09/28/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
60	1.98 Black Hills Corp	Sale	09/28/2021	\$15,001 - \$50,000
61	1.38 Wells Fargo & Co	Sale	09/28/2021	\$15,001 - \$50,000
62	1.13 Blackstone Inc	Sale	09/28/2021	\$50,001 - \$100,000
63	1.29 Pfizer Inc	Sale	09/28/2021	\$15,001 - \$50,000
64	1.18 Hartford Financial Services Group Inc	Sale	09/28/2021	\$50,001 - \$100,000
65	1.3 Air Liquide-ADR	Sale	09/28/2021	\$15,001 - \$50,000
66	1.8 Bank of America Corporation 5.875% Dep Shs REJPSTG q/1000 Th Int Perp Non cum Pfd Ser HH	Sale	09/28/2021	\$15,001 - \$50,000
67	1.9 Bank of America Corporation 5.00% Dep Shrs REPSTG1/1000TH INT Non Cum Preferred Ser LL	Sale	09/28/2021	\$15,001 - \$50,000
68	1.22 JPMorgan Chase & Co DEP Shs REPSTG 1/400th INT Non Cum PFD Ser GG	Sale	09/28/2021	\$15,001 - \$50,000
69	1.15 Civista Bancshares Inc Com	Sale	09/28/2021	\$15,001 - \$50,000
70	1.24 Keycorp Dep shs REPSTG 1/40th ownership interest in a sh of Fixed RT	Sale	09/28/2021	\$15,001 - \$50,000
71	1.33 Towne Bank Portsmouth VA	Sale	09/28/2021	\$15,001 - \$50,000
72	1.10 Barrick Gold Corp	Sale	09/28/2021	\$15,001 - \$50,000
73	1.63 Honolulu Hawaii City & Cnty GO BDs 2015E GO	Sale	10/01/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
74	1.49 District Columbia Rev BDs ASSN American Med CLGS Full Call 10/1/21@1000.0000	Sale	10/01/2021	\$100,001 - \$250,000
75	1.75 New York St Dorm Auth Revs Non Rev BDs 2011A Full Call 11/1/21@1000.0000	Sale	11/01/2021	\$15,001 - \$50,000
76	1.86 Teva Pharmaceutical Fin Co NV Sr NT	Sale	11/10/2021	\$15,001 - \$50,000
77	1.23 JPMorgan Chase & Co FR 2.5%12/23/26 Full Call 12/23/21@1000.0000	Sale	12/23/2021	\$15,001 - \$50,000
78	Brokerage - DC 2			
79	2.7 SPDR S&P 500 ETF Trust (SPY)	Purchase	09/28/2021	\$50,001 - \$100,000
80	2.6 American Tower Corporation REIT	Sale	09/28/2021	\$15,001 - \$50,000
81	2.4 Pepsico Inc Common Stock	Sale	09/28/2021	\$15,001 - \$50,000
82	2.5 Walt Disney Co	Sale	09/28/2021	\$15,001 - \$50,000
83	2.3 Nike Inc	Sale	09/28/2021	\$15,001 - \$50,000
84	2.2 Abbott Laboratories	Sale	09/28/2021	\$15,001 - \$50,000
85	IRA SEP			
86	SPDR S&P 500 ETF Trust (SPY)	Purchase	02/22/2021	\$15,001 - \$50,000
87	IRA			
88	1.12 JPMorgan Chase FINL Co LLC Phoenix COF US 70%Barrier - 12.25% CPN Due 1/26/2022	Purchase	01/11/2021	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
89	1.16 California St Univ Rev Taxable Systemwide BDs 2020 Due 11/01/2037 02.570% MN 01	Purchase	02/01/2021	\$50,001 - \$100,000
90	1.17 JPMorgan Chase FINL Co LLC Phoenix COF US 70% Barruer - 12.25% CPN Due 1/26/2022	Purchase	04/05/2021	\$50,001 - \$100,000
91	1.17 JPMorgan Chase FINL Co LLC Phoenix COF US 70% Barrier - 12.25%PN Due 1/26/2022	Sale	04/05/2021	\$50,001 - \$100,000
92	1.12 JPMorgan Chase &Co FR 2.5% 12/23/26 Full Call 12/23/21@1000.0000	Sale	12/23/2021	\$15,001 - \$50,000
93	Trust #3			
94	5.24 The Pennsylvania State Univer G/O Ser B Due 9/1/2034 2.459% MS 01	Purchase	02/01/2021	\$100,001 - \$250,000
95	5.25 Black Hills Corp	Purchase	03/01/2021	\$15,001 - \$50,000
