

# Executive Branch Personnel

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

### Filer's Information

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Workman, Thomas Eldon

Member, Financial Stability Oversight Council, Department of the Treasury

Report Year: 2021

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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

/s/ Workman, Thomas Eldon [electronically signed on 05/13/2021 by Workman, Thomas Eldon in Integrity.gov]

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

/s/ Veras, Hanoi, Certifying Official [electronically signed on 08/09/2021 by Veras, Hanoi in Integrity.gov]

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Other review conducted by

/s/ Bunaugh, Tremayne, Ethics Official [electronically signed on 08/06/2021 by Bunaugh, Tremayne in Integrity.gov]

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U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 08/16/2021 by Granahan, Megan in Integrity.gov]

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Data Revised 08/06/2021

## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Revocable Trust #1	Columbus, Ohio	Trust	Trustee	7/2004	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Life Insurance Council of New York, Inc. 457B Plan:	No		Cash Distributions	\$60,888
1.1	Mutual of America Interest Accumulation Account	N/A	\$50,001 - \$100,000		None (or less than \$201)
2	SEP-IRA:	No			
2.1	U.S. bank account (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
2.2	Vanguard Dividend Appreciation (VIG)	Yes	\$100,001 - \$250,000		None (or less than \$201)
2.3	AQR Diversified Arbitrage Instl (ADAIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.4	DFA U.S. Large Cap Value Instl (DFLVX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3	Roth IRA:	No			
3.1	BlackRock Strategic Income Opps Institutional (BSIIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.2	DFA US Large Cap Value Institutional (DFLVX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.3	Dodge & Cox stock fund (DODGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	Harbor Capital Appreciation Institutional (HACAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.5	IVA International Institutional (IVIQX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.6	Matthews Pacific Tiger Institutional (MIPTX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.7	Meridian Growth Fund Legacy Class (MERDX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.8	PIMCO Commodity Real Return Institutional (PCRIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.9	PIMCO Corp Opportunity Fund II	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.10	U.S. bank account #1 (cash)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
3.11	DFA Emerging Markets Value Instl (DFEVX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.12	Schwab Fundamental Intl Lg Co ETF (FNDF)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.13	U.S. bank account #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.14	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.15	Vanguard Equity Income Fund Admiral Shares (VEIRX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.16	Artisan International Small-Mid Fund Advisor Shares (APDJX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4	IRA: See Endnote	No			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.1	AQR Diversified Arbitrage Institutional (ADAIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.2	AQR Long-Short Equity I (QLEIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.3	BlackRock Strategic Income Opps Institutional (BSIIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
4.4	Hatteras Core Alternatives TEI Institutional Fund LP	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.5	PIMCO Commodity Real Return Institutional (PCRIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.6	PIMCO Income Institutional (PIMIX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
4.7	Vanguard Market Neutral Inv (VMNFX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.8	Vanguard Short-Term Bond Index Fund Adm (VBIRX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.9	TIAA Traditional	N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
4.10	U.S. bank account (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
4.11	Altegris/AACA Opportunistic Real Estate Fund Class I Shares (RAAIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.12	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.13	Artisan International Small-Mid Fund Advisor Shares (APDJX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.14	iShares Edge MSCI Intl Quality Factor ETF (IQLT)	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	Life Insurance Council of New York, Inc.	New York, New York	The fixed balance of the Life Insurance Council of New York, Inc. 457(b) plan will be paid out in equal installments over the remaining one, of the original five, payout years with the final payout in 2021.	9/1999

### 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	Spouse's artistic works (value of unsold artwork not readily ascertainable)	N/A		Art Sales	
1.1	"Circe's Garden #1" (Sale of Oil Painting)	N/A			\$1,001 - \$2,500
1.2	"Measured #54 Calle 19: Havana" (Sale of Oil Painting)	N/A			\$201 - \$1,000
1.3	"Measured #59 Maria: Matanzas, Cuba" (Sale of Oil Painting)	N/A			\$201 - \$1,000

### 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Revocable Trust #1:				
1.1	Longleaf Partners Small-cap (LLSCX)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
1.2	U.S. bank account #1 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3	Separately Managed Account (Brokerage Account):	No			
1.3.1	3M Company (MMM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.2	Altria Group (MO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.3	AstraZeneca Plc ADR F (AZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.4	Boeing Co (BA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.5	Chevron Texaco Corp (CVX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.6	Diageo Plc New F 1 ADR Reps 4 Ord (DEO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.7	Dow Inc. (DOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.8	Genuine Parts Co (GPC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.9	Intel Corp (INTC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.10	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.11	CISCO Systems Inc (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.12	Kimberly-Clark (KMB)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.13	Lilly Eli & Co (LLY)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.14	Merck & Co Inc (MRK)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.15	Microsoft Corp (MSFT)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.16	NextEra Energy Inc (NEE)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.17	Novartis A G Spons ADR F (NVS)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.18	Pfizer Inc (PFE)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.19	Philip Morris International (PM)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.20	Raytheon Technologies Corp. (RTX)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.21	U.S. bank account (cash)		N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.22	Unilever N.V. Common Stock (UL)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.23	Davis Select US Equity ETF (DUSA)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.3.24	E.I. DuPont de Nemours (DD)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.25	Corteva Inc. (CTVA)	See Endnote	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.26	Welltower, Inc. (WELL)		N/A	\$1,001 - \$15,000		\$201 - \$1,000



