

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Fernandez, Jose W

Under Secretary of State for Economic Growth, Energy and the Environment, Department of State

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/ Fernandez, Jose W [electronically signed on 08/15/2022 by Fernandez, Jose W in Integrity.gov] - Filer received a 45 day filing extension.

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 09/30/2022 by Huitema, David in Integrity.gov]

Other review conducted by

/s/ Huitema, David, Ethics Official [electronically signed on 09/30/2022 by Huitema, David in Integrity.gov]

U.S. Office of Government Ethics Certification

Data Revised 09/30/2022

Data Revised 09/26/2022

Data Revised 09/15/2022

Data Revised 09/14/2022

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Gibson Dunn & Crutcher LLP	New York, New York	Law Firm	Partner	10/2013	8/2021
2	Iberdrola S.A.	Bilbao, Spain, Outside U.S.	Corporation	Independent Director	2/2015	8/2021
3	Rutgers University School of Law	Newark, New Jersey	University/College	Adjunct Professor of Law	8/2020	8/2021
4	Newark Public Radio, WBGO-FM	Newark, New Jersey	Non-Profit	Member, Board of Trustees	6/2015	8/2021
5	Partnership for Inner City Education	New York, New York	Non-Profit	Member, Board of Trustees	1/2014	8/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Rutgers University School of Law	N/A		Salary	\$678
2	Gibson Dunn & Crutcher LLP Cash Balance Plan	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3	Gibson Dunn & Crutcher LLP Capital Account	N/A	None (or less than \$1,001)		\$100,001 - \$1,000,000
4	Gibson Dunn & Crutcher LLP Self Insurance Reserve,	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	Gibson Dunn & Crutcher LLP Defined Benefit Plan. (Value not readily ascertainable.) I am currently eligible to receive \$12,299.87 per month upon my departure from the firm.	See Endnote	N/A		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	Gibson Dunn & Crutcher LLP (law firm)	N/A		Partnership Distribution and Defined Benefit Payments	\$128,156
7	Iberdrola S.A. (For 2021)	See Endnote		Stipend	\$35,100
8	Gibson Dunn & Crutcher LLP Defined Contribution (Retirement) Plan	No			
8.1	Vanguard Short Term Bond Index	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.2	Vanguard Total Bond Market	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.3	T. Rowe Price Balanced Inst.n	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.4	Vanguard Windsor II Adm.	Yes	\$100,001 - \$250,000		None (or less than \$201)
8.5	American Funds EuroPacific Growth Class R-6	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.6	Vanguard Small Cap Value Index	Yes	\$50,001 - \$100,000		None (or less than \$201)
9	Rollover IRA #1	No			
9.1	Vanguard Total Bond Market Index Fund Admiral Shares (VBTLX)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
9.2	Vanguard Intermediate-Term Investment-Grade Fund Admiral Shares (VFIDX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
9.3	Vanguard Short-Term Investment-Grade Fund Admiral Shares (VFSUX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
9.4	Vanguard Total International Bond Index Fund Admiral Class Shares (VTABX)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10	Iberdrola S.A. (services provided in 2020 and payment received in 2021.)	See Endnote	N/A		Directors fees (in euros)	\$296,010
11	Iberdrola S.A. ("Non-Compete" consideration)	See Endnote	N/A		"Non-Compete" consideration (in euros)	\$614,950
12	Roth IRA					
12.1	Vanguard Emerging Markets Stock Index Admiral CL (VEMAX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
12.2	Vanguard Total Intl Stock Index Admiral CL (VTIAX)		Yes	\$100,001 - \$250,000		None (or less than \$201)
12.3	Vanguard Total Bond Market Index Fund Admiral Shares (VBTLX)		Yes	\$50,001 - \$100,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Gibson Dunn & Crutcher LLP	New York, New York	I will continue to participate in this defined contribution (retirement) plan. The plan sponsor will not make further contributions after my departure.	10/2013
2	Gibson Dunn & Crutcher LLP Cash Balance Plan	New York, New York	The firm ceased making contributions after my departure and has returned control of the accumulated cash balance to me. I have elected to keep the cash balance deposited with the firm, but can move the balance to another financial institution at my discretion.	10/2013
3	Gibson Dunn & Crutcher LLP Self Insurance Reserve	New York, New York	Pursuant to the partnership agreement, the firm will return my self insurance reserve following the third anniversary date of my departure subject to the approval of the managing partner. The total amount of the payment will depend on any costs incurred by the firm relating to defending claims made against the firm or any settlements paid.	10/2013

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
4	Gibson Dunn & Crutcher LLP Defined Benefit Plan	New York, New York	As stated in the Disclosure Report filed on February 12, 2021, I continue to participate in this defined benefit plan. I receive monthly payments after my departure. The payments are fixed during my government service. These payments will also be fixed for one year after the end of my government service. Subsequent payments to me under the defined benefit plan will not share in fees received by the firm for services performed by the firm during my government service in particular matters in which the United States is a party or has a direct and substantial interest.	10/2013
5	Gibson Dunn & Crutcher LLP	New York, New York	Pursuant to the terms of the partnership agreement, I received my final partnership share, calculated as of the date of my departure. This calculation included: (1) the firm's actual earnings for 2020; (2) my predetermined share of firm's 2021 earnings; and (3) the number of days in 2021 that I was with the firm, minus the amount I have already been paid in 2021 at the time of my departure. In addition to the departure share amount stated in Part 2, Item 6, I received a catch-up distribution for 2021, based on the formula set forth in the preceding sentence, which was paid in January 13, 2022 in the amount of \$22,571.21.	10/2013
6	Gibson Dunn & Crutcher LLP Capital Account	New York, New York	Pursuant to the partnership agreement the firm returned my capital account. The total amount of the payment was calculated as of the date of my departure.	10/2013

