

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Kennedy, Caroline B.

Ambassador to Australia, Department of State

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- Committee on Foreign Relations
-

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/ Kennedy, Caroline B. [electronically signed on 07/27/2021 by Kennedy, Caroline B. 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/ Huitema, David, Certifying Official [electronically signed on 01/13/2022 by Huitema, David in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 01/19/2022 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	The Boeing Company	Chicago, Illinois	Corporation	Director	8/2017	1/2021
2	Carnegie Corporation	New York, New York	Corporation	Trustee	3/2018	Present
3	US-Japan Foundation	New York, New York	Foundation	Director	1/2017	Present
4	International Rescue Committee	New York, New York	Humanitarian organization	Board of Advisors	7/2018	Present
5	Asia Society	New York, New York	Non-Profit	Trustee	11/2017	11/2020
6	Joseph P. Kennedy, Jr. Foundation	Washington, District of Columbia	Non-Profit	Director	1/2000	8/2019
7	Article 4th Trusts FBO of RS, TS, and JS (Family Trust #1)	New York, New York	Trust	Trustee	7/1999	Present
8	Article 5th Trusts FBO of RS, TS, and JS (Family Trust #2)	New York, New York	Trust	Trustee	7/1999	Present
9	KS 2012 Family Trust FBO Children (Family Trust #3)	New York, New York	Trust	Trustee	11/2012	Present
10	Caroline B. Kennedy 1982 Trust (revocable)	New York, New York	Trust	Trustee	1/1982	Present
11	National Broadcasting Company, Inc. (NBC)	New York, New York	Corporation	Contributor	1/2021	5/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	The Boeing Company, Restricted Stock Units (vested)	N/A	\$250,001 - \$500,000		None (or less than \$201)
2	The Boeing Company	N/A		Directors Cash Fees	\$168,750
3	ROTH IRA	No			
3.1	GS SHORT DURATION INCOME FUND	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.2	US bank (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
4	SEP IRA	No			
4.1	GS SHORT DURATION INCOME FUND	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.2	US bank (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
5	National Association of Realtors - 2/26/20	N/A		Honorarium	\$125,000
6	Vanderbilt University - 4/30/2021	N/A		Honorarium	\$125,000
7	A Family Of Poems: My Favorite Poetry for Children, Hyperion (value not readily ascertainable)	N/A		Rent or Royalties	\$2,501 - \$5,000
8	A Patriot's Handbook: Songs, Poems, Stories, and Speeches Celebrating the Land We Love, Hyperion (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000
9	Best Loved Poems Of JKO, Hyperion (value not readily ascertainable)	N/A		Rent or Royalties	\$201 - \$1,000
10	Fabbit, Co. Ltd. - 11/24/2020	N/A		Honorarium	\$50,000
11	Center for Strategic and International Studies - 12/14/2020	N/A		Honoarium	\$1,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	Center for Strategic and International Studies - 7/16/2020	N/A		Honorarium	\$1,500
13	RAND Corporation - 2/23/21	N/A		Honorarium	\$1,000
14	AICPA (Association of International Certified Professional Accountants) - 7/31/2020	N/A		Honorarium	\$80,750
15	National Broadcasting Company, Inc. (NBC), contributor fee receivable See endnote - 1/1/2021 - 5/1/2021	See Endnote	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	The Boeing Company	Chicago, Illinois	Position terminated as of January 13, 2021. Pursuant to The Boeing Company Deferred Compensation Plan for Directors (the "Plan"), I received a portion of my director's fees in the form of Restricted Stock Units valued at the closing price for Boeing stock as of the date of grant. Under the Plan, I will receive in January 2022 shares of common stock in Boeing equal to the aggregate number of Restricted Stock Units previously issued to me. I then will sell my shares for cash within the allowed time under my Ethics Agreement.	9/2017

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	The Boeing Company	Chicago, Illinois	Director. Served on the following committees: Audit, Compensation, Finance, Governance and Nominating Committees.
2	Ringling College Library Association	Sarasota, Florida	Keynote remarks at lecture series

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
3	United States Conference of Mayors	Washington, District of Columbia	Annual meeting keynote in Honolulu, HI
4	Emmanuel College	Boston, Massachusetts	Centennial Convocation Keynote
5	Judson University World Leaders Forum	Elgin, Illinois	Remarks at annual speaking event in Schaumburg, IL
6	National Association of Realtors	Chicago, Illinois	Annual conference keynote in Miami, FL
7	Fabbit, Co. Ltd.	Tokyo, Outside U.S.	Virtual Q&A for business meeting
8	Vanderbilt University	Nashville, Tennessee	Class Day speaker
9	Association of Certified Professional Accountants	Durham, North Carolina	Virtual remarks at annual conference

