

# Executive Branch Personnel

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

### Filer's Information

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Nides, Tom

Ambassador to Israel, Department of State

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Names of Congressional Committees Considering Nomination:

- Committee on Foreign Relations
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Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Nides, Tom [electronically signed on 04/29/2021 by Nides, Tom in Integrity.gov]

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Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Huitema, David, Certifying Official [electronically signed on 07/27/2021 by Huitema, David in Integrity.gov]

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Other review conducted by

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U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 08/01/2021 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	Morgan Stanley	See Endnote	New York, New York	Corporation	Managing director, vice chairman; member of Operating Committee	3/2013	Present
2	Atlantic Council		Washington, District of Columbia	Non-Profit	Board Member	6/2013	Present
3	Council on Foreign Relations		New York, New York	Non-Profit	Member	6/2014	Present
4	International Rescue Committee		New York, New York	Non-Profit	Board Member	11/2014	Present
5	Partnership for Public Service		Washington, District of Columbia	Non-Profit	Board Member	6/2018	Present
6	Urban Alliance Foundation		Washington, District of Columbia	Non-Profit	Board Member	3/2013	Present
7	Family Trust 1		New York, New York	Trust	Trustee	3/2020	Present
8	Family Trust 2		New York, New York	Trust	Trustee	1/2017	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Morgan Stanley Compensation	N/A		Salary	\$1,308,286
2	Morgan Stanley Deferred Compensation (tracks PIMCO Low Duration Fund)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
3	Morgan Stanley Performance Stock Units (vested)	N/A	\$5,000,001 - \$25,000,000		None (or less than \$201)
4	Morgan Stanley Stock	N/A	\$5,000,001 - \$25,000,000	Dividends	Over \$5,000,000
5	Morgan Stanley 401(k) Plan	No			
5.1	BlckRck S&P 500 Index	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
6	Morgan Stanley, Defined Benefit Plan (value not readily ascertainable); eligible for approx. \$240/mo. beginning age 65	N/A			None (or less than \$201)
7	Morgan Stanley, Annual Bonus	See Endnote		2020 Bonus	\$3,587,500
8	Morgan Stanley, Anticipated Pro Rata Bonus for 2021	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
9	IRA #1	No			
9.1	MORGAN STANLEY BANK NA Money Market Fund (BDPS)	Yes	None (or less than \$1,001)		None (or less than \$201)
9.2	RBC BUFFERED PLUS SX5E (SQAXZ) Note linked to Euro STOXX 50 Index	Yes	\$100,001 - \$250,000		None (or less than \$201)
9.3	MSIF GROWTH A (MSEGX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
10	IRA #2	No			
10.1	MORGAN STANLEY BANK NA Money Market Fund (BDPS)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.2	ISHARES RUSSELL MID-CAP ETF (IWR)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.3	ISHARES CORE MSCI EAFE ETF (IEFA)	Yes	\$100,001 - \$250,000		None (or less than \$201)
10.4	SPDR BLACKSTONE SENIOR LOAN (SRLN)	Yes	\$100,001 - \$250,000		None (or less than \$201)
10.5	COLUMBIA SELECT LG CAP GW I (UMLGX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
10.6	AMERICAN GW FD OF AMERICA F2 (GFFFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
10.7	PARNASSUS ENDEAVOR FUND (PARWX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
10.8	JPMORGAN CHASE & CO FXD TO 042018 VAR THRAFTR 3.6815% Coupon 3.68% Mature 04/22/2061 (TE364)	N/A	\$50,001 - \$100,000		None (or less than \$201)
10.9	JPMORGAN CHASE & CO FXD TO 082023 VAR THRAFTR 6.0000% Coupon 6.00% Mature 04/21/2061 (DX98S)	N/A	\$15,001 - \$50,000		None (or less than \$201)

### 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Morgan Stanley	New York, New York	As part of my annual compensation, I receive performance stock units, which represent approximately 40% of my annual compensation. I am not owed any additional performance stock units, nor do I anticipate receiving any additional performance stock units from Morgan Stanley. My performance stock units are fully vested when granted. These performance units are paid out in shares of company stock and are delivered over a three year period following the grant. Pursuant to company policy, Morgan Stanley provides full payment of the performance shares to departing employees who are required to divest any interest in order to comply with federal, state, or local government financial conflict of interest requirements, and will accelerate my stock payout pursuant to this policy.	2/2017
2	Morgan Stanley	New York, New York	Deferred Compensation Plan: Pursuant to the deferred compensation plan annual cash bonus compensation is deferred into a mutual fund account which as a full career employee is fully vested upon grant. The value is delivered over three years regardless if I am an employee at the Company. I will continue to participate in this plan. There will be no acceleration of payout. Morgan Stanley provides full payment. Past bonuses have gone into this deferred compensation plan, but the 2021 bonus will not.	2/2017
3	Morgan Stanley	New York, New York	Health and Welfare Plans: Pursuant to company policy for all members of the Operating Committee, I and my spouse will retain health insurance coverage for life.	2/2017
4	Morgan Stanley	New York, New York	Defined Benefit Plan: The Company provides a qualified defined benefit plan that pays a benefit of approximately \$240 per month beginning at age 65. I will continue to participate in this defined benefit plan.	2/2017
5	Morgan Stanley	New York, New York	Pro rata Bonus: Pursuant to Company practice, the Company will pay a partial bonus for 2021, for the period Jan. 1 through the date of termination of service, computed based upon months served in 2021 and using last year's bonus amount paid by the Company. The payment will be made before I enter government service.	1/2021

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
6	Morgan Stanley	New York, New York	401(k) Plan: I will continue to participate in this defined contribution plan. The Company will not make any further contributions to the plan for my account after my separation.	2/2017

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Morgan Stanley	New York, New York	Managing director and vice chairman; member of Operating Committee