#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4	Apple Computer, Inc. (AAPL)		N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.5	U.S. bank account (cash)		N/A	\$100,001 - \$250,000	Interest	\$1,001 - \$2,500
1.6	Davis Select US Equity ETF (DUSA)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.7	Vanguard Energy Index Fund ETF Class Shares (VDE)		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2	Revocable Trust #2:					
2.1	U.S. bank account (cash)		N/A	\$15,001 - \$50,000	Interest	\$5,001 - \$15,000
2.2	Morse & Hamilton Limited Partnership	See Endnote	N/A	Over \$1,000,000	Capital Gains Rent or Royalties	\$15,001 - \$50,000
2.3	Vanguard Interm-Term Tax-Exempt Fund Adm (VWIUX)		Yes	\$250,001 - \$500,000		\$201 - \$1,000
2.4	Vanguard Market Neutral Fund Investor Shs (VMNFX)		Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.5	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX)		Yes	\$50,001 - \$100,000		None (or less than \$201)
2.6	DFAGlobal Real Estate Securities Portfolio (DFGEX)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
2.7	Invesco FTSE RAFI Developed Markets ex-US ETF (PXF)		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
2.8	iShares Edge MSCI Intl Quality Factor ETF (IQLT)		Yes	\$100,001 - \$250,000		None (or less than \$201)
3	Irrevocable Trust #1:					
3.1	BlackRock Strategic Income Opportunity Institutional (BSIIX)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.2	DFA US Large Cap Value Institutional (DFLVX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.3	DFA US Small Cap Value Institutional (DFSVX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.4	Elements Rogers International Commodity ETN (RJI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.5	Harbor Capital Appreciation Institutional (HACAX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.6	IVA International Institutional (IVIQX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.7	Matthews Pacific Tiger Inv (MAPTX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
3.8	Meridian Growth Fund Legacy Class (MERDX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
3.9	PIMCO Income Institutional (PIMIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
3.10	U.S. bank account (Cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.11	Schwab US Large Cap ETF (SCHX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.12	Vanguard Intermediate-Term Tax-Exempt (VWITX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
3.13	Davis Select US Equity ETF (DUSA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.14	AQR Diversified Arbitrage Instl (ADAIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.15	Vanguard Interm-Term Tax-Exempt Fund Adm (VWIUX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.16	Vanguard Market Neutral Inv (VMNFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.17	Vanguard Equity Income Fund Adm (VEIRX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.18	Altegris/AACA Opportunistic Real Estate Fund Class I Shares (RAAIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.19	DFAGlobal Real Estate Securities Portfolio (DFGEX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.20	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.21	Vanguard Energy Index Fund ETF Class Shares (VDE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.22	Artisan International Small-Mid Fund Advisor Shares (APDJX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.23	Invesco FTSE RAFI Developed Markets ex-US ETF (PXF)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
3.24	iShares Edge MSCI Intl Quality Factor ETF (IQLT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.25	Emerging Markets Portfolio Institutional Class Shares (DFEMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	Irrevocable Trust #2:				
4.1	AQR Diversified Arbitrage Institutional (ADAIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.2	BlackRock Strategic Income Opportunity Institutional (BSIIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.3	DFA US Large Cap Value Institutional (DFLVX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.4	DFA US Small Cap Value Institutional (DFSVX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.5	Elements Rogers International Commodity ETN (RJI)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.6	Harbor Capital Appreciation Institutional (HACAX)		Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.7	IVA International Institutional (IVIQX)		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
4.8	Matthews Pacific Tiger Institutional (MIPTX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.9	Meridian Growth Fund Legacy Class (MERDX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
4.10	PIMCO Income Institutional (PIMIX)		Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
4.11	U.S. bank account #1 (cash)		N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
4.12	Schwab US Large Cap ETF (SCHX)		Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.13	Vanguard Intermediate-Term Tax-Exempt (VWITX)		Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
4.14	Vanguard Short-Term Bond Index Admiral Shares (VBIRX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.15	Morse & Hamilton Limited Partnership	See Endnote	N/A	Over \$1,000,000	Rent or Royalties Capital Gains	\$15,001 - \$50,000