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Edwin Schlossberg Incorporated (Design) See Endnote	N/A		salary	
2	NBBJ PLLC NY (Design)	N/A		salary	
3	School of Visual Arts (Design)	N/A		salary	
4	ES Art Sales (Art)	N/A	\$100,001 - \$250,000	Art Sales	
5	Edwin Schlossberg Incorporated ("ESI") (ESI sold its entire business to NBBJ PLLC in February 2020 and ceased all business operations at that time. It is now a shell company that is in the process of dissolving and terminating its existence.)	N/A	\$250,001 - \$500,000	Capital Gains	Over \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	IRA R/O, no remaining assets	See Endnote		cash payments	\$637,297
7	NBBJ 401(k)	No			
7.1	American Fd American Bal R6	Yes	\$15,001 - \$50,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	1959 Trust Brokerage 1	No			
1.1	GS SHORT DURATION INCOME FUND CLASS P	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
1.2	U.S. brokerage money market account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	1959 Trust Brokerage 2	No			
2.1	U.S. brokerage (cash)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
3	1959 Trust Brokerage 3 (BONDS)	No			
3.1	AECOM 5.125% 03/15/2027 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.2	AIR LEASE CORP 3.375% 07/01/2025 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.3	ALBERTSONS COS INC / SAFEWAY I 4.625% 01/15/2027 USD PVT REGS SR LIEN NEW ALBERTSONS LP / ALBERTSONS	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.4	ARCELORMITTAL SA 4.25% 07/16/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5	AUTONATION INC 4.5% 10/01/2025 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.6	B.A.T. CAPITAL CORPORATION 4.7% 04/02/2027 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.7	BALL CORPORATION 2.875% 08/15/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.8	BANK OF NOVA SCOTIA (THE) HYBRID PERPETUAL USD SUB LIEN CPN 06/04/20 4.9%	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.9	BOEING CO 2.7% 02/01/2027 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.10	BOOZ ALLEN HAMILTON INC 3.875% 09/01/2028 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.11	BP CAPITAL MARKETS P.L.C. HYBRID PERPETUAL USD SUB LIEN CPN 06/22/20 4.875%	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.12	BROADCOM INC. 5.0% 04/15/2030 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.13	CALPINE CORP 4.5% 02/15/2028 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.14	CARRIER GLOBAL CORPORATION 2.722% 02/15/2030 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.15	CCO HOLDINGS, LLC 5.125% 05/01/2027 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.16	CDW LLC/CDW FINANCE 3.25% 02/15/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.17	CENTENE CORP 2.45% 07/15/2028 SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.18	CENTENE CORP 3.0% 10/15/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.19	CENTENE CORPORATION 4.625% 12/15/2029 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.20	CENTRAL GARDEN & PET CO 4.125% 10/15/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.21	CHENIERE ENERGY PARTNERS, L.P. 4.5% 10/01/2029 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.22	CIT GROUP INC. 5.25% 03/07/2025 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.23	CMS ENERGY CORPORATION HYBRID 06/01/2050 USD JR SUB LIEN CPN 05/28/20 4.75%	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.24	CROWN AMERICAS LLC 4.25% 09/30/2026 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.25	ENBRIDGE INC. HYBRID 07/15/2080 USD SER 20-A SUB LIEN CPN 07/08/20-07/14/30 5.75%	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.26	ENERGY TRANSFER PARTNERS, L.P. 4.9% 02/01/2024 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.27	ENPRO INDUSTRIES, INC. 5.75% 10/15/2026 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.28	EXPEDIA GROUP, INC. 3.8% 02/15/2028 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.29	GENERAL ELECTRIC CO 3.625% 05/01/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.30	GENERAL MOTORS FINANCIAL COMPA 4.35% 04/09/2025 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.31	GLOBAL PAYMENTS INC. 3.2% 08/15/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.32	GMAC INC. 8.0% 11/01/2031 USD SER B SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.33	GO DADDY OPERATING CO LLC / GD 5.25% 12/01/2027 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.34	HASBRO INC 3.9% 11/19/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.35	HCA INC 3.5% 09/01/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.36	HILLENBRAND INC 5.75% 06/15/2025 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.37	HILTON DOMESTIC OPERATING CO I 4.875% 01/15/2030 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.38	HOWMET AEROSPACE INC 6.875% 05/01/2025 USD SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
3.39	HUNTSMAN INTERNATIONAL L 4.5% 05/01/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.40	IRON MOUNTAIN INCORPORATED 4.5% 02/15/2031 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.41	JEFFERIES GRP LLC / CAP 4.15% 01/23/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.42	KIMCO REALTY CORPORATION 2.7% 10/01/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.43	KRAFT HEINZ FOODS CO 4.625% 01/30/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.44	LAMAR MEDIA CORP 3.75% 02/15/2028 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.45	LEVEL 3 FINANCING INC 4.625% 09/15/2027 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.46	MARRIOTT INTERNATIONAL, INC 5.75% 05/01/2025 USD SER EE SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.47	MDC HOLDINGS INC 2.5% 01/15/2031 SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.48	MGM GROWTH PROPERTIES OPERATING 4.5% 09/01/2026 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.49	MGM RESORTS INTERNATIONAL 6.75% 05/01/2025 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.50	MICROCHIP TECHNOLOGY INCORPORATED 4.25% 09/01/2025 USD	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.51	MPLX LP 4.125% 03/01/2027 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.52	MPLX LP 4.8% 02/15/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.53	MPT OPERATING PARTNERSHIP, L.P 3.5% 03/15/2031 USD SR LIEN MPT FINANCE CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.54	MPT OPERATING PARTNERSHIP, L.P 5.0% 10/15/2027 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.55	MUELLER WATER PRODUCTS 5.5% 06/15/2026 PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.56	MURPHY OIL USA, INC. 4.75% 09/15/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.57	NAVIENT CORP 4.875% 03/15/2028 SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.58	NETFLIX, INC. 6.375% 05/15/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.59	NEWELL RUBBERMAID INC. STEP 04/01/2026 USD SR LIEN 4.7% 04/01/20-04/01/26	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.60	NRG ENERGY, INC. 5.75% 01/15/2028 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.61	NUSTAR LOGISTICS LP 5.75% 10/01/2025 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.62	OCCIDENTAL PETROLEUM COR 8.0% 07/15/2025 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.63	PARTNERRE FINANCE B LLC HYBRID 10/01/2050 USD JRSUB LIEN CPN 09/22/20- 09/30/30 4.5%	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.64	PENSKE AUTOMOTIVE GROUP 3.5% 09/01/2025 USD SRSUB LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.65	PLAINS ALL AMERICAN PIPELINE, 4.65% 10/15/2025 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.66	PRUDENTIAL FINANCIAL, INC. HYBRID 06/15/2043 USD JRSUB LIEN CPN 11/19/12 5.625%	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.67	QORVO, INC. 4.375% 10/15/2029 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.68	QUANTA SERVICES INC 2.9% 10/01/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.69	SEAGATE HDD CAYMAN 3.375% 07/15/2031 PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.70	SILGAN HOLDINGS INC 4.125% 02/01/2028 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.71	SIRIUS XM RADIO INC 5.0% 08/01/2027 USD SER PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.72	SOUTHERN COMPANY (THE) HYBRID 01/15/2051 USD SER B JRSUB LIEN CPN 09/18/20 4.0%	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.73	SPIRIT REALTY LP 4.0% 07/15/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.74	SPRINGLEAF FINANCE CORPORATION 5.375% 11/15/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.75	SPRINT CORP 7.625% 02/15/2025 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.76	SUNOCO LP 6.0% 04/15/2027 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
3.77	SYNCHRONY FINANCIAL 3.7% 08/04/2026 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.78	SYNCHRONY FINANCIAL 4.5% 07/23/2025 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.79	SYSCO CORPORATION 5.95% 04/01/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.80	TALEN ENERGY SUPPLY, LLC 6.625% 01/15/2028 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.81	TEGNA INC. 5.0% 09/15/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.82	TEXTRON INC. 3.65% 03/15/2027 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.83	T-MOBILE USA INC 2.875% 02/15/2031 SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.84	T-MOBILE USA, INC. 3.375% 04/15/2029 SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.85	TRANSCANADA TRUST HYBRID 08/15/2076 USD SER 16-A SUB LIEN CPN 08/11/16 5.875%	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.86	TREEHOUSE FOODS INC 4.0% 09/01/2028 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.87	TRI POINTE GROUP INC 5.7% 06/15/2028 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.88	TRINET GROUP INC 3.5% 03/01/2029 PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.89	TWILIO INC. 3.625% 03/15/2029 SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.90	TWITTER, INC. 3.875% 12/15/2027 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.91	U.S. brokerage money market account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.92	UNITED RENTALS NORTH AM 3.875% 02/15/2031 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.93	VALVOLINE INC 4.25% 02/15/2030 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.94	VEREIT OPERATING PARTNER 3.4% 01/15/2028 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.95	VISTRA OPERATIONS COMPANY LLC 5.625% 02/15/2027 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.96	WALGREENS BOOTS ALLIANCE 3.2% 04/15/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.97	WELLS FARGO & COMPANY HYBRID PERPETUAL USD SER BB JRSUB LIEN CPN 01/26/21 3.9%	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.98	WESCO DISTRIBUTION INC 7.125% 06/15/2025 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.99	WESTERN DIGITAL CORP 4.75% 02/15/2026 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.100	XEROX HOLDINGS CORP 5.0% 08/15/2025 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.101	YUM! BRANDS, INC 3.625% 03/15/2031 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.102	ZIMMER BIOMET HOLDINGS 3.55% 03/20/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	1959 Trust Brokerage 4	No			
4.1	AKRON N Y CENT SCH DIST GO 4% 06/01/22 JD	N/A	None (or less than \$1,001)	Capital Gains Interest	\$1,001 - \$2,500
4.2	BROOKLYN ARENA LOCAL DEV CORP REV 6.2500% 07/15/40-CA JJ PILOT REVENUE BDS, SER 2009 BEO Distribution of funds and removal of securities resulting from full call	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
4.3	DORM AUTH OF THE STATE OF NY REV 5.0000% 02/15/26 FA PERSONAL INCOME TAX REV BONDS GENERAL PURPOSE SER 2017B Gross Coupon Interest On 80,000 @ 0.02500000 DORM AUTH OF THE STATE OF NY	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
4.4	HEMPSTEAD TOWN N Y GO 5% 06/15/25 JD PUB IMPT BDS 2018 A LT BEO Gross Coupon Interest On 80,000 @ 0.02500000 HEMPSTEAD TOWN N Y GO 5% 06/	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
4.5	LONG BEACH N Y CITY SCH DIST GO 4% 05/01/26 MN REF BDS 2017 LT BEO Gross Coupon Interest On 75,000 @ 0.02000000 LONG BEACH N Y CITY SCH DIST	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
4.6	MOUNT MARKHAM CENT SCH DIST N GO 5% 06/15/24 JD	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
4.7	N Y ST DORM AUTH REVS ST REV 5.0000% 07/01/23-CA JJ	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
4.8	NEW YORK N Y CITY TRANSITIONAL REV 5% 07/15/25 JJ	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
4.9	NEW YORK N Y CITY TRANSITIONAL REV 5.0000% 07/15/21 JJ	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.10	NEW YORK N Y FOR PRIOR ISSUES GO 5% 08/01/21 FA SEE 64966H ETC SER F BEO	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
4.11	NEW YORK N Y GO 5% 08/01/21 FA	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
4.12	NEW YORK ST DORM AUTH SALES REV 5% 03/15/24 MS	N/A	None (or less than \$1,001)	Capital Gains Interest	\$2,501 - \$5,000
4.13	NEW YORK ST DORM AUTH SALES REV 5% 03/15/25 MS	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
4.14	NEW YORK ST DORM AUTH SALES REV 5% 03/15/26 MS TAX REV ST SUPPORTEDDEBT REV BDS 2017 A BEO SR LIEN Gross Coupon Interest On 100,000 @ 0.02500000 NEW YORK ST DORM AUTH SALES	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
4.15	NEW YORK ST TWY AUTH GEN REV REV 5% 01/01/23 JJ	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
4.16	NEW YORK ST TWY AUTH GEN REV REV 5.0000% 01/01/42 JJ GEN REV BDS SERIES I PRERE 01/01/22 BEO Gross Coupon Interest On 110,000 @ 0.02500000 NEW YORK ST TWY AUTH GEN REV	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
4.17	NEW YORK ST URBAN DEV CORP REV REV 5% 03/15/20 MS ST PERS INCOME TAX REV BDS 2017 A BEO SR LIEN Gross Coupon Interest On 100,000 @ 0.02500000 NEW YORK ST URBAN DEV CORP R	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
4.18	NEW YORK ST URBAN DEV CORP REV REV 5% 03/15/23 MS	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
4.19	NEW YORK STATE METROPOLITAN REV 5.5000% 11/15/20 MN TRANSN AUTH TRANSN-SER A FSA BEO Gross Coupon Interest On 100,000 @ 0.02750000 NEW YORK STATE METROPOLITAN	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.20	NY ENVIRONMENTAL FACIL CORP REV 5.0000% 06/15/23 JD NYC MUNICIPAL WATER FIN AUTH SECOND RESOL BONDS SUB LIEN Gross Coupon Interest On 100,000 @ 0.02500000 NY ENVIRONMENTAL FACIL CORP	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
4.21	NYC TRANS FIN AUTH REV 5.0000% 08/01/27 FA FUT TX SECURED SUB BDS FISCAL 2018 SR B SUB B-1 Gross Coupon Interest On 50,000 @ 0.02500000 NYC TRANS FIN AUTH REV 5.000	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
4.22	PORT CHESTER N Y GO 5% 02/15/22 FA PUB IMPT SERIAL BDS 2017 A LT BEO Gross Coupon Interest On 100,000 @ 0.02500000 PORT CHESTER N Y GO 5% 02/15	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
4.23	THE CITY OF NEW YORK GO 5.0000% 08/01/24 FA GENERAL OBLIGATION BONDS FISCAL 2018 SUBSERIES B-1 Gross Coupon Interest On 55,000 @ 0.02500000 The City of New York GO 5.00	N/A	None (or less than \$1,001)	Capital Gains Interest	\$2,501 - \$5,000
4.24	TRIBOROUGH BRIDGE&TUNNEL AUTH REV 5.0000% 11/15/21 MN GENERAL REV BONDS SER 2015A BEO Gross Coupon Interest On 115,000 @ 0.02500000 TRIBOROUGH BRIDGE&TUNNEL AUT	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
4.25	WESTHILL CENT SCH DIST N Y GO 2% 06/26/20 JD GEDDES & ONONDAGA BD ANTIC NTS 2019 ETM Accrued interest on 80,000 WESTHILL CENT SCH DIST N Y G . GS AB4OKA	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
5	1959 Trust Brokerage 5	No			
5.1	ALPHABET INC. CMN CLASS A	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.2	AMAZON.COM INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.3	AMERICAN EXPRESS CO. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.4	AMERICAN TOWER CORPORATION CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.5	APPLE INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.6	AT&T INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.7	BRISTOL-MYERS SQUIBB COMPANY CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.8	CHARLES SCHWAB CORPORATION CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.9	CISCO SYSTEMS, INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.10	DANAHER CORPORATION CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.11	ELI LILLY & CO CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.12	ESTEE LAUDER COS INC CL-A CMN CLASS A	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.13	FIRST REPUBLIC BANK CMN SERIES	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.14	HONEYWELL INTL INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.15	HUMANA INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.16	ILLINOIS TOOL WORKS CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.17	INTERCONTINENTAL EXCHANGE INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.18	JOHNSON & JOHNSON CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.19	JPMORGAN CHASE & CO CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.20	LINDE PLC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.21	MASTERCARD INCORPORATED CMN CLASS A	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.22	MC DONALDS CORP CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.23	MICROSOFT CORPORATION CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.24	MONDELEZ INTERNATIONAL, INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.25	NEXTERA ENERGY, INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.26	NIKE CLASS-B CMN CLASS B	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.27	QUALCOMM INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.28	ROCKWELL AUTOMATION INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.29	ROSS STORES, INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.30	SHERWIN-WILLIAMS CO CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.31	TEXAS INSTRUMENTS INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.32	U.S. brokerage money market account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.33	UNION PACIFIC CORP. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.34	WALMART INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.35	WALT DISNEY COMPANY (THE) CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.36	WORKDAY, INC. CMN CLASS A	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	1959 Trust Brokerage 6 (STOCKS)	No			
6.1	ALLY FINANCIAL INC. HYBRID PERPETUAL SER B JRSUB LIEN CPN 04/22/21 4.7%	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.2	ALLY FINANCIAL INC. HYBRID PERPETUAL SER C JRSUB LIEN CPN 06/02/21 4.7%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.3	AMERICAN EXPRESS COMPANY HYBRID PERPETUAL USD SER B SUB LIEN CPN 05/17/21-08/15/21 3.58388%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.4	AT&T INC. PFD USD1.2500(5.00%) SERIES A	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.5	BANK OF AMERICA CORPORATION HYBRID PERPETUAL USD SER AA JRSUB LIEN CPN 03/17/15 6.1%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.6	BANK OF AMERICA CORPORATION HYBRID PERPETUAL USD SER DD JRSUB LIEN CPN 03/10/16-03/09/26 6.3%	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.7	BANK OF AMERICA CORPORATION HYBRID PERPETUAL USD SER Z SUB LIEN CPN 10/23/14-10/22/24 6.5%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.8	BANK OF NEW YORK MELLON CORPOR HYBRID PERPETUAL USD SER G JRSUB LIEN CPN 05/19/20 4.7%	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.9	BANK OF NEW YORK MELLON CORPOR HYBRID PERPETUAL USD SER H JRSUB LIEN CPN 11/03/20-03/19/26 3.7%	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.10	BANK OF NOVA SCOTIA (THE) HYBRID PERPETUAL USD SUB LIEN CPN 06/04/20 4.9%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.11	BP CAPITAL MARKETS P.L.C. HYBRID PERPETUAL USD SUB LIEN CPN 06/22/20 4.875%	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.12	CAPITAL ONE FINANCIAL CORP PFD USD1.2500(5.00%) SERIES I	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.13	CAPITAL ONE FINANCIAL CORPORAT HYBRID PERPETUAL USD SER E SUB LIEN CPN 06/01/21-08/31/21 3.93463%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.14	CENTERPOINT ENERGY, INC HYBRID PERPETUAL USD SER A SR LIEN CPN 08/22/18 6.125%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.15	CHARLES SCHWAB CORPORATION (TH HYBRID PERPETUAL USD SER G JRSUB LIEN CPN 04/30/20 5.375%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.16	CHARLES SCHWAB CORPORATION (TH HYBRID PERPETUAL USD SER H JRSUB LIEN CPN 12/11/20 4.0%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.17	CHARLES SCHWAB CORPORATION (TH HYBRID PERPETUAL USD SER I JRSUB LIEN CPN 03/18/21 4.0%	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.18	CIT GROUP INC. HYBRID PERPETUAL USD SER A JRSUB LIEN CPN 06/07/17 5.8%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.19	CITIGROUP INC. HYBRID PERPETUAL SER T SUB LIEN CPN 04/25/16 6.25%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.20	CITIGROUP INC. HYBRID PERPETUAL USD JRSUB LIEN CPN 02/18/21 3.875%	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.21	CITIGROUP INC. HYBRID PERPETUAL USD SER U JRSUB LIEN CPN 09/12/19 5.0%	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.22	CITIGROUP INC. HYBRID PERPETUAL USD SER W JRSUB LIEN CPN 12/10/20-12/09/25 4.0%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.23	CITIZENS FINANCIAL GROUP, INC. HYBRID PERPETUAL SER G JRSUB LIEN CPN 06/11/21 4.0%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.24	CITIZENS FINANCIAL GROUP, INC. HYBRID PERPETUAL USD SER F JRSUB LIEN CPN 06/04/20 5.65%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.25	CITIZENS FINANCIAL GROUP, INC. PFD USD1.2500(5.00%) SERIES E	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.26	CMS ENERGY CORPORATION HYBRID 06/01/2050 USD JRSUB LIEN CPN 05/28/20 4.75%	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.27	CMS ENERGY CORPORATION HYBRID 12/01/2050 USD JRSUB LIEN CPN 11/25/20 3.75%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.28	COMERICA INCORPORATED HYBRID PERPETUAL USD JRSUB LIEN CPN 05/26/20 5.625%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.29	DISCOVER FINANCIAL SERVICES HYBRID PERPETUAL USD SER D JRSUB LIEN CPN 06/22/20 6.125%	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.30	DOMINION ENERGY, INC. HYBRID PERPETUAL USD SER B SR LIEN CPN 12/13/19 4.65%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.31	DUKE ENERGY CORPORATION HYBRID PERPETUAL USD SR LIEN CPN 09/12/19 4.875%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.32	EDISON INTERNATIONAL HYBRID PERPETUAL SER A JR SUB LIEN CPN 03/09/21 5.375%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.33	EMERA INCORPORATED HYBRID 06/15/2076 USD SUB LIEN CPN 06/16/16 6.75%	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.34	ENBRIDGE INC. HYBRID 07/15/2080 USD SER 20-A SUB LIEN CPN 07/08/20-07/14/30 5.75%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.35	ENERGY TRANSFER OPERATING LP FRN 11/01/2066 USD SER B USLIB 3MO +301.75BP SUB LIEN CPN 08/01/19 5.270630%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.36	EQUITABLE HOLDINGS, INC. HYBRID PERPETUAL USD SER B JR SUB LIEN CPN 08/11/20 4.95%	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.37	FIFTH THIRD BANCORP HYBRID PERPETUAL USD SER L JR SUB LIEN CPN 07/30/20 4.5%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.38	HUNTINGTON BANCSHARES INCORPORATED HYBRID PERPETUAL USD SER F JR SUB LIEN CPN 06/03/20 5.625%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.39	HUNTINGTON BANCSHARES INCORPORATED HYBRID PERPETUAL USD SER G JR SUB LIEN CPN 08/10/20 4.45%	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.40	JPMORGAN CHASE & CO. HYBRID PERPETUAL SER KK JRSUB LIEN CPN 05/12/21 3.65%	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.41	JPMORGAN CHASE & CO. HYBRID PERPETUAL USD SER FF JRSUB LIEN CPN 07/31/19 5.0%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.42	JPMORGAN CHASE & CO. HYBRID PERPETUAL USD SER S JRSUB LIEN CPN 01/22/14 6.75%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.43	JPMORGAN CHASE & CO. HYBRID PERPETUAL USD SER Z SUB LIEN CPN 05/03/21-08/01/21 3.97563%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.44	KKR GROUP FINANCE CO. IX LLC PFD USD1.1562(4.62%) SERIES B	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.45	M&T BANK CORPORATION HYBRID PERPETUAL SER G JRSUB LIEN CPN 07/30/19 5.0%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.46	METLIFE, INC. HYBRID PERPETUAL USD SER G JRSUB LIEN CPN 03/15/21 3.85%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.47	MORGAN STANLEY HYBRID PERPETUAL USD SER H SUB LIEN CPN 04/15/21-07/14/21 3.79375%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.48	MORGAN STANLEY PFD USD1.4625(5.85%) SERIES K PERPETUAL FIX TO FLOAT	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.49	NATIONAL RURAL UTILITIES COOPE HYBRID 04/20/2046 USD SRSUB LIEN CPN 04/20/16 5.25%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.50	NEXTERA ENERGY CAPITAL HOLDING HYBRID 05/01/2079 USD JRSUB LIEN CPN 04/04/19 5.65%	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.51	PARTNERRE FINANCE B LLC HYBRID 10/01/2050 USD JRSUB LIEN CPN 09/22/20- 09/30/30 4.5%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.52	PRUDENTIAL FINANCIAL, INC. HYBRID 06/15/2043 USD JRSUB LIEN CPN 11/19/12 5.625%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.53	SEMPRA ENERGY HYBRID PERPETUAL USD JRSUB LIEN CPN 06/19/20 4.875%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.54	SOUTHERN COMPANY (THE) HYBRID 01/15/2051 USD SER B JRSUB LIEN CPN 09/18/20 4.0%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.55	SOUTHERN COMPANY (THE) HYBRID 09/15/2051 SER 21-A JRSUB LIEN CPN 05/06/21 3.75%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.56	SVB FINANCIAL GROUP HYBRID PERPETUAL SER C JRSUB LIEN CPN 05/13/21 4.0%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.57	SYNCHRONY FINANCIAL PFD USD1.4063(5.63%) SERIES A	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.58	TRANSCANADA TRUST HYBRID 08/15/2076 USD SER 16-A SUB LIEN CPN 08/11/16 5.875%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.59	TRUIST FINANCIAL CORPORATION HYBRID PERPETUAL USD SER P JRSUB LIEN CPN 06/01/20 4.95%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.60	TRUIST FINANCIAL CORPORATION HYBRID PERPETUAL USD SER Q JRSUB LIEN CPN 06/19/20 5.1%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.61	U.S. brokerage money market account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.62	VODAFONE GROUP PUBLIC LIMITED HYBRID 04/04/2079 USD SUB LIEN CPN 04/04/19 7.0%	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.63	VOYA FINANCIAL, INC. HYBRID 05/15/2053 USD JRSUB LIEN CPN 05/16/13-05/14/23 5.65%	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.64	WELLS FARGO & COMPANY HYBRID PERPETUAL USD SER BB JRSUB LIEN CPN 01/26/21 3.9%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.65	WELLS FARGO & COMPANY HYBRID PERPETUAL USD SER U SUB LIEN CPN 01/23/15 5.875%	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7	1963 Trust Brokerage 1	No			
