



**Homeland
Security**

September 22, 2022

Mr. Emory A. Rounds, III
Director
U.S. Office of Government Ethics
1201 New York Avenue, NW
Suite 500
Washington DC, 20005

Dear. Mr. Rounds:

The purpose of this letter is to forward the attached supplement to Mr. Ken Wainstein's Public Financial Disclosure Report (278e) dated July 9, 2021. As Mr. Wainstein explains in his September 15, 2022 letter, he is supplementing his report to add a Johnson & Johnson holding that was inadvertently omitted when listing the holdings of the Kominski Trust. Mr. Wainstein has three Johnson & Johnson holdings in total, two of which are in brokerage accounts already reported on his 278e.

As the Alternate Designed Agency Ethics official for the Department of Homeland Security, I have reviewed the information contained in the supplement and, based upon my review of this updated information and the prior commitments made by Mr. Wainstein in his previously transmitted Ethics Agreement, I continue to believe that Mr. Wainstein is in compliance with applicable laws and regulations governing conflicts of interest.

Sincerely,

**MICHAEL J
O'CONNOR**

Michael J. O'Connor

Alternate Designed Agency Ethics Official
Department of Homeland Security

Digitally signed by
MICHAEL J O'CONNOR
Date: 2022.09.22
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**Homeland
Security**

September 15, 2022

Michael O'Connor
Alternate Designated Agency Ethics Official
Department of Homeland Security
Office of the General Counsel, Ethics Compliance and Law Division
Washington, DC 20528

Re: Supplement to Financial Disclosure Report of Mr. Ken Wainstein

Dear Michael:

The purpose of this document is to supplement my financial disclosure report signed on July 9, 2021, by adding a Johnson & Johnson holding that was inadvertently omitted when listing the holdings of the Kominski Trust. In total I have three Johnson & Johnson holdings, two of which are in brokerage accounts already listed on my 278e.

Correction to Part 6 – Other Assets and Income

Description	EIF	Value	Income Type	Income Amount
4.70 - Johnson & Johnson (JNJ)	N/A	\$15,000 - \$50,000	Dividends	\$201 - \$1,000

I understand that this supplement will be attached to my financial disclosure report and released upon request with that report.

Sincerely,

A handwritten signature in black ink, appearing to read "Ken Wainstein".

Ken Wainstein

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Wainstein, Kenneth

Under Secretary for Intelligence and Analysis, Department of Homeland Security

Other Federal Government Positions Held During the Preceding 12 Months:

Member, NARA Public Interest Declassification Board (1/2013 - 9/2020)

Member, ODNI, National Counterterrorism Center Director's Advisory Board (1/2014 - Present)

Member, CIA General Counsel's External Advisory Board (1/2010 - Present)

Names of Congressional Committees Considering Nomination:

- Select Committee on Intelligence
-

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/ Wainstein, Kenneth [electronically signed on 07/09/2021 by Wainstein, Kenneth 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/ Dornburg, Erica M, Certifying Official [electronically signed on 11/19/2021 by Dornburg, Erica M in Integrity.gov]

Other review conducted by

/s/ O'Connor, Michael, Ethics Official [electronically signed on 11/19/2021 by O'Connor, Michael in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 11/23/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Davis Polk & Wardwell LLP	Washington, District of Columbia	Law Firm	Partner	6/2017	Present
2	Georgetown University Law Center	Washington, District of Columbia	University/College	Adjunct Professor	1/2009	Present
3	Bipartisan Commission on Biodefense	Washington, District of Columbia	Non-Profit	Commissioner	1/2015	Present
4	National Association of Former United States Attorneys	Brighton, Michigan	Non-Profit	Vice President and Board Member	1/2010	Present
5	Burke & Herbert Bank	Alexandria, Virginia	Corporation	Member, Board of Directors	1/2016	Present
6	St. Stephen's & St. Agnes School	Alexandria, Virginia	School	Member, Board of Governors	1/2020	Present
7	Alclear, LLC (d.b.a. CLEAR)	New York, New York	Corporation	Member, Security Advisory Board	1/2015	Present
8	Suzanne G. Kominski Living Trust	Arlington, Virginia	Trust	Trustee	6/2011	Present
9	The John Kominski Living Trust	Alexandria, Virginia	Trust	Trustee	8/2020	Present
10	Mr. Kominski Estate	Alexandria, Virginia	Probate Estate	Executor	11/2020	Present
11	Family Trust	Alexandria, Virginia	Trust	Trustee	11/2011	Present

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
12	Cafe Studios	New York, New York	Corporation	Podcaster	5/2020	2/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Rollover IRA Account	No			
1.1	Calamos Growth and Income Fund (CGIIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2	American Funds Capital Income Builder Class F3 (CFIHX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3	The Hartford Growth Opportunities Fund (HGOIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.4	MFS Value Fund Class 1 (MEIIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.5	PIMCO Income Fund Institutional Class (PIMIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.6	Thornburg Global Opportunities Fund (THOIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.7	Virtus AllianzGI Income & Growth Fund (AZNIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.8	U.S. brokerage account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	Alclear, LLC (d.b.a. CLEAR)	N/A		Fees for Advisory Board Services	\$37,500
3	Burke & Herbert Bank	N/A		Director Fees	\$139,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Cafe Studios (publisher of podcasts) See Endnote	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
5	Cafe Studios (publisher of podcasts)	N/A		Podcasting Fees	\$8,000
6	Hudson Institute	N/A		Fees for Service as Commissioner, Bipartisan Commission on Biodefense	\$32,083
7	Georgetown University Law Center	N/A		Fees for Services as Adjunct Professor	\$1,500
8	Davis Polk & Wardwell LLP	N/A		Partnership share	\$13,330,631
9	Davis Polk & Wardwell LLP Defined Benefit Plan	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
10	Davis Polk & Wardwell LLP anticipated partnership withdrawal payment	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
11	Cadwalader, Wickersham & Taft LLP 401(k) Plan	No			
11.1	Vanguard Wellington Fund Admiral Shares (VWENX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
12	Davis Polk & Wardwell LLP 401(k) Plan	No			
12.1	Fidelity Freedom 2025 Fund (FFTWX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
13	Davis Polk & Wardwell LLP HR-10 Plan	No			
13.1	Fidelity Freedom 2025 Fund (FFTWX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14	Davis Polk & Wardwell LLP (anticipated partnership share)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Davis Polk & Wardwell LLP	New York, New York	Pursuant to the partnership agreement, following my withdrawal from the firm, I will receive my final partnership share distribution in accordance with the firm's standard policies, less the estimate for any tax payments/tax reconciliation that may be owed. The total amount of the payments will be calculated as of the date of my withdrawal, and, with the exception of withheld amounts, will be paid to me prior to my assuming the duties of the position. Any remaining withholding will be reimbursed to me approximately within 3 years.	7/2021
2	Davis Polk & Wardwell LLP	New York, New York	Pursuant to the partnership agreement, following my withdrawal from the firm, I will receive a lump sum partnership withdrawal payment made to all departing partners in accordance with the firm's standard policies.	7/2017
3	Davis Polk & Wardwell LLP	New York, New York	I will continue to participate in this 401K defined contribution plan. The plan sponsor will not make further contributions after my separation.	7/2017
4	Davis Polk & Wardwell LLP	New York, New York	I will continue to participate in this HR-10 defined contribution plan. The plan sponsor will not make any further contributions after my separation.	7/2017
5	Davis Polk & Wardwell LLP	New York, New York	Following my separation, I will receive a lump-sum distribution of my interest in the firm's defined benefit plan. The firm will not make further contributions after my separation.	7/2017
6	Cadwalader, Wickersham & Taft LLP 401(k) Plan	Washington, District of Columbia	I will continue to participate in this 401K defined contribution plan. The plan sponsor makes no further contributions following my separation.	3/2012

