

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

Filer's Information

Rhodes, John B

Special Assistant to the President for Climate Policy, White House - Biden-Harris Administration

Report Year: 2022

Other Federal Government Positions Held During the Preceding 12 Months:

None

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

/s/ Rhodes, John B [electronically signed on 04/29/2022 by Rhodes, John 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/ Hermanowicz, Rebecca A, Certifying Official [electronically signed on 05/12/2022 by Hermanowicz, Rebecca A in Integrity.gov]

Other review conducted by

/s/ Hermanowicz, Rebecca A, Ethics Official [electronically signed on 05/12/2022 by Hermanowicz, Rebecca A in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 05/12/2022

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	New York State Public Service Commission		Albany, New York	State of New York	Chair, CEO of NYS Dept of Public Service	6/2017	2/2021
2	New York Institute for Special Education		Bronx, New York	Non-Profit	Board President	1/2019	9/2021
3	American Federation for Aging Research		New York, New York	Non-Profit	Member of Executive and Finance Committees, Chair, Audit Committee.	9/2006	9/2021
4	LUCAS B RHODES TRUST U/A 12/22/97 FBO LUCAS B RHODES	See Endnote	New York, New York	Trust	Trustee*	1/1997	Present
5	EMILY P RHODES TRUST U/A 12/08/00 FBO EMILY P RHODES	See Endnote	New York, New York	Trust	Trustee*	1/2000	Present
6	SIMON G RHODES TRUST U/A 12/08/00 FBO SIMON G RHODES	See Endnote	New York, New York	Trust	Trustee*	1/2000	Present
7	JOHN B. RHODES TRUST UA 7/20/1956 IRREV TRUST B FBO GRANDCHILDREN	See Endnote	New York, New York	Trust	* Trustee	1/1990	Present
8	JOHN B. RHODES TRUST UW 10/4/1965 FBO GEORGE HERNDON	See Endnote	New York, New York	Trust	*Trustee	1/1990	Present
9	JOHN B. RHODES TRUST UW 10/4/1965 FBO LYDIA RHODES PETTY	See Endnote	New York, New York	Trust	*Trustee	1/1990	Present
10	JOHN B. RHODES TRUST UW 10/4/1965 FBO MARK L. RHODES	See Endnote	New York, New York	Trust	*Trustee	1/1990	Present
11	JOHN B. RHODES TRUST UW 10/4/1965 FBO MARY HERDON JUNDA	See Endnote	New York, New York	Trust	*Trustee	1/1990	Present
12	JOHN B. RHODES TRUST UW 10/4/1965 FBO WILLIAM HERNDON	See Endnote	New York, New York	Trust	*Trustee	1/1990	Present

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
13	GST EXEMPT TR U/A TWO FBO SIMON RHODES	See Endnote	New York, New York	Trust	*Trustee	1/1990	Present
14	GST EXEMPT TR U/A TWO FBO EMILY RHODES	See Endnote	New York, New York	Trust	*Trustee	1/1990	Present
15	GST EXEMPT TR U/A TWO FBO LUCAS RHODES	See Endnote	New York, New York	Trust	*Trustee	1/1990	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	New York State Public Service Commission	N/A		Salary	\$39,555
2	TIAA	No			
2.1	TIAA Traditional	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	TIAA ACC INTL EQ Ix T1	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.3	TIAA ACC S&P 500 Ix T1	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.4	TIAA ACC EQ Ix T1	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.5	TIAA ACC Lg- Cap Val Ix T1	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.6	TIAA ACC VNGD 500 IDX T1	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	Bregal 401K	No			
3.1	FID LOW PRICED STK (FLPSX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2	FID SMALL CAP GROWTH (FCPGX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.3	FID OVERSEAS (FOSFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4	Fidelity/ Avalon IRA	No			
4.1	Fidelity Government Cash Reserve Money Mkt	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
4.2	Dodge & Cox Income	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.3	Fidelity Conservative Income Bond Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.4	JP Morgan Mortgage-Backed Securities	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.5	Vanguard Short-Term Inv Grade Adm	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.6	Fidelity Overseas FOR	Yes	\$50,001 - \$100,000		None (or less than \$201)
5	Fidelity/ Avalon Rollover IRA	No			
5.1	FIDELITY GOVERNMENT CASH RESERVES	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	Fidelity/ Avalon Def Annuity	No			None (or less than \$201)
6.1	Fidelity VIP Growth	Yes	\$250,001 - \$500,000		None (or less than \$201)
6.2	Fidelity VIP Govt Money Market	Yes	None (or less than \$1,001)		None (or less than \$201)
6.3	Fidelity VIP Overseas	Yes	\$100,001 - \$250,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