7.1	GS GQG PARTNERS INTERNATIONAL OPPORTUNITIES FU CLASS P	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.2	GS SHORT DURATION INCOME FUND CLASS P	Yes	\$500,001 - \$1,000,000		\$1,001 - \$2,500
7.3	ISHARES TRUST-ISHARES CURRENCY HEDGED MSCI EAFE ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
8	1963 Trust Brokerage 2	No			
8.1	U.S. brokerage (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	1963 Trust Brokerage 3	No			
9.1	BROOKHAVEN N Y GO 4% 09/15/26-CA MS PUB IMPT BDS 2018 A LT BEO Gross Coupon Interest On 45,000 @ 0.02000000 BROOKHAVEN N Y GO 4% 09/15/2	N/A	None (or less than \$1,001)	Capital Gains Interest	\$2,501 - \$5,000
9.2	DORM AUTH OF THE STATE OF NY REV 5.0000% 02/15/26 FA	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.3	DORM AUTHORITY OF NY ST REV 5.0000% 02/15/24 FA PERSONAL INCOME TAX REV BONDS GEN PURPOSE SR 2016D BEO Gross Coupon Interest On 40,000 @ 0.02500000 DORM AUTHORITY OF NY ST REV	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
9.4	HEMPSTEAD TOWN N Y GO 5% 06/15/24 JD PUB IMPT BDS 2018 A LT BEO Gross Coupon Interest On 30,000 @ 0.02500000 HEMPSTEAD TOWN N Y GO 5% 06/	N/A	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
9.5	LONG BEACH N Y CITY SCH DIST GO 4% 05/01/26 MN REF BDS 2017 LT BEO Gross Coupon Interest On 40,000 @ 0.02000000 LONG BEACH N Y CITY SCH DIST	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
9.6	METROPOLITAN TRANSN AUTH N Y REV 5% 03/01/22 MN DEDICATED TAX FD BANS 2019 A BEO Gross Coupon Interest On 40,000 @ 0.02500000 METROPOLITAN TRANSN AUTH N Y	N/A	None (or less than \$1,001)	Capital Gains Interest	\$1,001 - \$2,500
9.7	METROPOLITAN TRANSN AUTH N Y REV 5% 11/15/41 MN REV REV BDS 2012C PRERE 11/15/22 BEO Gross Coupon Interest On 25,000 @ 0.02500000 METROPOLITAN TRANSN AUTH N Y	N/A	None (or less than \$1,001)	Capital Gains Interest	\$1,001 - \$2,500
9.8	METROPOLITAN TRANSN AUTH REV 5.0000% 11/15/23 MN TRANSPORTATION REVENUE BONDS SERIES 2013E BEO Gross Coupon Interest On 25,000 @ 0.02500000 METROPOLITAN TRANSN AUTH REV	N/A	None (or less than \$1,001)	Capital Gains Interest	\$1,001 - \$2,500
9.9	N Y ST DORM AUTH REVS NON ST REV 5.0000% 07/01/23 JJ STATE UNIV N Y DORM FACS-SER A BEO Gross Coupon Interest On 25,000 @ 0.02500000 N Y ST DORM AUTH REVS NON ST	N/A	None (or less than \$1,001)	Capital Gains Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.10	N Y ST ENV FACS CORP REV 5% 09/15/23 MS ST REVOLVING FDS-SER D GREEN BONDS BEO Gross Coupon Interest On 30,000 @ 0.02500000 N Y ST ENV FACS CORP REV 5%	N/A	None (or less than \$1,001)	Capital Gains Interest	\$2,501 - \$5,000
9.11	NEW YORK N Y CITY TRANSITIONAL REV 5% 07/15/25 JJ FIN AUTH BLDG AIDREV FISCAL 2018-SER S-1 GUA BEO Gross Coupon Interest On 40,000 @ 0.02500000 NEW YORK N Y CITY TRANSITION	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
9.12	NEW YORK N Y CITY TRANSITIONAL REV 5.0000% 07/15/21 JJ FIN AUTH BLDG AIDREV FISCAL 2015-SER S-1 BEO Gross Coupon Interest On 55,000 @ 0.02500000 NEW YORK N Y CITY TRANSITION	N/A	None (or less than \$1,001)	Capital Gains Interest	\$2,501 - \$5,000
9.13	NEW YORK N Y FOR PRIOR ISSUES GO 5% 08/01/21 FA	N/A	None (or less than \$1,001)	Capital Gains Interest	\$2,501 - \$5,000
9.14	NEW YORK N Y GO 5.0000% 08/01/20 FA TAX-EXEMPT GENERAL OBLIGATION BONDS BEO	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
9.15	NEW YORK ST DORM AUTH SALES REV 5% 03/15/22 MS	N/A	None (or less than \$1,001)	Capital Gains Interest	\$1,001 - \$2,500
9.16	NY TRIBOROUGH BRDG & TUNL AUTH REV 5.5000% 11/15/21 MN	N/A	None (or less than \$1,001)	Capital Gains Interest	\$2,501 - \$5,000
9.17	PORT CHESTER N Y GO 5% 02/15/23 FA PUB IMPT SERIAL BDS 2017 A LT BEO	N/A	None (or less than \$1,001)	Capital Gains Interest	\$1,001 - \$2,500
9.18	SALES TAX ASSET RECEIVABLE REV 5.0000% 10/15/20 AO CORP NY FISCAL 2015-SER A BEO Gross Coupon Interest On 45,000 @ 0.02500000 SALES TAX ASSET RECEIVABLE R	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
9.19	TRIBOROUGH BRIDGE AND TUNNEL REV 5.0000% 11/15/22 MN	N/A	None (or less than \$1,001)	Capital Gains Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.20	WESTCHESTER CNTY N Y GO 5% 07/01/24 JJ	N/A	None (or less than \$1,001)	Capital Gains Interest	\$2,501 - \$5,000
9.21	WHITE PLAINS N Y GO 3% 05/15/22 MN	N/A	None (or less than \$1,001)	Capital Gains Interest	\$1,001 - \$2,500
10	Caroline Kennedy 1982 Trust Brokerage 1	No			
10.1	ALPHABET INC. CMN CLASS A	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.2	AMAZON.COM INC CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.3	AMERICAN EXPRESS CO. CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.4	AMERICAN TOWER CORPORATION CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.5	APPLE INC. CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.6	AT&T INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.7	BRISTOL-MYERS SQUIBB COMPANY CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.8	CHARLES SCHWAB CORPORATION CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.9	CISCO SYSTEMS, INC. CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.10	DANAHER CORPORATION CMN	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
10.11	ELI LILLY & CO CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.12	ESTEE LAUDER COS INC CL-A CMN CLASS A	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.13	FIRST REPUBLIC BANK CMN SERIES	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.14	HONEYWELL INTL INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.15	HUMANA INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.16	ILLINOIS TOOL WORKS CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.17	INTERCONTINENTAL EXCHANGE INC CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.18	JOHNSON & JOHNSON CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.19	JPMORGAN CHASE & CO CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.20	LINDE PLC CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.21	MASTERCARD INCORPORATED CMN CLASS A	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.22	MC DONALDS CORP CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.23	MICROSOFT CORPORATION CMN	N/A	\$50,001 - \$100,000		None (or less than \$201)
10.24	MONDELEZ INTERNATIONAL, INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.25	NEXTERA ENERGY, INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.26	NIKE CLASS-B CMN CLASS B	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.27	QUALCOMM INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.28	ROCKWELL AUTOMATION INC CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.29	ROSS STORES,INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.30	SHERWIN-WILLIAMS CO CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.31	TEXAS INSTRUMENTS INC. CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.32	U.S. brokerage money market account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
10.33	UNION PACIFIC CORP. CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.34	WALMART INC CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.35	WALT DISNEY COMPANY (THE) CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
10.36	WORKDAY, INC. CMN CLASS A	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	Caroline Kennedy 1982 Trust Brokerage 2	No			
11.1	BLACKROCK ADVANTAGE SMALL CAP CORE FUND INSTITUTIONAL	Yes	\$100,001 - \$250,000		None (or less than \$201)
11.2	GS CLEAN ENERGY INCOME FUND CLASS P	Yes	\$100,001 - \$250,000		None (or less than \$201)
11.3	GS EMERGING MARKETS EQUITY FUND CLASS P	Yes	\$50,001 - \$100,000		None (or less than \$201)
11.4	GS GQG PARTNERS INTERNATIONAL OPPORTUNITIES FU CLASS P	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.5	GS SHORT DURATION INCOME FUND CLASS P	Yes	\$5,000,001 - \$25,000,000		\$15,001 - \$50,000
11.6	ISHARES TRUST-ISHARES CURRENCY HEDGED MSCI EAFE ETF	Yes	\$100,001 - \$250,000		None (or less than \$201)
11.7	U.S. brokerage money market account (cash)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
12	Caroline Kennedy 1982 Trust Brokerage 3	No			
12.1	U.S. brokerage (cash)	N/A	\$500,001 - \$1,000,000	Interest	\$2,501 - \$5,000
12.2	HORIZON ENVIRONMENT & CLIMATE SOLUTIONS	Yes	\$15,001 - \$50,000		None (or less than \$201)
12.3	WEST STREET CAPITAL PARTNERS VII L.P.	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
12.4	WEST STREET GLOBAL GROWTH PART	Yes	\$250,001 - \$500,000		None (or less than \$201)
12.5	WEST STREET SENIOR CREDIT PART III	Yes	\$100,001 - \$250,000		None (or less than \$201)
13	Caroline Kennedy 1982 Trust Brokerage 4 (BONDS)	No			
13.1	1011778 BC / NEW RED FIN 3.875% 01/15/2028 USD PVT REGS SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.2	AECOM 5.125% 03/15/2027 USD SER WI SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.3	AIR LEASE CORP 3.125% 12/01/2030 SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.4	ALBERTSONS COS INC / SAFEWAY I 4.625% 01/15/2027 USD PVT REGS SR LIEN NEW ALBERTSONS LP / ALBERTSONS	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.5	ALLISON TRANSMISSION INC 4.75% 10/01/2027 USD PVT REGS SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.6	ANGI GROUP, LLC 3.875% 08/15/2028 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.7	ARCELORMITTAL SA 4.25% 07/16/2029 USD SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.8	AUTONATION INC 4.75% 06/01/2030 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.9	B.A.T. CAPITAL CORPORATION 4.906% 04/02/2030 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.10	BALL CORPORATION 2.875% 08/15/2030 USD SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.11	BANK OF NOVA SCOTIA (THE) HYBRID PERPETUAL USD SUB LIEN CPN 06/04/20 4.9%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.12	BAUSCH HEALTH COS INC 5.75% 08/15/2027 USD PVT REGS SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.13	BOEING COMPANY (THE) 5.15% 05/01/2030 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.14	BP CAPITAL MARKETS P.L.C. HYBRID PERPETUAL USD SUB LIEN CPN 06/22/20 4.875%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.15	BROADCOM INC. 4.15% 11/15/2030 USD SER WI SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.16	CALPINE CORP 4.5% 02/15/2028 USD PVT REGS SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.17	CARRIER GLOBAL CORPORATION 2.722% 02/15/2030 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.18	CDW LLC/CDW FINANCE 3.25% 02/15/2029 USD SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.19	CENTENE CORP 3.0% 10/15/2030 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.20	CENTENE CORPORATION 4.625% 12/15/2029 USD SER WI SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.21	CENTRAL GARDEN & PET CO 4.125% 10/15/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.22	CHARLES RIVER LABORATORI 4.25% 05/01/2028 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
13.23	CHENIERE ENERGY PARTNERS, L.P. 4.5% 10/01/2029 USD SER WI SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.24	CIT GROUP INC. 5.25% 03/07/2025 USD SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.25	CITIGROUP INC. HYBRID PERPETUAL USD JRSUB LIEN CPN 02/18/21 3.875%	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
13.26	CLEARWATER PAPER CORP 4.75% 08/15/2028 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.27	CMS ENERGY CORPORATION HYBRID 06/01/2050 USD JRSUB LIEN CPN 05/28/20 4.75%	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
13.28	CROWN AMERICAS LLC 4.25% 09/30/2026 USD SER WI SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.29	ENBRIDGE INC. HYBRID 07/15/2080 USD SER 20-A SUB LIEN CPN 07/08/20-07/14/30 5.75%	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.30	ENERGIZER HOLDINGS INC 4.375% 03/31/2029 USD PVT REGS SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.31	ENERGY TRANSFER OPERATNG 3.75% 05/15/2030 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.32	ENPRO INDUSTRIES, INC. 5.75% 10/15/2026 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.33	EXPEDIA GROUP, INC. 3.8% 02/15/2028 USD SER WI SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.34	GENERAL ELEC CAP CORP MTN 6.75% 03/15/2032 USD SER A SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.35	GENERAL ELECTRIC CO 3.625% 05/01/2030 USD SR LIEN	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
13.36	GENERAL MOTORS FINL CO 5.65% 01/17/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.37	GLOBAL PAYMENTS INC 2.9% 05/15/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.38	GLOBAL PAYMENTS INC. 3.2% 08/15/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.39	GMAC INC. 8.0% 11/01/2031 USD SER B SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
13.40	GO DADDY OPERATING CO LLC / GD 5.25% 12/01/2027 USD PVT REGS SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.41	GRAPHIC PACKAGING INTERN 3.5% 03/15/2028 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.42	HASBRO INC 3.9% 11/19/2029 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.43	HCA INC 3.5% 09/01/2030 USD SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.44	HERBALIFE/HLF FINANCING 7.875% 09/01/2025 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.45	HILLENBRAND INC 5.75% 06/15/2025 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.46	HILTON DOMESTIC OPERATING CO I 4.875% 01/15/2030 USD SER WI SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.47	HOWMET AEROSPACE INC 6.875% 05/01/2025 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.48	HUNTSMAN INTERNATIONAL L 4.5% 05/01/2029 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.49	JEFFERIES GRP LLC / CAP 4.15% 01/23/2030 USD SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.50	KIMCO REALTY CORPORATION 2.7% 10/01/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.51	KRAFT HEINZ FOODS CO 4.625% 01/30/2029 USD SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.52	LAMAR MEDIA CORP 3.75% 02/15/2028 USD SER WI SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.53	LENNAR CORPORATION 5.0% 06/15/2027 USD SER WI SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.54	LEVEL 3 FINANCING INC 4.625% 09/15/2027 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.55	MARRIOTT INTERNATIONAL, INC 4.625% 06/15/2030 USD SER FF SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.56	MDC HOLDINGS INC 2.5% 01/15/2031 SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.57	MGM GROWTH PROPERTIES OPERATIN 4.5% 09/01/2026 USD SER WI SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.58	MGM RESORTS INTERNATIONAL 6.75% 05/01/2025 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.59	MPLX LP 4.875% 06/01/2025 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
13.60	MPT OPERATING PARTNERSHIP, L.P 3.5% 03/15/2031 USD SR LIEN MPT FINANCE CORP	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.61	MPT OPERATING PARTNERSHIP, L.P 5.0% 10/15/2027 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.62	MURPHY OIL USA, INC. 4.75% 09/15/2029 USD SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.63	NAVIENT CORP 4.875% 03/15/2028 SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.64	NETFLIX, INC. 6.375% 05/15/2029 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.65	NEWELL RUBBERMAID INC. STEP 04/01/2026 USD SR LIEN 4.7% 04/01/20- 04/01/26	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.66	NORDSTROM INC 4.0% 03/15/2027 USD SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.67	NRG ENERGY, INC. 5.75% 01/15/2028 USD SER WI SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.68	NUSTAR LOGISTICS LP 5.75% 10/01/2025 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.69	OCCIDENTAL PETROLEUM COR 8.0% 07/15/2025 USD SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.70	PENSKE AUTOMOTIVE GROUP 3.5% 09/01/2025 USD SRSUB LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.71	PLAINS ALL AMERICAN PIPE 3.8% 09/15/2030 USD SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.72	QORVO, INC. 4.375% 10/15/2029 USD SER WI SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.73	QUANTA SERVICES INC 2.9% 10/01/2030 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.74	SILGAN HOLDINGS INC 4.125% 02/01/2028 USD SER WI SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.75	SOUTHERN COMPANY (THE) HYBRID 01/15/2051 USD SER B JR SUB LIEN CPN 09/18/20 4.0%	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.76	SPIRIT REALTY LP 3.2% 02/15/2031 USD SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.77	SPRINGLEAF FINANCE CORPORATION 5.375% 11/15/2029 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.78	SPRINT CORP 7.625% 02/15/2025 USD SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.79	SUNOCO LP 6.0% 04/15/2027 USD SER WI SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.80	SYNCHRONY FINANCIAL 3.95% 12/01/2027 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.81	SYSCO CORPORATION 5.95% 04/01/2030 USD SR LIEN	N/A	\$1,001 - \$15,000	Capital Gains Interest	\$201 - \$1,000
13.82	TEGNA INC. 5.0% 09/15/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.83	TEXTRON INC 3.0% 06/01/2030 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.84	T-MOBILE USA, INC. 3.375% 04/15/2029 SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.85	TRANSCANADA TRUST HYBRID 08/15/2076 USD SER 16-A SUB LIEN CPN 08/11/16 5.875%	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.86	TREEHOUSE FOODS INC 4.0% 09/01/2028 USD SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.87	TRI POINTE GROUP INC 5.7% 06/15/2028 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.88	TRINET GROUP INC 3.5% 03/01/2029 PVT REGS SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.89	TWILIO INC. 3.625% 03/15/2029 SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.90	TWITTER, INC. 3.875% 12/15/2027 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
13.91	U.S. brokerage money market account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.92	UNITED RENTALS NORTH AM 3.875% 02/15/2031 USD SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.93	VEREIT OPERATING PARTNER 3.4% 01/15/2028 USD SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.94	VISTRA OPERATIONS COMPANY LLC 5.625% 02/15/2027 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.95	VODAFONE GROUP PUBLIC LIMITED HYBRID 04/04/2079 USD SUB LIEN CPN 04/04/19 7.0%	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
13.96	WALGREENS BOOTS ALLIANCE 3.2% 04/15/2030 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.97	WELLS FARGO & COMPANY HYBRID PERPETUAL USD SER BB JRSUB LIEN CPN 01/26/21 3.9%	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
13.98	WESCO DISTRIBUTION INC 7.125% 06/15/2025 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
13.99	WESTERN DIGITAL CORP 4.75% 02/15/2026 USD SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
13.100	XEROX HOLDINGS CORP 5.0% 08/15/2025 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
13.101	XPO LOGISTICS, INC. 6.25% 05/01/2025 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
13.102	YUM! BRANDS, INC 3.625% 03/15/2031 USD SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.103	ZIMMER BIOMET HOLDINGS 3.55% 03/20/2030 USD SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
14	Caroline Kennedy 1982 Trust Brokerage 5	No			
14.1	CRESTWOOD EQUITY PARTNERS LP CMN	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
14.2	DCP MIDSTREAM LP CMN	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
14.3	ENERGY TRANSFER LP CMN	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
14.4	ENTERPRISE PRODUCTS PART L.P CMN	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
14.5	EQM MIDSTREAM PARTNERS LP CMN	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
14.6	GENESIS ENERGY, L.P. COMMON STOCK	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
14.7	MAGELLAN MIDSTREAM PARTNERS, L CMN	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
14.8	MPLX LP CMN	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
14.9	ONEOK INC CMN	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
14.10	PEMBINA PIPELINE CORPORATION CMN	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
14.11	PHILLIPS 66 PARTNERS LP CMN	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
14.12	PLAINS ALL AMERICAN PIPELINE L.P. COMMON UNITS	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
14.13	PLAINS GP HOLDINGS, L.P. CMN	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
14.14	SHELL MIDSTREAM PARTNERS, L.P. CMN	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
14.15	SUNOCO LP CMN	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
