

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

## Filer's Information

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Niblock, Elizabeth A

Chief Information Officer, Department of Housing and Urban Development

Report Year: 2022

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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/ Niblock, Elizabeth A [electronically signed on 04/27/2022 by Niblock, Elizabeth A 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/ Allen, Lindsey, Certifying Official [electronically signed on 06/22/2022 by Allen, Lindsey in Integrity.gov]

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Other review conducted by

/s/ Smith Johnson, Tiffanie R, Ethics Official [electronically signed on 06/03/2022 by Smith Johnson, Tiffanie R in Integrity.gov]

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U.S. Office of Government Ethics Certification

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Data Revised 06/08/2022

Data Revised 06/07/2022

Data Revised 06/03/2022

Data Revised 06/02/2022

Data Revised 05/16/2022

Data Revised 04/29/2022

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

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	City of Detroit	Detroit, Michigan	City government	Chief Information Officer and Chief of Homeland Security and Emergency Management	7/2019	7/2021
2	Covenant House Michigan	Detroit, Michigan	Non-Profit	Secretary of the Board	6/2019	7/2021
3	Niblock Family Charitable Trust	Louisville, Kentucky	Trust	trustee	8/2016	Present
4	Elizabeth A. Niblock and Monique M. McGraw Family Foundation	Port Sanilac, Michigan	Trust	trustee	6/2016	Present
5	Financial Oversight and Management Board	San Juan, Puerto Rico	Financial Oversight and Management Board	Consultant	3/2020	4/2021