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	AstraZeneca Pharmaceuticals LP	Wilmington, Delaware	Legal services (client of Davis Polk &Wardwell LLP)
2	Learfield Communications, LLC	Jefferson City, Missouri	Legal services (client of Davis Polk &Wardwell LLP)
3	Brennan, John	Washington, District of Columbia	Legal services (client of Davis Polk &Wardwell LLP)
4	Clapper, James	Washington, District of Columbia	Legal services (client of Davis Polk &Wardwell LLP)
5	Janus Global Operations LLC	Lenoir City, Tennessee	Legal services (client of Davis Polk &Wardwell LLP)
6	Gustin, David B.	Leesburg, Ohio	Legal services (client of Davis Polk &Wardwell LLP)
7	Holmes, David	Kyiv, Ukraine	Legal services (client of Davis Polk &Wardwell LLP)
8	HSBC Holdings plc	London, United Kingdom, Outside U.S.	Legal services (client of Davis Polk &Wardwell LLP)
9	Knight, Ellen	Washington, District of Columbia	Legal services (client of Davis Polk &Wardwell LLP)
10	Linklaters LLP	London, United Kingdom, Outside U.S.	Legal services (client of Davis Polk &Wardwell LLP)
11	Tyab, Naeem	Calgary, Alberta, Canada	Legal services (client of Davis Polk &Wardwell LLP)
12	2 confidential clients (both individuals) are not disclosed because representation was in connection with a non-public investigation	Washington, District of Columbia	Legal services (client of Davis Polk &Wardwell LLP)

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
13	Davis Polk & Wardwell LLP	Washington, District of Columbia	Law firm partner
14	Alclear, LLC (d.b.a. CLEAR)	New York, New York	Member, Security Advisory Board
15	Burke & Herbert Bank	Alexandria, Virginia	Director
16	Cafe Studios	New York, New York	Podcast host
17	Hudson Institute	Washington, District of Columbia	Commissioner, Bipartisan Commission on Biodefense
18	7-Eleven, Inc.	Dallas, Texas	Legal services (client of Davis Polk & Wardwell LLP)
19	Ad Hoc Group of Lenders for McDermott Restructuring	Houston, Texas	Legal services (client of Davis Polk & Wardwell LLP)
20	Ankura Consulting Group LLC	Washington, District of Columbia	Legal services (client of Davis Polk & Wardwell LLP)
21	Archdiocese of Washington	Washington, District of Columbia	Legal services (client of Davis Polk & Wardwell LLP)
22	Baier, Marc	Abu Dhabi, United Arab Emirates	Legal services (client of Davis Polk & Wardwell LLP)
23	Caliburn International	Reston, Virginia	Legal services (client of Davis Polk & Wardwell LLP)
24	Charoen Pokphand Group Company Limited	Bangkok, Thailand	Legal services (client of Davis Polk & Wardwell LLP)
25	Chevron Corporation	San Ramon, California	Legal services (client of Davis Polk & Wardwell LLP)

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
26	Cohen, David S.	Washington, District of Columbia	Legal services (client of Davis Polk &Wardwell LLP)
27	Comcast Corporation	Philadelphia, Pennsylvania	Legal services (client of Davis Polk &Wardwell LLP)
28	Energycap, Inc.	Boalsburg, Pennsylvania	Legal services (client of Davis Polk &Wardwell LLP)
29	Facebook, Inc.	Menlo Park, California	Legal services (client of Davis Polk &Wardwell LLP)
30	General Dynamics Corporation	Reston, Virginia	Legal services (client of Davis Polk &Wardwell LLP)
31	Hay, Mary	Centerville, California	Legal services (client of Davis Polk &Wardwell LLP)
32	JP Morgan Chase Bank, N.A.	New York, New York	Legal services (client of Davis Polk &Wardwell LLP)
33	Joyner, Christopher	Alexandria, Virginia	Legal services (client of Davis Polk &Wardwell LLP)
34	Kapoor, Rakesh	London, United Kingdom	Legal services (client of Davis Polk &Wardwell LLP)
35	Learfield/IMG College	Plano, Texas	Legal services (client of Davis Polk &Wardwell LLP)
36	McGuire, Jason	Fayetteville, Arkansas	Legal services (client of Davis Polk &Wardwell LLP)
37	Mislock, Steven	Washington, District of Columbia	Legal services (client of Davis Polk &Wardwell LLP)
38	Morgan Stanley	New York, New York	Legal services (client of Davis Polk &Wardwell LLP)
39	MyLife	Los Angeles, California	Legal services (client of Davis Polk &Wardwell LLP)
40	Nefkens, Mike	Austin, Texas	Legal services (client of Davis Polk &Wardwell LLP)