96	5.22 iShares Core High Dividend ETF (HDV)	Purchase	04/19/2021	\$100,001 - \$250,000
97	5.23 Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)	Purchase	09/29/2021	\$100,001 - \$250,000
98	5.6 US Bancorp 5.15% Non Cumulative Perp PFD Dep Rep 1/1000th INT SER H Full Call 1/15/21 @25.0000	Sale	01/15/2021	\$1,001 - \$15,000
99	5.8 Bank New York Mellon Corp Full Call 03/15/21 @1000.0000	Sale	03/15/2021	\$15,001 - \$50,000
100	5.5 Regions FINL Corp 6.370% Dep Sjs REPSTG 1/40th Perp PFD SER A full Call 6/15/21 @25.0000	Sale	06/15/2021	\$15,001 - \$50,000
101	5.2 Bank of America 7.25% Non Cumulative Perp C V T PFD Series L	Sale	09/28/2021	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
102	5.3 Howmet Aerospace IN \$3.75 Preferred Stock	Sale	09/28/2021	\$15,001 - \$50,000
103	5.25 Black Hills Corp	Sale	09/28/2021	\$15,001 - \$50,000
104	5.4 Keycorp Dep Shs REPSTG 1/40th Ownership Interest IN a Sh of Fixed RT	Sale	09/28/2021	\$15,001 - \$50,000
105	5.17 Smucker JM Co Sr Notes	Sale	10/15/2021	\$50,001 - \$100,000
106	5.20 United States Treasury Note	Sale	11/01/2021	\$100,001 - \$250,000
107	5.14 JPMorgan Chase & Co FR 2.5% 12/23/26 Full Call 12/23/21@1000.0000	Sale	12/23/2021	\$50,001 - \$100,000
108	Trust #6			
109	7.35 The Pennsylvania State Univer G/O Ser B Due 9/1/2034 2.459% MS 01	Purchase	02/01/2021	\$100,001 - \$250,000
110	7.33 iShares Core High Dividend ETF (HDV)	Purchase	04/19/2021	\$100,001 - \$250,000
111	7.34 Vanguard Index Funds Vanguard Total Stock Market ETF (VTI)	Purchase	09/29/2021	\$250,001 - \$500,000
112	7.16 US Bankcorp 5.15% Non Cumulative Perp PFD Dep REP 1/1000th INT Ser H Full Call 1/15/21@25.0000	Sale	01/15/2021	\$1,001 - \$15,000
113	7.18 Wells Fargo & Company Dep Shs P/C 3/15/21 @ 25.0000 per 1	Sale	03/15/2021	\$15,001 - \$50,000
114	7.18 Wells Fargo & Company 5.2% Dep Shs REPSTG 1/1000th Perp PFD CL A Ser N Full Call 6/15/21@25.000	Sale	06/15/2021	\$15,001 - \$50,000
115	7.14 Regions FINL Corp 6.3750% Dep Shs REPSTG 1/40th Perp PFD Ser A Full Call 6/15/21@25.0000	Sale	06/16/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
116	7.3 Becton Dickinson & Co	Sale	09/28/2021	\$15,001 - \$50,000
117	7.5 Diageo PLC - Sponsored ADR REPSTG 4 ORD Shs	Sale	09/28/2021	\$15,001 - \$50,000
118	7.2 3M Company	Sale	09/28/2021	\$15,001 - \$50,000
119	7.9 Kimberly Clark Corp	Sale	09/28/2021	\$15,001 - \$50,000
120	7.12 Packaging Corp Amer	Sale	09/28/2021	\$15,001 - \$50,000
121	7.4 Clorox Co	Sale	09/28/2021	\$15,001 - \$50,000
122	7.13 Pepsico Inc Common Stock	Sale	09/28/2021	\$15,001 - \$50,000
123	7.10 Nestle SA-Sponsored ADR REPSTG REGD ORD (S 10 Par)	Sale	09/28/2021	\$15,001 - \$50,000
124	7.11 Novartis AG American Depositary Shares	Sale	09/28/2021	\$15,001 - \$50,000
125	7.17 Walt Disney Co	Sale	09/28/2021	\$50,001 - \$100,000
126	7.8 JPMorgan Chase Co	Sale	09/28/2021	\$50,001 - \$100,000
127	7.15 Sysco Corp	Sale	09/28/2021	\$50,001 - \$100,000
128	7.7 Hartford Financial Services Group Inc	Sale	09/28/2021	\$50,001 - \$100,000