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	City of Detroit	N/A		Salary	\$105,074
2	Kentucky Retirement System--County Employee Retirement Non Hazardous, defined benefit plan (value not readily ascertainable) eligible for approx \$38,730/year at age 65	N/A			None (or less than \$201)
3	City of Detroit (deferred compensation)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	VanguardGlobal Wellesley Income Fund Admiral Shares (VGYAX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.2	Equitable Deferred Compensation	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.3	Vanguard Windsor Fund Investor	Yes	\$50,001 - \$100,000		None (or less than \$201)
4	IRA #2	No			
4.1	Brown Advisory Sustainable Growth (BAFWX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.2	Domini Impact International Equity Fund (DOMYX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.3	Parnassus Mid Cap Fund (PFPMX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.4	Vanguard FTSE Social Index Fund Admiral Shares (VFTAX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
5	IRA #1	No			
5.1	ABB LIMITED SPONSORED ADR (SWITZERLAND)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.2	ACCENTURE PLC IRELAND SHS CLASS A (IRELAND)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.3	ADIDAS AG ADR (GERMANY)	N/A	\$1,001 - \$15,000		
5.4	AIR LIQUIDE ADR (FRANCE)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.5	AKZO NOBEL N V SPONSRD ADS NEW (NETHERLANDS)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.6	ALIBABA GROUP HLDG LIMITED SPONSORED ADS	N/A	\$1,001 - \$15,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.7	ALSTOM SA ADR (FRANCE)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.8	ANGLO AMERICAN PLC SPONSORED ADR	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.9	AON PLC SHS CL A (IRELAND)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.10	AUTOHOME INCORPORATED SP ADS RP CLASS A (CAYMAN ISLANDS)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.11	BANCO BRADESCO SA SPONSORED ADR REP PFD SHS	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.12	BARCLAYS PLC ADR (UNITED KINGDOM)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.13	BHP GROUP LIMITED SPONSORED ADS (AUSTRALIA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.14	BP PLC SPONSORED ADR (UNITED KINGDOM)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.15	CARLSBERG AS SPONSORED ADR (DENMARK)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.16	CHINA LONGYUAN POWER GROUP UNSPONSORD ADR (CHINA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.17	COMPANHIA DE SANEAMENTO BASICO SPONSORED ADR (BRAZIL)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
5.18	CONTINENTAL AG SPONSORED ADS (GERMANY)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.19	DAIWA HOUSE INDUSTRY COMPANY LIMITED ADR (JAPAN)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.20	DBS GROUP HOLDINGS LIMITED SPONSORED ADR (SINGAPORE)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.21	ENEL SOCIETA PER AZIONI UNSPONSORD ADR (ITALY)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.22	ENGIE SA SPONS ADR (FRANCE)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.23	ENN ENERGY HLDGS LIMITED UNSPONSORD ADR	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.24	EQUINOR ASA SPONSORED ADR (NORWAY)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.25	FERGUSON PLC NEW SHS (JERSEY)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.26	FUJITSU LIMITED UNSPONSORED ADR (JAPAN)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.27	GRUPO FINANCIERO BANORTE S A B ADR (MEXICO)	N/A	\$1,001 - \$15,000		
5.28	HEXAGON AKTIEBOLAG ADR (SWEDEN)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.29	HITACHI LIMITED ADR 2 COM (JAPAN)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
5.30	ICICI BANK LIMITED ADR (INDIA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.31	INDUSTRIA DE DISENO TEXTIL IND UNSPONSORD ADR (SPAIN)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.32	ISHARES TR EAFE VALUE ETF	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.33	KB FINL GROUP INCORPORATED SPONSORED ADR (KOREA (SOUTH))	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.34	LOJAS RENNER SA SPONSORED ADR	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.35	MAKITA CORPORATION SPONSORED ADR (JAPAN)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.36	MEDTRONIC PLC SHS (IRELAND)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.37	MERCK KGAA SPONSORED ADR (GERMANY)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.38	MR PRICE GROUP LIMITED SPONSORED ADR (SOUTH AFRICA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.39	NOVARTIS AG SPONSORED ADR (SWITZERLAND)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.40	P T TELEKOMUNIKASI INDONESIA SPONSORED ADR (INDONESIA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.41	PERNOD RICARD SA ADR (FRANCE)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.42	PING AN INS GROUP COMPANY CHINA LIMITED SPON ADR REP H	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.43	PRUDENTIAL PLC ADR (UNITED KINGDOM)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.44	PT BANK MANDIRI PERSERO TBK UNSPONSORED ADR (INDONESIA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.45	RELX PLC SPONSORED ADR (UNITED KINGDOM)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.46	ROYAL DSM N V SPON ADR (NETHERLANDS)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.47	RYANAIR HOLDINGS PLC SPONSORED ADS (IRELAND)	N/A	\$1,001 - \$15,000		
5.48	RYOHIN KEIKAKU COMPANY LIMITED UNSPONSORD ADR (JAPAN)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.49	SAMPO OYJ ADR (FINLAND)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.50	SANDS CHINA LIMITED UNSPONSORE ADR (CAYMAN ISLANDS)	N/A	\$1,001 - \$15,000		
5.51	SANDVIK AB ADR (SWEDEN)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.52	SANOFI SPONSORED ADR (FRANCE)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.53	SHIMANO INCORPORATED UNSPONSORD ADR (JAPAN)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.54	SUMITOMO MITSUI FINL GROUP INCORPORATED SPONSORED ADR	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.55	SUNCOR ENERGY INCORPORATED NEW (CANADA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.56	SUZUKI MOTOR CORPORATION UNSPONSORD ADR (JAPAN)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.57	TAIWAN SEMICONDUCTOR MFG LIMITED SPONSORED ADS	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.58	TELENOR ASA SPONSORED ADR (NORWAY)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.59	TENCENT HOLDINGS LIMITED UNSPON ADR (CAYMAN ISLANDS)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.60	TESCO PLC SPONSORED ADR (UNITED KINGDOM)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.61	UNILEVER PLC SPON ADR NEW (UNITED KINGDOM)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.62	VESTAS WIND SYSTEMS AS UNSP ADR (DENMARK)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.63	VIVENDI UNSPONSORD ADR (FRANCE)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.64	VOLKSWAGEN AG UNSPONSRED ADS (GERMANY)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.65	WOLTERS KLUWER N V SPONSORED ADR (NETHERLANDS)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.66	Cash	N/A	\$1,001 - \$15,000		
6	IRA #3	No			
6.1	AMERICAN FUNDS AMERICAN BALANCED FUND CL F2 N/L	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.2	AMERICAN FUNDS BOND FUND OF AMERICA FUND CL F2 N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.3	AMERICAN FUNDS CAPITAL INCOME BUILDER FUND CL F2 N/L	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.4	AMERICAN FUNDS CAPITAL WORLD GROWTH & INCOME FD CL F2 N/L	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.5	AMERICAN FUNDS GROWTH FUND OF AMERICA FUND CL F2 N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.6	AMERICAN FUNDS INVESTMENT CO OF AMERICA FD CL F2 N/L	Yes	\$15,001 - \$50,000		\$201 - \$1,000
6.7	AMERICAN FUNDS SMALLCAP WORLD FUND CL F2 N/L	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.8	AMERICAN FUNDS STRATEGIC BOND FUND CL F2 N/L	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.9	WASHINGTON MUTUAL INVESTORS FUND CL F2 - AMERICAN N/L	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.10	Cash	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7	iShares JP Morgan (EMB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
8	Treasury Series I Savings Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
9	Treasury Series I Savings Bond	N/A	\$1,001 - \$15,000		None (or less than \$201)
10	American SMALLCAP World Fund, Inc Class F2 Shares (SMCFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
11	Investment Company of America Class F2 Shares (ICAFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	Capital World Growth & Income Fund Class F2 Shares (WGIFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
13	Growth Fund of America Class F2 Shares (GFFFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Kentucky Retirement System--County Employee Retirement Non Hazardous	Frankfort, Kentucky	I will continue to participate in this defined benefit plan.	2/2004
2	City of Detroit-	Detroit, Michigan	I will not participate in this defined contribution plan after my separation. My contribution has been rolled out of this retirement system	2/2014
3	City of Detroit (deferred compensation)	Detroit, Michigan	I no longer participate in this defined contribution plan.	3/2014