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	Baruch College-City University of New York	N/A		Salary	
2	Baruch College Fund	N/A		Monthly Stipend	
3	Bloomberg LP (for articles)	N/A		Honoraria	\$7,000
4	Retirement Savings Account	No			
4.1	CREF Stock R3	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.2	CREF Growth R3	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.3	CREF Equity Index R3	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.4	CREF Global Equities R3	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.5	TIAA Access Growth and Income Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.6	TIAA Access Lazard International Equity Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.7	TIAA Access Vanguard 500 Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.8	CREF Bond Market R3	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.9	CREF Inf-Linked Bond R3	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.10	TIAA Access WA Core Plus Bond Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	Keogh (Profit-sharing) plan	No			
5.1	Goldman Sachs Group Inc (GS)	See Endnote	N/A	\$1,001 - \$15,000	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.2	Fidelity Europe Fund (FIEUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.3	Fidelity Japan Smaller Companies Fund (FJSCX)	See Endnote	Yes	\$1,001 - \$15,000	None (or less than \$201)
6	Spouse IRA	No			
6.1	Virtus Tactical Allocation Fund Class A Shares (NAINX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brokerage Acct #1	No			
1.1	American Express Co. (AXP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
1.2	Cisco Systems, Inc. (CSCO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
1.3	eBay, Inc. (EBAY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
1.4	JetBlue Airways Corp. (JBLU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.5	Toyota Motor Corp	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.6	Columbia Contrarian Core Fund Institutional Class Shares (SMGIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.7	Laudus International MarketMasters Fund (SWMIX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.8	Paypal Holdings Inc (PYPL) See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.9	US. Bank Sweep Account (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
2	Brokerage Account # 2	No			
2.1	Vanguard FTSE All-World ex US Index Fund Admiral Class Shares (VFWAX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
2.2	Vanguard Limited-Term Tax-Exempt Fund Admiral Shares (VMLUX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.3	Vanguard Tax-Managed Capital Appreciation Fund Admiral Shares (VTCLX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
2.4	Vanguard Developed Markets Index Fund Admiral Class Shares (VTMGX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
2.5	Vanguard Total Stock Market Index Fund Admiral Class Shares (VTSAX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
2.6	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
2.7	Vanguard Long-Term Tax-Exempt Fund Admiral Shares (VWLUX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
3	Mass mutual, Inc., whole life	N/A	\$250,001 - \$500,000		None (or less than \$201)
4	U.S. bank #1 (cash)	N/A	\$250,001 - \$500,000	Interest	\$1,001 - \$2,500
5	NH Unique 529 plan (Child 1)	No		Cash Payments	\$28,535
5.1	NH College Port. (Fidelity)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6	NH Unique 529 Plan (Child 2)	No		Cash Payments	\$11,250