None

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	National Economic Research Associates, Economic Consulting	N/A		salary, bonus	
2	MMC Cash Bonus Award Voluntary Deferral Plan,	No			
2.1	2003 MMC Stock	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
3	TRANSAMERICA MMC 401k	No			
3.1	MMC Stock Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	Dodge & Cox Stock Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.3	T. Rowe Price Blue Chip Gro T6	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.4	S&P 500 Fund	Yes	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.5	Capital Group EuroPacific Growth Trust U2	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.6	Non US Equity Index Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.7	PIMCO Total Return Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.8	Invesco Fixed Income Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	TRANSAMERICA MMC SAVINGS & INV SUPPLEMENTAL PLAN	No			
4.1	Dodge & Cox Stock Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.2	T. Rowe Price Blue Chip Growth	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.3	S&P 500 Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.4	US Extended Equity Market Index	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.5	Non US Equity Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.6	PIMCO Total Return Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.7	Invesco Fixed Income Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
5	TRADITIONAL IRA	No		Interest	
5.1	Fidelity Government Cash Reserve Money Mkt	Yes	\$250,001 - \$500,000		None (or less than \$201)
5.2	Dodge & Cox Income	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.3	Fidelity Conservative Income Bond Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.4	JP Morgan Mortgage-Backed Securities	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.5	Vanguard Short-Term Inv Grade Adm	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.6	Adobe Inc.	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.7	Akamai Technologies	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.8	Alphabet Class A	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.9	Alphabet Class C	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.10	Amazon.Com	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.11	American Tower Corp. REIT	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.12	Aon PLC Corp.	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.13	Apple Inc.	N/A	\$100,001 - \$250,000		None (or less than \$201)
5.14	Avalon Bay REIT	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.15	Becton Dickinson	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.16	Berkshire Hathaway Cl B	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.17	Borg Warner Automotive	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.18	Broadcom Inc.	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.19	CVS Health Corp	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.20	Comcast Cl A	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.21	Danaher Corp	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.22	FIS Global	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.23	First Republic Bank	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.24	LKQ Corp.	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.25	Lowe's	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.26	Microsoft Corp	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.27	Mondelez International Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.28	iShares Nasdaq Biotechnology ETF (IBB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.29	N-able, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.30	NVR Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.31	PNC Finl Svcs Group	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.32	PayPal Holdings, Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.33	Pennon Group PLC FOR	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.34	Progressive Corp	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.35	iShares PHLX Semiconductor ETF (SOXX)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.36	Thermo Fisher Scientific	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.37	Trimble Inc.	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.38	Ulta Beauty, Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.39	Visa	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.40	Waste Management	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.41	Fidelity Overseas FOR	Yes	\$50,001 - \$100,000		None (or less than \$201)
5.42	The Walt Disney Co. (DIS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.43	Facebook, Inc. (FB)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.44	morgan stanley	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.45	Unilever	N/A	\$15,001 - \$50,000		None (or less than \$201)
6	MORGAN STANLEY ACCESS DIRECT STOCK PLAN ACCT	No			
6.1	Marsh & McLennan Cos Inc	N/A	\$250,001 - \$500,000		None (or less than \$201)
6.2	Morgan Stanley Private Bank	N/A	\$1,001 - \$15,000		None (or less than \$201)
7	MORGAN STANLEY MMC EMPLOYEE STOCK PLAN ACCT	No			
7.1	Marsh & McLennan Cos Inc	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
8	MMC LTI/MBD CASH AWARDS 2	N/A	\$100,001 - \$250,000		None (or less than \$201)
9	Marsh & McLennan Cos., Inc. (MMC)/ NERA, Defined Benefit Plan (value not readily ascertainable)	N/A	None (or less than \$1,001)	Retirement Payments	\$0