4.16	Davis Select US Equity ETF (DUSA)		Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.17	Vanguard Interm-Term Tax-Exempt Fund Adm (VWIUX)		Yes	\$50,001 - \$100,000		None (or less than \$201)
4.18	AQR Long-Short Equity Fund Class I Shares (QLEIX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
4.19	Vanguard Market Neutral Fund Investor Shs (VMNFX)		Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.20	Altegris/AACA Opportunistic Real Estate Fund Class I Shares (RAAIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.21	DFAGlobal Real Estate Securities Portfolio (DFGEX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.22	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.23	Vanguard Energy Index Fund ETF Class Shares (VDE)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
4.24	Vanguard Equity Income Fund Admiral Shares (VEIRX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.25	Artisan International Small-Mid Fund Advisor Shares (APDJX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.26	Emerging Markets Portfolio Institutional Class Shares (DFEMX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.27	Invesco FTSE RAFI Developed Markets ex-US ETF (PXF)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.28	iShares Edge MSCI Intl Quality Factor ETF (IQLT)	Yes	\$50,001 - \$100,000		None (or less than \$201)
5	Irrevocable Trust #3:				
5.1	U.S. bank account (cash)	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
5.2	AQR Long Short Equity I (QLEIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.3	BlackRock Strategic Income Opportunity Institutional (BSIIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
5.4	DFA US Large Cap Value Institutional (DFLVX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.5	Elements Rogers International Commodity ETN (RJI)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.6	Harbor Capital Appreciation Institutional (HACAX)		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
5.7	IVA International Fund (IVIQX)		Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
5.8	Longleaf Partners Small Cap (LLSCX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.9	Matthews Pacific Tiger Institutional (MIPTX)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.10	Meridian Growth Fund Legacy Class (MERDX)		Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
5.11	PIMCO Income Instl (PIMIX)		Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
5.12	U.S. bank account #1 (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)
5.13	Vanguard Dividend Appreciation ETF (VIG)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.14	Vanguard Intermediate-Term Tax-Exempt (VWITX)		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
5.15	The Vista Plaza, L.P.	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
5.16	The Vista at Rocky Fork, L.P.	See Endnote	N/A	Over \$1,000,000	Capital Gains Rent or Royalties	\$5,001 - \$15,000
5.17	Davis Select US Equity ETF (DUSA)		Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
5.18	AQR Diversified Arbitrage Instl (ADAIX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.19	Vanguard Interm-Term Tax-Exempt Fund Adm (VWIUX)		Yes	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.20	Vanguard Market Neutral Fund Investor Shs (VMNFX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
5.21	Altegris/AACA Opportunistic Real Estate Fund Class I Shares (RAAIX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
5.22	DFAGlobal Real Estate Securities Portfolio (DFGEX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
5.23	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)		Yes	\$1,001 - \$15,000		None (or less than \$201)
5.24	Artisan International Small-Mid Fund Advisor Shares (APDJX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
5.25	Emerging Markets Portfolio Institutional Class Shares (DFEMX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.26	Invesco FTSE RAFI Developed Markets ex-US ETF (PXF)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
5.27	iShares Edge MSCI Intl Quality Factor ETF (IQLT)		Yes	\$15,001 - \$50,000		None (or less than \$201)
6	TIAA-CREF Personal Annuity Select	See Endnote	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
7	TIAA-CREF Personal Annuity Select	See Endnote	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
8	Mutual of America Flexible Premium Annuity	See Endnote	N/A	\$250,001 - \$500,000	Interest	\$2,501 - \$5,000
9	Israel State Bond 5/1/2020	See Endnote	N/A	None (or less than \$1,001)		None (or less than \$201)
10	Personal Loan to friend	See Endnote	N/A	\$15,001 - \$50,000		None (or less than \$201)
11	U.S. bank account #1 (cash)		N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	U.S. bank account #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
13	U.S. bank account #3 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
14	NY College Savings 529 Plan #1:	No			
14.1	Vanguard Total International Stock Index Fund (VTPSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
14.2	Vanguard Developed Markets Index Fund (VDIPX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