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Individual Retirement Account	No			
1.1	INVESCO Exchange Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.2	ATT Stock	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	ATT Retirement Savings Plan 401(k)	No			
2.1	ATT Asset Allocation	Yes	\$250,001 - \$500,000		None (or less than \$201)
3	ATT Restricted Stock Units (unvested)	N/A	\$250,001 - \$500,000		None (or less than \$201)
4	Warner Media RSUs (unvested, to be paid out in shares upon vesting)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	Warner Media Restricted Stock (unvested)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	Warner Media Savings Plan 401(k)	No			
6.1	Warner Media Asset Allocation	Yes	\$250,001 - \$500,000		None (or less than \$201)
7	IRA #1	No			
7.1	MORGAN STANLEY BANK NA Money Market Fund (BDPS)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.2	ISHARES RUSSELL MID-CAP ETF (IWR)	Yes	\$250,001 - \$500,000		None (or less than \$201)
7.3	ISHARES CORE MSCI EAFE ETF (IEFA)	Yes	\$100,001 - \$250,000		None (or less than \$201)
7.4	SPDR BLACKSTONE SENIOR LOAN (SRLN)	Yes	\$250,001 - \$500,000		None (or less than \$201)
7.5	COLUMBIA SELECT LG CAP GW I (UMLGX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
7.6	AMERICAN GW FD OF AMERICA F2 (GFFFX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
7.7	PARNASSUS ENDEAVOR FUND (PARWX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
7.8	JPMORGAN CHASE & CO FXD TO 042018 VAR THRAFTR 3.6815% Coupon 3.68% Mature 04/22/2061 (TE364)	N/A	\$100,001 - \$250,000		None (or less than \$201)
7.9	JPMORGAN CHASE & CO FXD TO 082023 VAR THRAFTR 6.0000% Coupon 6.00% Mature 04/21/2061 (DX98S)	N/A	\$50,001 - \$100,000		None (or less than \$201)
8	CNN	N/A		Salary	
9	CNN	N/A		Discretionary Bonus	
10	Warner Media RSUs (unvested, to be paid out in cash upon vesting)	N/A	\$15,001 - \$50,000		None (or less than \$201)



## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Trust #1	No			
1.1	MORGAN STANLEY BANK NA Money Market Fund (BDPS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	ISHARES S&P MID-CAP 400 G ETF (IJK)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.3	SPDR S&P 500 ETF TRUST (SPY)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.4	SPDR S&P DIVIDEND (SDY)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.5	BLACKSTONE ALT MULT-STRAT INST (BXMIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.6	COLUMBIA SELECT LG CAP GW I (UMLGX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
1.7	MATTHEWS ASIA DIVIDEND INV (MAPIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.8	MSIF GROWTH I (MSEQX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.9	MSIF INTL ADVANTAGE PTF I (MFAIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.10	BALTIMORE GAS & ELECTRIC CO Coupon 2.80% Mature 08/15/2022(A47P5)	N/A	\$15,001 - \$50,000	Capital Gains Interest	\$1,001 - \$2,500
2	Separately Managed Acct #1	See Endnote			
2.1	U.S. brokerage (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2	MORGAN STANLEY BANK N.A. Money Market Fund (BDPS)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.3	AT&T INC (T)	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.4	ABBVIE INC COM (ABBV)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
2.5	AMERICAN ELEC PWR CO INC (AEP)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2.6	AMGEN INC (AMGN)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
2.7	BCE INC (BCE)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
2.8	BRITISH AMER TOB SPON ADR (BTI)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
2.9	CDN IMPL BK COMMERCE (CM)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
2.10	CHEVRON CORP (CVX)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
2.11	CISCO SYS INC (CSCO)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
2.12	COCA COLA CO (KO)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.13	CROWN CASTLE INTL CORP (CCI)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
2.14	DIGITAL REALTY TRUST INC (DLR)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.15	DOMINION ENERGY INC (D)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.16	DUKE ENERGY CORPORATION (DUK)	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.17	ENBRIDGE INC (ENB)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
2.18	EXXON MOBIL CORP (XOM)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
2.19	GENERAL MILLS INC (GIS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.20	GILEAD SCIENCE (GILD)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$5,001 - \$15,000
2.21	HUNTINGTON BANCSHARES (HBAN)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
2.22	INTL BUSINESS MACHINES CORP (IBM)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.23	KIMBERLY CLARK CORP (KMB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.24	MERCK & CO INC NEW COM (MRK)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2.25	NATIONAL GRID PLC SPON ADR (NGG)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2.26	PNC FINL SVCS GP (PNC)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
2.27	PPL CORPORATION (PPL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.28	PEPSICO INC NC (PEP)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2.29	PFIZER INC (PFE)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.30	PHILIP MORRIS INTL INC (PM)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
2.31	PUBLIC SERVICE ENTERPRISE GP (PEG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.32	REGIONS FINANCIAL CORP NEW (RF)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
2.33	SOUTHERN CO (SO)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
2.34	TC ENERGY CORP (TRP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.35	3M COMPANY (MMM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.36	TRUIST FINL CORP (TFC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.37	U S BANCORP COM NEW (USB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.38	UNILEVER PLC (NEW) ADS (UL)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2.39	VERIZON COMMUNICATIONS (VZ)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2.40	VODAFONE GROUP PLC (VOD)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
2.41	BRISTOL MYERS SQUIBB CO(BMY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
2.42	JPMORGAN CHASE & CO(JPM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
2.43	EATON CORP PLC SHS (ETN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.44	PNC FINL SVCS GP(PNC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
2.45	UNITED PARCEL SER INC CL-B(UPS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
2.46	REALTY INCOME CORP	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
2.47	VIATRIS INC (VTRS)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
3	Separately Managed Acct #2	No			
3.1	U.S. brokerage (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.2	MORGAN STANLEY BANK N.A. Money Market Fund (BDPS)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.3	AIRBNB INC CL A (ABNB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.4	ALNYLAM PHARMACEUTICALS INC (ALNY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5	AMAZON COM INC (AMZN)	N/A	\$250,001 - \$500,000		None (or less than \$201)
3.6	CARVANA CO CL A (CVNA)	N/A	\$50,001 - \$100,000	Capital Gains	\$15,001 - \$50,000
3.7	CHEWY INC CL A (CHWY)	N/A	\$15,001 - \$50,000	Capital Gains	\$15,001 - \$50,000
3.8	CLOUDFLARE INC CL A (NET)	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
3.9	COUPA SOFTWARE INC (COUP)	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
3.10	DATADOG INC CL A (DDOG)	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.11	DEXCOM INC (DXCM)	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
3.12	DOCUSIGN INC (DOCU)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.13	DOORDASH INC CL A (DASH)	N/A	\$50,001 - \$100,000	Capital Gains	\$201 - \$1,000
3.14	FACEBOOK INC CL-A (FB)	N/A	\$50,001 - \$100,000	Capital Gains	\$1,001 - \$2,500
3.15	FASTLY INC CL A (FSLY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.16	GUARDANT HEALTH INC (GH)	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
3.17	ILLUMINA INC (ILMN)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
3.18	INTUITIVE SURGICAL INC (ISRG)	N/A	\$100,001 - \$250,000	Capital Gains	\$201 - \$1,000
3.19	MODERNA INC (MRNA)	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
3.20	MONGODB INC CL A (MDB)	N/A	\$15,001 - \$50,000	Capital Gains	\$15,001 - \$50,000
3.21	NETFLIX INC (NFLX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.22	NVIDIA CORPORATION (NVDA)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3.23	OKTA, INC CL A (OKTA)	N/A	\$100,001 - \$250,000	Capital Gains	\$15,001 - \$50,000
3.24	PINTEREST INC CL A (PINS)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.25	ROBLOX CORP CL A (RBLX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.26	ROYAL GOLD INC (RGLD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.27	SHOPIFY INC (SHOP)	N/A	\$100,001 - \$250,000	Capital Gains	\$15,001 - \$50,000
3.28	SNAP INC. CL A (SNAP)	N/A	\$100,001 - \$250,000	Capital Gains	\$1,001 - \$2,500
3.29	SNOWFLAKE INC CL A (SNOW)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3.30	SQUARE INC CLASS A (SQ)	N/A	\$100,001 - \$250,000	Capital Gains	\$50,001 - \$100,000
3.31	10X GENOMICS INC CL A (TXG)	N/A	\$15,001 - \$50,000	Capital Gains	\$15,001 - \$50,000
3.32	TRADE DESK INC CLASS A (TTD)	N/A	\$50,001 - \$100,000	Capital Gains	\$50,001 - \$100,000
3.33	TWILIO INC CL A (TWLO)	N/A	\$100,001 - \$250,000	Capital Gains	\$50,001 - \$100,000
3.34	TWITTER INC (TWTR)	N/A	\$100,001 - \$250,000	Capital Gains	\$2,501 - \$5,000
3.35	UBER TECHNOLOGIES INC (UBER)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3.36	UNITY SOFTWARE INC (U)	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