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Fidelity/ Avalon IM JR	No			
1.1	Adobe Inc.	N/A	\$15,001 - \$50,000	Capital Gains	None (or less than \$201)
1.2	Akamai Technologies	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3	Alphabet Class A	N/A	\$50,001 - \$100,000	Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4	Alphabet Class C	N/A	\$50,001 - \$100,000	Capital Gains	None (or less than \$201)
1.5	Amazon.Com	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.6	American Tower Corp. REIT	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.7	Apple Inc.	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
1.8	Avalon Bay REIT	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.9	Becton Dickinson	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.10	Berkshire Hathaway CI B	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
1.11	Bloom Energy Corp Class A	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.12	Broadcom Inc.	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
1.13	Brookfield Infrastructure Corp Class A	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
1.14	Brookfield Infrastructure Partners LP	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$15,001 - \$50,000
1.15	Comcast CI A	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
1.16	CVS Health Corp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.17	Danaher Corp	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$5,001 - \$15,000
1.18	Dodge & Cox Income	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.19	Disney	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
1.20	Fidelity Conservative Income Bond Fund	Yes	\$50,001 - \$100,000		\$201 - \$1,000
1.21	Fidelity Government Cash Reserve Money Mkt	Yes	\$100,001 - \$250,000		\$201 - \$1,000
1.22	Fidelity Intermediate Muni Income	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.23	Fidelity Overseas FOR	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.24	First Republic Bank	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.25	First Solar Inc Com	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.26	FIS Global	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.27	iShares PHLX Semiconductor	Yes	\$50,001 - \$100,000		\$201 - \$1,000
1.28	iShares Tr NASDAQ Biotechnology	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.29	Johnson & Johnson	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.30	JP Morgan Mortgage-Backed Securities	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
1.31	LKQ Corp.	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.32	Lowe's	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.33	Microsoft Corp	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.34	Mondelez International Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.35	unilever	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$2,501 - \$5,000
1.36	NVR Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.37	PayPal Holdings, Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.38	Pennon Group PLC FOR	N/A	\$15,001 - \$50,000		\$201 - \$1,000
1.39	PNC Finl Svcs Group	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.40	Progressive Corp	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
1.41	Quanta Services	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.42	Thermo Fisher Scientific	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.43	Trane Technologies	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.44	Trimble Inc.	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
1.45	Ulta Beauty, Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.46	Vanguard Short-Term Inv Grade Adm	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.47	Visa	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$5,001 - \$15,000
1.48	Waste Management	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.49	Facebook, Inc. (FB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.50	Morgan Stanley	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2	Fidelity/ Avalon IM LPA	No			
2.1	Adobe Inc.	N/A	\$100,001 - \$250,000		None (or less than \$201)
2.2	Akamai Technologies	N/A	\$250,001 - \$500,000		None (or less than \$201)
2.3	Alphabet Class C	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
2.4	Amazon.Com	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
2.5	American Tower Corp. REIT	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
2.6	Aon PLC Corp.	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
2.7	Apple Inc.	N/A	\$500,001 - \$1,000,000	Dividends	\$2,501 - \$5,000
2.8	Avalon Bay REIT	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
2.9	Becton Dickinson	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
2.10	Berkshire Hathaway CI B	N/A	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.11	Bloom Energy Corp Class A	N/A	\$100,001 - \$250,000		None (or less than \$201)
2.12	Borg Warner Automotive	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
2.13	Broadcom Inc.	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
2.14	Brookfield Infrastructure Partners LP	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$50,001 - \$100,000