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.1	NH College Port. (Fidelity)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	U.S. bank #2 (checking, savings, CD)	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
8	Brokerage Acct #3	No			
8.1	Fidelity Advisor Growth Opportunities Fund Class I Shares (FAGCX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
8.2	Fidelity Large Cap Stock Fund (FLCSX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.3	Fidelity Low-Priced Stock Fund (FLPSX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
8.4	Acadian Emerging Markets Portfolio Investor Class Shares (AEMGX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.5	Artisan Small Cap Fund Investor Shares (ARTSX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
8.6	William Blair International Growth Fund Class I Shares (BIGIX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
8.7	Causeway International Value Fund Investor Class Shares (CIVVX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.8	Emerging Markets Core Equity Portfolio Institutional Class Shares (DFCEX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.9	Emerging Markets Portfolio Institutional Class Shares (DFEMX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8.10	JPMorgan Mid Cap Value Fund Class I Shares (JMVSX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
8.11	Harbor International Fund Institutional Class Shares (HAINX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.12	Oakmark Fund Investor Class Shares (OAKMX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.13	Oakmark International Fund Investor Class Shares (OAKIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.14	Hotchkis & Wiley Diversified Value Fund Class A Shares (HWCAAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.15	Janus Henderson Enterprise Fund Class T Shares (JAENX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
8.16	JPMorgan US Equity Fund Class L Shares (JMUEX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
8.17	MFS International Intrinsic Value Fund Class A Shares (MGIAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.18	MFS International Diversification Fund Class A Shares (MDIDX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.19	MFS Research Fund Class A Shares (MFRFX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
8.20	MFS Research International Fund Class A Shares (MRSAX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.21	Northern Funds Small Cap Value Fund (NOSGX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
8.22	T Rowe Price Overseas Stock Fund Class I Shares (TROIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.23	T Rowe Price Emerging Markets Stock Fund Class I Shares (PRZIX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
8.24	T Rowe Price International Stock Fund Class I Shares (PRIUX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
8.25	Transamerica International Equity Class I Shares (TSWIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.26	Transamerica International Small Cap Value Class I Shares (TISVX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.27	Fidelity New York Municipal Income Fund (FTFMX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
8.28	Strategic Advisers Tax-Sensitive Short Duration Fund (FGNSX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
8.29	BlackRock National Municipal Fund Investor A Shares (MDNLX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
8.30	Delaware Tax-Free USA Fund Class A Shares (DMTFX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.31	DWS Managed Municipal Bond Fund Class S Shares (SCMBX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.32	Franklin Federal Tax-Free Income Fund Advisor Class Shares (FAFTX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.33	MainStay MacKay Tax Free Bond Fund Class A Shares (MTBAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.34	MainStay MacKay New York Tax Free Opportunities Fund Class A Shares (MNOAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.35	Nuveen New York Municipal Bond Fund Class A Shares (NNYAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.36	T Rowe Price Tax-Free High Yield Fund, Inc (PRFHX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.37	Fidelity Government Cash Reserves (FDRXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.38	iShares Core S&P 500 ETF (IVV)	Yes	\$1,001 - \$15,000		\$15,001 - \$50,000
8.39	iShares S&P 500 Value ETF (IVE)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.40	iShares Russell 1000 Value ETF (IWD)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.41	iShares Russell 1000 Growth ETF (IWF)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
8.42	iShares Russell 2000 Growth ETF (IWO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.43	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.44	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
8.45	SPDR S&P 500 ETF Trust (SPY)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
8.46	Financial Select Sector SPDR Fund (XLF)	See Endnote	Yes	\$15,001 - \$50,000	\$201 - \$1,000
8.47	Vanguard Financials Index Fund ETF Shares (VFH)	See Endnote	Yes	\$15,001 - \$50,000	\$201 - \$1,000
8.48	Vanguard Growth Index Fund ETF Class Shares (VUG)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
8.49	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.50	SAI MUNICIPAL BOND FUND (FSMUX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.51	FIDELITY ADVISOR FOCUSED EMERG MKTS Z (FZAEX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9	Brokerage # 4	No			
9.1	Fidelity Advisor Growth Opportunities Fund Class I Shares (FAGCX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
9.2	Fidelity Advisor International Discovery Fund Class I Shares (FIADX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
9.3	Fidelity International Capital Appreciation Fund (FIVFX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.4	Fidelity Large Cap Stock Fund (FLCSX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9.5	Fidelity Growth Company Fund (FDGRX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
9.6	Fidelity Low-Priced Stock Fund (FLPSX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.7	Acadian Emerging Markets Portfolio Investor Class Shares (AEMGX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.8	Invesco Oppen Internatl Gro Fd Class R6 Sh (OIGIX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
9.9	Baron Growth Fund Retail Shares (BGRFX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
9.10	Causeway International Value Fund Investor Class Shares (CIVVX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
9.11	Emerging Markets Core Equity Portfolio Institutional Class Shares (DFCEX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.12	Emerging Markets Portfolio Institutional Class Shares (DFEMX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.13	John Hancock Classic Value Fund Class A Shares (PZFBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.14	Oakmark Fund Investor Class Shares (OAKMX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.15	Oakmark International Fund Investor Class Shares (OAKIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.16	Janus Henderson Enterprise Fund Class T Shares (JAENX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
9.17	JPMorgan US Equity Fund Class L Shares (JMUEX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.18	MFS International Intrinsic Value Fund Class A Shares (MGIAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.19	MFS International Diversification Fund Class A Shares (MDIDX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9.20	MFS Research Fund Class A Shares (MFRFX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.21	Northern Funds Small Cap Value Fund (NOSGX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.22	T Rowe Price Overseas Stock Fund Class I Shares (TROIX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9.23	T Rowe Price Emerging Markets Stock Fund Class I Shares (PRZIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
9.24	T Rowe Price International Stock Fund Class I Shares (PRIUX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
9.25	Transamerica International Equity Class I Shares (TSWIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.26	Wells Fargo Special Mid Cap Value Fund Administrator Class Shares (WFMDX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
9.27	Fidelity New York Municipal Income Fund (FTFMX)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
9.28	Strategic Advisers Tax-Sensitive Short Duration Fund (FGNSX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
9.29	BlackRock National Municipal Fund Investor A Shares (MDNLX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