14.3	Vanguard Growth Index Fund (VIGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
14.4	Vanguard Value Index Fund (VIVIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
14.5	Vanguard Small-Cap Index Fund (VSCPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
14.6	Vanguard Total Stock Market Index Fund (VTSMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
15	NY College Savings 529 Plan #2:	No			
15.1	Vanguard Total International Stock Index Fund (VTPSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
15.2	Vanguard Growth Index Fund (VIGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
15.3	Vanguard Value Index Fund (VIVIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
15.4	Vanguard Developed Markets Index Fund (VDIPX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
15.5	Vanguard Small-Cap Index Fund (VSCPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.6	Vanguard Total Stock Market Index Fund (VTSMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16	NY College Savings 529 Plan #3:	No			
16.1	Vanguard Total International Stock Index Fund (VTPSX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
16.2	Vanguard Developed Markets Index Fund (VDIPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16.3	Vanguard Small-Cap Index Fund (VSCPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
16.4	Vanguard Total Stock Market Index Fund (VTSMX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
16.5	Vanguard Total Bond Market Index Fund Admiral Shares (VBTLX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
16.6	Vanguard Short Term Reserves Account	Yes	\$15,001 - \$50,000		None (or less than \$201)
17	NY College Savings 529 Plan #4:	No			
17.1	Vanguard Total International Stock Index Fund (VTPSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.2	Vanguard Growth Index Fund (VIGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.3	Vanguard Value Index Fund (VIVIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
17.4	Vanguard Developed Markets Index Fund (VDIPX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
17.5	Vanguard Small-Cap Index Fund (VSCPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
17.6	Vanguard Total Stock Market Index Fund (VTSMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
18	NY College Savings 529 Plan #5:	No			
18.1	Vanguard Total International Stock Index Fund (VTPSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
18.2	Vanguard Growth Index Fund (VIGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
18.3	Vanguard Value Index Fund (VIVIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
18.4	Vanguard Developed Markets Index Fund (VDIPX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
18.5	Vanguard Small-Cap Index Fund (VSCPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
18.6	Vanguard Total Stock Market Index Fund (VTSMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
19	Northwestern Mutual, Whole Life #1	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
20	Northwestern Mutual, Whole Life #2	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
21	Northwestern Mutual, Whole Life #3	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
22	Northwestern Mutual, Whole Life #4	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
23	Northwestern Mutual, Whole Life #5	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
24	Irrevocable Life Insurance Trust				
24.1	Northwestern Mutual, Whole Life #6	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
24.2	Northwestern Mutual, Whole Life #7	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
24.3	Northwestern Mutual, Whole Life #8	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
25	Joint Account (Brokerage account):	No			
25.1	Vanguard Inflation-Protected Securities Fund Inv (VIPSX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
25.2	Vanguard Long-Term Investment Grade Fund Inv (VWESX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
25.3	Vanguard Total Stock Market Index Fund (VTSAX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
26	Pan American Life, Whole Life	N/A	\$1,001 - \$15,000		None (or less than \$201)
27	NY College Savings 529 Plan #6	No			
27.1	Vanguard Total International Stock Index Fund (VTPSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
27.2	Vanguard Developed Markets Index Fund (VDIPX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
27.3	Vanguard Growth Index Fund (VIGIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
27.4	Vanguard Value Index Fund (VIVIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
27.5	Vanguard Small-Cap Index Fund (VSCPX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
27.6	Vanguard Total Stock Market Index Fund (VTSMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
28	Standard Life, Whole Life	N/A	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Cullen High Dividend Equity Fund Class I Shares (CHDVX)	Sale	01/16/2020	\$15,001 - \$50,000
2	Vanguard Equity Income Fund Admiral Shares (VEIRX)	Purchase	01/17/2020	\$15,001 - \$50,000
3	AQR Equity Market Neutral Fund Class I Shares (QMNIX)	Sale	02/04/2020	\$50,001 - \$100,000
4	AQR Long-Short Equity Fund Class I Shares (QLEIX)	Purchase	02/05/2020	\$50,001 - \$100,000