2.15	Comcast CI A	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
2.16	CVS Health Corp	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
2.17	Danaher Corp	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
2.18	Dodge & Cox Income	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
2.19	Fidelity Conservative Income Bond Fund	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
2.20	Fidelity Government Cash Reserve Money Mkt	N/A	Over \$1,000,000		None (or less than \$201)
2.21	Fidelity Intermediate Muni Income	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
2.22	Fidelity Overseas FOR	N/A	\$500,001 - \$1,000,000	Dividends	\$1,001 - \$2,500
2.23	First Republic Bank	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
2.24	First Solar Inc Com	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.25	FIS Global	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
2.26	iShares PHLX Semiconductor	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
2.27	iShares Tr NASDAQ Biotechnology	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
2.28	Johnson & Johnson	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
2.29	JP Morgan Mortgage-Backed Securities	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
2.30	LKQ Corp.	N/A	\$250,001 - \$500,000	Capital Gains Dividends	\$50,001 - \$100,000
2.31	Lowe's	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
2.32	Microsoft Corp	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
2.33	Mondelez International Inc	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
2.34	N-able, Inc.	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.35	NVR Inc	N/A	\$100,001 - \$250,000		None (or less than \$201)
2.36	PayPal Holdings, Inc	N/A	\$100,001 - \$250,000		None (or less than \$201)
2.37	Pennon Group PLC FOR	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$201 - \$1,000
2.38	PepsiCo Inc	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.39	PNC Finl Svcs Group	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
2.40	Progressive Corp	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
2.41	Quanta Services	N/A	\$100,001 - \$250,000		\$201 - \$1,000
2.42	Thermo Fisher Scientific	N/A	\$250,001 - \$500,000	Dividends	\$201 - \$1,000
2.43	Trane Technologies	N/A	\$100,001 - \$250,000	Dividends	\$15,001 - \$50,000
2.44	Trimble Inc.	N/A	\$250,001 - \$500,000		None (or less than \$201)
2.45	Ulta Beauty, Inc	N/A	\$100,001 - \$250,000		None (or less than \$201)
2.46	Vanguard Short-Term Inv Grade Adm	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
2.47	Visa	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
2.48	Walt Disney Company	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
2.49	Waste Management	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
2.50	unilever	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
2.51	Morgan Stanley	N/A	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000
2.52	Facebook, Inc. (FB)	N/A	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3	JOHN B. RHODES TRUST UA 7/20/1956 IRREV TRUST B FBO GRANDCHILDREN	No		Interest	
3.1	Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã ABT Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã ABBOTT LABORATORIES COM	N/A	\$500,001 - \$1,000,000	Capital Gains Dividends	\$5,001 - \$15,000
3.2	Â Â Â Â Â ADP Â Â Â Â Â AUTOMATIC DATA PROCESSING INC COM	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
3.3	Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã AMT Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã AMERICAN TOWER CORPORATION	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
3.4	Â Â Â Â Â AMZN Â Â Â Â Â AMAZON.COM INC COM	N/A	\$250,001 - \$500,000		None (or less than \$201)
3.5	Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã APH Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã AMPHENOL CORP CL A	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
3.6	Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã APTV Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã APTIV PLC COM NEW	N/A	\$250,001 - \$500,000	Capital Gains Dividends	\$15,001 - \$50,000
3.7	Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã CDW Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã CDW CORP COM	N/A	\$250,001 - \$500,000	Capital Gains Dividends	\$5,001 - \$15,000
3.8	Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã FB Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã FACEBOOK INC CL A	N/A	\$250,001 - \$500,000		None (or less than \$201)
3.9	Â Â Â Â Â IQV Â Â Â Â Â IQVIA HLDGS INC COM	N/A	\$250,001 - \$500,000	Capital Gains	\$100,001 - \$1,000,000
3.10	Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã MA Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã MASTERCARD INC CL A	N/A	\$500,001 - \$1,000,000	Dividends	\$2,501 - \$5,000
3.11	Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã MSFT Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã MICROSOFT CORP COM	N/A	\$500,001 - \$1,000,000	Capital Gains Dividends	\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.12	Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã NKE Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã NIKE INC CL B	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