14.16	TARGA RESOURCES CORP. CMN	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
14.17	TC ENERGY CORP CMN	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
14.18	THE WILLIAMS COMPANIES, INC. CMN	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
14.19	WESTERN MIDSTREAM PARTNERS LP CMN	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
15	Caroline Kennedy 1982 Trust Brokerage 6	No			
15.1	BAY SHORE N Y UN FREE SCH DIST GO 4.0000% 01/15/20 JJ RFDG BEO Distribution of funds and removal of securities resulting from maturity	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
15.2	BROOKHAVEN N Y GO 4% 09/15/26-CA MS	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
15.3	DORM AUTH OF ST OF NY REV 5.5000% 07/01/21 JJ	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
15.4	DORM AUTH OF THE STATE OF NY REV 5.0000% 03/15/22 MS	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
15.5	DORM AUTHORITY OF NY ST REV 5.0000% 02/15/25 FA	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
15.6	DORMITORY AUTH OF NY REV 4.0000% 03/15/23 MS	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
15.7	LONG BEACH N Y CITY SCH DIST GO 4% 05/01/26 MN	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.8	MET TRANSN AUTH N Y REV 5.0000% 11/15/31-CA MN	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
15.9	MET TRANSN AUTH N Y REV 5.2500% 11/15/27-CA MN	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
15.10	METROPOLITAN TRANSN AUTH N Y REV 5% 11/15/24-CA MN	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
15.11	N Y ST MUN BD BK AGY SPL SCH REV 5.0000% 12/01/20 JD PURP RFDG PRIOR YR CLAIMS-N Y CITY-SER A GUA BEO	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
15.12	NEW YORK CITY TRANSITIONAL REV 5% 05/01/21 MN	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
15.13	NEW YORK N Y CITY TRANSITIONAL REV 5.0000% 07/15/21 JJ	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
15.14	NEW YORK N Y CITY TRANSITIONAL REV 5.0000% 07/15/26 JJ FIN AUTH BLDG AIDREV BDS 2019 S-3A GUA BEO TX EXMPT BDS	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
15.15	NEW YORK ST DORM AUTH ST PERS REV 5% 02/15/25 FA INCOME TAX REV REV BDS 2017 A BEO	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
15.16	NEW YORK STATE URBAN REV 2.8800% 03/15/24 MS	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
15.17	NY CITY MUNI WTR FIN AUTH REV 5.0000% 06/15/24 JD	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
15.18	NY CITY TRANSITIONAL FIN AUTH REV 2.9400% 08/01/26 FA	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
15.19	NY CITY TRANSITIONAL FIN AUTH REV 5.0000% 08/01/22 FA	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
15.20	NY ST DRM AUTH ST PERS INCM TX REV 5.0000% 12/15/22 JD	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.21	ROCHESTER N Y GO 4% 08/01/24 FA	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
15.22	THREE VLG CENT SCH DIST N Y GO 4.0000% 05/01/20 MN BROOKHAVEN & SMITHTOWN SCH DST REF SERIAL BDS 2017 UT BEO Distribution of funds and removal of securities resulting from maturity	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
15.23	U.S. brokerage money market account (cash)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
16	Caroline Kennedy 1982 Trust Brokerage 7 (STOCKS)	No			
16.1	AIR LEASE CORPORATION HYBRID PERPETUAL USD SER B JRSUB LIEN CPN 03/02/21 4.65%	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.2	AIR LEASE CORPORATION PFD USD1.5375(6.15%) SERIES A HYBRID PERPETUAL Qualified Gross Dividend On 1,230 Shs @ 0.38437500 AIR LEASE CORPORATION PFD US	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.3	ALLY FINANCIAL INC. HYBRID PERPETUAL SER B JRSUB LIEN CPN 04/22/21 4.7%	N/A	\$50,001 - \$100,000		None (or less than \$201)
16.4	ALLY FINANCIAL INC. HYBRID PERPETUAL SER C JRSUB LIEN CPN 06/02/21 4.7%	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.5	AMERICAN EXPRESS COMPANY HYBRID PERPETUAL USD SER B SUB LIEN CPN 05/17/21-08/15/21 3.58388%	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.6	AT&T INC. PFD USD1.2500(5.00%) SERIES A	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.7	BANK OF AMERICA CORPORATION HYBRID PERPETUAL USD SER AA JRSUB LIEN CPN 03/17/15 6.1%	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.8	BANK OF AMERICA CORPORATION HYBRID PERPETUAL USD SER DD JRSUB LIEN CPN 03/10/16-03/09/26 6.3%	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
16.9	BANK OF AMERICA CORPORATION HYBRID PERPETUAL USD SER FF JRSUB LIEN CPN 03/15/18 5.875%	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
16.10	BANK OF AMERICA CORPORATION HYBRID PERPETUAL USD SER X SUB LIEN CPN 09/05/14-09/04/24 6.25%	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
16.11	BANK OF NEW YORK MELLON CORPOR HYBRID PERPETUAL USD SER E SUB LIEN CPN 04/28/15-06/19/20 4.95% Gross Coupon Interest On 10,000 @ 0.02475000 BANK OF NEW YORK MELLON CORP	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.12	BANK OF NEW YORK MELLON CORPOR HYBRID PERPETUAL USD SER E SUB LIEN CPN 06/21/21-09/19/21 3.5545%	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.13	BANK OF NEW YORK MELLON CORPOR HYBRID PERPETUAL USD SER G JRSUB LIEN CPN 05/19/20 4.7%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.14	BANK OF NEW YORK MELLON CORPOR HYBRID PERPETUAL USD SER H JRSUB LIEN CPN 11/03/20-03/19/26 3.7%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.15	BANK OF NOVA SCOTIA (THE) HYBRID PERPETUAL USD SUB LIEN CPN 06/04/20 4.9%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.16	BNSF FUNDING TRUST I HYBRID 12/15/2055 TR PFD SECS 3MO US\$LIBOR+235BP, M-W+35BP CPN 12/15/05-01/14/26 6.613% Gross Coupon Interest On 25,000 @ 0.03306500 BNSF FUNDING TRUST I HYBRID	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.17	BP CAPITAL MARKETS P.L.C. HYBRID PERPETUAL USD SUB LIEN CPN 06/22/20 4.875%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.18	CAPITAL ONE FINANCIAL CORP PFD USD1.2500(5.00%) SERIES I	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
16.19	CAPITAL ONE FINANCIAL CORPORAT HYBRID PERPETUAL USD SER E SUB LIEN CPN 05/14/15 5.55% Gross Coupon Interest On 25,000 @ 0.02775000 CAPITAL ONE FINANCIAL CORPOR	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.20	CAPITAL ONE FINANCIAL CORPORAT HYBRID PERPETUAL USD SER E SUB LIEN CPN 06/01/21-08/31/21 3.93463%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.21	CAPITAL ONE FINANCIAL CORPORAT HYBRID PERPETUAL USD SER E SUB LIEN CPN 09/01/20-11/30/20 4.046% Gross Coupon Interest On 25,000 @ 0.01060560 CAPITAL ONE FINANCIAL CORPOR	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.22	CAPITAL ONE FINANCIAL CORPORAT HYBRID PERPETUAL USD SER E SUB LIEN CPN 12/01/20-02/28/21 4.02538% Gross Coupon Interest On 25,000 @ 0.01022739 CAPITAL ONE FINANCIAL CORPOR	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.23	CENTERPOINT ENERGY, INC HYBRID PERPETUAL USD SER A SR LIEN CPN 08/22/18 6.125%	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
16.24	CHARLES SCHWAB CORPORATION (TH HYBRID PERPETUAL USD SER E JRSUB LIEN CPN 10/31/16 4.625% Gross Coupon Interest On 10,000 @ 0.02312500 CHARLES SCHWAB CORPORATION (N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
16.25	CHARLES SCHWAB CORPORATION (TH HYBRID PERPETUAL USD SER G JRSUB LIEN CPN 04/30/20 5.375%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.26	CHARLES SCHWAB CORPORATION (TH HYBRID PERPETUAL USD SER H JRSUB LIEN CPN 12/11/20 4.0%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.27	CHARLES SCHWAB CORPORATION (TH HYBRID PERPETUAL USD SER I JRSUB LIEN CPN 03/18/21 4.0%	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
16.28	CIT GROUP INC. HYBRID PERPETUAL USD SER A JRSUB LIEN CPN 06/07/17 5.8%	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
16.29	CITIGROUP INC. HYBRID PERPETUAL SER T SUB LIEN CPN 04/25/16 6.25%	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
16.30	CITIGROUP INC. HYBRID PERPETUAL USD DOES NOT MATURE OR EXPIRE CPN 12/13/12-02/14/23 5.9%	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
16.31	CITIGROUP INC. HYBRID PERPETUAL USD JRSUB LIEN CPN 02/18/21 3.875%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.32	CITIGROUP INC. HYBRID PERPETUAL USD SER O SUB LIEN CPN 03/20/15-03/26/20 5.875% Gross Coupon Interest On 25,000 @ 0.02937500 CITIGROUP INC. HYBRID PERPET	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.33	CITIGROUP INC. HYBRID PERPETUAL USD SER P SUB LIEN CPN 04/24/15 5.95%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.34	CITIGROUP INC. HYBRID PERPETUAL USD SER R JRSUB LIEN CPN 02/15/21-05/14/21 4.67563% Gross Coupon Interest On 20,000 @ 0.01213908 CITIGROUP INC. HYBRID PERPET	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.35	CITIGROUP INC. HYBRID PERPETUAL USD SER R JRSUB LIEN CPN 11/13/15-11/14/20 6.125% Gross Coupon Interest On 20,000 @ 0.03062500 CITIGROUP INC. HYBRID PERPET	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.36	CITIGROUP INC. HYBRID PERPETUAL USD SER U JRSUB LIEN CPN 09/12/19 5.0%	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.37	CITIGROUP INC. HYBRID PERPETUAL USD SER W JRSUB LIEN CPN 12/10/20-12/09/25 4.0%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.38	CITIZENS FINANCIAL GROUP, INC. HYBRID PERPETUAL USD SER A JRSUB LIEN CPN 01/06/21-04/05/21 4.19725% Gross Coupon Interest On 25,000 @ 0.01071672 CITIZENS FINANCIAL GROUP, IN	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.39	CITIZENS FINANCIAL GROUP, INC. HYBRID PERPETUAL USD SER A JRSUB LIEN CPN 04/06/15 5.5% Gross Coupon Interest On 50,000 @ 0.02750000 CITIZENS FINANCIAL GROUP, IN	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
16.40	CITIZENS FINANCIAL GROUP, INC. HYBRID PERPETUAL USD SER A JRSUB LIEN CPN 04/06/21-07/05/21 4.15425%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.41	CITIZENS FINANCIAL GROUP, INC. HYBRID PERPETUAL USD SER A JRSUB LIEN CPN 07/06/20-10/05/20 4.26375% Gross Coupon Interest On 25,000 @ 0.01348064 CITIZENS FINANCIAL GROUP, IN	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.42	CITIZENS FINANCIAL GROUP, INC. HYBRID PERPETUAL USD SER A JRSUB LIEN CPN 10/06/20-01/05/21 4.1935% Gross Coupon Interest On 25,000 @ 0.01089625 CITIZENS FINANCIAL GROUP, IN	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.43	CITIZENS FINANCIAL GROUP, INC. HYBRID PERPETUAL USD SER C JRSUB LIEN CPN 10/25/18 6.375%	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
16.44	CITIZENS FINANCIAL GROUP, INC. PFD USD1.2500(5.00%) SERIES E	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.45	CMS ENERGY CORPORATION HYBRID 06/01/2050 USD JRSUB LIEN CPN 05/28/20 4.75%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.46	CMS ENERGY CORPORATION HYBRID 12/01/2050 USD JRSUB LIEN CPN 11/25/20 3.75%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.47	COMERICA INCORPORATED HYBRID PERPETUAL USD JRSUB LIEN CPN 05/26/20 5.625%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.48	DISCOVER FINANCIAL SERVICES HYBRID PERPETUAL USD SER C JRSUB LIEN CPN 10/31/17 5.5%	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
16.49	DISCOVER FINANCIAL SERVICES HYBRID PERPETUAL USD SER D JRSUB LIEN CPN 06/22/20 6.125%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.50	DOMINION ENERGY, INC. HYBRID PERPETUAL USD SER B SR LIEN CPN 12/13/19 4.65%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.51	DUKE ENERGY CORPORATION PFD USD1.4375(5.75%) SERIES A	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
16.52	E*TRADE FINANCIAL CORPORATION HYBRID PERPETUAL USD SER A JRSUB LIEN CPN 08/25/16 5.875% Gross Coupon Interest On 20,000 @ 0.02937500 E*TRADE FINANCIAL CORPORATIO	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
16.53	E*TRADE FINANCIAL CORPORATION HYBRID PERPETUAL USD SER B JRSUB LIEN CPN 12/06/17 5.3% Gross Coupon Interest On 25,000 @ 0.02650000 E*TRADE FINANCIAL CORPORATIO	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.54	EDISON INTERNATIONAL HYBRID PERPETUAL SER A JRSUB LIEN CPN 03/09/21 5.375%	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.55	EMERA INCORPORATED HYBRID 06/15/2076 USD SUB LIEN CPN 06/16/16 6.75%	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
16.56	ENBRIDGE INC. HYBRID 03/01/2078 USD SUB LIEN CPN 03/01/18 6.25% Gross Coupon Interest On 50,000 @ 0.03125000 ENBRIDGE INC. HYBRID 03/01/2	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
16.57	ENBRIDGE INC. HYBRID 07/15/2080 USD SER 20-A SUB LIEN CPN 07/08/20-07/14/30 5.75%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.58	ENERGY TRANSFER OPERATING LP FRN 11/01/2066 USD SER B USLIB 3MO +301.75BP SUB LIEN CPN 08/01/19 5.270630%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.59	EQUITABLE HOLDINGS, INC. HYBRID PERPETUAL USD SER B JRSUB LIEN CPN 08/11/20 4.95%	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
16.60	FIFTH THIRD BANCORP HYBRID PERPETUAL USD SER L JRSUB LIEN CPN 07/30/20 4.5%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.61	GENERAL MOTORS FINANCIAL COMPA HYBRID PERPETUAL USD SER B JRSUB LIEN CPN 09/24/18 6.5% Gross Coupon Interest On 25,000 @ 0.03250000 GENERAL MOTORS FINANCIAL COM	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.62	GMAC CAPITAL TRUST I PFD 2.0312(8.12%) SER 2 CL A CALLABLE 02/15/2016 3MOUS\$LBR+578.5BP EFF 2/15/16	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
16.63	HUNTINGTON BANCSHARES INCORPOR HYBRID PERPETUAL USD SER E JRSUB LIEN CPN 03/06/18-04/14/23 5.7% Gross Coupon Interest On 10,000 @ 0.01425000 HUNTINGTON BANCSHARES INCORP	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.64	HUNTINGTON BANCSHARES INCORPOR HYBRID PERPETUAL USD SER F JRSUB LIEN CPN 06/03/20 5.625%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.65	HUNTINGTON BANCSHARES INCORPOR HYBRID PERPETUAL USD SER G JRSUB LIEN CPN 08/10/20 4.45%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.66	JPMORGAN CHASE & CO. HYBRID PERPETUAL SER KK JRSUB LIEN CPN 05/12/21 3.65%	N/A	\$50,001 - \$100,000		None (or less than \$201)
16.67	JPMORGAN CHASE & CO. HYBRID PERPETUAL USD SER FF JRSUB LIEN CPN 07/31/19 5.0%	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
16.68	JPMORGAN CHASE & CO. HYBRID PERPETUAL USD SER S JRSUB LIEN CPN 01/22/14 6.75%	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
16.69	JPMORGAN CHASE & CO. HYBRID PERPETUAL USD SER X JRSUB LIEN CPN 09/23/14-09/30/24 6.1%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.70	JPMORGAN CHASE & CO. HYBRID PERPETUAL USD SER Z SUB LIEN CPN 02/01/21-05/03/21 4.005% Gross Coupon Interest On 25,000 @ 0.01014700 JPMORGAN CHASE & CO. HYBRID	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.71	JPMORGAN CHASE & CO. HYBRID PERPETUAL USD SER Z SUB LIEN CPN 04/21/15-04/30/20 5.3% Gross Coupon Interest On 25,000 @ 0.02650000 JPMORGAN CHASE & CO. HYBRID	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.72	JPMORGAN CHASE & CO. HYBRID PERPETUAL USD SER Z SUB LIEN CPN 05/03/21-08/01/21 3.97563%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.73	JPMORGAN CHASE & CO. HYBRID PERPETUAL USD SER Z SUB LIEN CPN 08/03/20-11/01/20 4.051% Gross Coupon Interest On 25,000 @ 0.01171500 JPMORGAN CHASE & CO. HYBRID	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.74	JPMORGAN CHASE & CO. HYBRID PERPETUAL USD SER Z SUB LIEN CPN 11/02/20-01/31/21 4.01438% Gross Coupon Interest On 25,000 @ 0.01024000 JPMORGAN CHASE & CO. HYBRID	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.75	KKR GROUP FINANCE CO. IX LLC PFD USD1.1562(4.62%) SERIES B	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.76	M&T BANK CORPORATION HYBRID PERPETUAL SER G JRSUB LIEN CPN 07/30/19 5.0%	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.77	M&T BANK CORPORATION HYBRID PERPETUAL USD SER E JRSUB LIEN CPN 02/11/14 6.45%	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
16.78	METLIFE, INC. HYBRID PERPETUAL USD SER C SUB LIEN CPN 06/01/15 5.25% Gross Coupon Interest On 20,000 @ 0.02625000 METLIFE, INC. HYBRID PERPETU	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.79	METLIFE, INC. HYBRID PERPETUAL USD SER G JRSUB LIEN CPN 03/15/21 3.85%	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.80	MORGAN STANLEY HYBRID PERPETUAL USD SER H SUB LIEN CPN 04/15/21-07/14/21 3.79375%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.81	MORGAN STANLEY HYBRID PERPETUAL USD SER J SUB LIEN CPN 01/15/21-04/14/21 4.05125% Gross Coupon Interest On 25,000 @ 0.01034203 MORGAN STANLEY HYBRID PERPET	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.82	MORGAN STANLEY HYBRID PERPETUAL USD SER J SUB LIEN CPN 03/19/15 5.55% Gross Coupon Interest On 25,000 @ 0.02775000 MORGAN STANLEY HYBRID PERPET	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.83	MORGAN STANLEY HYBRID PERPETUAL USD SER J SUB LIEN CPN 04/15/21-07/14/21 3.99375% Gross Coupon Interest On 25,000 @ 0.01012813 MORGAN STANLEY HYBRID PERPET	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.84	MORGAN STANLEY HYBRID PERPETUAL USD SER J SUB LIEN CPN 10/15/20-01/14/21 4.04688% Gross Coupon Interest On 25,000 @ 0.01043944 MORGAN STANLEY HYBRID PERPET	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.85	MORGAN STANLEY HYBRID PERPETUAL USD SER M JR SUB LIEN CPN 09/15/20-09/14/26 5.875%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.86	MORGAN STANLEY PFD USD1.4625(5.85%) SERIES K PERPETUAL FIX TO FLOAT	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.87	MORGAN STANLEY PFD USD1.5938(6.38%) SERIES I . .	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
16.88	MORGAN STANLEY PFD USD1.7812(7.12%) SERIES E HYBRID FIX TO FLOAT PERPETUAL	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
16.89	NATIONAL RURAL UTILITIES COOPE HYBRID 04/20/2046 USD SRSUB LIEN CPN 04/20/16 5.25%	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
16.90	NEXTERA ENERGY CAPITAL HOLDING HYBRID 05/01/2079 USD JR SUB LIEN CPN 04/04/19 5.65%	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
16.91	PARTNERRE FINANCE B LLC HYBRID 10/01/2050 USD JR SUB LIEN CPN 09/22/20-09/30/30 4.5%	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.92	PRUDENTIAL FINANCIAL, INC. HYBRID 06/15/2043 USD JRSUB LIEN CPN 11/19/12 5.625%	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
16.93	REGIONS FINANCIAL CORPORATION HYBRID PERPETUAL USD SER D JRSUB LIEN CPN 06/05/20 5.75%	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
16.94	REGIONS FINANCIAL CORPORATION PFD USD1.4250(5.70%) SERIES C HYBRID PREF	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
16.95	SOUTHERN COMPANY (THE) HYBRID 01/15/2051 USD SER B JRSUB LIEN CPN 09/18/20 4.0%	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.96	STATE STREET CORPORATION HYBRID PERPETUAL USD SER F SUB LIEN CPN 03/15/21-06/14/21 3.78088% Gross Coupon Interest On 25,000 @ 9.53380000 STATE STREET CORPORATION HYB	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.97	STATE STREET CORPORATION HYBRID PERPETUAL USD SER F SUB LIEN CPN 05/21/15 5.25% Gross Coupon Interest On 25,000 @ 0.02625000 STATE STREET CORPORATION HYB	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
16.98	STATE STREET CORPORATION HYBRID PERPETUAL USD SER F SUB LIEN CPN 06/15/21-09/14/21 3.71588%	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.99	STATE STREET CORPORATION HYBRID PERPETUAL USD SER F SUB LIEN CPN 12/15/20-03/14/21 3.8135% Gross Coupon Interest On 25,000 @ 0.00972532 STATE STREET CORPORATION HYB	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.100	STATE STREET CORPORATION PFD USD1.3372(5.35%) SERIES G PREFERRED NYSE	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.101	SVB FINANCIAL GROUP HYBRID PERPETUAL SER C JRSUB LIEN CPN 05/13/21 4.0%	N/A	\$15,001 - \$50,000		None (or less than \$201)
16.102	SYNCHRONY FINANCIAL PFD USD1.4062(5.62%) SERIES A Qualified Gross Dividend On 640 Shs @ 0.35156300 SYNCHRONY FINANCIAL PFD USD1	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.103	SYNCHRONY FINANCIAL PFD USD1.4063(5.63%) SERIES A	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.104	SYNOVUS FINANCIAL CORP PFD USD1.4688(5.88%) SERIES E	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
16.105	THE CHARLES SCHWAB CORP HYBRID PERPETUAL USD JRSUB LIEN CPN 01/26/12-01/31/22 7.0%	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
16.106	THE PNC FINANCIAL SERVICES GRO HYBRID PERPETUAL USD SER S JRSUB LIEN CPN 11/01/16 5.0%	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
16.107	TRANSCANADA TRUST HYBRID 08/15/2076 USD SER 16-A SUB LIEN CPN 08/11/16 5.875%	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
16.108	TRUIST FINANCIAL CORPORATION FRN PERPETUAL USD SER K USLIB 3MO +386.00BP US0003M +3 CPN 12/15/19-03/14/20 5.75363% Accrued interest on 25,000 TRUIST FINANCIAL CORPORATION . GS AJWRYX	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
16.109	TRUIST FINANCIAL CORPORATION HYBRID PERPETUAL SER L JRSUB LIEN CPN 06/15/19-06/14/22 5.05% Gross Coupon Interest On 15,000 @ 0.02525000 TRUIST FINANCIAL CORPORATION	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
16.110	TRUIST FINANCIAL CORPORATION HYBRID PERPETUAL USD SER P JRSUB LIEN CPN 06/01/20 4.95%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
16.111	TRUIST FINANCIAL CORPORATION HYBRID PERPETUAL USD SER Q JRSUB LIEN CPN 06/19/20 5.1%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.112	U.S. brokerage money market account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
16.113	VODAFONE GROUP PUBLIC LIMITED HYBRID 04/04/2079 USD SUB LIEN CPN 04/04/19 7.0%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
16.114	VOYA FINANCIAL, INC. HYBRID 05/15/2053 USD JRSUB LIEN CPN 05/16/13-05/14/23 5.65%	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
16.115	VOYA FINANCIAL, INC. HYBRID PERPETUAL USD SER A SR LIEN CPN 09/12/18 6.125%	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
16.116	VOYA FINANCIAL, INC. PFD USD1.3375(5.35%) SERIES B	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
16.117	WACHOVIA CAPITAL TRUST III HYBRID PERPETUAL USD WITS CPN 3/15/12- 06/14/12 5.56975%	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
16.118	WELLS FARGO & COMPANY HYBRID PERPETUAL USD SER BB JRSUB LIEN CPN 01/26/21 3.9%	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
16.119	WELLS FARGO & COMPANY HYBRID PERPETUAL USD SER S SUB LIEN CPN 04/22/14-06/14/24 5.9%	N/A	None (or less than \$1,001)	Capital Gains	None (or less than \$201)
16.120	WELLS FARGO & COMPANY HYBRID PERPETUAL USD SER U SUB LIEN CPN 01/23/15 5.875%	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
16.121	WELLS FARGO & COMPANY PFD 6.0000 CLASS A SERIES V BEO Qualified Gross Dividend On 132 Shs @ 0.37500000 WELLS FARGO & COMPANY PFD 6.	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17	Caroline Kennedy 1982 Trust Brokerage 8	No			
17.1	PUT/XSP, open: 2 shares @ 382 EXP 09/30/2021 (value not readily ascertainable)	N/A			None (or less than \$201)
17.2	PUT/XSP, open: 2 shares @ 389 EXP 09/17/2021 (value not readily ascertainable)	N/A			None (or less than \$201)
17.3	PUT/XSP, open: 5 shares @ 392 EXP 08/20/2021 (value not readily ascertainable)	N/A			None (or less than \$201)
17.4	PUT/XSP, open: 5 shares @ 395 EXP 07/16/2021 (value not readily ascertainable)	N/A			None (or less than \$201)
17.5	PUT/XSP, closed: 5 shares @ 399 EXP 06/30/2021	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
17.6	PUT/XSP, open: 1 share @ 400 EXP 07/30/2021 (value not readily ascertainable)	N/A			None (or less than \$201)
17.7	PUT/XSP, open: 3 shares @ 405 EXP 08/06/2021 (value not readily ascertainable)	N/A			None (or less than \$201)
17.8	PUT/XSP, closed: 5 shares @ 409 EXP 06/18/2021	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
17.9	PUT/XSP, open: 1 share @ 409 EXP 09/17/2021 (value not readily ascertainable)	N/A			None (or less than \$201)
17.10	PUT/XSP, closed: 1 share @ 412 EXP 07/30/2021 (value not readily ascertainable)	N/A			None (or less than \$201)