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
41	Oberman, Allan	Toronto, Canada	Legal services (client of Davis Polk &Wardwell LLP)
42	Omise Holdings Pte. Ltd.	Singapore	Legal services (client of Davis Polk &Wardwell LLP)
43	Purdue Pharma	Stamford, Connecticut	Legal services (client of Davis Polk &Wardwell LLP)
44	Sedaghat, Shawn	Los Angeles, California	Legal services (client of Davis Polk &Wardwell LLP)
45	Shipcom Wireless, Inc.	Houston, Texas	Legal services (client of Davis Polk &Wardwell LLP)
46	Silver Spike Capital	New York, New York	Legal services (client of Davis Polk &Wardwell LLP)
47	Taieb, Eli	Davie, Florida	Legal services (client of Davis Polk &Wardwell LLP)
48	The Catholic University of America	Washington, District of Columbia	Legal services (client of Davis Polk &Wardwell LLP)
49	Undavia, Khyati	Houston, Texas	Legal services (client of Davis Polk &Wardwell LLP)
50	Walmart Inc.	Bentonville, Arizona	Legal services (client of Davis Polk &Wardwell LLP)
51	Weiss, Alex	Berlin, Germany	Legal services (client of Davis Polk &Wardwell LLP)
52	Wynn Resorts Limited	Las Vegas, Nevada	Legal services (client of Davis Polk &Wardwell LLP)
53	Wyss, Andre	Basel, Switzerland	Legal services (client of Davis Polk &Wardwell LLP)
54	Zocdoc	New York, New York	Legal services (client of Davis Polk &Wardwell LLP)

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Spouse's Rollover IRA	No			
1.1	Taiwan Fund Inc (TWN)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	U.S. brokerage account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	The Potomack Company (antique auction and appraisal company)	N/A	Over \$1,000,000	Business Income	