3.13	Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã SCHW Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã SCHWAB CHARLES CORP NEW COM	N/A	\$250,001 - \$500,000	Dividends	\$15,001 - \$50,000
3.14	Â Â Â Â Â SRCL Â Â Â Â Â STERICYCLE INC COM	N/A	\$100,001 - \$250,000		None (or less than \$201)
3.15	Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã STZ Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã CONSTELLATION BRANDS INC CL A	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
3.16	Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã TJX Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã TJX COS INC NEW COM	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
3.17	Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã ZTS Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã ZOETIS INC CL A	N/A	\$250,001 - \$500,000	Capital Gains Dividends	\$50,001 - \$100,000
3.18	Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã CIBC00-01-8 Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã CIBC CASH RESERVE Ã,Ã Ã,Ã Ã,Ã Ã,Ã (PRINCIPAL)	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
3.19	PRINCIPAL CASH	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.20	International Flavors & Fragrances, Inc. (IFF)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$5,001 - \$15,000
3.21	Verisk Analytics, Inc. (VRSK)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$15,001 - \$50,000
4	JOHN B. RHODES TRUST UW 10/4/1965 FBO JOHN B. RHODES III	No			
4.1	Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã ABT Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã ABBOTT LABORATORIES COM	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.2	ADP AUTOMATIC DATA PROCESSING INC COM	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$2,501 - \$5,000
4.3	AMT AMERICAN TOWER CORPORATION	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$2,501 - \$5,000
4.4	AMZN AMAZON.COM INC COM	N/A	\$250,001 - \$500,000		None (or less than \$201)
4.5	APH AMPHENOL CORP CL A	N/A	\$250,001 - \$500,000	Capital Gains Dividends	\$2,501 - \$5,000
4.6	APTIV APTIV PLC COM NEW	N/A	\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000
4.7	CDW CDW CORP COM	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$5,001 - \$15,000
4.8	FB FACEBOOK INC CL A	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.9	IQV IQVIA HLDGS INC COM	N/A	\$250,001 - \$500,000	Capital Gains	\$15,001 - \$50,000
4.10	MA MASTERCARD INC CL A	N/A	\$250,001 - \$500,000	Capital Gains Dividends	\$15,001 - \$50,000
4.11	MSFT MICROSOFT CORP COM	N/A	\$250,001 - \$500,000	Capital Gains Dividends	\$50,001 - \$100,000
4.12	NKE NIKE INC CL B	N/A	\$250,001 - \$500,000	Capital Gains Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.13	Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã SCHW Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã SCHWAB CHARLES CORP NEW COM	N/A	\$250,001 - \$500,000	Capital Gains Dividends	\$15,001 - \$50,000
4.14	Â Â Â Â Â SRCL Â Â Â Â Â STERICYCLE INC COM	N/A	\$100,001 - \$250,000	Capital Gains	\$1,001 - \$2,500
4.15	Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã STZ Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã CONSTELLATION BRANDS INC CL A	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
4.16	Â Â Â Â Â TJX Â Â Â Â Â TJX COS INC NEW COM	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$2,501 - \$5,000
4.17	Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã ZTS Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã Ã,Ã ZOETIS INC CL A	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
4.18	Ã,Ã Ã,Ã Ã,Ã Ã,Ã CIBC00-01-8 Ã,Ã Ã,Ã Ã,Ã Ã,Ã CIBC CASH RESERVE Ã,Ã Ã,Ã Ã,Ã Ã,Ã (PRINCIPAL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
4.19	International Flavors & Fragrances, Inc. (IFF)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$5,001 - \$15,000
4.20	Verisk Analytics, Inc. (VRSK)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$5,001 - \$15,000
5	GSTE TRUST U/W/O JOHN B RHODES F/B/O JOHN B RHODES JR	No			
5.1	U.S. \$ CASH BALANCE	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
5.2	ABBOTT LABORATORIES	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$1,001 - \$2,500
5.3	AMAZON.COM INC	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.4	AMERICAN TOWER CORP	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.5	AMPHENOL CORP-CL A	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$1,001 - \$2,500
5.6	APTIV PLC	N/A	\$50,001 - \$100,000	Capital Gains	\$2,501 - \$5,000
5.7	AUTOMATIC DATA PROCESSING	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$1,001 - \$2,500
5.8	CDW CORP/DE	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
5.9	CONSTELLATION BRANDS INC-A	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
5.10	FACEBOOK INC-CLASS A	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.11	IQVIA HOLDINGS INC	N/A	\$50,001 - \$100,000	Capital Gains	\$15,001 - \$50,000
5.12	MASTERCARD INC - A	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
5.13	MICROSOFT CORP	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
5.14	NIKE INC -CL B	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