17.11	U.S. brokerage money market account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
18	Edwin Schlossberg Brokerage 1	No			
18.1	ALPHABET INC. CMN CLASS A	N/A	\$15,001 - \$50,000		None (or less than \$201)
18.2	AMAZON.COM INC CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.3	AMERICAN EXPRESS CO. CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
18.4	AMERICAN TOWER CORPORATION CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.5	APPLE INC. CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
18.6	AT&T INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.7	BRISTOL-MYERS SQUIBB COMPANY CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
18.8	CHARLES SCHWAB CORPORATION CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
18.9	CISCO SYSTEMS, INC. CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
18.10	DANAHER CORPORATION CMN	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
18.11	ELI LILLY & CO CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
18.12	ESTEE LAUDER COS INC CL-A CMN CLASS A	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.13	FIRST REPUBLIC BANK CMN SERIES	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.14	HONEYWELL INTL INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.15	HUMANA INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.16	ILLINOIS TOOL WORKS CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.17	INTERCONTINENTAL EXCHANGE INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.18	JOHNSON & JOHNSON CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.19	JPMORGAN CHASE & CO CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.20	LINDE PLC CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
18.21	MASTERCARD INCORPORATED CMN CLASS A	N/A	\$15,001 - \$50,000		None (or less than \$201)
18.22	MC DONALDS CORP CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.23	MICROSOFT CORPORATION CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
18.24	MONDELEZ INTERNATIONAL, INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.25	NEXTERA ENERGY, INC. CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.26	NIKE CLASS-B CMN CLASS B	N/A	\$15,001 - \$50,000		None (or less than \$201)
18.27	QUALCOMM INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.28	ROCKWELL AUTOMATION INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.29	ROSS STORES, INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.30	SHERWIN-WILLIAMS CO CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18.31	TEXAS INSTRUMENTS INC. CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
18.32	U.S. brokerage money market account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.33	UNION PACIFIC CORP. CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
18.34	VERIZON COMMUNICATIONS, INC. CMN	N/A	None (or less than \$1,001)		None (or less than \$201)
18.35	WALMART INC CMN	N/A	\$1,001 - \$15,000		None (or less than \$201)
18.36	WALT DISNEY COMPANY (THE) CMN	N/A	\$15,001 - \$50,000		None (or less than \$201)
18.37	WORKDAY, INC. CMN CLASS A	N/A	\$1,001 - \$15,000		None (or less than \$201)
19	Edwin Schlossberg Brokerage 2	No			
19.1	BLACKROCK ADVANTAGE SMALL CAP CORE FUND INSTITUTIONAL	Yes	\$50,001 - \$100,000		None (or less than \$201)
19.2	GS CLEAN ENERGY INCOME FUND CLASS P	Yes	\$15,001 - \$50,000		None (or less than \$201)
19.3	GS EMERGING MARKETS EQUITY FUND CLASS P	Yes	\$15,001 - \$50,000		None (or less than \$201)
19.4	GS GQG PARTNERS INTERNATIONAL OPPORTUNITIES FU CLASS P	Yes	\$100,001 - \$250,000		None (or less than \$201)
19.5	GS SHORT DURATION INCOME FUND CLASS P	Yes	Over \$1,000,000		\$5,001 - \$15,000
19.6	ISHARES TRUST-ISHARES CURRENCY HEDGED MSCI EAFE ETF	Yes	\$100,001 - \$250,000		None (or less than \$201)
19.7	U.S. brokerage money market account (cash)	N/A	Over \$1,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
20	Edwin Schlossberg Brokerage 3	No			
20.1	U.S. brokerage (cash)	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
21	Edwin Schlossberg Brokerage 4 (BONDS)	No			
21.1	1011778 BC / NEW RED FIN 3.875% 01/15/2028 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.2	AECOM 5.125% 03/15/2027 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.3	AIR LEASE CORP 3.375% 07/01/2025 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.4	ALBERTSONS COS INC / SAFEWAY I 4.625% 01/15/2027 USD PVT REGS SR LIEN NEW ALBERTSONS LP / ALBERTSONS	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.5	ANGI GROUP, LLC 3.875% 08/15/2028 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.6	ARCELORMITTAL SA 4.25% 07/16/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.7	AUTONATION INC 4.5% 10/01/2025 USD SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.8	B.A.T. CAPITAL CORPORATION 4.7% 04/02/2027 USD SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.9	BALL CORPORATION 2.875% 08/15/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.10	BANK OF NOVA SCOTIA (THE) HYBRID PERPETUAL USD SUB LIEN CPN 06/04/20 4.9%	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.11	BOEING CO 2.7% 02/01/2027 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21.12	BP CAPITAL MARKETS P.L.C. HYBRID PERPETUAL USD SUB LIEN CPN 06/22/20 4.875%	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.13	BROADCOM INC. 4.11% 09/15/2028 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.14	BROADCOM INC. 4.15% 11/15/2030 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.15	CALPINE CORP 4.5% 02/15/2028 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.16	CARRIER GLOBAL CORPORATION 2.722% 02/15/2030 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.17	CCO HOLDINGS, LLC 5.125% 05/01/2027 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.18	CDW LLC/CDW FINANCE 3.25% 02/15/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.19	CENTENE CORP 3.0% 10/15/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.20	CENTENE CORPORATION 4.625% 12/15/2029 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.21	CENTRAL GARDEN & PET CO 4.125% 10/15/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.22	CHENIERE ENERGY PARTNERS, L.P. 4.5% 10/01/2029 USD SER WI SR LIEN	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
21.23	CIT GROUP INC. 5.25% 03/07/2025 USD SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.24	CMS ENERGY CORPORATION HYBRID 06/01/2050 USD JRSUB LIEN CPN 05/28/20 4.75%	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.25	CROWN AMERICAS LLC 4.25% 09/30/2026 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21.26	ENBRIDGE INC. HYBRID 07/15/2080 USD SER 20-A SUB LIEN CPN 07/08/20-07/14/30 5.75%	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.27	ENERGIZER HOLDINGS INC 4.375% 03/31/2029 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.28	ENERGY TRANSFER PARTNERS, L.P. 4.9% 02/01/2024 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.29	ENPRO INDUSTRIES, INC. 5.75% 10/15/2026 USD SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.30	EXPEDIA GROUP, INC. 4.5% 08/15/2024 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.31	GENERAL ELEC CAP CORP MTN 6.75% 03/15/2032 USD SER A SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.32	GENERAL MOTORS FINANCIAL COMPA 5.25% 03/01/2026 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.33	GLOBAL PAYMENTS INC. 3.2% 08/15/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.34	GMAC INC. 8.0% 11/01/2031 USD SER B SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.35	GO DADDY OPERATING CO LLC / GD 5.25% 12/01/2027 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.36	HASBRO INC 3.9% 11/19/2029 USD SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.37	HCA INC 3.5% 09/01/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.38	HERBALIFE/HLF FINANCING 7.875% 09/01/2025 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.39	HILLENBRAND INC 5.75% 06/15/2025 USD SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21.40	HILTON DOMESTIC OPERATING CO I 4.875% 01/15/2030 USD SER WI SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
21.41	HOLOGIC, INC. 3.25% 02/15/2029 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.42	HOWMET AEROSPACE INC 6.875% 05/01/2025 USD SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.43	HUNTSMAN INTERNATIONAL L 4.5% 05/01/2029 USD SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.44	JEFFERIES GRP LLC / CAP 4.15% 01/23/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.45	KIMCO REALTY CORPORATION 2.7% 10/01/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.46	KRAFT HEINZ FOODS CO 4.625% 01/30/2029 USD SR LIEN	N/A	\$15,001 - \$50,000		None (or less than \$201)
21.47	LAMAR MEDIA CORP 3.75% 02/15/2028 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.48	LEVEL 3 FINANCING INC 4.625% 09/15/2027 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.49	MARRIOTT INTERNATIONAL, INC 5.75% 05/01/2025 USD SER EE SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.50	MDC HOLDINGS INC 2.5% 01/15/2031 SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.51	MGM GROWTH PROPERTIES OPERATIN 4.5% 09/01/2026 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.52	MGM RESORTS INTERNATIONAL 6.75% 05/01/2025 USD SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.53	MOOG INC 4.25% 12/15/2027 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21.54	MPLX LP 4.125% 03/01/2027 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.55	MPT OPERATING PARTNERSHIP, L.P 3.5% 03/15/2031 USD SR LIEN MPT FINANCE CORP	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.56	MPT OPERATING PARTNERSHIP, L.P 5.0% 10/15/2027 USD SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.57	NAVIENT CORP 4.875% 03/15/2028 SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.58	NETFLIX, INC. 6.375% 05/15/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.59	NEWELL RUBBERMAID INC. STEP 04/01/2026 USD SR LIEN 4.7% 04/01/20-04/01/26	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.60	NRG ENERGY INC 3.625% 02/15/2031 PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.61	NRG ENERGY, INC. 5.75% 01/15/2028 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.62	NUSTAR LOGISTICS LP 5.75% 10/01/2025 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.63	OCCIDENTAL PETROLEUM COR 8.0% 07/15/2025 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.64	ON SEMICONDUCTOR CORP 3.875% 09/01/2028 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.65	ONEMAIN FINANCE CORP 3.5% 01/15/2027 SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.66	PENSKE AUTOMOTIVE GROUP 3.5% 09/01/2025 USD SRSUB LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.67	PLAINS ALL AMERICAN PIPELINE, 3.6% 11/01/2024 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21.68	PRUDENTIAL FINANCIAL, INC. HYBRID 06/15/2043 USD JRSUB LIEN CPN 11/19/12 5.625%	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.69	QORVO, INC. 4.375% 10/15/2029 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.70	QUANTA SERVICES INC 2.9% 10/01/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.71	SILGAN HOLDINGS INC 4.125% 02/01/2028 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.72	SIRIUS XM RADIO INC 5.0% 08/01/2027 USD SER PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.73	SOUTHERN COMPANY (THE) HYBRID 01/15/2051 USD SER B JRSUB LIEN CPN 09/18/20 4.0%	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.74	SPIRIT REALTY LP 4.0% 07/15/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.75	SPRINGLEAF FINANCE CORPORATION 5.375% 11/15/2029 USD SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.76	SPRINT CORP 7.625% 02/15/2025 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.77	SUNOCO LP 6.0% 04/15/2027 USD SER WI SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.78	SYNCHRONY FINANCIAL 3.7% 08/04/2026 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.79	SYNCHRONY FINANCIAL 4.5% 07/23/2025 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.80	SYSCO CORPORATION 5.95% 04/01/2030 USD SR LIEN	N/A	\$1,001 - \$15,000	Capital Gains Interest	\$201 - \$1,000
21.81	TEGNA INC. 5.0% 09/15/2029 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21.82	TENET HEALTHCARE CORP 4.875% 01/01/2026 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.83	TEXTRON INC. 3.65% 03/15/2027 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.84	T-MOBILE USA INC 2.875% 02/15/2031 SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.85	TRANSCANADA TRUST HYBRID 08/15/2076 USD SER 16-A SUB LIEN CPN 08/11/16 5.875%	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.86	TREEHOUSE FOODS INC 4.0% 09/01/2028 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.87	TRI POINTE GROUP INC 5.7% 06/15/2028 USD SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.88	TWITTER, INC. 3.875% 12/15/2027 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.89	U.S. brokerage money market account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.90	UNITED RENTALS NORTH AM 3.875% 02/15/2031 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.91	VALVOLINE INC 4.25% 02/15/2030 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.92	VEREIT OPERATING PARTNER 3.4% 01/15/2028 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.93	VICI PROPERTIES L.P. 4.25% 12/01/2026 USD PVT REGS SR LIEN VICI NOTE CO INC	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.94	VISTRA OPERATIONS COMPANY LLC 5.625% 02/15/2027 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.95	W. R. GRACE & CO.-CONN. 4.875% 06/15/2027 USD PVT REGS SR LIEN	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
21.96	WALGREENS BOOTS ALLIANCE 3.2% 04/15/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.97	WELLS FARGO & COMPANY HYBRID PERPETUAL USD SER BB JR SUB LIEN CPN 01/26/21 3.9%	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
21.98	WESTERN DIGITAL CORP 4.75% 02/15/2026 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.99	YUM! BRANDS, INC 3.625% 03/15/2031 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
21.100	ZIMMER BIOMET HOLDINGS 3.55% 03/20/2030 USD SR LIEN	N/A	\$1,001 - \$15,000		None (or less than \$201)
22	Edwin Schlossberg Brokerage 5	No			
22.1	U.S. brokerage (cash)	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
22.2	GS SHORT DURATION TAX FREE FUND CLASS P	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
23	Edwin Schlossberg Brokerage 6 (STOCKS)	No			
23.1	ALLY FINANCIAL INC. HYBRID PERPETUAL SER B JR SUB LIEN CPN 04/22/21 4.7%	N/A	\$15,001 - \$50,000		None (or less than \$201)
23.2	AMERICAN EXPRESS COMPANY HYBRID PERPETUAL USD SER B SUB LIEN CPN 05/17/21-08/15/21 3.58388%	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.3	AT&T INC. PFD USD1.2500(5.00%) SERIES A	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.4	BANK OF AMERICA CORPORATION HYBRID PERPETUAL USD SER AA JR SUB LIEN CPN 03/17/15 6.1%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23.5	BANK OF AMERICA CORPORATION HYBRID PERPETUAL USD SER DD JR SUB LIEN CPN 03/10/16-03/09/26 6.3%	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23.6	BANK OF AMERICA CORPORATION HYBRID PERPETUAL USD SER Z SUB LIEN CPN 10/23/14-10/22/24 6.5%	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.7	BANK OF NEW YORK MELLON CORPOR HYBRID PERPETUAL USD SER G JRSUB LIEN CPN 05/19/20 4.7%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23.8	BANK OF NEW YORK MELLON CORPOR HYBRID PERPETUAL USD SER H JRSUB LIEN CPN 11/03/20-03/19/26 3.7%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23.9	BANK OF NOVA SCOTIA (THE) HYBRID PERPETUAL USD SUB LIEN CPN 06/04/20 4.9%	N/A	\$15,001 - \$50,000		None (or less than \$201)
23.10	BP CAPITAL MARKETS P.L.C. HYBRID PERPETUAL USD SUB LIEN CPN 06/22/20 4.875%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23.11	CAPITAL ONE FINANCIAL CORP PFD USD1.2500(5.00%) SERIES I	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.12	CAPITAL ONE FINANCIAL CORPORAT HYBRID PERPETUAL USD SER E SUB LIEN CPN 06/01/21-08/31/21 3.93463%	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.13	CENTERPOINT ENERGY, INC HYBRID PERPETUAL USD SER A SR LIEN CPN 08/22/18 6.125%	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.14	CHARLES SCHWAB CORPORATION (TH HYBRID PERPETUAL USD SER G JRSUB LIEN CPN 04/30/20 5.375%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23.15	CHARLES SCHWAB CORPORATION (TH HYBRID PERPETUAL USD SER H JRSUB LIEN CPN 12/11/20 4.0%	N/A	\$15,001 - \$50,000		None (or less than \$201)
23.16	CHARLES SCHWAB CORPORATION (TH HYBRID PERPETUAL USD SER I JRSUB LIEN CPN 03/18/21 4.0%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23.17	CIT GROUP INC. HYBRID PERPETUAL USD SER A JRSUB LIEN CPN 06/07/17 5.8%	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
23.18	CITIGROUP INC. HYBRID PERPETUAL SER T SUB LIEN CPN 04/25/16 6.25%	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.19	CITIGROUP INC. HYBRID PERPETUAL USD JRSUB LIEN CPN 02/18/21 3.875%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23.20	CITIGROUP INC. HYBRID PERPETUAL USD SER U JRSUB LIEN CPN 09/12/19 5.0%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23.21	CITIGROUP INC. HYBRID PERPETUAL USD SER W JRSUB LIEN CPN 12/10/20-12/09/25 4.0%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23.22	CITIZENS FINANCIAL GROUP, INC. HYBRID PERPETUAL USD SER F JRSUB LIEN CPN 06/04/20 5.65%	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.23	CITIZENS FINANCIAL GROUP, INC. PFD USD1.2500(5.00%) SERIES E	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.24	CMS ENERGY CORPORATION HYBRID 06/01/2050 USD JRSUB LIEN CPN 05/28/20 4.75%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23.25	CMS ENERGY CORPORATION HYBRID 12/01/2050 USD JRSUB LIEN CPN 11/25/20 3.75%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23.26	COMERICA INCORPORATED HYBRID PERPETUAL USD JRSUB LIEN CPN 05/26/20 5.625%	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.27	DISCOVER FINANCIAL SERVICES HYBRID PERPETUAL USD SER D JRSUB LIEN CPN 06/22/20 6.125%	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
23.28	DOMINION ENERGY, INC. HYBRID PERPETUAL USD SER B SR LIEN CPN 12/13/19 4.65%	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23.29	DUKE ENERGY CORPORATION HYBRID PERPETUAL USD SR LIEN CPN 09/12/19 4.875%	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.30	EDISON INTERNATIONAL HYBRID PERPETUAL SER A JRSUB LIEN CPN 03/09/21 5.375%	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.31	EMERA INCORPORATED HYBRID 06/15/2076 USD SUB LIEN CPN 06/16/16 6.75%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23.32	ENBRIDGE INC. HYBRID 07/15/2080 USD SER 20-A SUB LIEN CPN 07/08/20-07/14/30 5.75%	N/A	\$15,001 - \$50,000		None (or less than \$201)
23.33	ENERGY TRANSFER OPERATING LP FRN 11/01/2066 USD SER B USLIB 3MO +301.75BP SUB LIEN CPN 08/01/19 5.270630%	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.34	EQUITABLE HOLDINGS, INC. HYBRID PERPETUAL USD SER B JRSUB LIEN CPN 08/11/20 4.95%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23.35	FIFTH THIRD BANCORP HYBRID PERPETUAL USD SER L JRSUB LIEN CPN 07/30/20 4.5%	N/A	\$15,001 - \$50,000		None (or less than \$201)
23.36	HUNTINGTON BANCSHARES INCORPOR HYBRID PERPETUAL USD SER F JRSUB LIEN CPN 06/03/20 5.625%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23.37	HUNTINGTON BANCSHARES INCORPOR HYBRID PERPETUAL USD SER G JRSUB LIEN CPN 08/10/20 4.45%	N/A	\$15,001 - \$50,000		None (or less than \$201)
23.38	JPMORGAN CHASE & CO. HYBRID PERPETUAL SER KK JRSUB LIEN CPN 05/12/21 3.65%	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23.39	JPMORGAN CHASE & CO. HYBRID PERPETUAL USD SER FF JRSUB LIEN CPN 07/31/19 5.0%	N/A	\$15,001 - \$50,000		None (or less than \$201)
23.40	JPMORGAN CHASE & CO. HYBRID PERPETUAL USD SER S JRSUB LIEN CPN 01/22/14 6.75%	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.41	JPMORGAN CHASE & CO. HYBRID PERPETUAL USD SER Z SUB LIEN CPN 05/03/21-08/01/21 3.97563%	N/A	\$15,001 - \$50,000		None (or less than \$201)
23.42	KKR GROUP FINANCE CO. IX LLC PFD USD1.1562(4.62%) SERIES B	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.43	M&T BANK CORPORATION HYBRID PERPETUAL SER G JRSUB LIEN CPN 07/30/19 5.0%	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.44	METLIFE, INC. HYBRID PERPETUAL USD SER G JRSUB LIEN CPN 03/15/21 3.85%	N/A	\$15,001 - \$50,000		None (or less than \$201)
23.45	MORGAN STANLEY HYBRID PERPETUAL USD SER H SUB LIEN CPN 04/15/21-07/14/21 3.79375%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23.46	MORGAN STANLEY PFD USD1.4625(5.85%) SERIES K PERPETUAL FIX TO FLOAT	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.47	NATIONAL RURAL UTILITIES COOPE HYBRID 04/20/2046 USD SRSUB LIEN CPN 04/20/16 5.25%	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
23.48	PARTNERRE FINANCE B LLC HYBRID 10/01/2050 USD JRSUB LIEN CPN 09/22/20-09/30/30 4.5%	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.49	PRUDENTIAL FINANCIAL, INC. HYBRID 06/15/2043 USD JRSUB LIEN CPN 11/19/12 5.625%	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
23.50	SEMPRA ENERGY HYBRID PERPETUAL USD JRSUB LIEN CPN 06/19/20 4.875%	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
23.51	SOUTHERN COMPANY (THE) HYBRID 01/15/2051 USD SER B JRSUB LIEN CPN 09/18/20 4.0%	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.52	SVB FINANCIAL GROUP HYBRID PERPETUAL SER C JRSUB LIEN CPN 05/13/21 4.0%	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.53	SYNCHRONY FINANCIAL PFD USD1.4063(5.63%) SERIES A	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.54	TRANSCANADA TRUST HYBRID 08/15/2076 USD SER 16-A SUB LIEN CPN 08/11/16 5.875%	N/A	\$15,001 - \$50,000		None (or less than \$201)
23.55	TRUIST FINANCIAL CORPORATION HYBRID PERPETUAL USD SER P JRSUB LIEN CPN 06/01/20 4.95%	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
23.56	TRUIST FINANCIAL CORPORATION HYBRID PERPETUAL USD SER Q JRSUB LIEN CPN 06/19/20 5.1%	N/A	\$15,001 - \$50,000		None (or less than \$201)
23.57	U.S. brokerage money market account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
23.58	VODAFONE GROUP PUBLIC LIMITED HYBRID 04/04/2079 USD SUB LIEN CPN 04/04/19 7.0%	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
23.59	VOYA FINANCIAL, INC. HYBRID 05/15/2053 USD JRSUB LIEN CPN 05/16/13-05/14/23 5.65%	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
23.60	WELLS FARGO & COMPANY HYBRID PERPETUAL USD SER BB JRSUB LIEN CPN 01/26/21 3.9%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
23.61	WELLS FARGO & COMPANY HYBRID PERPETUAL USD SER U SUB LIEN CPN 01/23/15 5.875%	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
24	KS BCOM LLC, New York, NY, USA	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24.1	Blackstone Capital Partners V LP	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
24.2	Blackstone Capital Partners V-S L.P.	Yes	\$1,001 - \$15,000		\$5,001 - \$15,000
24.3	Blackstone Communications Partners I, L.P.	Yes	\$15,001 - \$50,000		None (or less than \$201)
24.4	U.S. bank (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
25	Red Gate Farm LLC (25% owned by Filer), Wilmington, DE USA	No			
25.1	Residential real estate (owned 100% by Red Gate Farm LLC), Aquinnah, MA, USA	N/A	\$5,000,001 - \$25,000,000	Capital Gains	Over \$5,000,000
25.2	U.S. bank (cash)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
26	Carlyle Venture Partners II, LP	Yes	\$1,001 - \$15,000		None (or less than \$201)
27	U.S. bank (cash)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
28	Park Agency Inc. (financial services) (Filer has 16.67% ownership)	N/A	\$100,001 - \$250,000		None (or less than \$201)
29	Edwin Schlossberg Brokerage 7	No			
29.1	ROBLOX	N/A	\$100,001 - \$250,000		None (or less than \$201)
29.2	U.S. brokerage (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
30	1959 Trust	No			
30.1	Park Holdings Group, LLC, New York, NY, USA	No			