5	AQR Diversified Arbitrage Fund Class I Shares (ADAIX)	Sale	02/27/2020	\$15,001 - \$50,000
6	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX)	Sale	02/27/2020	\$15,001 - \$50,000
7	Davis Select US Equity ETF (DUSA)	Sale	02/27/2020	\$1,001 - \$15,000
8	Emerging Markets Value Portfolio Institutional Class Shares (DFEVX)	Sale	02/27/2020	\$1,001 - \$15,000
9	US Large Cap Value Portfolio Institutional Class Shares (DFLVX)	Sale	02/27/2020	\$1,001 - \$15,000
10	ELEMENTS Exchange Traded Notes Rogers International Commodity Index - Total Return (RJI)	Sale	02/27/2020	\$1,001 - \$15,000
11	Harbor Capital Appreciation Fund Institutional Class Shares (HACAX)	Sale	02/27/2020	\$1,001 - \$15,000
12	IVA International Fund Class I Shares (IVIQX)	Sale	02/27/2020	\$15,001 - \$50,000
13	Longleaf Partners Small-Cap Fund (LLSCX)	Sale	02/27/2020	\$1,001 - \$15,000
14	MatthewsPacific Tiger Fund Institutional Class Shares (MIPTX)	Sale	02/27/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
15	Meridian Growth Fund Legacy Class Shares (MERDX)	Sale	02/27/2020	\$1,001 - \$15,000
16	PIMCO Income Fund Institutional Class Shares (PIMIX)	Sale	02/27/2020	\$15,001 - \$50,000
17	Vanguard Alternative Strategies Fund Investor Class Shares (VASFX)	Sale	02/27/2020	\$50,001 - \$100,000
18	Vanguard Intermediate-Term Tax-Exempt Fund Investor Shares (VWITX)	Sale	02/27/2020	\$15,001 - \$50,000
19	Weitz Partners III Opportunity Fund Institutional Class Shares (WPOPX)	Sale	02/27/2020	\$1,001 - \$15,000
20	IVA International Fund Class I Shares (IVIQX)	Purchase	03/23/2020	\$1,001 - \$15,000
21	Vanguard Intermediate-Term Tax-Exempt Fund Investor Shares (VWITX)	Sale	03/23/2020	\$1,001 - \$15,000
22	US Small Cap Value Portfolio Institutional Class Shares (DFSVX)	Purchase	03/23/2020	\$1,001 - \$15,000
23	IVA International Fund Class I Shares (IVIQX)	Purchase	03/23/2020	\$1,001 - \$15,000
24	Meridian Growth Fund Legacy Class Shares (MERDX)	Purchase	03/23/2020	\$1,001 - \$15,000
25	Schwab US Large-Cap ETF (SCHX)	Purchase	03/23/2020	\$1,001 - \$15,000
26	Vanguard Equity Income Fund Admiral Shares (VEIRX)	Purchase	03/23/2020	\$1,001 - \$15,000
27	Vanguard Intermediate-Term Tax-Exempt Fund Investor Shares (VWITX)	Sale	03/23/2020	\$50,001 - \$100,000
28	US Large Cap Value Portfolio Institutional Class Shares (DFLVX)	Purchase	03/23/2020	\$1,001 - \$15,000
29	IVA International Fund Class I Shares (IVIQX)	Purchase	03/23/2020	\$1,001 - \$15,000
30	Weitz Partners III Opportunity Fund Institutional Class Shares (WPOPX)	Purchase	03/23/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
31	Vanguard Intermediate-Term Tax-Exempt Fund Investor Shares (VWITX)	Sale	03/23/2020	\$15,001 - \$50,000
32	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX)	Sale	03/23/2020	\$15,001 - \$50,000
33	Invesco FTSE RAFI Developed Markets ex-US ETF (PXF)	Purchase	04/29/2020	\$250,001 - \$500,000
34	Schwab Fundamental International Large Company Index ETF (FNDF)	Sale	04/29/2020	\$250,001 - \$500,000
35	Emerging Markets Portfolio Institutional Class Shares (DFEMX)	Purchase	04/29/2020	\$1,001 - \$15,000
36	Invesco FTSE RAFI Developed Markets ex-US ETF (PXF)	Purchase	04/29/2020	\$15,001 - \$50,000
37	Emerging Markets Value Portfolio Institutional Class Shares (DFEVX)	Sale	04/29/2020	\$1,001 - \$15,000
38	Schwab Fundamental International Large Company Index ETF (FNDF)	Sale	04/29/2020	\$15,001 - \$50,000
39	Emerging Markets Portfolio Institutional Class Shares (DFEMX)	Purchase	04/29/2020	\$15,001 - \$50,000
40	Invesco FTSE RAFI Developed Markets ex-US ETF (PXF)	Purchase	04/29/2020	\$50,001 - \$100,000
41	Emerging Markets Value Portfolio Institutional Class Shares (DFEVX)	Sale	04/29/2020	\$15,001 - \$50,000
42	Parametric Emerging Markets Fund Institutional Class Shares (EIEMX)	Sale	04/29/2020	\$15,001 - \$50,000
43	Schwab Fundamental International Large Company Index ETF (FNDF)	Sale	04/29/2020	\$50,001 - \$100,000
44	Emerging Markets Portfolio Institutional Class Shares (DFEMX)	Purchase	04/29/2020	\$1,001 - \$15,000
45	Invesco FTSE RAFI Developed Markets ex-US ETF (PXF)	Purchase	04/29/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
46	Emerging Markets Value Portfolio Institutional Class Shares (DFEVX)	Sale	04/29/2020	\$15,001 - \$50,000
47	Schwab Fundamental International Large Company Index ETF (FNDF)	Sale	04/29/2020	\$15,001 - \$50,000
48	Vanguard Energy Index Fund ETF Class Shares (VDE)	Purchase	05/08/2020	\$1,001 - \$15,000
49	Goldman Sachs MLP Energy Infrastructure Fund Institutional Class Shares (GMLPX)	Sale	05/08/2020	\$1,001 - \$15,000
50	Vanguard Energy Index Fund ETF Class Shares (VDE)	Purchase	05/08/2020	\$1,001 - \$15,000
51	Goldman Sachs MLP Energy Infrastructure Fund Institutional Class Shares (GMLPX)	Sale	05/08/2020	\$1,001 - \$15,000
52	Vanguard Energy Index Fund ETF Class Shares (VDE)	Purchase	05/08/2020	\$1,001 - \$15,000
53	Goldman Sachs MLP Energy Infrastructure Fund Institutional Class Shares (GMLPX)	Sale	05/08/2020	\$1,001 - \$15,000
54	Vanguard Energy Index Fund ETF Class Shares (VDE)	Purchase	05/08/2020	\$50,001 - \$100,000
55	Goldman Sachs MLP Energy Infrastructure Fund Institutional Class Shares (GMLPX)	Sale	05/08/2020	\$50,001 - \$100,000
56	DFAGlobal Real Estate Securities Portfolio (DFGEX)	Purchase	06/24/2020	\$15,001 - \$50,000