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Filer Brokerage Account #1	No			
1.1	U.S. brokerage account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Burke & Herbert Bank & Trust Co. (BHRB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2	Joint Brokerage Account #1	No			
2.1	JOHCM International Select Fund Class I (JOHIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2.2	Salient Select Income Fund (KIFYX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
2.3	Goldman Sachs Income Builder Fund (GSBIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.4	The Hartford Midcap Fund Class I (HFMIX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
2.5	JPMorgan Equity Income Fund Class I (HLIEX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.6	Nuveen Virginia Municipal Bond Fund (NMVAX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.7	Nuveen Large Cap Core Fund Class I (NLCIX)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
2.8	PIMCO High Yield Municipal Bond Fund (PHMIX)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
2.9	AKRE Focus Fund Institutional Class (AKRIX)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
2.10	Putnam Large-Cap Value Fund Class Y (PEIYX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.11	Royce International Premier Fund (RIPNX)	Yes	\$250,001 - \$500,000		\$201 - \$1,000
2.12	American Funds Smallcap World Fund Class F3 (SFCWX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.13	Thornburg Investment Income Builder Fund (TIBIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
2.14	Thornburg Small/Mid Cap Growth Fund Class I (THIGX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
2.15	Thornburg Strategic Municipal Income Fund (TSSIX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
2.16	Union Street Partners Value Fund (USPFX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
2.17	U.S. brokerage account (Cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.18	Burke & Herbert Bank & Trust Co. (BHRB)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
3	Estate of Mr. Kominski	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
4	Mr. Kominski Trust - Brokerage Account #1	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.1	Calamos Convertible Fund Class I (CICVX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
4.2	FAM Value Fund Institutional Class (FAMWX)	Yes	\$5,000,001 - \$25,000,000		\$100,001 - \$1,000,000
4.3	Lord Abbett Short Duration Income Fund (LDLFX)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
4.4	Nicholas II Fund Class I (NCTWX)	See Endnote	Yes	\$50,001 - \$100,000	\$2,501 - \$5,000
4.5	PIMCO High Yield Municipal Fund (PHMIX)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
4.6	AKRE Focus Fund Institutional Class (AKRIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
4.7	Putnam Focused International Equity Fund (PEQUX)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
4.8	Thornburg Investment Income Builder Fund (TIBIX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
4.9	Thornburg Strategic Municipal Income Fund (TSSIX)	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
4.10	Union Street Partners Value Fund (USPFX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
4.11	Conocophillips (COP)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
4.12	Hanesbrands Inc (HBI)	See Endnote	N/A	Dividends	\$201 - \$1,000
4.13	Intel Corp. (INTC)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
4.14	Walmart, Inc. (WMT)	See Endnote	N/A	Dividends	\$2,501 - \$5,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.15	TE Connectivity Ltd. (TEL)	See Endnote	N/A	\$250,001 - \$500,000	Dividends	\$201 - \$1,000
4.16	Organon & Co (OGN)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.17	Microsoft Corp (MSFT)		N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
4.18	Olin Corp. (OLN)		N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
4.19	Dow, Inc. (DOW)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4.20	Corteva Inc (CTVA)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.21	Dupont De Nemours Inc (DD)	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.22	L3 Harris Technologies Inc (LHX)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.23	McDonalds Corp (MCD)	See Endnote	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.24	ISHARES Inc MSCI Pacific Ex-Japan (EPP)	See Endnote	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.25	ISHARES TR MSCI EAFE (EFA)	See Endnote	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.26	Home Depot Inc (HD)		N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
4.27	BP PLC (BP)		N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
4.28	Cigna Corp. (CI)	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.29	Vanguard Emerging Markets Stock Index Fund ETF (VWO)		Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.30	XYLEM Inc (XYL)		N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
4.31	The Kraft Heinz Co. (KHC)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.32	Becton Dickinson & Co (BDX)	See Endnote	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.33	Hess Corp. (HES)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.34	PepsiCo, Inc. (PEP)		N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
4.35	AT&T, Inc. (T)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.36	Bristol Myers Squibb Company (BMY)		N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.37	Verizon Communications, Inc. (VZ)	See Endnote	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
4.38	Pentair Plc (PNR)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.39	Philip Morris Intl (PM)		N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
4.40	Mondelez Intl Inc (MDLZ)		N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
4.41	Cardinal Health, Inc. (CAH)	See Endnote	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
4.42	Keurig Dr Pepper, Inc. (KDP)	See Endnote	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.43	Johnson Controls International Plc (JCI)		N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.44	Medtronic Plc (MDT)		N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
4.45	Oracle Corp. (ORCL)		N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
4.46	Agilent Technologies, Inc. (A)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.47	Altria Group, Inc. (MO)	See Endnote	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.48	Zimmer Biomet Holdings, Inc. (ZBH)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.49	Coca Cola Company (KO)		N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
4.50	DXC Technology Co. (DXC)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.51	Dell Technologies, Inc. (DELL)		N/A	\$50,001 - \$100,000		None (or less than \$201)
4.52	Energpac Tool Group Corp (EPAC)	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.53	Glaxosmithkline PLC (GSK)	See Endnote	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.54	HSBC Holdings PLC (HSBC)		N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
4.55	HP, Inc. (HPQ)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.56	Hartford FinL SVCS Group Inc (HIG)		N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
4.57	Hewlett-Packard Enterprise Co. (HPE)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.58	ITT, Inc. (ITT)		N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
4.59	Keysight Technologies, Inc. (KEYS)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.60	Marriott Vacations Worldwide Corp. (VAC)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.61	Marriott International, Inc. (MAR)	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.62	Merck & Co Inc (MRK)	See Endnote	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
4.63	Occidental Pete Corp (OXY)		N/A	\$250,001 - \$500,000	Dividends	\$201 - \$1,000
4.64	Host Hotels & Resorts Inc (HST)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.65	Occidental Pete Corp (OXY WS)		N/A	\$15,001 - \$50,000		None (or less than \$201)
4.66	Rayonier, Inc. (RYN)		N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.67	General Electric		N/A	\$1,001 - \$15,000		None (or less than \$201)
4.68	Philips 66 (PSX)		N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
4.69	Vectrus, Inc. (VEC)		N/A	\$1,001 - \$15,000		None (or less than \$201)
5	Brokerage Account #1		No			
5.1	Adyen Unsponsored Netherl 50 ADR (ADYEY)		N/A	\$15,001 - \$50,000		None (or less than \$201)
5.2	AIA Group Ltd Spon ADR (AAGIY)		N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.3	Air Liquide ADR France (AIQUY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.4	Alcon Inc CHF (ALC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.5	Alfa Laval AB Sweden ADR (ALFVY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.6	Alibaba Group Hldg Ltd Spon ADR (BABA)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
5.7	Allegion PLC (ALLE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.8	Allianz SE Unsponsored Germany ADR (ALIZY)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.9	Alphabet Inc Cl A (GOOGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.10	Alphabet Inc Cl C (GOOG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.11	Amazon.com, Inc. (AMZN)	N/A	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000
5.12	Ambev SA (ABEV)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.13	Ansys Inc. (ANSS)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
5.14	Aspen Technology Inc. Del. (AZPN)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
5.15	Atlas Copco AB (ATLKY)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.16	Autodesk, Inc. (ADSK)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
5.17	Automatic Data Processing, Inc. (ADP)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.18	Banco Bilbao Vizcaya Argentaria SA (BBVA)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.19	Bentley Systems Inc. Cl B (BSY)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
5.20	W R Berkley Corp (WRB)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.21	BHP Group Ltd Spon ADR (BHP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.22	Boeing Company (BA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.23	Bright Horizons Family Solutions Inc. (BFAM)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
5.24	Canadian National Railway (CNI)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.25	CDW Corp. (CDW)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
5.26	Cerner Corp. (CERN)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.27	Charles River Laboratories International, Inc. (CRL)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
5.28	Check Point Software Tech Ltd (CHKP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.29	Chemed Corp New (CHE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.30	Chugai Pharmaceutical Ltd ADR (CHGKY)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.31	Cisco Systems, Inc. (CSCO)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.32	Colgate Palmolive Co. (CL)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.33	Cooper Companies Inc New (COO)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
5.34	Copart, Inc. (CPRT)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
5.35	CSPC Pharmaceutical Group Ltd. (CSPCY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.36	Dassault Systemes S A Spon ADR (DASTY)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
5.37	DBS Group Hldgs Ltd. Spon ADR (DBSDY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.38	Deere & Co. (DE)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
5.39	Diageo Plc New GB Spon ADR (DEO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.40	Duck Creek Technologies Inc. (DCT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.41	Elanco Animal Health, Inc. (ELAN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.42	ENN Energy Holdings Ltd. (XNGSY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.43	Epiroc Aktiebolag ADR (EPOKY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.44	Equifax, Inc. (EFX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.45	Expeditors Intl Wash Inc. (EXPD)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
5.46	Exponent, Inc. (EXPO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.47	Facebook Inc. Cl A (FB)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.48	Factset Resh Systems Inc. (FDS)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.49	Fair Isaac Corp. (FICO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.50	Fanuc Corp ADR (FANUY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.51	Fomento Economico Mexicano S.A.B. De CV Spon ADR (FMX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.52	Fuchs Petrolub AG ADR (FUPBY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.53	HDFC Bank Ltd ADR Repstg 3 Ord SHS (HDB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.54	Henry Jack & Assoc Inc. (JKHY)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.55	Icici Bank Ltd. Spon ADR (IBN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.56	Illumina, Inc. (ILMN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.57	Infineon Technologies ADR (IFNNY)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
5.58	Interactive Brokers Group Inc. Cl A (IBKR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.59	Intuitive Surgical, Inc. (ISRG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.60	Itau Unibanco Hldg SA ADR (ITUB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.61	Komatsu Ltd Spon ADR (KMTUY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.62	Kubota Corp ADR Japan ADR (KUBTY)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.63	Lennox Intl Inc. (LII)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.64	Linde PLC EUR (LIN)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.65	Lonza Group AG ADR (LZAGY)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