3.37	VEEVA SYS INC CL A (VEEV)	N/A	\$100,001 - \$250,000	Capital Gains	\$2,501 - \$5,000
3.38	WAYFAIR INC (W)	N/A	\$50,001 - \$100,000	Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.39	ZILLOW GROUP INC CL C CAP STK (Z)	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
3.40	ZOOM VIDEO COMMUNICATIONS-A (ZM)	N/A	\$100,001 - \$250,000	Capital Gains	\$50,001 - \$100,000
3.41	ROYALTY PHARMA PLC SHS CLASS A (RPRX)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
3.42	SPOTIFY TECHNOLOGY SA (SPOT)	N/A	\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000
3.43	COSTCO WHOLESALE CORP NEW(COST)	N/A	None (or less than \$1,001)		None (or less than \$201)
3.44	LIVONGO HEALTH INC	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
3.45	ALPHABET INC CL C (GOOG)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
3.46	COVETRUS INC (CVET)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.47	FARFETCH LTD CL A (FTCH)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
3.48	SERVICENOW INC (NOW)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
3.49	SLACK TECHNOLOGIES INC CL A (WORK)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
3.50	MSIF GROWTH I (MSEQX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
4	Separately Managed Acct #3	No			
4.1	MORGAN STANLEY BANK NA Money Market Fund (BDPS)	Yes	\$250,001 - \$500,000		\$201 - \$1,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.2	ANTELOPE VALLEY CALIF UN HIGH SCH DISTCoupon 5.00% Pre-Ref 08/01/2022 @ 100.000 (CU11S)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.3	ARIZONA TRANSPORTATION BOARD SUB HWY REV-ACoupon 5.00% Pre-Ref 07/01/2022 @ 100.000 (A5MP3)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.4	CHESTER CNTY PA GENL OBLIG NTSCoupon 5.00% Pre-Ref 11/15/2021 @ 100.000 (AR1K9)	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
4.5	CONTRA COSTA CALIF CMNTY COLLEGE DIST REFCoupon 4.00% Pre-Ref 08/01/2022 @ 100.000 (A512V)	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
4.6	HAWAII ST GENL OBLIG SER-DZCoupon 5.00% Pre-Ref 12/01/2021 @ 100.000 (E1M91)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.7	HOUSTON TEX UTIL SYS REV COMB UTIL SYS FIRST LIEN-DCoupon 5.00% Pre-Ref 11/15/2021 @ 100.000 (C0B85)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.8	KENT ST UNIV OHIO GEN RCPTS REV- ACoupon 5.00% Pre-Ref 05/01/2022 @ 100.000 (B2M02)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.9	LAKOTA OHIO LOC SCH DISTCoupon 5.00% Pre-Ref 12/01/2022 @ 101.000 (F0CJ6)	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
4.10	LOUISIANA STCoupon 5.00% Pre-Ref 08/01/2022 @ 100.000 (A2Z0R)	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
4.11	MASSACHUSETTS WTR RESOURCES AUTH GEN REV REF SER-CCoupon 5.00% Pre-Ref 08/01/2021 @ 100.000 (B4LK4)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.12	THE METROPOLITAN ST.LOUIS MO SWR DIST WASTEWTR SYS REV-ACoupon 5.00% Pre-Ref 05/01/2022 @ 100.000 (CC52S)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.13	NASSAU CNTY N Y LOC ECONOMIC ASSISTANCE CORP REV Coupon 5.00% Pre-Ref 07/01/2022 @ 100.000 (C4JT1)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.14	NEW HAMPSHIRE ST CAP IMPT-BC Coupon 5.00% Pre-Ref 02/01/2022 @ 100.000 (CA71R)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.15	NEW YORK N Y Coupon 5.00% Pre-Ref 08/01/2021 @ 100.000 (E3RK7)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
4.16	PENNSYLVANIA ST TPK COMMN TPK REV Coupon 5.00% Pre-Ref 12/01/2021 @ 100.000 (BZ3S5)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.17	SOUTH CAROLINA TRANSN INFRASTRUCTURE BK REV REF-AC Coupon 5.00% Pre-Ref 10/01/2021 @ 100.000 (AU04F)	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
4.18	TEXAS TRANSPORTATION COMMISSION HWY IMPT SERIES-A Coupon 5.00% Pre-Ref 04/01/2022 @ 100.000 (A21UJ)	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
4.19	TOLEDO OHIO CITY SCH DIST IMPTREF-BC Coupon 5.00% Pre-Ref 12/01/2022 @ 100.000 (CD6U6)	N/A	\$500,001 - \$1,000,000	Interest	\$5,001 - \$15,000
4.20	UNIVERSITY NEB UNIV REVS REV-BC Coupon 5.00% Pre-Ref 07/01/2022 @ 100.000 (CL9C7)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
4.21	URBANDALE IOWA Coupon 2.00% Pre-Ref 06/01/2021 @ 100.000 (AV85T)	N/A	\$250,001 - \$500,000	Interest	\$2,501 - \$5,000
4.22	UTAH ST GENL OBLIG Coupon 5.00% Pre-Ref 07/01/2022 @ 100.000 (C601H)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
4.23	NEW YORK ST DORM AUTH REVS NONST SUPPOR UNSOLICITED TRADE RATE:N/A/AA 5.000% DUE:2032-10-01	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.24	DELAWARE RIV JT TOLL BRDG COMMN PA BRDG SYS REV REF-A UNSOLICITED TRADE RATE:A1/A 5.000% DUE:2026-07-01	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
4.25	HONOLULU HI CITY & CNTY GENL OBLIG SER-B UNSOLICITED TRADE RATE:AA1/N/A 5.000% DUE:2024-08-01	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
4.26	KING CNTY WASH SCH DIST NO 210FEDERAL W UNSOLICITED TRADE RATE:AAA/N/A 3.000% DUE:2033-12-01	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
4.27	MONROE CNTY N Y INDL DEV CORP REV UNSOLICITED TRADE RATE:AA3/AA- 4.000% DUE:2037-07-01	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
4.28	NEW YORK N Y CITY TRANSITIONALFIN AUTH REV-C -1 UNSOLICITED TRADE RATE:AA1/AAA 4.000% DUE:2038-11-01	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
4.29	PORT ARTHUR TEX INDPT SCH DISTID 09- 01-16 UNSOLICITED TRADE RATE:A1/N/A 4.000% DUE:2034-02-15	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
4.30	WORCESTER MAS MUN PURP LN GENLOBLIG SER-A UNSOLICITED TRADE RATE:AA3/AA- 2.000% DUE:2035-02-01	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
4.31	ALBUQUERQUE NM UN SCH DIST 12 BERN SANDVL CNTS EDU UNSOLICITED TRADE RATE:AA3/AA 5.000% DUE:2029-08-01	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.32	ALLEGHENY CNTY PA SAN AUTH SWRREV UNSOLICITED TRADE RATE:A1/AA 5.000% DUE:2024-12-01	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.33	ATLANTA GA WTR & WASTE WTR REV UNSOLICITED TRADE RATE:AA2/AA- 5.000% DUE:2033-11-01	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
4.34	BETHEL PARK PA SCH DIST REF UNSOLICITED TRADE RATE:AA2/N/A 5.000% DUE:2029-08-01	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.35	CAPE CORAL FLA WTR & SWR REV REF UNSOLICITED TRADE RATE:A1/A+ 5.000% DUE:2029-10-01	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.36	CHESTER PA WTR AUTH WTR REV UNSOLICITED TRADE RATE:AA2/N/A 5.000% DUE:2026-12-01	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.37	COMMONWEALTH MA GENL OBLIG REFB UNSOLICITED TRADE RATE:AA1/AA 5.000% DUE:2033-07-01	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.38	CYPRESS-FAIRBANKS INDEPENDENT SCHOOL DISTRICT REF PSF-GTD UNSOLICITED TRADE RATE:AAA/AAA 5.000% DUE:2028-02-15	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
4.39	FLORIDA ST REF-B UNSOLICITED TRADE RATE:AAA/AAA 5.000% DUE:2026-07-01	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
4.40	FORNEY TEX INDPT SCH DIST ID 06-01-15 UNSOLICITED TRADE RATE:AAA/AAA 5.000% DUE:2032-08-15	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.41	HOUSTON TEX UTIL SYS FIRST LIEN REV REF-C ID 04-01-14 UNSOLICITED TRADE RATE:AA2/AA 5.000% DUE:2025-05-15	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
4.42	JACKSONVILLE FLA SPL REV REF-A UNSOLICITED TRADE RATE:A3/AA 5.000% DUE:2032-10-01	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
4.43	JEA FLA ELEC SYS REV UNSOLICITED TRADE RATE:A3/A 5.000% DUE:2026-10-01	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
4.44	JEA FLA ELEC SYS REV UNSOLICITED TRADE RATE:N/A/N/A 5.000% DUE:2026-10-01	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
4.45	KANSAS ST DEPT TRANSN HWY REV UNSOLICITED TRADE RATE:AA2/AA 5.000% DUE:2032-09-01	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.46	LAMAR CONSOLIDATED INDEPENDENTSCH DIST REF-A UNSOLICITED TRADE RATE:AAA/AAA 5.000% DUE:2028-02-15	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