57	Vanguard Alternative Strategies Fund Investor Class Shares (VASFX)	Sale	06/24/2020	\$50,001 - \$100,000
58	Altegris/AACA Opportunistic Real Estate Fund Class I Shares (RAAIX)	Purchase	06/24/2020	\$1,001 - \$15,000
59	Artisan International Small-Mid Fund Advisor Shares (APDJX)	Purchase	06/24/2020	\$1,001 - \$15,000
60	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Purchase	06/24/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
61	DFAGlobal Real Estate Securities Portfolio (DFGEX)	Purchase	06/24/2020	\$1,001 - \$15,000
62	US Large Cap Value Portfolio Institutional Class Shares (DFLVX)	Purchase	06/24/2020	\$1,001 - \$15,000
63	US Small Cap Value Portfolio Institutional Class Shares (DFSVX)	Purchase	06/24/2020	\$1,001 - \$15,000
64	Vanguard Equity Income Fund Admiral Shares (VEIRX)	Purchase	06/24/2020	\$1,001 - \$15,000
65	AQR Diversified Arbitrage Fund Class I Shares (ADAIX)	Sale	06/24/2020	\$1,001 - \$15,000
66	Harbor Capital Appreciation Fund Institutional Class Shares (HACAX)	Sale	06/24/2020	\$1,001 - \$15,000
67	IVA International Fund Class I Shares (IVIQX)	Sale	06/24/2020	\$1,001 - \$15,000
68	Weitz Partners III Opportunity Fund Institutional Class Shares (WPOPX)	Sale	06/24/2020	\$1,001 - \$15,000
69	Altegris/AACA Opportunistic Real Estate Fund Class I Shares (RAAIX)	Purchase	06/24/2020	\$1,001 - \$15,000
70	Artisan International Small-Mid Fund Advisor Shares (APDJX)	Purchase	06/24/2020	\$15,001 - \$50,000
71	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Purchase	06/24/2020	\$15,001 - \$50,000
72	DFAGlobal Real Estate Securities Portfolio (DFGEX)	Purchase	06/24/2020	\$1,001 - \$15,000
73	US Large Cap Value Portfolio Institutional Class Shares (DFLVX)	Purchase	06/24/2020	\$1,001 - \$15,000
74	AQR Diversified Arbitrage Fund Class I Shares (ADAIX)	Sale	06/24/2020	\$15,001 - \$50,000
75	Harbor Capital Appreciation Fund Institutional Class Shares (HACAX)	Sale	06/24/2020	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
76	IVA International Fund Class I Shares (IVIQX)	Sale	06/24/2020	\$15,001 - \$50,000
77	Weitz Partners III Opportunity Fund Institutional Class Shares (WPOPX)	Sale	06/24/2020	\$15,001 - \$50,000
78	Altegris/AACA Opportunistic Real Estate Fund Class I Shares (RAAIX)	Purchase	06/24/2020	\$1,001 - \$15,000
79	Artisan International Small-Mid Fund Advisor Shares (APDJX)	Purchase	06/24/2020	\$1,001 - \$15,000
80	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Purchase	06/24/2020	\$1,001 - \$15,000
81	DFAGlobal Real Estate Securities Portfolio (DFGEX)	Purchase	06/24/2020	\$1,001 - \$15,000
82	AQR Diversified Arbitrage Fund Class I Shares (ADAIX)	Sale	06/24/2020	\$1,001 - \$15,000
83	AQR Long-Short Equity Fund Class I Shares (QLEIX)	Sale	06/24/2020	\$1,001 - \$15,000
84	IVA International Fund Class I Shares (IVIQX)	Sale	06/24/2020	\$15,001 - \$50,000
85	MatthewsPacific Tiger Fund Institutional Class Shares (MIPTX)	Sale	06/24/2020	\$1,001 - \$15,000
86	Vanguard Alternative Strategies Fund Investor Class Shares (VASFX)	Sale	06/24/2020	\$1,001 - \$15,000
87	Weitz Partners III Opportunity Fund Institutional Class Shares (WPOPX)	Sale	06/24/2020	\$15,001 - \$50,000
88	Artisan International Small-Mid Fund Advisor Shares (APDJX)	Purchase	06/24/2020	\$50,001 - \$100,000
89	Vanguard Equity Income Fund Admiral Shares (VEIRX)	Purchase	06/24/2020	\$100,001 - \$250,000
90	Harbor Capital Appreciation Fund Institutional Class Shares (HACAX)	Sale	06/24/2020	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
91	IVA International Fund Class I Shares (IVIQX)	Sale	06/24/2020	\$50,001 - \$100,000
92	Schwab Fundamental International Large Company Index ETF (FNDF)	Sale	06/24/2020	\$15,001 - \$50,000
93	Weitz Partners III Opportunity Fund Institutional Class Shares (WPOPX)	Sale	06/24/2020	\$100,001 - \$250,000
94	Parametric Tax-Managed Emerging Markets Fund Institutional Class Shares (EITEX)	Sale	06/24/2020	\$50,001 - \$100,000
95	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Sale	06/24/2020	\$100,001 - \$250,000
96	Altegris/AACA Opportunistic Real Estate Fund Class I Shares (RAAIX)	Purchase	06/24/2020	\$15,001 - \$50,000
97	Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)	Purchase	06/24/2020	\$15,001 - \$50,000
98	AQR Diversified Arbitrage Fund Class I Shares (ADAIX)	Sale	06/24/2020	\$50,001 - \$100,000
99	Vanguard Short-Term Bond Index Fund Admiral Shares (VBIRX)	Sale	06/24/2020	\$50,001 - \$100,000
100	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Purchase	06/25/2020	\$1,001 - \$15,000
101	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Purchase	06/25/2020	\$15,001 - \$50,000
102	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)	Purchase	06/25/2020	\$50,001 - \$100,000
103	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Purchase	11/23/2020	\$1,001 - \$15,000
104	US Large Cap Value Portfolio Institutional Class Shares (DFLVX)	Sale	11/23/2020	\$1,001 - \$15,000
105	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Purchase	11/23/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
106	Artisan International Small-Mid Fund Advisor Shares (APDJX)	Purchase	11/23/2020	\$1,001 - \$15,000
107	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX)	Purchase	11/23/2020	\$1,001 - \$15,000