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
30.1.1	Arctic Royalty L.P.	See Endnote	No	\$100,001 - \$250,000	Rent or Royalties	\$50,001 - \$100,000
31	Caroline Kennedy 1982 Trust		No			
31.1	Park Holdings Group, LLC, New York, NY, USA		No			
31.1.1	Arctic Royalty L.P.	See Endnote	No	\$50,001 - \$100,000	Rent or Royalties	\$15,001 - \$50,000
32	No Gate LLC, Wilmington, DE USA		No			
32.1	Residential real estate (owned 100% by No Gate LLC), Aquinnah, MA, USA		N/A	None (or less than \$1,001)	Capital Gains	\$1,000,001 - \$5,000,000
33	Kennedy Schlossberg 2012 Family Trust FBO Children		No			
33.1	Red Gate Farm LLC (25% owned by 2012 Family Trust), Wilmington, DE USA		No			
33.1.1	Residential real estate (owned 100% by Red Gate Farm LLC), Aquinnah, MA, USA		N/A	\$5,000,001 - \$25,000,000	Capital Gains	Over \$5,000,000
34	The Perfect Client, LLC	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
35	Profiles In Courage, Harper Collins (value not readily ascertainable)		N/A		Rent or Royalties	\$201 - \$1,000

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Martha's Vineyard Savings Bank (satisfied in full Oct. 2020)	Mortgage on Personal Residence	\$1,000,001 - \$5,000,000	2018	3.875%	30 years
2	Blackstone Communications Partners I L.P.	Capital Commitment	\$15,001 - \$50,000	2000	N/A	On demand
3	Blackstone Capital Partners V L.P.	Capital Commitment	\$50,001 - \$100,000	2005	N/A	On demand
4	Carlyle Venture Partners II, L.P.	Capital Commitment	\$15,001 - \$50,000	2001	N/A	On demand
5	WEST STREET GLOBAL GROWTH PART	Capital Commitment	\$1,000,001 - \$5,000,000	2021	N/A	On demand
6	WEST STREET CAPITAL PTNRS VII L.P.	Capital Commitment	\$500,001 - \$1,000,000	2016	N/A	On demand
7	HORIZON ENVIRONMENT & CLIMATE SOLUTIONS	Capital Commitment	\$250,001 - \$500,000	2021	N/A	On demand
8	WEST STREET SENIOR CREDIT PART III	Capital Commitment	\$1,000,001 - \$5,000,000	2021	N/A	On demand