5.66	Loreal Co ADR France ADR (LRLCY)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
5.67	Lpl Finl Hldgs Inc. Com (LPLA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.68	Lukoil PJSC Spon ADR (LUKOY)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.69	Microsoft Corp. (MSFT)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
5.70	Monster Beverage Corp New Com (MNST)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
5.71	MSCI, Inc. (MSCI)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
5.72	Nestle S A Sponsored ADR (NSRGY)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
5.73	Nitori Hldgs Co Ltd ADR (NCLTY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.74	Nordson Corp. (NDSN)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
5.75	Novartis AG Spon ADR (NVS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.76	Novo Nordisk ADR Denmark ADR (NVO)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
5.77	Novozymes A/S ADR (NVZMY)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.78	NVIDIA Corp. (NVDA)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
5.79	Oracle Corp. (ORCL)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.80	P.T. Telekomunikasi Indonesia Spon ADR (TLK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.81	Ping An Insurance (Group) Spon ADR (PNGAY)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.82	Pool Corp. (POOL)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
5.83	QUALCOMM, Inc. (QCOM)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.84	Regeneron Pharmaceuticals, Inc. (REGN)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
5.85	Rio Tinto Plc Spon ADR (RIO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.86	Roche Hldg Ltd Spons ADR (RHHBY)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
5.87	Rollins Inc. (ROL)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.88	Royal Dutch Shell Plc ADS Cl B (RDS.B)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.89	Salesforce.com Inc. (CRM)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
5.90	SAP SE Spon ADR (SAP)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
5.91	Schlumberger Ltd (SLB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.92	Schneider Elec ADR (SBGSY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.93	Scotts Miracle-Gro Co Cl A (SMG)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.94	SEI Investments Co. (SEIC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.95	SGS SA ADR (SGSOY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.96	Shionogi & Co. LTD ADR (SGIOY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.97	SiteOne Landscape Supply, Inc. (SITE)	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
5.98	Sonova Hldg AG ADR (SONVY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.99	Starbucks Corp. (SBUX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.100	Symrise AG ADR (SYIEY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.101	Systemx Corp Unsponsored ADR (SSMXY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.102	Taiwan Semiconductor Mfg Co (TSM)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
5.103	Teledyne Technologies, Inc. (TDY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.104	Tencent Hldgs Ltd ADR (TCEHY)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
5.105	Teradyne, Inc. (TER)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
5.106	Thor Industries, Inc. (THO)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
5.107	Unicharm Corp Spon ADR (UNICY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.108	Visa Inc. Cl A (V)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.109	The Walt Disney Co. (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.110	Workday Inc. Cl A (WDAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.111	Yandex N V Cl A (YNDX)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
5.112	Yum China Hldgs Inc. (YUMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.113	Yum! Brands Inc. (YUM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.114	Zebra Technologies Corp Cl A (ZBRA)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
5.115	First Trust North American Energy Infrastructure Fund (EMLP)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
5.116	First Trust Dow Jones Internet Index Fund (FDN)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.117	Industrial Select Sector SPDR Fund (XLI)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
5.118	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
5.119	SPDR S&P 500 ETF Trust (SPY)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5.120	Vanguard Value ETF (VTV)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
5.121	Vanguard Growth ETF (VUG)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
5.122	Baron Emerging Markets Fund Instl Class (BEXIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
5.123	Matthews Asia Dividend (MAPIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.124	WCM Focused International Growth Fund Class Instl (WCMIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
5.125	ROYAL BANK OF CANADA, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.126	CATERPILLAR FINL SVCS CORP, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.127	BK OF NOVA SCOTIA, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.128	GENL MILLS INC, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.129	SCHLUMBERGER INVMT, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.130	BK OF MONTREAL, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.131	PNC FINL SERVICES, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.132	CARRIER GLOB CORP, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.133	NIKE INC, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.134	DTE ENERGY CO, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.135	AMER HONDA FIN CORP, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.136	SIMON PPTY GROUP LP, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.137	AMER ELEC POWER CO, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.138	TORONTO-DOMINION BANK, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.139	LOCKHEED MARTIN CORP, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.140	JOHN DEERE CPTL CORP, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.141	COMCAST CORP, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.142	UNITEDHEALTH GROUP INC, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.143	AMERICAN TOWER CORP, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.144	SHELL INTL FIN, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.145	THERMO FISHER SCIENTIFIC, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.146	ABBOTT LABS, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.147	ENBRIDGE INC, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.148	MORGAN STANLEY, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.149	COMCAST CORP, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.150	AMGEN, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.151	VERIZON COMMUNICATIONS, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.152	NIKE INC, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.153	NEXTERA ENERGY CAPITAL, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.154	CVS HEALTH CORP, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.155	ABBVIE INC, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.156	ANHEUSER-BUSCH INBEV, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.157	AT&T INC, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.158	GOLDMAN SACHS GROUP INC, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.159	BANK OF AMER CORP, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.160	WALT DISNEY COMPANY, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.161	ANTHEM INC, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.162	EQUINIX INC, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.163	JPMORGAN CHASE & CO, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.164	ALEXANDRIA REAL ESTATE, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.165	CITIGROUP INC, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.166	NEW YORK STATE MTA, bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.167	NASHVILLE AND DAVIDSON CNTY TN, bonds	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.168	NC HOUSING AUTHORITY, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.169	PENNSYLVANIA ST UNIV, bonds	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.170	VIRGINIA State Res Auth, bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.171	CLACKAMAS CNTY ORE, bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.172	UNIV CO, bonds	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.173	HONOLULU HI CITY CNTY, bonds	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.174	COLORADO State, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.175	UNIV WA, bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.176	UNIV PITTSBURGH PA, bonds	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.177	Renewable Water Resources SC, bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.178	NORTHWEST TX INDPT SCH, bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.179	NEW YORK State Dormitory Authority, bonds	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.180	SAN ANTONIO TX WTR SYST, bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.181	MASSACHUSETTS BAY TRANS, bonds	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.182	FLORIDA ST TPK AUTH TPK, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.183	CALIFORNIA State, bonds	N/A	\$1,001 - \$15,000	Interest Capital Gains	\$1,001 - \$2,500
5.184	CHAMPAIGN CNTY IL, bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.185	SEATTLE WA MUN LT & PWR, bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.186	VIRGINIA COMNWLTH TRANS, bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.187	COLUMBUS OH, bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.188	FREDERICK CNTY MD, bonds	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.189	MASSACHUSETTS State, bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.190	BEXAR CNTY TX, bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.191	SMYRNA TN, bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.192	RALEIGH DURHAM NC, bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.193	LOS ANGELES CNTY CA, bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.194	OREGON ST DEPT TRANS, bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.195	ARLINGTON CNTY VA, bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.196	LEWISVILLE TX INDPT SCH, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.197	WALTON CNTY FL SCH BRD, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.198	WEST VIRGINIA State, bonds	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
5.199	ORLANDO FLA UTILS COMMN, bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
5.200	AB Municipal Income Shares (MISHX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.201	AB Taxable Multi-Sector Income Shares (CSHTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.202	Guggenheim Macro Opportunities Fund Class Institutional (GIOIX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
5.203	TCW Emerging Markets Income Fund Class I (TGEIX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
5.204	Treasury Bonds	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.205	Blackrock Event Driven Equity Fund Class Institutional (BILPX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
5.206	Calamos Market Neutral Income Fund Class I (CMNIX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
5.207	iShares Gold TR (IAU)	Yes	\$100,001 - \$250,000		None (or less than \$201)
5.208	Merck & Co. (MRK)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
5.209	Invesco S&P 500 Low Volatility ETF (SPLV)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
5.210	SPDR S&P Midcap 400 ETF TR (MDY)	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.211	Vaneck Vectors High Yield Municipal Index ETF (HYD)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
5.212	Vanguard FTSE All World Ex-US ETF (VEU)	Yes	None (or less than \$1,001)		\$201 - \$1,000
5.213	Procter & Gamble Co (PG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
5.214	Unilever Plc (UL)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.215	iShares Natl Muni Bond ETF (MUB)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
5.216	Winmark Corp. (WINA)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
5.217	Amgen Inc. (AMGN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
5.218	Primerica, Inc. (PRI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
5.219	FLIR Systems, Inc. (FLIR)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
5.220	MINNESOTA WATER, bonds	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
5.221	DocuSign, Inc. (DOCU)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
5.222	RBC Bearings, Inc. (ROLL)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
5.223	Principal Spectrum Preferred and Capital Securities Income Fund Institutional Class Shares (PPSIX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
5.224	Adidas (ADDDF)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
5.225	Varian Medical Systems, Inc. (VAR)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
5.226	WisdomTree Japan Hedged Equity Fund (DXJ)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
5.227	Vertex Pharmaceuticals, Inc. (VRTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	Brokerage Account #2	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.1	Abbott Laboratories (ABT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.2	Accenture plc CL A (ACN)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$5,001 - \$15,000