### 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	IRA #4	No			
1.1	Invesco International Diversified C	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2	Bid To Win Live	No	None (or less than \$1,001)	Business Income	
3	McGraw Restorations	No	\$50,001 - \$100,000	Business Income	
4	IRA #5				
4.1	MFS Diversified Income Fund C	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
4.2	Pax Small Cap Fund A	Yes	\$100,001 - \$250,000		\$201 - \$1,000

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Commonwealth Bank & Trust	N/A		cash payments	\$1,906
1.1	Family Trust #1	No	\$500,001 - \$1,000,000		\$15,001 - \$50,000
1.1.1	Alphabet Inc Cap Stk Cl A (GOOGL)	N/A	\$15,001 - \$50,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1.2	Amazon.Com Inc (AMZN)	N/A	\$50,001 - \$100,000		
1.1.3	America Tower Corp (AMT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.1.4	American Water Works Company, Inc. (AWK)	N/A	\$1,001 - \$15,000		
1.1.5	Apple Inc (AAPL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.1.6	Bank of America Corporation Com (BAC)	N/A	\$1,001 - \$15,000		
1.1.7	Berkshire Hathaway Inc Del Cl B New (BRK.B)	N/A	\$15,001 - \$50,000		
1.1.8	Boeing Co Com (BA)	N/A	\$1,001 - \$15,000		
1.1.9	Chevron Corporation (CVX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.1.10	Citigroup Inc. Com (C)	N/A	\$1,001 - \$15,000		
1.1.11	Facebook, Inc (FB)	N/A	\$15,001 - \$50,000		
1.1.12	Home Depot Inc (HD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.1.13	Humana Inc Com (HUM)	N/A	\$1,001 - \$15,000		
1.1.14	J P Morgan Chase & Co Com (JPM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.1.15	Johnson & Johnson Com (JNJ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.1.16	Lockheed Martin Corp (LMT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.1.17	Microsoft Corp Com (MSFT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.1.18	Netflix, Inc (NFLX)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.1.19	Procter & Gamble Co Com (PG)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1.20	Sherwin Williams Co Com (SHW)	N/A	\$1,001 - \$15,000		
1.1.21	Stryker Corp common (SYK)	N/A	\$1,001 - \$15,000		
1.1.22	Tencent Holdings Ltd - ADR (TCEHY)	N/A	\$1,001 - \$15,000		
1.1.23	Rpost Comm. Private Company Stock	N/A	\$50,001 - \$100,000		
1.1.24	Vanguard Small Cap Index Adm (VSMAX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.1.25	Primecap Odyssey Aggressive Growth (POAGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.1.26	Principal MidCap Blend Inst (PCBIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.1.27	John Hancock Int'l Growth (GOGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.1.28	MFS International Value I (MINIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.1.29	Royce International Premier Instl (RIPIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.1.30	Diamond Hill Corporate Credit (DHSTX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.1.31	Eaton Vance Emerging Markets Local Inc I (EEIIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.1.32	DoubleLine Total Return Bond I (DBLTX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.1.33	FPA New Income (FPNIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.1.34	PIMCO Income Instl (PIMIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1.35	Vanguard Bd Index Fd Admiral Shares 584 (VBTLX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.1.36	SPDR Gold Trust (GLD)	Yes	\$1,001 - \$15,000		
1.1.37	American Beacon AHL Mgd Futs Strat Instl (AHLIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.1.38	Infinity Q Diversified Alpha Instl (IQDNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.1.39	GQG Partners Emerging Markets Equity Inst (GQGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.1.40	Vanguard Russell 2000 Growth (VTWG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.1.41	Commonwealth Institutional Money Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.2	Inherited IRA	No	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
1.2.1	Alphabet Inc Cap Stk Cl A (GOOGL)	N/A	\$15,001 - \$50,000		
1.2.2	Alphabet Inc Cap Stk Cl C (GOOG)	N/A	\$1,001 - \$15,000		
1.2.3	Amazon.Com Inc (AMZN)	N/A	\$50,001 - \$100,000		
1.2.4	America Tower Corp (AMT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.2.5	American Water Works Company, Inc. (AWK)	N/A	\$1,001 - \$15,000		