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
2.	15	Receivable has been paid in full subsequent to filing.

PART	#	ENDNOTE
5.	1	Edwin Schlossberg Incorporated ("ESI") sold its entire business to NBBJ PLLC in February 2020 and ceased all business operations at that time. It is now a shell company that is in the process of dissolving and terminating its existence. My spouse received no further salary from ESI following the sale. He received no equity in NBBJ PLLC in connection with the sale of ESC and holds no equity in NBBJ PLLC currently.
5.	6	Upon the sale of the business of ESI to NBBJ PLLC NY, ESI's 401(k) Plan was terminated and my spouse's balance was transferred to a newly formed Rollover IRA. Subsequently that Rollover IRA itself terminated and distributed the full amount (\$637,297) to my spouse in a taxable distribution. As a separate matter, my spouse became eligible to participate in the 401(k) plan sponsored by NBBJ PLLC; he has taken no distributions from that plan.

PART	#	ENDNOTE
6.	30.1.1	<p>Oil & Gas Leases, county and state, and name of lessee: KINGFISHER, OK - NEWFIELD EXPLORATION MIDCONTINENT INC; OVINTIV EXPLORATION INC.; OVINTIV USA INC.; KINGFISHER, OK - OVINTIV EXPLORATION INC.; OVINTIV USA INC.; CREEK, OK - SUNOCO, INC. (R&M); KINGFISHER, OK - OVINTIV EXPLORATION INC.; OVINTIV USA INC.; KINGFISHER, OK - OVINTIV EXPLORATION INC.; OVINTIV USA INC.; KINGFISHER, OK - OVINTIV EXPLORATION INC.; OVINTIV USA INC.; GAINES, TX - LERETA LLC 2020; XTO ENERGY INC; POTTAWATOMIE, OK - CIRCLE 9 RESOURCES LLC; SUNOCO, INC. (R&M); GAINES, TX - LERETA LLC 2020; XTO ENERGY INC; DEWEY, OK - CONTANGO RESOURCES, INC.; WHITE STAR PETROLEUM, LLC; HUGHES, OK - SILVER CREEK OIL & GAS, LLC; DEWEY, OK - CONTANGO RESOURCES, INC.; WHITE STAR PETROLEUM, LLC; GRADY, OK - GULFPORT MIDCON LLC; STARR, TX - HILCORP ENERGY/SAN JUAN; LERETA LLC 2020; KINGFISHER, OK - RED BLUFF RESOURCES OPER LLC; STARR, TX - HILCORP ENERGY/SAN JUAN; DEWEY, OK - CONTANGO RESOURCES, INC.; WHITE STAR PETROLEUM, LLC; STARR, TX - HILCORP ENERGY/SAN JUAN; STEPHENS, OK - NEWFIELD EXPLORATION MIDCONTINENT INC; OVINTIV EXPLORATION INC.; OVINTIV USA INC.; KINGFISHER, OK - NEWFIELD EXPLORATION MIDCONTINENT INC; OVINTIV EXPLORATION INC.; OVINTIV USA INC.; STARR, TX - HILCORP ENERGY/SAN JUAN; LERETA LLC 2020; DEWEY, OK - CONTANGO RESOURCES, INC.; WHITE STAR PETROLEUM, LLC; STEPHENS, OK - NEWFIELD EXPLORATION MIDCONTINENT INC; OVINTIV EXPLORATION INC.; OVINTIV USA INC.; STEPHENS, OK - NEWFIELD EXPLORATION MIDCONTINENT INC; OVINTIV EXPLORATION INC.; OVINTIV USA INC.; KINGFISHER, OK - ALTA MESA SERVICES LP; BCEMACH LLC; OKLAHOMA, OK - REVOLUTION RESOURCES, LLC; SUNOCO, INC. (R&M); SUPERIOR PIPELINE COMPANY, L.L.C.; STEPHENS, OK - NEWFIELD EXPLORATION MIDCONTINENT INC; OVINTIV EXPLORATION INC.; OVINTIV USA INC.; STARR, TX - HILCORP ENERGY/SAN JUAN; LERETA LLC 2020; CREEK, OK - COFFEYVILLE RESOURCES, LLC; DORADO OIL COMPANY; STARR, TX - HILCORP ENERGY/SAN JUAN; MCMULLEN, TX - LERETA LLC 2020; REMORA OPERATING, LLC; SUNDANCE ENERGY; STARR, TX - HILCORP ENERGY/SAN JUAN; HUGHES, OK - CALYX ENERGY, LLC; POTTAWATOMIE, OK - LEWIS A. HEMBREE PRODUCTION COMPANY; SUNOCO, INC. (R&M); LOGAN, OK - GILLILAND OIL & GAS, INC.; DEWEY, OK - CONTANGO RESOURCES, INC.; WHITE STAR PETROLEUM, LLC; STARR, TX - HILCORP ENERGY/SAN JUAN; LERETA LLC 2020;</p>