9.30	DWS Managed Municipal Bond Fund Class S Shares (SCMBX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.31	Franklin Federal Tax-Free Income Fund Advisor Class Shares (FAFTX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9.32	Western Asset Managed Municipals Fund Class A Shares (SHMMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.33	MainStay MacKay Tax Free Bond Fund Class A Shares (MTBAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.34	MainStay MacKay New York Tax Free Opportunities Fund Class A Shares (MNOAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.35	MainStay MacKay High Yield Municipal Bond Fund Class A Shares (MMHAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
9.36	Nuveen New York Municipal Bond Fund Class A Shares (NNYAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
9.37	T Rowe Price Tax-Free High Yield Fund, Inc (PRFHX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.38	Wells Fargo Municipal Bond Fund Administrator Class Shares (WMFDX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.39	Fidelity Government Cash Reserves (FDRXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.40	iShares Core S&P 500 ETF (IVV)	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
9.41	iShares MSCI Emerging Markets ETF (EEM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.42	iShares S&P 500 Value ETF (IVE)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
9.43	iShares Russell 1000 Value ETF (IWD)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9.44	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
9.45	iShares S&P Small-Cap 600 Value ETF (IJS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.46	iShares S&P Small-Cap 600 Growth ETF (IJT)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.47	iShares Edge MSCI USA Quality Factor ETF (QUAL)		Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
9.48	SPDR S&P 500 ETF Trust (SPY)		Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
9.49	Financial Select Sector SPDR Fund (XLF)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.50	Vanguard Developed Markets Index Fund ETF Shares (VEA)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9.51	Vanguard Financials Index Fund ETF Shares (VFH)	See Endnote	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9.52	Vanguard Mid-Cap Value Index Fund ETF Class Shares (VOE)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.53	Vanguard Growth Index Fund ETF Class Shares (VUG)		Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
9.54	Vanguard Small-Cap Index Fund ETF Shares (VB)		Yes	\$1,001 - \$15,000		None (or less than \$201)
9.55	Vanguard Real Estate Index Fund ETF Shares (VNQ)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.56	FIDELITY ADVISOR FOCUSED EMERG MKTS Z (FZAEX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.57	ROYCE PA MUTUAL FUND SERVICE CLASS (RYPFX)		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
9.58	SAI MUNICIPAL BOND FUND (FSMUX)		Yes	\$50,001 - \$100,000		None (or less than \$201)
9.59	ISHARES TR RUS 2000 GRW ETF (IWO)		Yes	\$1,001 - \$15,000		None (or less than \$201)
10	Brokerage Account #5		No			
10.1	Fidelity Government Money Market Fund (SPAXX)		Yes	\$500,001 - \$1,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.2	Boeing Co (BA)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
10.3	The Coca-Cola Co. (KO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
10.4	Intel Corp. (INTC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
10.5	International Business Machines Corp. (IBM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
10.6	Johnson & Johnson (JNJ)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
10.7	Motorola Solutions, Inc. (MSI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
10.8	Procter & Gamble Co. (PG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
11	Muni Acct #1	No			
11.1	FIDELITY GOVERNMENT CASH RESERVES (FDRXX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
11.2	NEW YORK ST DORM AUTH REVS ST 05.00000% 07/01/2023	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
11.3	NEW YORK ST DORM AUTH REVS NON ST 04.00000% 07/01/2022	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.4	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2024	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.5	NEW YORK ST DORM AUTH REVS NON ST 04.00000% 07/01/2022	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.6	SCHENECTADY CNTY N Y CAP RESOURCE CORP 05.00000% 01/01/2022	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.7	NEW YORK ST DORM AUTH REVS NON ST 04.00000% 07/01/2030	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.8	NEW YORK ST DORM AUTH REVS NON ST 04.00000% 07/01/2032	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
11.9	METROPOLITAN TRANSN AUTH N Y DEDICATED 04.00000% 11/15/2022	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.10	TRIBOROUGH BRDG & TUNL AUTH N Y REVS 04.00000% 11/15/2023	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.11	NEW YORK TRANSN DEV CORP SPL FAC REV AMT 05.00000% 01/01/2024	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.12	WESTERN NASSAU CNTY N Y WTR AUTH WTR SYS 05.00000% 04/01/2024	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.13	NEW YORK N Y CITY MUN WTR FIN AUTH WTR 05.00000% 06/15/2024	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.14	MONROE CNTY N Y INDL DEV CORP REV REV BDS 05.00000% 07/01/2024	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.15	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2024	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.16	PORT AUTH N Y & N J CONSOLIDATED BDS 05.00000% 07/15/2024	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.17	DUTCHESS CNTY N Y LOC DEV CORP REV BDS 05.00000% 07/01/2025	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.18	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2025	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.19	NEW YORK N Y GO BDS SER.2014J 05.00000% 08/01/2025	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.20	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 08/01/2025	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.21	TRIBOROUGH BRDG & TUNL AUTH N Y REVS 05.00000% 11/15/2026	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.22	NEW YORK ST TWY AUTH GEN REV REV BDS SER. 05.00000% 01/01/2027	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.23	NEW YORK ST ENVIRONMENTAL FACS 05.00000% 06/15/2027	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.24	NASSAU CNTY N Y LOC ECONOMIC A SSISTANCE 05.00000% 07/01/2027	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.25	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2027	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.26	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2027	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.27	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2027	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.28	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2027	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.29	SARATOGA CNTY N Y CAP RESOURCE CORP 05.00000% 07/01/2027	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.30	SYRACUSE N Y PUB IMPT BDS SER.2014B 03.00000% 02/01/2028	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.31	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2028	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.32	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2028	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.33	NEW YORK N Y GO BDS SUBSERIES A-1 SER. 05.00000% 08/01/2028	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.34	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 05/01/2029	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.35	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2029	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.36	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 07/15/2029	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.37	TRIBOROUGH BRDG & TUNL AUTH N Y REVS 05.00000% 11/15/2029	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.38	ONEIDA CNTY N Y LOC DEV CORP REV BDS 05.00000% 12/01/2029	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
11.39	NEW YORK ST TWY AUTH GEN REV REV BDS SER. 04.00000% 01/01/2030	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.40	ONONDAGA N Y CIVIC DEV CORP REV REF BDS 05.00000% 01/01/2030	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.41	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 05/01/2030	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.42	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2030	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.43	TRIBOROUGH BRDG & TUNL AUTH N Y REVS 05.00000% 11/15/2030	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.44	NEW YORK ST GO BDS SER. 2011E 05.00000% 12/15/2030	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