129	7.6 Essential Utilities Inc Common Stock	Sale	09/28/2021	\$15,001 - \$50,000
130	7.31 United States Treasury Note	Sale	11/01/2021	\$250,001 - \$500,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
131	7.26 JPMorgan Chase & Co FR 2.5% 12/23/26 Full Call 12/23/21@1000.0000	Sale	12/23/2021	\$15,001 - \$50,000
132	Trust #1 for DC 2			
133	10.8 Select Sector SPDR Trust the Technology Select Sector SPDR Fund (XLK)	Purchase	09/29/2021	\$15,001 - \$50,000
134	10.7 Shopify Inc CL A	Sale	09/28/2021	\$15,001 - \$50,000
135	10.4 Diageo PLC-Sponsored ADR REPSTG 4 ORD Shs	Sale	09/28/2021	\$1,001 - \$15,000
136	10.3 American WTR WKS Co Inc	Sale	09/28/2021	\$15,001 - \$50,000
137	10.2 American Electric Power Company IN Common Stock	Sale	09/28/2021	\$1,001 - \$15,000
138	10.5 Kellogg Co	Sale	09/28/2021	\$1,001 - \$15,000
139	10.6 Kimberly Clark Corp	Sale	09/28/2021	\$1,001 - \$15,000
140	Trust #2 For DC 2			
141	11.13 Vanguard Growth Index Fund ETF Class Shares (VUG)	Purchase	09/29/2021	\$50,001 - \$100,000
142	11.4 Becton Dickinson & Co	Sale	09/28/2021	\$1,001 - \$15,000
143	11.5 JPMorgan Chase & Co	Sale	09/28/2021	\$15,001 - \$50,000
144	11.7 Novartis AG American Depository Shares	Sale	09/28/2021	\$1,001 - \$15,000
145	11.8 Packaging Corp Amer	Sale	09/28/2021	\$1,001 - \$15,000
146	11.10 Visa Inc	Sale	09/28/2021	\$15,001 - \$50,000
147	11.2 Abbott Laboratories	Sale	09/28/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
148	11.6 Mondelez International Inc Com	Sale	09/28/2021	\$1,001 - \$15,000
149	11.9 Sysco Corp	Sale	09/28/2021	\$1,001 - \$15,000
150	11.3 Air Liquide-ADR	Sale	09/28/2021	\$1,001 - \$15,000
151	Brokerage			
152	1.31 Shopify Inc CL A	Sale	02/24/2021	\$50,001 - \$100,000
153	1.99 BNP Paribas Phoenix FDX US 70% Barrier 13.3% CPN Due 2/24/2022	Sale	05/24/2021	\$15,001 - \$50,000
154	1.4 MORGAN STANLEY FIN LLC	Sale	01/05/2021	\$50,001 - \$100,000

8. Liabilities

#	CREDITOR NAME		TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	NBA LEAGUE-WIDE CREDIT FACILITY	See Endnote	LOAN HELD BY THE 201204 GIFT TRUST	\$250,001 - \$500,000	2003	5.67% FIXED RATE	MATURING 6/8/2020
2	NBA LEAGUE-WIDE CREDIT FACILITY	See Endnote	LOAN HELD BY THE 201204 GIFT TRUST	\$250,001 - \$500,000	2008	FLOATING RATE (LIBOR + 1%) REVOLVER	MATURING 6/17/2021
3	NBA LEAGUE-WIDE CREDIT FACILITY	See Endnote	LOAN HELD BY THE 201204 GIFT TRUST	\$100,001 - \$250,000	2008	3.18% FIXED RATE	MATURING 6/7/2024

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
6.	3.1	Account at Private Bank was closed and account balance was moved to CIBC Bank.
6.	3.2	2021 BSV LP Schedule K-1 showed a loss.
6.	8	This asset belongs to a Dependent Child of the filer, though not Minor Child. Assets are not imputed to filer.
6.	9	Asset belongs to Dependent Child of the filer, though not a Minor Child. Assets not imputed to filer.
6.	19.3	2021 BSV LP Schedule K-1 showed a loss.
8.	1	NOT SURE ABOUT THE YEAR LOAN INCURRED.
8.	2	NOT SURE ABOUT THE YEAR LOAN INCURRED
8.	3	NOT SURE ABOUT THE YEAR LOAN INCURRED

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).