6.3	Adobe, Inc. (ADBE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.4	Alphabet, Inc. (GOOGL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.5	Amazon.com, Inc. (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.6	American Electric Power Co., Inc. (AEP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.7	American Tower Corporation (REIT) (AMT)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
6.8	Ameriprise Financial, Inc. (AMP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.9	Amgen Inc. (AMGN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.10	Analog Devices, Inc. (ADI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.11	Apple, Inc. (AAPL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.12	Applied Materials, Inc. (AMAT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.13	Automatic Data Processing, Inc. (ADP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.14	BlackRock, Inc. (BLK)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.15	Boston Scientific Corp. (BSX)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.16	Chubb Ltd (CB)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
6.17	Cisco Systems, Inc. (CSCO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.18	The Coca-Cola Co. (KO)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.19	Comcast Corporation (CMCSA)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
6.20	Costco Wholesale Corp. (COST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.21	Danaher Corp. (DHR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.22	Diageo plc (DEO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.23	Discover Financial Services (DFS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.24	Dollar General Corp. (DG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.25	EOG Resources, Inc. (EOG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.26	Facebook, Inc. (FB)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
6.27	Fidelity National Information Svcs Inc (FIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.28	The Home Depot, Inc. (HD)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
6.29	Honeywell International, Inc. (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.30	Intel Corp. (INTC)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
6.31	Intercontinental Exchange, Inc. (ICE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.32	Johnson & Johnson (JNJ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.33	JPMorgan Chase & Co. (JPM)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$1,001 - \$2,500
6.34	Estee Lauder Cos. (EL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.35	Linde PLC (LIN)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.36	Lockheed Martin Corp. (LMT)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
6.37	Lowe`s Companies Inc (LOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.38	Marsh & McLennan Companies, Inc. (MMC)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
6.39	McDonald's Corp. (MCD)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
6.40	Medtronic Plc (MDT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.41	Microsoft Corp. (MSFT)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$5,001 - \$15,000
6.42	NextEra Energy, Inc. (NEE)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
6.43	Novartis AG (NVS)	N/A	\$1,001 - \$15,000	Dividends	\$2,501 - \$5,000
6.44	O'Reilly Automotive, Inc. (ORLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.45	Parker-Hannifin Corp. (PH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.46	Phillips 66 (PSX)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
6.47	Procter & Gamble Co (PG)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
6.48	Raytheon Technologies Corp (RTX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.49	Republic Services, Inc. (RSG)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
6.50	Rockwell Automation, Inc. (ROK)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
6.51	S&P Global, Inc. (SPGI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.52	salesforce.com, inc. (CRM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.53	The Sherwin-Williams Co. (SHW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.54	Texas Instruments Incorporated (TXN)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
6.55	Thermo Fisher Scientific, Inc. (TMO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.56	TJX Companies Inc (TJX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.57	Truist Financial Corp (TFC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.58	Union Pacific Corp. (UNP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.59	United Parcel Service, Inc. (UPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.60	UnitedHealth Group, Inc. (UNH)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
6.61	VF Corp. (VFC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.62	Visa, Inc. (V)	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.63	Chevron Corp. (CVX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
6.64	Crane Co. (CR)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
6.65	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	None (or less than \$1,001)		\$201 - \$1,000
7	Brokerage Account #3	No			
7.1	U.S. brokerage account (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.2	Invesco Optimum Yield Diversified Commodity Strategy No K-1 ETF (PDBC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.3	iShares 20+ Year Treasury Bond ETF (TLT)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.4	iShares Broad USD High Yield Corporate Bond ETF (USHY)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.5	iShares Broad USD Invt Grade Corporate Bond ETF (USIG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.6	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.7	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.8	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.9	iShares Currency Hedged MSCI Japan ETF (HEWJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.10	iShares iBoxx \$ Inv Grade Corporate Bond ETF (LQD)	Yes	None (or less than \$1,001)		\$201 - \$1,000
7.11	iShares J.P. Morgan USD Emerging Markets Bond ETF (EMB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
7.12	iShares Russell Mid-Cap Value ETF (IWS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.13	iShares MSCI EAFE ETF (EFA)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
7.14	iShares MSCI EAFE Small-Cap ETF (SCZ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.15	Schwab US TIPS ETF (SCHP)	Yes	None (or less than \$1,001)		\$201 - \$1,000
7.16	Vanguard Growth ETF (VUG)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
7.17	Vanguard Mid-Cap Index Fund ETF Shares (VO)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
7.18	Vanguard Russell 1000 Value Index Fund ETF Shares (VONV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.19	Vanguard Russell 2000 Index Fund ETF Shares (VTWO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.20	Vanguard Value Index Fund ETF Shares (VTV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.21	Vanguard Total World STK ETF (VT)	Yes	None (or less than \$1,001)		\$201 - \$1,000
7.22	VanEck Vectors J.P. Morgan EM Local Currency Bond ETF (EMLC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7.23	WisdomTree Japan Hedged Equity Fund ETF (DXJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8	Residential real estate, Alexandria, VA	N/A	\$1,000,001 - \$5,000,000	Rent or Royalties	\$50,001 - \$100,000
9	U.S. bank 1 (cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$2,501 - \$5,000
10	Brokerage Account #4	No			
10.1	Accenture Plc (ACN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.2	Aecom (ACM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.3	AerCap Holdings N.V. (AER)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.4	AIA Group ADR (AAGIY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.5	Air Products & Chemicals, Inc. (APD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.6	Akzo Nobel NV ADR (AZOY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.7	Alcon AG (ALC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.8	Alleghany Corporation (Y)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.9	Allstate Corp (ALL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.10	Ally Financial, Inc. (ALLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.11	Alphabet Inc Class C (GOOG)	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
10.12	Altria Group, Inc. (MO)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.13	American International Group, Inc. (AIG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.14	AmerisourceBergen Corp. (ABC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.15	Annaly Capital Management, Inc. (NLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.16	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.17	Arch Capital Group Ltd. (ACGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.18	Ashtead Group ADR (ASHTY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.19	Assa Abloy ADR (ASAZY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.20	Axalta Coating Systems Ltd. (AXTA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.21	Baker Hughes Co CL A (BKR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.22	Bausch Health Companies Inc (BHC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.23	Berkshire Hathaway Inc. Class B (BRK.B)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.24	BlackRock, Inc. (BLK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.25	Berry Global Group, Inc. (BERY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.26	Brookfield Asset Management Inc (BAM)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.27	Bristol-Myers Squibb Co (BMY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.28	Cameco Corp (CCJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.29	CarMax, Inc. (KMX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.30	Carnival Corp (CCL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.31	Cboe Global Markets, Inc. (CBOE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.32	CDK Global Inc (CDK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.33	Centene Corp. (CNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.34	CenterPoint Energy, Inc. (CNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.35	Church & Dwight Co., Inc.(CHD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.36	Cisco Systems, Inc. (CSCO)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
10.37	CIT Group, Inc. (CIT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.38	Citrix Systems, Inc. (CTXS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.39	Close Brothers Group 25 P Ord ADR (CBGPY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.40	Coca-Cola Europacific Partners PLC (CCEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.41	Credicorp Ltd. (BAP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.42	Dassault Systemes SE (DASTY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.43	Dbs Group Holdings ADR (DBSDY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.44	DISH Network Corp (DISH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.45	Dollar Tree, Inc. (DLTR)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
10.46	eBay, Inc. (EBAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.47	EQT Corp. (EQT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.48	Equitable Holdings Inc (EQH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.49	Erste Group Bank ADR (EBKDY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.50	Euronet Worldwide, Inc. (EFTT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.51	Evergy, Inc. (EVRG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.52	Experian PLC (EXPGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.53	Facebook, Inc. CL A (FB)	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
10.54	Fanuc Corp ADR (FANUY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.55	FedEx Corp. (FDX)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.56	Fidelity National Financial Inc (FNF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.57	Flex Ltd (FLEX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.58	FleetCor Technologies, Inc. (FLT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.59	Fox Corp Class A (FOXA)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
10.60	Gaming & Leisure Properties, Inc. (GLPI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.61	GlaxoSmithKline plc (GSK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.62	Graphic Packaging Holding Co. (GPK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.63	Heineken N.V. (HEINY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.64	HollyFrontier Corp (HFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.65	The Home Depot, Inc. (HD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.66	Huntington Ingalls Industries, Inc. (HII)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.67	IAC/Interactivecorp (IAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.68	ING Groep NV (ING)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.69	JBG SMITH Properties (JBGS)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.70	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.71	Jones Lang LaSalle, Inc. (JLL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.72	KBR, Inc. (KBR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.73	KDDI Corp ADR (KDDIY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.74	Kinross Gold Corporation (KGC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.75	Kraft Heinz Co (KHC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.76	Kubota Corp (KUBTY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.77	Laboratory Corp. of America Holdings (LH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.78	Liberty Sirius XM Group C (LSXMK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.79	Liberty Broadband Corp Series C (LBRDK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.80	LKQ Corporation (LKQ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.81	Loews Corp. (L)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.82	Lowe`s Companies Inc (LOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.83	LVMH Moet Hennessy Louis Vuitton SA ADR (LVMUY)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.84	Magna International Inc. (MGA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.85	Markel Corporation (MKL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.86	Martin Marietta Materials, Inc. (MLM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.87	Marui Group ADR (MAURY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.88	Michelin Compagnie Generale des Etablissements ADR (MGDDY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.89	Molson Coors Beverage Co CL B (TAP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.90	NCR Corporation (NCR)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