PART

#

ENDNOTE

STARR, TX - HILCORP ENERGY/SAN JUAN; LERETA LLC 2020;
OKLAHOMA, OK - STEPHENS & JOHNSON OPERATING CO.;
STARR, TX - HILCORP ENERGY/SAN JUAN;
DUVAL, TX - GULFMARK ENERGY; LERETA LLC 2020;
DEWEY, OK - CONTANGO RESOURCES, INC.; WHITE STAR PETROLEUM, LLC;
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COMPANY, L.L.C.;
SEMINOLE, OK - KELLY COOK OIL LLC; SUNOCO, INC. (R&M);
OKLAHOMA, OK - REVOLUTION RESOURCES, LLC; SUNOCO, INC. (R&M); SUPERIOR PIPELINE
COMPANY, L.L.C.;
JIM WELLS, TX - JETTA OPERATING COMPANY, INC.; LERETA LLC 2020; SUEANN OPERATING, LC;
LINCOLN, OK - ENERSOURCE PETROLEUM, INC;
LINCOLN, OK - PRAIRIE GAS COMPANY OF OKLAHOMA LLC;
CANADIAN, OK - DEVON ENERGY PRODUCTION COMPANY L.P.;
ST. MARY, LA - MARQUIS RESOURCES, LLC; PERDIDO SOUTHEAST, LLC;
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STARR, TX - HILCORP ENERGY/SAN JUAN; and
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PART	#	ENDNOTE
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 DEWEY, OK - CRAWLEY PETROLEUM CORPORATION

6.

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The Perfect Client LLC is a company partially owned by my spouse (70%) and my three children (10% each). It currently is a shell entity, created years ago to hold certain intellectual property that it subsequently distributed elsewhere; it now has no assets or value.

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).