5.15	SCHWAB (CHARLES) CORP	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$2,501 - \$5,000
5.16	STERICYCLE INC	N/A	\$15,001 - \$50,000		\$201 - \$1,000
5.17	TJX COMPANIES INC	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$1,001 - \$2,500
5.18	ZOETIS INC	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.19	Verisk Analytics, Inc. (VRSK)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$5,001 - \$15,000
5.20	International Flavors & Fragrances, Inc. (IFF)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$1,001 - \$2,500
6	TRUST U/A MARY F ALLEN 11/6/62 BOFA & LUCY ALLEN TTEE	No			None (or less than \$201)
6.1	3M CO	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.2	APPLE INC	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$5,001 - \$15,000
6.3	AUTOMATIC DATA PROCESSING INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.4	BANK OF AMERICA MONEY MARKET	No	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.5	BECTON DICKINSON & CO	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.6	BERKSHIRE HATHAWAY INC DEL	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.7	CDW CORP	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.8	COCA COLA CO	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.9	COSTCO WHSL CORP NEW	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
6.10	DIAGEO PLC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.11	FACEBOOK INC	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.12	FIRST REP BK SAN FRANCISCO	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.13	FLOWSERVE CORP	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.14	HEINEKEN HLDG NV	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
6.15	INTERM TERM TAX EX BOND CTF	No	\$100,001 - \$250,000	Capital Gains Dividends	\$2,501 - \$5,000
6.16	JOHNSON & JOHNSON	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.17	LINDT & SPRUENGLI AG	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.18	MASTERCARD INC	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$5,001 - \$15,000
6.19	MONDELEZ INTL INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.20	NESTLE S A	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.21	PEPSICO INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.22	PROSUS NV	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.23	SCHWAB CHARLES CORP NEW	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.24	UNILEVER PLC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.25	UNITED STATES TREAS Bond	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.26	UNITED STS TREAS NT	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.27	VISA INC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.28	Verizon Communications, Inc. (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.29	ALIBABA GROUP HOLDING	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.30	McCormick & Co., Inc. (MKC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.31	US Treasury note	N/A	\$15,001 - \$50,000	Interest	None (or less than \$201)
7	TRUST UW FRANCIS J ALLEN FBO LUCY ALLEN	No			
7.1	BLACKROCK EVNT DRVN EQ-INST	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.2	BLACKROCK NTL MUNI-K	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7.3	BLACKSTONE ALT MULTI-STRAT-Y	Yes	\$50,001 - \$100,000		None (or less than \$201)
7.4	iShares 1-3 Year Treasury Bond ETF (IEF)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.5	ISHARES MSCI EAFE ETF	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
7.6	JPM BTABLDRS DEV ASIA X-JPN	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
7.7	JPM INTERM T/F BND FD - USD - R6 ISIN US48129C1080 0.82%	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
7.8	JPM TAX AWR EQTY FD - USD - R6 ISIN US48129C8358	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.9	JPMORGAN BETABUILDERS CANADA	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
7.10	JPMORGAN BETABUILDERS EUROPE ETF	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
7.11	JPMORGAN BETABUILDERS JAPAN ETF	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
7.12	LORD ABBETT SHRT DUR INC-F3	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
7.13	MFS INTL INTRINSIC VALUE-R6	Yes	\$50,001 - \$100,000		\$201 - \$1,000
7.14	NEUBERGER BERMAN LONG SH-INS	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.15	PIMCO INCOME FUND-INS	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
7.16	PIMCO MRTG OPP & BND-INST	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.17	SIX CIRCLES CREDIT OPPORT	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
7.18	SIX CIRCLES INTL UNCON EQ	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
7.19	Fidelity 500 Index Fund (FXAIX)	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
7.20	SIX CIRCLES TAX AWARE BND	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
7.21	SIX CIRCLES US UNCONSTR EQ	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
7.22	SPDR S&P 500 ETF TRUST	Yes	Over \$1,000,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.23	VANGUARD SHORT-TERM TREASURY INDEX FUND	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
7.24	JPM Tax Free MMKT 840	No	\$15,001 - \$50,000		None (or less than \$201)