4.47	LEWISVILLE TEX INDPT SCH DIST REF-B UNSOLICITED TRADE RATE:N/A/AA+ 5.000% DUE:2028-08-15	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.48	MASSACHUSETTS ST DEV FIN AGY REV UNSOLICITED TRADE RATE:A2/A 5.000% DUE:2030-10-01	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.49	MIAMI-DADE CNTY FL CAP ASSET ACQUISTION SPL OBLG REF-A UNSOLICITED TRADE RATE:AA3/AA 5.000% DUE:2030-04-01	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
4.50	MINNESOTA ST ST VAR PURP GENL OBLIG SER-A UNSOLICITED TRADE RATE:AA1/AAA 5.000% DUE:2034-08-01	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
4.51	NEW YORK CITY TRANS FIN AUTH FUTRE TAX-EXEMPT GENL OBLIG-B-1 UNSOLICITED TRADE RATE:AA1/AAA 5.000% DUE:2031-11-01	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
4.52	NEW YORK ST DORM AUTH NEW YORKUNIV SER-A UNSOLICITED TRADE RATE:AA2/AA- 5.000% DUE:2027-07-01	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
4.53	NEW YORK ST TWY AUTH GEN REV-I UNSOLICITED TRADE RATE:A1/A 5.000% DUE:2028-01-01	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
4.54	HAWAII ST GENL OBLIG REF-F-E UNSOLICITED TRADE RATE:AA1/AA+ 5.000% DUE:2027-10-01	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.55	TEXAS ST GENL OBLIG SER-A UNSOLICITED TRADE RATE:AAA/AAA 5.000% DUE:2031-04-01	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.56	TEXAS ST MOBILITY FUND GENL OBLIG REF-B UNSOLICITED TRADE RATE:AAA/AAA 5.000% DUE:2031-10-01	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.57	TEXAS WTR DEV BRD ST WTR IMPT FND REV-A UNSOLICITED TRADE RATE:N/A/AAA 5.000% DUE:2028-04-15	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
4.58	COMMONWEALTH OF MASSACHUSETTS GENL OBLIG CONS LOAN SER-E UNSOLICITED TRADE RATE:AA1/AA 5.000% DUE:2030-09-01	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
4.59	UTIL DEBT NY SEC AUTH RESTRUCTURING REV-B UNSOLICITED TRADE RATE:AAA/AAA 5.000% DUE:2030-12-15	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
4.60	WASHINGTON CNTY ORE SCH DIST NO 48J BEAVERTON SER-B UNSOLICITED TRADE RATE:AA1/AA+ 5.000% DUE:2027-06-15	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
4.61	WASHINGTON ST FOR ISSUES DTD PRIOR TO 02 UNSOLICITED TRADE RATE:AAA/AA+ 5.000% DUE:2034-08-01	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
5	Separately Managed Acct #4	See Endnote	No		
5.1	U.S. brokerage (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.2	MORGAN STANLEY BANK N.A. Money Market Fund (BDPS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	ABBOTT LABORATORIES (ABT)	N/A	None (or less than \$1,001)		None (or less than \$201)
5.4	AIR PROD & CHEM INC (APD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.5	ALEXANDRIA REAL ESTATE EQ INC (ARE)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.6	AMERICAN EXPRESS CO (AXP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.7	AMERISOURCEBERGEN CORP (ABC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.8	AMGEN INC (AMGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.9	ANALOG DEVICES INC (ADI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.10	APPLE INC (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.11	AUTOMATIC DATA PROCESSING INC (ADP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.12	AVALONBAY COMM INC (AVB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.13	BANK OF AMERICA CORP (BAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.14	BECTON DICKINSON & CO (BDX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.15	BEST BUY CO (BBY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.16	BLACKROCK INC (BLK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.17	BOSTON PROPERTIES INC (BXP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.18	BRISTOL MYERS SQUIBB CO (BMY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.19	CME GROUP INC (CME)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.20	CMS ENERGY CP (CMS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.21	CVS HEALTH CORP COM (CVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.22	CAPITAL ONE FINANCIAL CORP (COF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.23	CHEVRON CORP (CVX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.24	CITIGROUP INC NEW (C)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.25	COCA COLA CO (KO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.26	COMCAST CORP (NEW) CLASS A (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.27	CONOCOPHILLIPS (COP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.28	DEERE & CO (DE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.29	DOVER CORP (DOV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.30	EOG RESOURCES INC (EOG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.31	ENTERGY CORP NEW (ETR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.32	FIDELITY NATL INFORMATION SE (FIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.33	ARTHUR J GALLAGHER (AJG)	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.34	GAP INC (GPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.35	GENL DYNAMICS CORP (GD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.36	HARTFORD FIN SERS GRP INC (HIG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.37	HASBRO INC (HAS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.38	HOME DEPOT INC (HD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.39	INTEL CORP (INTC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.40	INTL BUSINESS MACHINES CORP (IBM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.41	JOHNSON & JOHNSON (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.42	ELI LILLY & CO (LLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.43	MARSH & MCLENNAN COS INC (MMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.44	MC DONALDS CORP (MCD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.45	MERCK & CO INC NEW COM (MRK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.46	METLIFE INCORPORATED (MET)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.47	MICROSOFT CORP (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.48	MONDELEZ INTL INC COM (MDLZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.49	MORGAN STANLEY (MS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.50	NEXTERA ENERGY INC (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.51	NORFOLK SOUTHERN CORP (NSC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.52	NORTHERN TRUST CORP (NTRS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.53	NORTHROP GRUMMAN CP(HLDG CO) (NOC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.54	PNC FINL SVCS GP (PNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.55	PPG INDUSTRIES INC (PPG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.56	PARKER HANNIFIN CORP (PH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.57	PEPSICO INC NC (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.58	PFIZER INC (PFE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.59	PHILIP MORRIS INTL INC (PM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.60	T ROWE PRICE GROUP INC (TROW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.61	PROCTER & GAMBLE (PG)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.62	PROGRESSIVE CORP OHIO (PGR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.63	PROLOGIS INC COM (PLD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.64	PUBLIC SERVICE ENTERPRISE GP (PEG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.65	RAYTHEON TECHNOLOGIES CORP (RTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.66	REALTY INCOME CORP (O)	N/A	None (or less than \$1,001)		None (or less than \$201)