1.2.6	Amgen Inc Com (AMGN)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.2.7	Berkshire Hathaway Inc Del Cl B New (BRK.B)	N/A	\$15,001 - \$50,000		
1.2.8	BlackRock, Inc. (BLK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.9	Boeing Co Com (BA)	N/A	\$1,001 - \$15,000		
1.2.10	Booking Hldgs Inc (BKNG)	N/A	\$1,001 - \$15,000		
1.2.11	Facebook, Inc (FB)	N/A	\$15,001 - \$50,000		
1.2.12	Goldman Sachs Group Inc common (GS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.2.13	Henry Schein Inc common (HSIC)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.14	Home Depot Inc (HD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.2.15	Honeywell Intl Inc Com (HON)	N/A	\$1,001 - \$15,000		
1.2.16	Humana Inc Com (HUM)	N/A	\$15,001 - \$50,000		
1.2.17	Intuitive Surgical Inc (ISRG)	N/A	\$1,001 - \$15,000		
1.2.18	J P Morgan Chase & Co Com (JPM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.2.19	Johnson & Johnson Com (JNJ)	N/A	\$1,001 - \$15,000		
1.2.20	Lockheed Martin Corp (LMT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.2.21	MasterCard Inc (MA)	N/A	\$15,001 - \$50,000		
1.2.22	Microsoft Corp Com (MSFT)	N/A	\$15,001 - \$50,000		
1.2.23	Nextera Energy Inc (NEE)	N/A	\$1,001 - \$15,000		
1.2.24	PayPal Holding Inc (PYPL)	N/A	\$15,001 - \$50,000		
1.2.25	Pepsico Inc Com (PEP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.26	Philip Morris Intl Inc (PM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.2.27	Sherwin Williams Co Com (SHW)	N/A	\$1,001 - \$15,000		
1.2.28	Square Inc (SQ)	N/A	\$15,001 - \$50,000		
1.2.29	Stanley Black & Decker Inc (SWK)	N/A	\$1,001 - \$15,000		
1.2.30	Starbucks Corp common (SBUX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.2.31	Stryker Corp common (SYK)	N/A	\$1,001 - \$15,000		
1.2.32	Sysco Corp Com (SYY)	N/A	\$1,001 - \$15,000		
1.2.33	Texas Instruments Inc (TXN)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.2.34	Unitedhealth Group Inc (UNH)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.2.35	Williams Cos (WMB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.2.36	Alibaba Group Holding - SP ADR (BABA)	N/A	\$15,001 - \$50,000		
1.2.37	Taiwan Semiconductor Mfg Co ADR (TSM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.2.38	Tencent Holdings Ltd - ADR (TCEHY)	N/A	\$15,001 - \$50,000		
1.2.39	Chubb LTD Ord (CB)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.2.40	Suncor Energy (SU)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.2.41	Primecap Odyssey Aggressive Growth (POAGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2.42	Principal MidCap Blend Inst (PCBIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.43	John Hancock Int'l Growth (GOGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2.44	MFS International Value I (MINIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.2.45	Royce International Premier Instl (RIPIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2.46	Diamond Hill Corporate Credit (DHSTX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
1.2.47	Eaton Vance Emerging Markets Local Inc I (EEIIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.2.48	DoubleLine Total Return Bond I (DBLTX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
1.2.49	FPA New Income (FPNIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2.50	PIMCO Income Instl (PIMIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.2.51	Vanguard Bd Index Fd Admiral Shares 584 (VBTLX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.2.52	SPDR Gold Trust (GLD)	Yes	\$15,001 - \$50,000		
1.2.53	American Beacon AHL Mgd Futs Strat Instl (AHLIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.2.54	Infinity Q Diversified Alpha Instl (IQDNX)	Yes	\$15,001 - \$50,000		
1.2.55	GQG Partners Emerging Markets Equity Inst (GQGIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
1.2.56	Vanguard Russell 2000 Growth (VTWG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.57	Commonwealth Institutional Money Fund	Yes	\$15,001 - \$50,000		
1.3	Inherited Roth IRA	No	\$500,001 - \$1,000,000		\$5,001 - \$15,000
1.3.1	Adobe Systems Inc (ADBE)	N/A	\$15,001 - \$50,000		
1.3.2	Alphabet Inc Cap Stk Cl A (GOOGL)	N/A	\$1,001 - \$15,000		
1.3.3	Amazon.Com Inc (AMZN)	N/A	\$15,001 - \$50,000		