7.25	SIX CIRCLES TAX AW US DUR	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8	TRUST UW MARY F ALLEN U/A 11/01/93 LUCY ALLEN TTEE FBO SIMON, EMILY, & LUCAS RHODES	No			
8.1	Fidelity Government Cash Reserve Money Mkt	Yes	\$100,001 - \$250,000		None (or less than \$201)
8.2	Dodge & Cox Income	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.3	Fidelity Conservative Income Bond Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.4	Fidelity Intermediate Muni Income	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.5	JP Morgan Mortgage-Backed Securities	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.6	Vanguard Short-Term Inv Grade Adm	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.7	Adobe Inc.	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.8	Akamai Technologies	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.9	Alphabet Class C	N/A	\$50,001 - \$100,000		None (or less than \$201)
8.10	Amazon.Com	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.11	American Tower Corp. REIT	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.12	Aon PLC Corp.	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
8.13	Apple Inc.	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.14	Avalon Bay REIT	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.15	Becton Dickinson	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.16	Borg Warner Automotive	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.17	Broadcom Inc.	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.18	CVS Health Corp	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.19	Comcast Cl A	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.20	Danaher Corp	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$5,001 - \$15,000
8.21	FIS Global	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.22	Facebook Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.23	First Republic Bank	N/A	\$15,001 - \$50,000	Capital Gains Dividends	None (or less than \$201)
8.24	Johnson & Johnson	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.25	LKQ Corp.	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.26	Lowe's	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.27	Microsoft Corp	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.28	Mondelez International Inc	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.29	Morgan Stanley	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.30	N-able, Inc.	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.31	NVR Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.32	PNC Finl Svcs Group	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.33	PayPal Holdings, Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.34	Pennon Group PLC FOR	N/A	\$1,001 - \$15,000	Capital Gains Dividends	None (or less than \$201)
8.35	Progressive Corp	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
8.36	Thermo Fisher Scientific	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
8.37	Trimble Inc.	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.38	Ulta Beauty, Inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.39	Unilever Plc Sp Adr FOR	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.40	Visa	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
8.41	Walt Disney Company	N/A	\$15,001 - \$50,000	Capital Gains Dividends	None (or less than \$201)
8.42	Waste Management	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.43	iShares PHLX Semiconductor	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.44	iShares Tr NASDAQ Biotechnology	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.45	Fidelity Overseas FOR	Yes	\$50,001 - \$100,000		None (or less than \$201)
9	Woodmark Investments	See Endnote	No		
9.1	Fidelity Government Cash Reserve Money Mkt	Yes	\$1,000,001 - \$5,000,000		\$201 - \$1,000
9.2	Dodge & Cox Income	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
9.3	Fidelity Conservative Income Bond Fund	Yes	\$1,000,001 - \$5,000,000		\$5,001 - \$15,000
9.4	JP Morgan Mortgage-Backed Securities	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
9.5	Vanguard Short-Term Inv Grade Adm	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
9.6	Brookfield Infrastructure Corp Class A	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$15,001 - \$50,000
9.7	Brookfield Infrastructure Partners LP	N/A	\$500,001 - \$1,000,000	Capital Gains Dividends	\$100,001 - \$1,000,000
9.8	Adobe Inc.	N/A	\$500,001 - \$1,000,000	Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.9	Akamai Technologies	N/A	\$250,001 - \$500,000		None (or less than \$201)
9.10	Alphabet Class A	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
9.11	Alphabet Class C	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
9.12	Amazon.Com	N/A	\$1,000,001 - \$5,000,000	Capital Gains	\$100,001 - \$1,000,000
9.13	American Tower Corp. REIT	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
9.14	Aon PLC Corp.	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
9.15	Apple Inc.	N/A	\$1,000,001 - \$5,000,000	Dividends Capital Gains	\$100,001 - \$1,000,000
9.16	Avalon Bay REIT	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