5.67	REPUBLIC SERVICES INC (RSG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.68	CHARLES SCHWAB NEW (SCHW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.69	STANLEY BLACK & DECKER INC (SWK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.70	STARBUCKS CORP WASHINGTON (SBUX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.71	SYSCO CORP (SYY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.72	TJX COS INC NEW (TJX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.73	TEXAS INSTRUMENTS (TXN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.74	TRUIST FINL CORP (TFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.75	U S BANCORP COM NEW (USB)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.76	UNITED PARCEL SER INC CL-B (UPS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.77	UNITEDHEALTH GP INC (UNH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.78	V F CORP (VFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.79	VALERO ENERGY CP DELA NEW (VLO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.80	VENTAS INC (VTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.81	VERIZON COMMUNICATIONS (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.82	VORNADO REALTY TRUST (VNO)	N/A	None (or less than \$1,001)		None (or less than \$201)
5.83	WALMART INC (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.84	XCEL ENERGY INC (XEL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.85	ACCENTURE PLC IRELAND CL A (ACN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.86	EATON CORP PLC SHS (ETN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.87	MEDTRONIC PLC SHS (MDT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.88	SEAGATE TECHNOLOGY PLC (STX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.89	TRANE TECHNOLOGIES PLC (TT)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.90	CHUBB LTD (CB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.91	ALTRIA GROUP INC (MO)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6	Separately Managed Acct #5	No			
6.1	MORGAN STANLEY BANK N.A. Money Market Fund (BDPS)	Yes	\$100,001 - \$250,000		None (or less than \$201)
6.2	STANDARD & POORS DEP REC, open position for written call option; 13 options; strike price \$400; exp 05/2021	N/A			None (or less than \$201)
6.3	STANDARD & POORS DEP REC, open position for written call option; 43 options; strike price \$410; exp 05/2021	N/A			None (or less than \$201)
6.4	ISHARES RUSSELL 2000, open position for written call option; 74 options; strike price \$230; exp 06/2021	N/A			None (or less than \$201)
6.5	VANGUARD DIVIDEND, open position for written call option; 13 options; strike price \$152; exp 05/2021	N/A			None (or less than \$201)
6.6	ISHARES RUSSELL MIDCAP I, open position for written call option; 40 options; strike price \$75; exp 05/2021	N/A			None (or less than \$201)
6.7	THE TECHNOLOGY SEL S, open position for written call option; 42 options; strike price \$140; exp 05/2021	N/A			None (or less than \$201)
6.8	ISHARES RUSSELL MID-CAP ETF (IWR)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
6.9	ISHARES RUSSELL 2000 ETF (IWM)	Yes	\$1,000,001 - \$5,000,000		\$2,501 - \$5,000
6.10	SPDR S&P 500 ETF TRUST (SPY)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.11	THE TECHNOLOGY SEL SEC SPDR FD (XLK)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
6.12	VANECK OIL SERVICES (OIH)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.13	VANGUARD DIVIDEND APPRECIATION (VIG)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
6.14	ISHARES IBOXX INVEST GR COR BD(LQD)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
6.15	ENERGY SEL SECT SPDR FD (XLE)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
6.16	CALL IWM 04/16/21 220.000 closed position, written call (IWM)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
6.17	CALL LQD 01/15/21 137.000 closed position, written call (SPOT)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
6.18	CALL LQD 03/19/21 closed position, written call 136.000	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
6.19	CALL VIG 02/19/21 closed position, written call (ORLY)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.20	CALL XLK 01/15/21 closed position, written call (BBIO)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
6.21	CALL XLK 03/19/21 closed position, written call	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
6.22	CALL GXC 03/20/20 closed position, written call (COUP)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.23	CALL GXC 06/19/20 closed position, written call (ABTX)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
6.24	CALL GXC 09/18/20 closed position, written call(LRCX)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.25	CALL IWM 03/20/20 165.000 closed position, written call(GLD)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
6.26	CALL IWM 05/15/20 155.000 closed position, written call(SPX)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
6.27	CALL IWM 05/15/20 160.000 closed position, written call(IBM)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
6.28	CALL IWM 07/17/20 155.000 closed position, written call (TPR)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
6.29	CALL IWR 08/21/20 62.000 closed position, written call (VCR)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
6.30	CALL LQD 10/16/20 140.000 closed position, written call (RDN)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
6.31	CALL LQD 12/18/20 closed position, written call (BAX)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
6.32	CALL OIH 07/17/20 15.000 closed position, written call (DRIO)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
6.33	CALL OIH1 07/17/20 15.000 closed position, written call	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
6.34	CALL SMH 05/15/20 150.000 closed position, written call (CHPT)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
6.35	CALL SPY 03/20/20 315.000 closed position, written call (IFF)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
6.36	CALL SPY 06/19/20 330.000 closed position, written call (IWC)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
6.37	CALL VIG 05/15/20 120.000 closed position, written call	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
6.38	CALL VIG 08/21/20 130.000 closed position, written call	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.39	CALL XLE 07/17/20 36.000 closed position, written call	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
6.40	CALL XLE 09/18/20 38.210 closed position, written call (CSX)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
6.41	CALL XLK 03/20/20 92.000 closed position, written call	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
6.42	CALL XLK 06/19/20 95.000 closed position, written call (KRE)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
6.43	CALL XLK 12/18/20 125.000 closed position, written call(GMS)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
6.44	VANECK SEMICONDUCTOR (SMH)	N/A	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
7	Separately Managed Acct #6	See Endnote	No		
7.1	U.S. brokerage (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
7.2	MORGAN STANLEY BANK N.A. Money Market Fund (BDPS)	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.3	AGNC INVESTMENT CORP (AGNC)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
7.4	AMERICAN EXPRESS CO (AXP)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
7.5	AMERISOURCEBERGEN CORP (ABC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.6	BARRICK GOLD CORP (GOLD)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.7	CIMAREX ENERGY CO (XEC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.8	CISCO SYS INC (CSCO)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.9	DISCOVERY INC SER C (DISCK)	N/A	\$15,001 - \$50,000	Capital Gains	\$15,001 - \$50,000
7.10	EMPIRE ST RLTY TR INC CL A (ESRT)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
7.11	EXELON CORP (EXC)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
7.12	EXXON MOBIL CORP (XOM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.13	FACEBOOK INC CL-A (FB)	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