11.45	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 02/01/2031	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
11.46	MONROE CNTY N Y INDL DEV CORP REV REV BDS 05.00000% 07/01/2031	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.47	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2031	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.48	PORT AUTH N Y & N J CONSOLIDATED BDS 04.50000% 10/15/2031	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
11.49	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 11/01/2031	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.50	NEW YORK ST DORM AUTH REVS NON ST 04.00000% 07/01/2032	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.51	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2032	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.52	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 07/15/2032	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
11.53	NEW YORK N Y GO BDS SER.H 05.00000% 08/01/2032	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.54	NEW YORK CONVENTION CTR DEV CORP N Y REV 05.00000% 11/15/2032	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.55	ONEIDA CNTY N Y LOC DEV CORP REV BDS 04.00000% 12/01/2032	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.56	NEW YORK N Y CITY MUN WTR FIN AUTH WTR 05.25000% 06/15/2033	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.57	NEW YORK N Y GO BDS SER.C 05.00000% 08/01/2033	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.58	METROPOLITAN TRANSN AUTH N Y REV BDS 05.00000% 11/15/2033	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.59	METROPOLITAN TRANSN AUTH N Y REV REV REF 05.00000% 11/15/2033	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.60	NEW YORK ST DORM AUTH ST PERS INCOME 05.00000% 02/15/2034	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.61	NEW YORK ST URBAN DEV CORP REV ST PERS 05.00000% 03/15/2034	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
11.62	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 05/01/2034	N/A	\$15,001 - \$50,000		None (or less than \$201)
11.63	NEW YORK N Y CITY MUN WTR FIN AUTH WTR 05.00000% 06/15/2034	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.64	NEW YORK N Y CITY MUN WTR FIN AUTH WTR 05.00000% 06/15/2034	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.65	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2034	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.66	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2034	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.67	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 07/15/2034	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.68	TRIBOROUGH BRDG & TUNL AUTH N Y REVS 04.00000% 11/15/2034	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.69	ONEIDA CNTY N Y LOC DEV CORP REV BDS 04.00000% 12/01/2034	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.70	NEW YORK ST TWY AUTH GEN REV REF BDS SER. 05.00000% 01/01/2035	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.71	NEW YORK ST TWY AUTH GEN REV JR INDBT 05.00000% 01/01/2035	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.72	NEW YORK ST DORM AUTH ST PERS INCOME 04.00000% 02/15/2035	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.73	NEW YORK N Y GO BDS SER. 2018 F-1 05.00000% 04/01/2035	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
11.74	NEW YORK ST ENVIRONMENTAL FACS 05.00000% 06/15/2035	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.75	NEW YORK N Y GO BDS SER.C 04.00000% 08/01/2035	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.76	NEW YORK ST DORM AUTH SALES TAX REV 05.00000% 03/15/2036	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
11.77	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 05/01/2036	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.78	NEW YORK N Y CITY MUN WTR FIN AUTH REV 05.00000% 06/15/2036	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
11.79	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 07/15/2036	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.80	LONG IS PWR AUTH N Y ELEC SYS REV GEN BDS 05.00000% 09/01/2036	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.81	PORT AUTH N Y & N J CONS BDS SER. TWO 05.00000% 09/01/2036	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.82	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 02/01/2037	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
11.83	NEW YORK ST DORM AUTH SALES TAX REV 05.00000% 03/15/2037	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.84	NEW YORK ST DORM AUTH REVS NON ST 04.00000% 07/01/2037	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.85	NEW YORK ST DORM AUTH REVS NON ST 04.00000% 07/01/2037	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.86	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 02/01/2038	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.87	NEW YORK N Y CITY TRANSITIONAL FIN 05.00000% 02/01/2038	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.88	NEW YORK ST DORM AUTH ST PERS INCOME 05.00000% 02/15/2038	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.89	PORT AUTH N Y & N J CONSOLIDATED BDS 04.00000% 09/01/2038	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.90	METROPOLITAN TRANSN AUTH N Y REV CLIMATE 05.00000% 11/15/2038	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.91	NEW YORK ST DORM AUTH ST PERS INCOME 05.00000% 03/15/2039	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.92	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2030	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.93	SYRACUSE N Y INDL DEV AGY SCH FAC REV 03.25000% 05/01/2034	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.94	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2036	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.95	NEW YORK ST DORM AUTH ST PERS INCOME 03.50000% 03/15/2037	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.96	NEW YORK ST URBAN DEV CORP REV ST PERS 05.00000% 03/15/2037	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
11.97	NEW YORK N Y CITY TRANSITIONAL FIN 03.50000% 02/01/2038	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.98	NEW YORK N Y CITY MUN WTR FIN AUTH WTR 03.62500% 06/15/2038	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.99	METROPOLITAN TRANSN AUTH N Y REV CLIMATE 05.00000% 11/15/2039	N/A	\$15,001 - \$50,000		\$201 - \$1,000
11.100	NEW YORK N Y CITY MUN WTR FIN AUTH WTR 05.00000% 06/15/2041	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.101	NEW YORK N Y CITY MUN WTR FIN AUTH WTR 05.00000% 06/15/2033	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.102	NEW YORK N Y CITY TRANSITIONAL FIN 05.0000% 11/1/2038	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.103	PORT AUTH N Y & N J CONSOLIDATED BDS 05.00000% 11/1/2034	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.104	NEW YORK ST DORM AUTH B REVS NON ST 05.00000% 07/01/2031	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
11.105	DUTCHESS CNTY N Y LOC DEV CORP REV BDS 05.00000% 07/01/2024	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.106	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2030	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.107	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2031	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.108	TRIBOROUGH BRDG & TUNL AUTH N Y REVS 05.00000% 11/15/2032	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.109	NEW YORK ST TWY AUTH GEN REV BDS SER. N 05.00000% 01/01/2033	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.110	PORT AUTH N Y & N J CONSOLIDATED BDS 05.00000% 07/15/2033	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.111	NEW YORK N Y GO BDS SER. FISCAL 2021F 05.00000% 03/01/2036	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.112	NEW YORK ST URBAN DEV CORP ST SALES 05.00000% 03/15/2036	N/A	\$1,001 - \$15,000		None (or less than \$201)
11.113	NEW YORK N Y CITY TRANSITIONAL FIN 04.00000% 07/15/2036	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
11.114	NEW YORK ST URBAN DEV CORP REV PERS 04.00000% 03/15/2041	N/A	\$1,001 - \$15,000		None (or less than \$201)
12	Brokerage Account #6	No			
12.1	GENPACT LIMITED COM STK USD0.01 (G)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.2	CHUBB LIMITED COM NPV ISIN #CH0044328745 (CB)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.3	TE CONNECTIVITY LTD (TEL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.4	ABBVIE INC COM USD0.01 (ABV)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.5	ACTIVISION BLIZZARD INC COM USD0.000001 (ATVI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.6	ALTRIA GROUP INC (MO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.7	AMERISOURCEBERGEN CORPORATION COM USD0.01 (ABC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.8	APPLE INC COM USD0.00001 (AAPL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