9.17	Becton Dickinson	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
9.18	Berkshire Hathaway Cl B	N/A	\$1,000,001 - \$5,000,000	Capital Gains	\$100,001 - \$1,000,000
9.19	Bloom Energy Corp Class A	N/A	\$250,001 - \$500,000		None (or less than \$201)
9.20	Borg Warner Automotive	N/A	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000
9.21	Broadcom Inc.	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
9.22	CVS Health Corp	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.23	Comcast Cl A	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
9.24	Danaher Corp	N/A	\$1,000,001 - \$5,000,000	Dividends Capital Gains	\$100,001 - \$1,000,000
9.25	EDP Renewables FOR	N/A	\$250,001 - \$500,000	Dividends	\$1,001 - \$2,500
9.26	FIS Global	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
9.27	Facebook Inc	N/A	\$500,001 - \$1,000,000	Capital Gains	\$100,001 - \$1,000,000
9.28	First Solar Inc Com	N/A	\$250,001 - \$500,000		None (or less than \$201)
9.29	Johnson & Johnson	N/A	\$500,001 - \$1,000,000	Capital Gains Dividends	\$15,001 - \$50,000
9.30	LKQ Corp.	N/A	\$500,001 - \$1,000,000	Capital Gains	\$100,001 - \$1,000,000
9.31	Lowe's	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
9.32	Microsoft Corp	N/A	\$1,000,001 - \$5,000,000	Dividends	\$5,001 - \$15,000
9.33	Mondelez International Inc	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
9.34	Morgan Stanley	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
9.35	N-able, Inc.	N/A	\$100,001 - \$250,000		None (or less than \$201)
9.36	NVR Inc	N/A	\$500,001 - \$1,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.37	PNC Finl Svcs Group	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
9.38	PayPal Holdings, Inc	N/A	\$250,001 - \$500,000		None (or less than \$201)
9.39	Pennon Group PLC FOR	N/A	\$250,001 - \$500,000	Capital Gains Dividends	None (or less than \$201)
9.40	Progressive Corp	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
9.41	Quanta Services	N/A	\$500,001 - \$1,000,000		\$201 - \$1,000
9.42	Thermo Fisher Scientific	N/A	Over \$1,000,000	Dividends	\$1,001 - \$2,500
9.43	Trimble Inc.	N/A	\$500,001 - \$1,000,000	Capital Gains	None (or less than \$201)
9.44	Ulta Beauty, Inc	N/A	\$250,001 - \$500,000		None (or less than \$201)
9.45	Unilever Plc Sp Adr FOR	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
9.46	Visa	N/A	\$500,001 - \$1,000,000	Dividends Capital Gains	\$100,001 - \$1,000,000
9.47	Walt Disney Company	N/A	\$250,001 - \$500,000	Capital Gains Dividends	\$50,001 - \$100,000
9.48	Waste Management	N/A	\$500,001 - \$1,000,000	Dividends Capital Gains	\$5,001 - \$15,000
9.49	iShares PHLX Semiconductor	N/A	Over \$1,000,000	Dividends	\$5,001 - \$15,000
9.50	iShares Tr NASDAQ Biotechnology	N/A	\$250,001 - \$500,000	Dividends	\$201 - \$1,000
9.51	Fidelity Overseas FOR	N/A	\$1,000,001 - \$5,000,000	Dividends	\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.52	Bain Capital Asia Fund II LP	N/A	\$1,000,001 - \$5,000,000	Dividends	\$100,001 - \$1,000,000
9.53	Chilton Capital REIT Fund	N/A	\$1,000,001 - \$5,000,000	Dividends	\$15,001 - \$50,000
9.54	Fidelity Distressed Oportunity Funds	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
9.55	SPDR Gold Tr Gold Shares	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
9.56	Summit Sustainable Opp L/S Fund	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
9.57	WHI Real Estate Partners IV, LP	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
9.58	WHI Real Estate Partners V, LP	N/A	\$250,001 - \$500,000		None (or less than \$201)
9.59	Trane	N/A	\$500,001 - \$1,000,000		\$5,001 - \$15,000
9.60	Kornit Digital	N/A	\$250,001 - \$500,000		None (or less than \$201)
9.61	Iberdrola SA	N/A	\$250,001 - \$500,000		None (or less than \$201)

7. Transactions

None

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
1.	4	*Trustee position with no financial interest
1.	5	* Trustee position with no financial interest
1.	6	* Trustee position with no financial interest
1.	7	* Trustee position with no financial interest
1.	8	* trustee position with no financial interest
1.	9	* Trustee with no financial interest
1.	10	*trustee position with no financia linterest
1.	11	*Trustee position with no financial interest
1.	12	*Trustee position with no financial interest
1.	13	*Trustee position with no financial interest
1.	14	*Trustee position with no financial interest
1.	15	*Trustee position with no financial interest
6.	9	Woodmark Investments LLC is a family limited partnership with less than 50 members. Lucy Allen's interest in the partnership is 10.8869%. Lucy's ownership value \$5,929,077.

Summary of Contents

1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

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

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

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

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

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

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during the reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$166 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

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