7.14	GENL DYNAMICS CORP (GD)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
7.15	GLAXOSMITHKLINE PLC ADR (GSK)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
7.16	GLOBE LIFE INC (GL)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
7.17	HARTFORD FIN SERS GRP INC (HIG)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$5,001 - \$15,000
7.18	HONDA MOTOR COMPANY LTD ADR (HMC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.19	INGREDION INC COM (INGR)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
7.20	JOHNSON & JOHNSON (JNJ)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
7.21	KROGER CO (KR)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
7.22	LOWES COMPANIES INC (LOW)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.23	MCKESSON CORP (MCK)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.24	NATL FUEL GAS CO (NFG)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7.25	NATIONAL GRID PLC SPON ADR (NGG)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7.26	OGE ENERGY CORPORATION (OGE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.27	PNC FINL SVCS GP (PNC)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
7.28	PPG INDUSTRIES INC (PPG)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
7.29	PPL CORPORATION (PPL)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7.30	RAYTHEON TECHNOLOGIES CORP (RTX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.31	SANOFI ADR (SNY)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$201 - \$1,000
7.32	CHARLES SCHWAB NEW (SCHW)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
7.33	TARGET CORPORATION (TGT)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
7.34	TOTAL S A ADR (TOT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.35	TRAVELERS COMPANIES INC COM (TRV)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
7.36	TRUIST FINL CORP (TFC)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.37	U S BANCORP COM NEW (USB)	N/A	\$50,001 - \$100,000		None (or less than \$201)
7.38	UNITED PARCEL SER INC CL-B (UPS)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
7.39	VERIZON COMMUNICATIONS (VZ)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
7.40	WALGREENS BOOTS ALLIANCE INC (WBA)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
7.41	WELLS FARGO & CO NEW (WFC)	N/A	\$50,001 - \$100,000		None (or less than \$201)
7.42	WILLIAMS CO INC (WMB)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
7.43	CONOCOPHILLIPS (COP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
7.44	MEDTRONIC PLC SHS (MDT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
7.45	EBAY INC (EBAY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
7.46	ISHARES SHORT TREASURY BD ETF (SHV)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
7.47	PEPSICO INC NC (PEP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
7.48	SYSCO CORP(SYY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
8	Separately Managed Acct #7	No			
8.1	MORGAN STANLEY BANK N.A. Money Market Fund (BDPS)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.2	AMC NETWORKS INC CL A (AMCX)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.3	ABBVIE INC COM (ABBV)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
8.4	AUTODESK INC DELAWARE (ADSK)	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
8.5	BIOGEN INC COM (BIIB)	N/A	\$50,001 - \$100,000		None (or less than \$201)
8.6	BROADCOM INC (AVGO)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
8.7	CERENCE INC (CRNC)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
8.8	CITRIX SYSTEMS INC (CTXS)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.9	COMCAST CORP (NEW) CLASS A (CMCSA)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
8.10	CREE RESEARCH INC (CREE)	N/A	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000
8.11	DISCOVERY INC SER A (DISCA)	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
8.12	DOCUSIGN INC (DOCU)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.13	DOLBY CLA A COM STK (DLB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.14	FIREEYE INC (FEYE)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
8.15	FREEMPORT-MCMORAN CL-B (FCX)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$15,001 - \$50,000
8.16	GUARDANT HEALTH INC (GH)	N/A	\$50,001 - \$100,000		None (or less than \$201)
8.17	IMMUNOGEN INC (IMGN)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.18	IONIS PHARMACEUTICALS INC (IONS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.19	L3HARRIS TECHNOLOGIES INC (LHX)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.20	LIBERTY BROADBAND CORP S-A (LBRDA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.21	LIBERTY BROADBAND CORP S-C (LBRDK)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
8.22	LIBERTY MEDIA C SER A SIRIUSXM (LSXMA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.23	LIBERTY MEDIA C SER C SIRIUSXM (LSXMK)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.24	LIBERTY MEDIA CORP SER C (FWONK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.25	LIBERTY MEDIA CORP SER A (FWONA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.26	LIONS GATE ENTMNT CORP CL B (LGF'B)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.27	NOV INC (NOV)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.28	NOW INC (DNOW)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.29	NUANCE COMMUNICATIONS INC (NUAN)	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
8.30	NUCOR CORPORATION (NUE)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
8.31	QURATE RETAIL INC SER A (QRTEA)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.32	TWITTER INC (TWTR)	N/A	\$50,001 - \$100,000	Capital Gains	\$15,001 - \$50,000
8.33	UNITEDHEALTH GP INC (UNH)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
8.34	VERTEX PHARMACEUTICALS (VRTX)	N/A	\$100,001 - \$250,000		None (or less than \$201)
8.35	WESTERN DIGITAL CORPORATION (WDC)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.36	JOHNSON CTLS INTL PLC (JCI)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.37	MEDTRONIC PLC SHS (MDT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.38	SEAGATE TECHNOLOGY PLC (STX)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$5,001 - \$15,000
8.39	PENTAIR PLC (PNR)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.40	TE CONNECTIVITY LTD NEW (TEL)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.41	ALLERGAN PLC SHS	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
8.42	LIBERTY MEDIA CORP DEL (LSXMZ)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
9	FT Casa Luca DC LLC (restaurant)	N/A	\$15,001 - \$50,000		None (or less than \$201)
10	FT Mare DC LLC (restaurant)	N/A	\$15,001 - \$50,000		None (or less than \$201)
11	FT Casa Luca DC II LLC (restaurant)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	FT Del Mar DC LLC (restaurant)	N/A	\$15,001 - \$50,000		None (or less than \$201)
13	San Lorenzo DC LLC (restaurant)	N/A	\$15,001 - \$50,000		None (or less than \$201)
14	US bank acct #1	No			
14.1	MORGAN STANLEY BANK N.A. Money Market Fund (BDPS)	Yes	\$100,001 - \$250,000		None (or less than \$201)
14.2	MSBNA PREFERRED SAVINGS EMP CASH SWEEP ACCOUNT	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
15	Alternative Investment Acct #1	No			
15.1	MORGAN STANLEY GLOBAL DISTRESSED OPPORTUNITY FUND LP	Yes	\$50,001 - \$100,000		None (or less than \$201)
16	Brokerage Acct #1	No			
16.1	MORGAN STANLEY BANK N.A. Money Market Fund (BDPS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
16.2	AUTOMATIC DATA PROCESSING INC (ADP)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
16.3	CISCO SYS INC (CSCO)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
16.4	COCA COLA CO (KO)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
16.5	CORTEVA INC (CTVA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.6	DOVER CORP (DOV)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