12.9	APPLIED MATERIALS INC COM USD0.01 (AMAT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.10	BK OF AMERICA CORP COM (BAC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
12.11	BHP GROUP LTD SPON ADS EACH REP 2 ORD SHS (BHP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.12	BORG WARNER INC COM USD0.01 (BWA)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.13	BRISTOL-MYERS SQUIBB CO COM (BMY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.14	BRITISH AMERICAN TOBACCO LVL II ADR EACH REP 1 ORD GBP0.25 BNY (BTI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.15	CIGNA CORP NEW COM (CI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.16	CVS HEALTH CORPORATION COM USD0.01 (CVS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.17	CENTERPOINT ENERGY INC COM STK USD0.01 (CNP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.18	CISCO SYSTEMS INC (CSCO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.19	COCA-COLA CO (KO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.20	COMCAST CORP (CMCSA)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
12.21	DIAGEO ADR EACH REPR 4 ORD GBX28.935185 (DEO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.22	DISCOVER FINANCIAL SERVICES (DFS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.23	DONALDSON COMPANY INC (DCI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.24	DUKE ENERGY CORP NEW COM NEW ISIN #US26441C2044 SEDOL #B7JZSK0 (DUK)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.25	DUPONT DE NEMOURS INC COM (DD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.26	EQUINOR ASA SPON ADR EACH REP 1 ORD SHS (EQNR)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
12.27	EXELON CORP COM NPV (EXC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.28	EXXON MOBIL CORP (XOM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
12.29	GENERAL DYNAMICS CORP COM USD1.00 (GD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.30	GENERAL ELECTRIC CO COM USD0.06 (GE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
12.31	HESS CORPORATION COM USD1.00 (HES)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.32	INTERPUBLIC GROUP COS INC COM USD0.10 (IPG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.33	JPMORGAN CHASE & CO (JPM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.34	JOHNSON & JOHNSON COM USD1.00 (JNJ)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
12.35	LOWES COMPANIES INC COM USD0.50 (LOW)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
12.36	MCKESSON CORP (MCK)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.37	MICROSOFT CORP (MSFT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
12.38	MORGAN STANLEY COM USD0.01 (MS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
12.39	NORTHERN TRUST CORP COM USD1.666 (NTRS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.40	PNC FINANCIAL SERVICES GROUP COM USD5 (PNC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
12.41	PPL CORP COM USD0.01 (PPL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.42	PHILLIPS 66 COM (PSX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.43	PROCTER AND GAMBLE CO COM (PG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.44	QUALCOMM INC (QCOM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
12.45	REGIONS FINANCIAL CORP NEW COM (RF)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.46	ROYAL DUTCH SHELL ADR REP 2 CL B ORD (RDSB)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.47	SANOFI ADR REP 1 1/2 ORD (SNY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.48	SAP ADR REP 1 ORD (SAP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.49	SOUTHERN CO (SO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.50	STATE STREET CORP (STT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.51	SYSCO CORP (SYY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.52	TJX COMPANIES INC (TJX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.53	TRAVELERS COMPANIES INC COM STK NPV (TRV)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.54	TRUIST FINL CORP COM (TFC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
12.55	U.S. BANCORP (USB)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.56	UNION PAC CORP COM (UNP)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.57	UNITED PARCEL SERVICE INC (UPS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
12.58	UNITEDHEALTH GROUP INC (UNH)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
12.59	VERIZON COMMUNICATIONS INC (VZ)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.60	VIVENDI SA UNSPON ADR EACH REP 1 ORD SHS (VIVHY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.61	WALMART INC COM (WMT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.62	WATSCO INC (WSO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.63	WELLS FARGO CO NEW COM (WFC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
12.64	WHIRLPOOL CORP (WHR)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.65	AMERICAN TOWER CORP COM USD0.01 (AMT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.66	SIMON PROPERTY GROUP INC (SPG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
12.67	CENOVUS ENERGY INC COM (CVE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.68	HUNTINGTON INGALLS INDUSTRIES INC (HII)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.69	RAYTHEON TECHNOLOGIES CORP COM (RTX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.70	TOTAL ENERGIES SE (TTE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.71	ANALOG DEVICES INC COM (ADI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.72	CORESITE REALTY CORP COM	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
12.73	CROWN CASTLE INTL CORP (CCI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.74	DUKE REALTY CORP COMNEW (DRE)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.75	EATON CORP PLC COM (ETN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.76	HERSHEY COMPANY COM (HSY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.77	JOHNSON CONTROLS INTERNATIONAL PLC COM (JCI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.78	LYONDELLBASELL INDUSTRIES N V COM (LYB)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.79	NUTRIEN LTD COM NPV (NTR)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.80	PAYCHEX INC COM (PAYX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.81	SCOTTS MIRACLE-GRO CO CL A (SMG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
12.82	TARGET CORP (TGT)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
13	U.S. Credit Union (Cash)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
14	Bank of India (Cash)	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
15	BBVA - Spain	See Endnote	No		
15.1	BBVA Bonos Corporativos LP (Corporate long term bond fund).	Yes	\$15,001 - \$50,000		None (or less than \$201)
15.2	BBVA Rentabilidad Ahorro CP (Short term debt fund).	Yes	\$15,001 - \$50,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	METROPOLITAN TRANSN AUTH N Y REV CLIMATE 05.00000% 11/15/2039	Purchase	10/14/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
2	NEW YORK N Y CITY MUN WTR FIN AUTH WTR 05.00000% 06/15/2041	Purchase	10/14/2021	\$1,001 - \$15,000
3	NEW YORK N Y CITY MUN WTR FIN AUTH WTR 05.00000% 06/15/2033	Purchase	12/10/2021	\$15,001 - \$50,000
4	NEW YORK N Y CITY TRANSITIONAL FIN 05.0000% 11/1/2038	Purchase	10/14/2021	\$15,001 - \$50,000
5	PORT AUTH N Y & N J CONSOLIDATED BDS 05.00000% 11/1/2034	Purchase	10/18/2021	\$15,001 - \$50,000
6	DUTCHESS CNTY N Y LOC DEV CORP REV BDS 05.00000% 07/01/2024	Purchase	12/10/2021	\$15,001 - \$50,000
7	NEW YORK ST DORM AUTH REVS NON ST 05.00000% 07/01/2031	Purchase	12/10/2021	\$15,001 - \$50,000
8	TRIBOROUGH BRDG & TUNL AUTH N Y REVS 05.00000% 11/15/2032	Purchase	12/10/2021	\$1,001 - \$15,000
9	NEW YORK ST TWY AUTH GEN REV BDS SER. N 05.00000% 01/01/2033	Purchase	10/18/2021	\$1,001 - \$15,000
10	PORT AUTH N Y & N J CONSOLIDATED BDS 05.00000% 07/15/2033	Purchase	10/14/2021	\$1,001 - \$15,000
11	NEW YORK N Y GO BDS SER. FISCAL 2021F 05.00000% 03/01/2036	Purchase	10/14/2021	\$1,001 - \$15,000
12	NEW YORK ST URBAN DEV CORP ST SALES 05.00000% 03/15/2036	Purchase	12/10/2021	\$1,001 - \$15,000
13	NEW YORK N Y CITY TRANSITIONAL FIN 04.00000% 07/15/2036	Purchase	12/10/2021	\$15,001 - \$50,000
14	NEW YORK ST URBAN DEV CORP REV PERS 04.00000% 03/15/2041	Purchase	12/10/2021	\$1,001 - \$15,000
15	NEW YORK N Y CITY MUN WTR FIN AUTH REV 05.00000% 06/15/2036	Sale	12/09/2021	\$15,001 - \$50,000
16	NEW YORK N Y CITY MUN WTR FIN AUTH WTR 05.00000% 06/15/2034	Sale	12/09/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