108	PIMCO Income Fund Institutional Class Shares (PIMIX)	Purchase	11/23/2020	\$1,001 - \$15,000
109	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)	Purchase	11/23/2020	\$15,001 - \$50,000
110	Vanguard Market Neutral Fund Investor Shs (VMNFX)	Purchase	11/23/2020	\$1,001 - \$15,000
111	Vanguard Alternative Strategies Fund Investor Class Shares (VASFX)	Sale	12/10/2020	\$50,001 - \$100,000
112	Vanguard Alternative Strategies Fund Investor Class Shares (VASFX)	Sale	12/10/2020	\$50,001 - \$100,000
113	Vanguard Alternative Strategies Fund Investor Class Shares (VASFX)	Sale	12/10/2020	\$15,001 - \$50,000
114	Vanguard Market Neutral Fund Investor Shs (VMNFX)	Purchase	12/11/2020	\$50,001 - \$100,000
115	Vanguard Market Neutral Fund Investor Shs (VMNFX)	Purchase	12/11/2020	\$50,001 - \$100,000
116	Vanguard Market Neutral Fund Investor Shs (VMNFX)	Purchase	12/11/2020	\$15,001 - \$50,000
117	iShares Edge MSCI Intl Quality Factor ETF (IQLT)	Purchase	12/15/2020	\$100,001 - \$250,000
118	Invesco FTSE RAFI Developed Markets ex-US ETF (PXF)	Sale	12/15/2020	\$100,001 - \$250,000
119	Artisan International Small-Mid Fund Advisor Shares (APDJX)	Purchase	12/15/2020	\$1,001 - \$15,000
120	iShares Edge MSCI Intl Quality Factor ETF (IQLT)	Purchase	12/15/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
121	Invesco FTSE RAFI Developed Markets ex-US ETF (PXF)	Sale	12/15/2020	\$1,001 - \$15,000
122	IVA International Fund Class I Shares (IVIQX)	Sale	12/15/2020	\$1,001 - \$15,000
123	Artisan International Small-Mid Fund Advisor Shares (APDJX)	Purchase	12/15/2020	\$1,001 - \$15,000
124	iShares Edge MSCI Intl Quality Factor ETF (IQLT)	Purchase	12/15/2020	\$50,001 - \$100,000
125	Invesco FTSE RAFI Developed Markets ex-US ETF (PXF)	Sale	12/15/2020	\$15,001 - \$50,000
126	IVA International Fund Class I Shares (IVIQX)	Sale	12/15/2020	\$15,001 - \$50,000
127	iShares Edge MSCI Intl Quality Factor ETF (IQLT)	Purchase	12/15/2020	\$15,001 - \$50,000
128	Invesco FTSE RAFI Developed Markets ex-US ETF (PXF)	Sale	12/15/2020	\$15,001 - \$50,000
129	Artisan International Small-Mid Fund Advisor Shares (APDJX)	Purchase	12/15/2020	\$15,001 - \$50,000
130	iShares Edge MSCI Intl Quality Factor ETF (IQLT)	Purchase	12/15/2020	\$15,001 - \$50,000
131	IVA International Fund Class I Shares (IVIQX)	Sale	12/15/2020	\$50,001 - \$100,000
132	Invesco FTSE RAFI Developed Markets ex-US ETF (PXF)	Sale	12/21/2020	\$15,001 - \$50,000
133	Invesco FTSE RAFI Developed Markets ex-US ETF (PXF)	Sale	12/21/2020	\$50,001 - \$100,000
134	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX)	Purchase	12/21/2020	\$15,001 - \$50,000
135	Schwab Fundamental International Large Company Index ETF (FNDF)	Purchase	12/21/2020	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
136	Schwab Fundamental International Large Company Index ETF (FNDF)	Purchase	12/21/2020	\$1,001 - \$15,000
137	MatthewsPacific Tiger Fund Institutional Class Shares (MIPTX)	Sale	12/21/2020	\$15,001 - \$50,000
138	Davis Select US Equity ETF (DUSA)	Sale	12/21/2020	\$15,001 - \$50,000
139	Davis Select US Equity ETF (DUSA)	Sale	12/21/2020	\$1,001 - \$15,000
140	Davis Select US Equity ETF (DUSA)	Sale	12/21/2020	\$1,001 - \$15,000
141	Davis Select US Equity ETF (DUSA)	Sale	12/21/2020	\$1,001 - \$15,000
142	Davis Select US Equity ETF (DUSA)	Sale	12/21/2020	\$15,001 - \$50,000
143	AQR Diversified Arbitrage Fund Class I Shares (ADAIX)	Sale	12/21/2020	\$15,001 - \$50,000
144	AQR Long-Short Equity Fund Class I Shares (QLEIX)	Sale	12/21/2020	\$15,001 - \$50,000
145	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX)	Sale	12/21/2020	\$50,001 - \$100,000
146	IVA International Fund Class I Shares (IVIQX)	Sale	12/21/2020	\$15,001 - \$50,000
147	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX)	Purchase	12/22/2020	\$50,001 - \$100,000
148	Vanguard Developed Markets Index Fund Institutional Plus Shares (VDIPX)	Purchase	07/08/2020	\$15,001 - \$50,000
149	Vanguard Total Stock Market Index Fund Investor Class Shares (VTSMX)	Purchase	07/08/2020	\$50,001 - \$100,000
150	Vanguard Total International Stock Index Fund Institutional Plus Shares (VTPSX)	Purchase	07/08/2020	\$15,001 - \$50,000
151	Vanguard Total Bond Market Index Fund Admiral Shares (VBTLX)	Purchase	07/08/2020	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
152	Vanguard Small-Cap Index Fund Institutional Plus Shares (VSCPX)	Purchase	07/08/2020	\$1,001 - \$15,000
153	Vanguard Developed Markets Index Fund Institutional Plus Shares (VDIPX)	Sale	07/08/2020	\$50,001 - \$100,000
154	Vanguard Total Stock Market Index Fund Investor Class Shares (VTSMX)	Sale	07/08/2020	\$15,001 - \$50,000
155	Vanguard Total International Stock Index Fund Institutional Plus Shares (VTPSX)	Sale	07/08/2020	\$15,001 - \$50,000
156	Vanguard Growth Index Fund Institutional Class Shares (VIGIX)	Sale	07/08/2020	\$15,001 - \$50,000
157	Vanguard Small-Cap Index Fund Institutional Plus Shares (VSCPX)	Sale	07/08/2020	\$15,001 - \$50,000
158	Vanguard Value Index Fund Institutional Shares (VIVIX)	Sale	07/08/2020	\$15,001 - \$50,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM	
1	Citizen's Bank	See Endnote	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2020	3%	15
2	PIMCO Corp Opportunity Fund II		Committed Capital	\$100,001 - \$250,000	2016	N/A	On Demand