16.7	DOW INC (DOW)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
16.8	DUPONT DE NEMOURS INC (DD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.9	INTL BUSINESS MACHINES CORP (IBM)	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
16.10	MICROSOFT CORP (MSFT)	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
17	Brokerage Acct #2	No			
17.1	MORGAN STANLEY BANK N.A. Money Market Fund (BDPS)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
17.2	CLOROX CO (CLX)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
17.3	HILTON WORLDWIDE HLDGS INC (HLT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
17.4	MARRIOTT INTL INC NEW CL A (MAR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
17.5	UBER TECHNOLOGIES INC (UBER)	N/A	\$100,001 - \$250,000		None (or less than \$201)
17.6	WYNN RESORTS LTD (WYNN)	N/A	\$50,001 - \$100,000		None (or less than \$201)
17.7	ALERIAN MLP ETF (AMLP)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
17.8	US GLOBAL JETS ETF (JETS)	Yes	\$100,001 - \$250,000		None (or less than \$201)
17.9	INVESCO DYNAMIC LEISURE AND EN (PEJ)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
17.10	ISHARES S&P MID-CAP 400 G ETF (IJK)	Yes	\$250,001 - \$500,000		\$201 - \$1,000
17.11	ISHARES CORE S&P SMALL CAP E (IJR)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
17.12	SPDR S&P 500 ETF TRUST (SPY)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.13	ENERGY SEL SECT SPDR FD (XLE)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
17.14	BLACKROCK STRATEGIC INC OPP I (BSIIX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
17.15	MATTHEWS ASIA DIVIDEND INV (MAPIX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
17.16	MATTHEWS CHINA INV (MCHFX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
17.17	MSIF INTL ADVANTAGE PTF I (MFAIX)	Yes	\$1,000,001 - \$5,000,000		\$1,001 - \$2,500
17.18	PIMCO COMM REAL RET STRAT I2 (PCRFX)	Yes	\$500,001 - \$1,000,000		\$5,001 - \$15,000
17.19	ALBUQUERQUE NM UN SCH DIST 12 BERN SANDVL CNTS EDU RATE:AA2/AA 5.000% DUE:2029-08-01	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17.20	BETHEL PARK PA SCH DIST REF RATE:AA2/N/A 5.000% DUE:2029-08-01	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17.21	CAPE CORAL FLA WTR & SWR REV REF RATE:A1/A+ 5.000% DUE:2029-10-01	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17.22	COMMONWEALTH MA GENL OBLIG REF-B RATE:AA1/AA 5.000% DUE:2033-07-01	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17.23	COMMONWEALTH OF MASSACHUSETTS GENL OBLIG CONS LOAN SER-E RATE:AA1/AA 5.000% DUE:2030-09-01	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17.24	CYPRESS-FAIRBANKS INDEPENDENT SCHOOL DISTRICT REF PSF-GTD RATE:AAA/AAA 5.000% DUE:2028-02-15	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17.25	FLORIDA ST REF-B RATE:AAA/AAA 5.000% DUE:2026-07-01	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.26	FORNEY TEX INDPT SCH DIST ID 06-01-15 RATE:AAA/AAA 5.000% DUE:2032-08-15	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17.27	HAWAII ST GENL OBLIG REF-F-E RATE:AA1/AA+ 5.000% DUE:2027-10-01	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17.28	HILLSBOROUGH CNTY FLA UTIL REFREV RATE:AAA/AA+ 3.000% DUE:2033-08-01	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
17.29	JACKSONVILLE FLA SPL REV REF-A RATE:A3/AA 5.000% DUE:2032-10-01	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17.30	JEA FLA ELEC SYS REV RATE:N/A/N/A 5.000% DUE:2026-10-01	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
17.31	JEA FLA ELEC SYS REV RATE:A3/A 5.000% DUE:2026-10-01	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
17.32	KANSAS ST DEPT TRANSN HWY REV RATE:AA2/AA 5.000% DUE:2032-09-01	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17.33	LAMAR CONSOLIDATED INDEPENDENTSCH DIST REF-A RATE:AAA/AAA 5.000% DUE:2028-02-15	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17.34	LEWISVILLE TEX INDPT SCH DIST REFB RATE:N/A/AA+ 5.000% DUE:2028-08-15	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17.35	MARYLAND ST DEPT TRANSN CONS REV RATE:AA1/AAA 3.000% DUE:2034-10-01	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
17.36	MASSACHUSETTS ST DEV FIN AGY REV RATE:A2/A 5.000% DUE:2030-10-01	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
17.37	MIAMI-DADE CNTY FL CAP ASSET ACQUISTION SPL OBLG REF-A RATE:AA3/AA 5.000% DUE:2030-04-01	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17.38	MINNESOTA ST ST VAR PURP GENL OBLIG SER-A RATE:AA1/AAA 5.000% DUE:2034-08-01	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.39	NEW YORK CITY GENL OBLIG SERASUBSER A-1 RATE:AA1/AA 5.000% DUE:2025-08-01	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17.40	NEW YORK ST DORM AUTH NEW YORKUNIV SER-A RATE:AA2/AA- 5.000% DUE:2027-07-01	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
17.41	NEW YORK ST DORM AUTH REVS NONST SUPPOR RATE:N/A/AA 5.000% DUE:2032- 10-01	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17.42	NEW YORK ST DORM AUTH REVS ST SUPPORTED DEBT REV-A RATE:N/A/AA 5.000% DUE:2024-08-15	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17.43	NEW YORK ST DORM AUTH REVS ST SUPPORTED DEBT REV-A RATE:N/A/N/A 5.000% DUE:2024-08-15	N/A	None (or less than \$1,001)		None (or less than \$201)
17.44	NEW YORK ST TWY AUTH STATE PERSONAL INCOME TAX REV TRANS-A RATE:AA1/AA+ 5.000% DUE:2023-03-15	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17.45	PORT ARTHUR TEX INDPT SCH DISTID 09- 01-16 RATE:A1/N/A 4.000% DUE:2034-02-15	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
17.46	TEXAS ST GENL OBLIG SER-A RATE:AAA/AAA 5.000% DUE:2031-04-01	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17.47	TEXAS ST MOBILITY FUND GENL OBLIG REF-B RATE:AAA/AAA 5.000% DUE:2031- 10-01	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
17.48	WASHINGTON ST FOR ISSUES DTD PRIOR TO 02 RATE:AAA/AA+ 5.000% DUE:2034-08- 01	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
18	Brokerage Acct #3 (Alternative Investments Advisory)	No			
18.1	MORGAN STANLEY BANK N.A. Money Market Fund (BDPS)	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.2	ACAP STRATEGIC INTERVAL COMMON (XCAPX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
18.3	BALYASNY ATLAS ENHANCED LP (BAW91)	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
18.4	SPF SECURITIZED PRODUCT LP (BBL12)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
18.5	SEG PARTNERS II LP CLASS I (BBZ75)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
19	Brokerage Acct #4	No			
19.1	MORGAN STANLEY BANK N.A. Money Market Fund (BDPS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
19.2	MORGAN STANLEY (MS)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
19.3	PROSHARES ULTRA OIL & GAS (DIG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
20	Brokerage Acct #5	No			
20.1	MSREF VI INTERNATIONAL (BBF55)	Yes	\$1,001 - \$15,000		None (or less than \$201)
21	Brokerage Acct #6 (Closed Account)	No			
21.1	SPDR S&P 500 ETF TRUST(SPY)	Yes	None (or less than \$1,001)		\$201 - \$1,000

## 7. Transactions

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

## 8. Liabilities

None

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## 9. Gifts and Travel Reimbursements

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

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## Endnotes

PART	#	ENDNOTE
1.	1	Resigned from this position subsequent to the date of filing this report.
2.	7	2020 bonus paid in cash in amount indicated and stock, which is part of Morgan Stanley stock reported in line 4 of this part 2.
6.	2	All assets in this account liquidated subsequent to the date of filing this report.
6.	5	All assets in this account liquidated subsequent to the date of filing this report.
6.	7	All assets in this account liquidated subsequent to the date of filing this report.

# 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).

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