10.91	Nestle ADR (NSRGY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.92	NewMarket Corp. (NEU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.93	Nidec Corporation (NJDCY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.94	NiSource, Inc. (NI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.95	Norfolk Southern Corp. (NSC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.96	Novartis AG (NVS)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
10.97	O'Reilly Automotive, Inc. (ORLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.98	OGE Energy Corp. (OGE)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.99	Old Dominion Freight Line, Inc. (ODFL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.100	Old Republic International Corporation (ORI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.101	Organon & Co (OGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.102	Otsuka Holdings Unsponsored ADR (OTSKY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.103	Perrigo Company PLC (PRGO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.104	Pfizer Inc. (PFE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.105	Post Holdings Inc (POST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.106	Progressive Corp (PGR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.107	Reckitt Benckiser ADR (RBGLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.108	Rentokil Initial plc (RTOKY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.109	Safran ADR (SAFRY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.110	Charles Schwab Corporation (SCHW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.111	Sealed Air Corp (SEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.112	Sony Group Corp ADR (SONY)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.113	SS&C Technologies Holdings, Inc. (SSNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.114	Store Capital Corp (STOR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.115	Symrise AG ADR (SYIEY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.116	Texas Instruments Incorporated (TXN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.117	TotalEnergies SE (TTE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.118	UGI Corp. (UGI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.119	UNILEVER N.V. ADR (UL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.120	United Therapeutics Corp. (UTHR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.121	Verizon Communications, Inc. (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.122	Viatis Inc. (VTRS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.123	Visa Inc. CL A (V)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$5,001 - \$15,000
10.124	Vistra Energy Corp. (VST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.125	Vontier Corp (VNT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.126	Williams Companies Inc. (WMB)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.127	First Trust Dow Jones Internet Index (FDN)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
10.128	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
10.129	SPDR S&P 500 ETF Trust (SPY)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
10.130	Vanguard Consumer Discretionary Index Fund ETF (VCR)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.131	Baron Emerging Markets Fund Institutional Shares (BEXIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
10.132	WCM Focused International Growth Fund Institutional Class (WCMIX)	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
10.133	SHELL INTL FIN, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.134	VERIZON COMMUNICATIONS, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.135	CVS HEALTH CORP, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.136	WELLS FARGO & CO, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.137	CITIGROUP INC, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.138	COMCAST CORP, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.139	JPMORGAN CHASE & CO, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.140	GOLDMAN SACHS GROUP INC, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.141	BANK OF AMER CORP, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.142	GENL ELEC CAP CORP, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.143	ENTERPRISE PRODUCTS OPER, bonds	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.144	FNMA, bonds	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.145	Lord Abbett Bond-Debenture Fund, Inc Class F Shares (LBDFX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.146	Principal Spectrum Preferred and Capital Securities Income Fund Class Institutional (PPSIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
10.147	TCW Emerging Markets Income Fund Class I (TGEIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
10.148	Western Asset SMASh Series M Fund (LMSMX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
10.149	Western Asset SMASh Series C Fund (LMLCX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.150	Western Asset SMASh Series Core Plus Completion Fund (LMECX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
10.151	Treasury Bonds	N/A	\$50,001 - \$100,000		None (or less than \$201)
10.152	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.153	Calamos Market Neutral Income Fund Institutional Class (CMNIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.154	Aberdeen Std Physical Precious Metals Bskt Shs ETF (GLTR)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.155	Merck & Co., Inc. (MRK)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.156	SEI Investments Co. (SEIC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.157	Cerner Corp. (CERN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.158	Schlumberger Ltd (SLB)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.159	Nordson Corp. (NDSN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
10.160	Automatic Data Processing, Inc. (ADP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.161	Thor Industries, Inc. (THO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
10.162	Lennox Intl Inc. (LII)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
10.163	Oracle Corporation (ORCL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
10.164	Invesco S&P 500 Low Volatility ETF (SPLV)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
10.165	FHLMCFNMA, bond	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
10.166	FNMAFNMA, bond	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
10.167	Vanguard High-Yield Corporate Fund Admiral Shares (VWEAX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
10.168	Procter & Gamble Co (PG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.169	QUALCOMM, Inc. (QCOM)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
10.170	Cooper Companies Inc New (COO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
10.171	Deere & Co. (DE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
10.172	Colgate Palmolive Co. (CL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.173	Starbucks Corp. (SBUX)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
10.174	MICROSOFT CORP, bond	N/A	None (or less than \$1,001)	Interest Capital Gains	\$201 - \$1,000
10.175	Fair Isaac Corp. (FICO)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
10.176	Roche Hldg Ltd Spons ADR (RHHBY)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
10.177	Rollins, Inc. (ROL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
10.178	Zebra Technologies Corp Cl A (ZBRA)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
10.179	Alibaba Group Hldg Ltd Spon ADR (BABA)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
10.180	Amazon.com, Inc. (AMZN)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
10.181	Amgen Inc. (AMGN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.182	AMN Healthcare Services, Inc. (AMN)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.183	ANSYS, Inc. (ANSS)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
10.184	Aspen Technology Inc. Del. (AZPN)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
10.185	Autodesk, Inc. (ADSK)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
10.186	Berkley W R Corp (WRB)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
10.187	CDW Corp. (CDW)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
10.188	Charles River Laboratories International, Inc. (CRL)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
10.189	Coca Cola Company (KO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.190	Copart, Inc. (CPRT)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
10.191	DocuSign, Inc. (DOCU)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
10.192	Expeditors Intl Wash Inc. (EXPD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
10.193	Factset Resh Systems Inc. (FDS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
10.194	FLIR Systems, Inc. (FLIR)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.195	Henry Jack & Assoc Inc. (JKHY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
10.196	Microsoft Corp. (MSFT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.197	Monster Beverage Corp New Com (MNST)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
10.198	MSCI INC (MCSI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
10.199	Novo Nordisk ADR Denmark ADR (NVO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
10.200	Pool Corp. (POOL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
10.201	Primerica, Inc. (PRI)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$1,001 - \$2,500
10.202	RBC Bearings, Inc. (ROLL)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
10.203	Regeneron Pharmaceuticals, Inc. (REGN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
10.204	Scotts Miracle-Gro Co Cl A (SMG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
10.205	SiteOne Landscape Supply, Inc. (SITE)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
10.206	T. Rowe Price Global Technology Fund	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
10.207	Teradyne, Inc. (TER)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
10.208	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
10.209	Yum! Brands Inc. (YUM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
10.210	NVIDIA Corp. (NVDA)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.211	Yum China Hldgs Inc. (YUMC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
10.212	Matthews Asia Dividend Fund Investor Class (MAPIX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
10.213	Allegion Plc (ALLE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.214	Illumina, Inc. (ILMN)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
10.215	iShares Gold TR (IAU)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
10.216	Varian Medical Systems, Inc. (VAR)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
10.217	DoubleLine Total Return Bond Fund Class I (DBLTX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
10.218	Equifax, Inc. (EFX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.219	Vanguard Communication Services Index Fund ETF Shares (VOX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
10.220	Exponent, Inc. (EXPO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
10.221	Bentley Systems Inc (BSY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
10.222	Boeing Company (BA)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
10.223	Intuitive Surgical, Inc. (ISRG)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
10.224	salesforce.com, inc. (CRM)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.225	Walt Disney Co (DIS)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
10.226	Bright Horizons Family Solutions Inc. (BFAM)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
11	J.M. Gillmore Land Company LLC, Clarke County, Alabama (timber interest)	N/A	\$250,001 - \$500,000	Rent or Royalties	\$2,501 - \$5,000
12	BancorpSouth Bank (BXS)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
13	Child #1 UMTA Account	No			
13.1	U.S. brokerage account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.2	St. Joe Company (JOE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
14	U.S. bank 2 (cash)	N/A	\$500,001 - \$1,000,000	Interest	\$2,501 - \$5,000
15	Child #2 UTMA Account	No			
15.1	St. Joe Company (JOE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
15.2	U.S. brokerage account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
15.3	U.S. bank 3(CD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16	Child #3 UTMA Account	No			
16.1	U.S. brokerage account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.2	St. Joe Company (JOE)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.3	U.S. bank 3 (CD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
17	Brokerage Account #5	No			
17.1	U.S. bank 4 (cash)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
18	US bank 6 (cash)	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000