17	NEW YORK ST GO BDS SER. 2011E 05.00000% 12/15/2030	Sale	12/15/2021	\$1,001 - \$15,000
18	NEW YORK ST DORM AUTH REVS NON ST 04.00000% 07/01/2030	Sale	12/09/2021	\$15,001 - \$50,000
19	NEW YORK ST DORM AUTH REVS NON ST 04.00000% 07/01/2032	Sale	12/09/2021	\$15,001 - \$50,000
20	SAI MUNICIPAL BOND FUND	Purchase	10/18/2021	\$1,001 - \$15,000
21	STRATEGIC ADV TAX SENSITIVE SHORT DURA	Purchase	10/18/2021	\$1,001 - \$15,000
22	ISHARES S&P 500	Sale	10/18/2021	\$15,001 - \$50,000
23	ISHARES CORE S&P SMALL CAP E	Sale	10/18/2021	\$1,001 - \$15,000
24	FIDELITY ADVISOR FOCUSED EMERG MKTS Z	Purchase	10/14/2021	\$1,001 - \$15,000
25	SAI MUNICIPAL BOND FUND	Purchase	10/14/2021	\$50,001 - \$100,000
26	STRATEGIC ADV TAX SENSITIVE SHORT DURA	Purchase	10/14/2021	\$15,001 - \$50,000
27	FRANKLIN FEDERAL TAX FREE INCOME ADV	Sale	10/14/2021	\$15,001 - \$50,000
28	ISHARES S&P 500	Sale	10/14/2021	\$15,001 - \$50,000
29	ISHARES CORE S&P SMALL CAP E	Sale	10/14/2021	\$15,001 - \$50,000
30	MAINSTAY MACKAY TAX FREE BOND CL A	Sale	10/14/2021	\$1,001 - \$15,000
31	MAINSTAY MACKAY NY TAX FREE OPP CL A	Sale	10/14/2021	\$1,001 - \$15,000
32	VANGUARD REAL ESTATE ETF	Purchase	10/14/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
33	WELLS FARGO MUNI BOND FD-ADMIN CL	Purchase	10/14/2021	\$1,001 - \$15,000
34	EATON CORP PLC COM	Sale	10/12/2021	\$1,001 - \$15,000
35	GENPACT LIMITED COM STK USD0.01 (G)	Sale	10/12/2021	\$1,001 - \$15,000
36	JOHNSON CONTROLS INTERNATIONAL PLC COM	Sale	10/12/2021	\$1,001 - \$15,000
37	CHUBB LIMITED COM NPV ISIN #CH0044328745 (CB)	Sale	10/12/2021	\$1,001 - \$15,000
38	ABBVIE INC COM	Sale	10/12/2021	\$1,001 - \$15,000
39	ACTIVISION BLIZZARD INC COM	Sale	10/12/2021	\$1,001 - \$15,000
40	ALTRIA GROUP INC	Sale	10/12/2021	\$1,001 - \$15,000
41	AMERICAN TOWER CORP NEW COM	Sale	10/12/2021	\$1,001 - \$15,000
42	AMERISOURCEBERGEN CORPORATION COM	Sale	10/12/2021	\$1,001 - \$15,000
43	ANALOG DEVICES INC COM	Sale	10/12/2021	\$1,001 - \$15,000
44	APPLE INC	Sale	10/12/2021	\$1,001 - \$15,000
45	APPLIED MATERIALS INC COM	Sale	10/12/2021	\$1,001 - \$15,000
46	BK OF AMERICA CORP COM	Sale	10/12/2021	\$1,001 - \$15,000
47	BAYER AG SPON ADR	Sale	10/12/2021	\$1,001 - \$15,000
48	BHP GROUP LTD	Sale	10/12/2021	\$1,001 - \$15,000
49	BORG WARNER INC COM	Sale	10/12/2021	\$1,001 - \$15,000
50	BRISTOL MYERS SQUIBB CO COM	Sale	10/12/2021	\$1,001 - \$15,000
51	BRITISH AMERICAN TOBACCO LVL II ADR	Sale	10/12/2021	\$1,001 - \$15,000
52	CIGNA CORP NEW COM	Sale	10/12/2021	\$1,001 - \$15,000
53	CVS HEALTH CORPORATION COM	Sale	10/12/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
54	CENTERPOINT ENERGY INC COM	Sale	10/12/2021	\$1,001 - \$15,000
55	CISCO SYSTEMS INC	Sale	10/12/2021	\$1,001 - \$15,000
56	COCA COLA CO	Sale	10/12/2021	\$1,001 - \$15,000
57	COMCAST CORP	Sale	10/12/2021	\$1,001 - \$15,000
58	CORESITE REALTY CORP COM	Sale	10/12/2021	\$1,001 - \$15,000
59	DIAGEO ADR EACH REPR	Sale	10/12/2021	\$1,001 - \$15,000
60	DISCOVER FINANCIAL SERVICES	Sale	10/12/2021	\$1,001 - \$15,000
61	DONALDSON COMPANY INC	Sale	10/12/2021	\$1,001 - \$15,000
62	DUKE ENERGY CORP NEW	Sale	10/12/2021	\$1,001 - \$15,000
63	DUPONT DE NEMOURS INC COM	Sale	10/12/2021	\$1,001 - \$15,000
64	EQUINOR ASA SPON ADR	Sale	10/12/2021	\$1,001 - \$15,000
65	EXELON CORP COM	Sale	10/12/2021	\$1,001 - \$15,000
66	EXXON MOBILE CORP	Sale	10/12/2021	\$1,001 - \$15,000
67	FIDELITY NATL INFORMATION SERVICES	Sale	10/12/2021	\$1,001 - \$15,000
68	GENERAL DYNAMICS SORP COM	Sale	10/12/2021	\$1,001 - \$15,000
69	GENERAL ELECTRIC CO COM	Sale	10/12/2021	\$1,001 - \$15,000
70	GLAXOSMITHKLINE ADR REP	Sale	10/12/2021	\$1,001 - \$15,000
71	HESS CORPORATON COM	Sale	10/12/2021	\$1,001 - \$15,000
72	HUNTINGTON INGALLS INDUSTRIES INC (HII)	Sale	10/12/2021	\$1,001 - \$15,000
73	INTERPUBLIC GROUP COS INC COM USD0.10 (IPG)	Sale	10/12/2021	\$1,001 - \$15,000
74	JPMORGAN CHASE & CO (JPM)	Sale	10/12/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
75	JOHNSON &JOHNSON COM USD1.00 (JNJ)	Sale	10/12/2021	\$1,001 - \$15,000
76	LOWES COMPANIES INC COM USD0.50 (LOW)	Sale	10/12/2021	\$1,001 - \$15,000
77	MCKESSON CORP (MCK)	Sale	10/12/2021	\$1,001 - \$15,000
78	MICROSOFT CORP (MSFT)	Sale	10/12/2021	\$15,001 - \$50,000
79	MORGAN STANLEY COM USD0.01 (MS)	Sale	10/12/2021	\$1,001 - \$15,000
80	NORTHERN TRUST CORP COM USD1.666 (NTRS)	Sale	10/12/2021	\$1,001 - \$15,000
81	NUTRIEN LTD COM NPV (NTR)	Sale	10/12/2021	\$1,001 - \$15,000
82	PNC FINANCIAL SERVICES GROUP COM USD5 (PNC)	Sale	10/12/2021	\$1,001 - \$15,000
83	PPL CORP COM USD0.01 (PPL)	Sale	10/12/2021	\$1,001 - \$15,000
84	PAYCHEX INC COM (PAYX)	Sale	10/12/2021	\$1,001 - \$15,000
85	PHILLIPS 66 COM (PSX)	Sale	10/12/2021	\$1,001 - \$15,000
86	PROCTER AND GAMBLE CO COM (PG)	Sale	10/12/2021	\$1,001 - \$15,000
87	QUALCOMM INC (QCOM)	Sale	10/12/2021	\$1,001 - \$15,000
88	RAYTHEON TECHNOLOGIES CORP COM (RTX)	Sale	10/12/2021	\$1,001 - \$15,000
89	REGIONS FINANCIAL CORP NEW COM (RF)	Sale	10/12/2021	\$1,001 - \$15,000
90	ROYAL DUTCH SHELL ADR REP 2 CL B ORD (RDSB)	Sale	10/12/2021	\$1,001 - \$15,000
91	SANOFI ADR REP 1 1/2 ORD (SNY)	Sale	10/12/2021	\$1,001 - \$15,000
92	SAP ADR REP 1 ORD (SAP)	Sale	10/12/2021	\$1,001 - \$15,000
93	SEMPRA ENERGY (SRE)	Sale	10/12/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
94	SIMON PROPERTY GROUP INC (SPG)	Sale	10/12/2021	\$1,001 - \$15,000
95	SOUTHERN CO (SO)	Sale	10/12/2021	\$1,001 - \$15,000
96	STATE STREET CORP (STT)	Sale	10/12/2021	\$1,001 - \$15,000
97	SYSCO CORP (SYY)	Sale	10/12/2021	\$1,001 - \$15,000
98	TJX COMPANIES INC (TJX)	Sale	10/12/2021	\$1,001 - \$15,000
99	TRAVELERS COMPANIES INC COM STK NPV (TRV)	Sale	10/12/2021	\$1,001 - \$15,000
100	TRUIST FINL CORP COM (TFC)	Sale	10/12/2021	\$1,001 - \$15,000
101	U.S. BANCORP (USB)	Sale	10/12/2021	\$1,001 - \$15,000
102	UNION PAC CORP COM (UNP)	Sale	10/12/2021	\$1,001 - \$15,000
103	UNITED PARCEL SERVICE INC (UPS)	Sale	10/12/2021	\$1,001 - \$15,000
104	UNITEDHEALTH GROUP INC (UNH)	Sale	10/12/2021	\$1,001 - \$15,000
105	VERIZON COMMUNICATIONS INC (VZ)	Sale	10/12/2021	\$1,001 - \$15,000
106	VIVENDI SA UNSPON ADR EACH REP 1 ORD SHS (VIVHY)	Sale	10/12/2021	\$15,001 - \$50,000
107	WALMART INC COM (WMT)	Sale	10/12/2021	\$1,001 - \$15,000
108	WATSCO INC (WSO)	Sale	10/12/2021	\$1,001 - \$15,000
109	WELLS FARGO CO NEW COM (WFC)	Sale	10/12/2021	\$1,001 - \$15,000
110	WHIRLPOOL CORP (WHR)	Sale	10/12/2021	\$1,001 - \$15,000
111	Boeing Co (BA)	Sale	10/11/2021	\$15,001 - \$50,000
112	The Coca-Cola Co. (KO)	Sale	10/11/2021	\$1,001 - \$15,000
113	Fidelity New York Municipal Money Market Fund (FNYXX)	Sale	10/11/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
114	Intel Corp. (INTC)	Sale	10/11/2021	\$1,001 - \$15,000
115	International Business Machines Corp. (IBM)	Sale	10/11/2021	\$1,001 - \$15,000
116	Johnson & Johnson (JNJ)	Sale	10/11/2021	\$15,001 - \$50,000
117	Motorola Solutions, Inc. (MSI)	Sale	10/11/2021	\$1,001 - \$15,000
118	Procter & Gamble Co. (PG)	Sale	10/11/2021	\$15,001 - \$50,000
119	Royal Dutch Shell	Sale	10/11/2021	\$1,001 - \$15,000
120	Xerox Holdings Corp. (XRX)	Sale	10/11/2021	\$1,001 - \$15,000
121	SAI MUNICIPAL BOND FUND (FSMUX)	Purchase	10/19/2021	\$15,001 - \$50,000
122	Strategic Advisers Tax-Sensitive Short Duration Fund (FGNSX)	Purchase	10/19/2021	\$15,001 - \$50,000
123	JPMorgan Mid Cap Value Fund Class I Shares (JMVSX)	Sale	10/19/2021	\$15,001 - \$50,000
124	iShares S&P 500 Value ETF (IVV)	Sale	10/19/2021	\$15,001 - \$50,000
125	MainStay MacKay Tax Free Bond Fund Class A Shares (MTBAX)	Sale	10/19/2021	\$1,001 - \$15,000
126	MainStay MacKay New York Tax Free Opportunities Fund Class A Shares (MNOAX)	Sale	10/19/2021	\$1,001 - \$15,000
127	iShares Core MSCI Emerging Markets ETF (IEMG)	Purchase	12/29/2021	\$1,001 - \$15,000
128	FIDELITY ADVISOR FOCUSED EMERG MKTS Z (FZAEX)	Purchase	12/29/2021	\$1,001 - \$15,000
129	SAI MUNICIPAL BOND FUND (FSMUX)	Purchase	12/29/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
130	Strategic Advisers Tax-Sensitive Short Duration Fund (FGNSX)	Purchase	12/29/2021	\$1,001 - \$15,000
131	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Purchase	12/29/2021	\$1,001 - \$15,000
132	FIDELITY ADVISOR FOCUSED EMERG MKTS Z (FZAEX)	Purchase	12/17/2021	\$15,001 - \$50,000
133	Strategic Advisers Tax-Sensitive Short Duration Fund (FGNSX)	Purchase	12/17/2021	\$1,001 - \$15,000
134	Artisan Small Cap Fund Investor Shares (ARTSX)	Sale	12/17/2021	\$1,001 - \$15,000
135	SAI MUNICIPAL BOND FUND (FSMUX)	Purchase	12/17/2021	\$1,001 - \$15,000
136	iShares S&P 500 Value ETF (IVE)	Sale	12/17/2021	\$1,001 - \$15,000
137	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Purchase	12/17/2021	\$1,001 - \$15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	American Express	Credit Card	\$10,001 - \$15,000	2021	None	Monthly