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
2.	4	The CARES act waived 2020 Required Minimum Distributions (RMDs), hence Tom did not take an RMD from his IRA in 2020.
6.	1.3.20	Raytheon Co (RTN) merged with United Technologies and began trading under Raytheon Technologies Corp. (RTX) on 4/3/2020.
6.	1.3.22	Unilever (UN) was acquired by parent company Unilever PLC (UL) on 11/30/2020.
6.	1.3.25	Corteva was acquired on 6/1/19 as a spin-off from DowDuPont Inc. (DWDP). The value for reporting period was less than \$1,001, and the income was less than \$201.
6.	2.2	Commercial Real Estate, Gahanna, Ohio
6.	4.15	Commercial Real Estate, Gahanna, Ohio
6.	5.15	Commercial Real Estate, Gahanna, Ohio
6.	5.16	Residential Real Estate, Gahanna, Ohio
6.	6	Fixed option selected, earning the guaranteed minimum return of 3.0%
6.	7	Fixed option selected, earning the guaranteed minimum return of 3.0%
6.	8	100% of the funds are invested in the "Interest Accumulation Account" with a current Effective Annual Yield of 1.57%
6.	9	Bond matured in May of 2020.
6.	10	Receivable from P. Squire.
8.	1	Refinanced to Citizens Bank NA in January 2020.

# 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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