7. Transactions

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

8. Liabilities

None

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
2.	4	(sale of equity interest in Podcasting company as a result of acquisition of same)

PART	#	ENDNOTE
6.	4.4	Sold after filing.
6.	4.12	Sold after filing.
6.	4.14	Sold after filing.
6.	4.15	Sold after filing.
6.	4.16	Sold after filing.
6.	4.19	Sold after filing.
6.	4.20	Sold after filing.
6.	4.21	Sold after filing.
6.	4.23	Sold after filing.
6.	4.24	Sold after filing.
6.	4.25	Sold after filing.
6.	4.28	Sold after filing.
6.	4.32	Sold after filing.
6.	4.35	Sold after filing.
6.	4.37	Sold after filing.
6.	4.38	Sold after filing.
6.	4.41	Sold after filing.
6.	4.42	Sold after filing.
6.	4.46	Sold after filing.
6.	4.47	Sold after filing.
6.	4.48	Sold after filing.
6.	4.50	Sold after filing.

PART	#	ENDNOTE
6.	4.52	Sold after filing.
6.	4.53	Sold after filing.
6.	4.55	Sold after filing.
6.	4.57	Sold after filing.
6.	4.59	Sold after filing.
6.	4.60	Sold after filing.
6.	4.61	Sold after filing.
6.	4.62	Sold after filing.
6.	4.64	Sold after filing.

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).