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	5	All income from Gibson Dunn, including defined benefit payments, reported as single entry line Line 6.
2.	7	The income amount shown on this line is stated in US dollars. The payments were made by Iberdrola in Euros, and for purposes of this statement have been converted to US dollars at the rate of Euro 1.17 per US dollar, which was the approximate exchange rate on the date of payment. The actual gross payment made by Iberdrola for this line was Euros 30,000.
2.	10	The income amount shown on this line is stated in US dollars. The payments were made by Iberdrola in Euros, and for purposes of this statement have been converted to US dollars at the rate of Euro 1.17 per US dollar, which was the approximate exchange rate on the date of payment. The actual gross payment made by Iberdrola for this line was Euros 253,000.
2.	11	The income amount shown on this line is stated in US dollars. The payments were made by Iberdrola in Euros, and for purposes of this statement have been converted to US dollars at the rate of Euro 1.17 per US dollar, which was the approximate exchange rate on the date of payment. The actual gross payment made by Iberdrola for this line was Euros 525,598.
5.	5.1	Stock has been sold
5.	5.3	Fund has been sold
6.	1.8	Inadvertently omitted from nominee report. Current value below de minimis level.
6.	8.46	Fund has been sold
6.	8.47	Fund has been sold
6.	9.49	Fund has been sold
6.	9.51	Fund has been sold
6.	15	Inadvertently omitted from nominee report.

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

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

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

Privacy Act Statement

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

Public Burden Information

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