1.3.4	America Tower Corp (AMT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.5	American Water Works Company, Inc. (AWK)	N/A	\$1,001 - \$15,000		
1.3.6	Amgen Inc Com (AMGN)	N/A	\$1,001 - \$15,000		
1.3.7	Apple Inc (AAPL)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.3.8	Atmos Energy Corp (ATO)	N/A	\$1,001 - \$15,000		
1.3.9	BlackRock, Inc. (BLK)	N/A	\$1,001 - \$15,000		
1.3.10	Boeing Co Com (BA)	N/A	\$1,001 - \$15,000		
1.3.11	Cimarex Energy Co (XEC)	N/A	\$1,001 - \$15,000		
1.3.12	Citigroup Inc. Com (C)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.13	ComCast Corp Cl A Common (CMCSA)	N/A	\$1,001 - \$15,000		
1.3.14	Costco Whsl Corp New Com (COST)	N/A	\$15,001 - \$50,000		
1.3.15	Facebook, Inc (FB)	N/A	\$15,001 - \$50,000		
1.3.16	Goldman Sachs Group Inc common (GS)	N/A	\$1,001 - \$15,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.17	Home Depot Inc (HD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.18	Humana Inc Com (HUM)	N/A	\$1,001 - \$15,000		
1.3.19	J P Morgan Chase & Co Com (JPM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.20	Lockheed Martin Corp (LMT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.21	Netflix, Inc (NFLX)	N/A	\$1,001 - \$15,000		
1.3.22	Nextera Energy Inc (NEE)	N/A	\$1,001 - \$15,000		
1.3.23	Philip Morris Intl Inc (PM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.24	Salesforce.com Inc (CRM)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.3.25	Sherwin Williams Co Com (SHW)	N/A	\$1,001 - \$15,000		
1.3.26	Stanley Black & Decker Inc (SWK)	N/A	\$1,001 - \$15,000		
1.3.27	Starbucks Corp common (SBUX)	N/A	\$1,001 - \$15,000		
1.3.28	Stryker Corp common (SYK)	N/A	\$1,001 - \$15,000		
1.3.29	Unitedhealth Group Inc (UNH)	N/A	\$1,001 - \$15,000		
1.3.30	VISA Inc Cl A (V)	N/A	\$15,001 - \$50,000		
1.3.31	Williams Cos (WMB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.32	Zimmer Biomet Hldgs Inc Com (ZBH)	N/A	\$1,001 - \$15,000		
1.3.33	Taiwan Semiconductor Mfg Co ADR (TSM)	N/A	\$1,001 - \$15,000		
1.3.34	Tencent Holdings Ltd - ADR (TCEHY)	N/A	\$1,001 - \$15,000		
1.3.35	Fidelity Small Cap Index Fund - Institutional (FSSNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.36	Primecap Odyssey Aggressive Growth (POAGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3.37	Principal MidCap Blend Inst (PCBIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3.38	John Hancock Int'l Growth (GOGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3.39	MFS International Value I (MINIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3.40	Royce International Premier Instl (RIPIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3.41	Diamond Hill Corporate Credit (DHSTX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.3.42	Eaton Vance Emerging Markets Local Inc I (EEIIX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
1.3.43	DoubleLine Total Return Bond I (DBLTX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.3.44	FPA New Income (FPNIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3.45	PIMCO Income Instl (PIMIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.3.46	Vanguard Bd Index Fd Admiral Shares 584 (VBTLX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.3.47	SPDR Gold Trust (GLD)	Yes	\$1,001 - \$15,000		
1.3.48	American Beacon AHL Mgd Futs Strat Instl (AHLIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.3.49	Infinity Q Diversified Alpha Instl (IQDNX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3.50	GQG Partners Emerging Markets Equity Inst (GQGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.51	Templeton China World Fund Class Advisor (TACWX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.3.52	Vanguard Russell 2000 Growth (VTWG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3.53	Commonwealth Institutional Money Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3.54	Coterra Energy	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.4	Revocable Trust	No	\$500,001 - \$1,000,000	Interest Dividends	\$5,001 - \$15,000
1.4.1	Advanced Micro Devices (AMD)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.4.2	Alphabet Inc Cap Stk Cl A (GOOGL)	N/A	\$50,001 - \$100,000		
1.4.3	Amazon.Com Inc (AMZN)	N/A	\$50,001 - \$100,000		
1.4.4	America Tower Corp (AMT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.4.5	American Express Co Com (AXP)	N/A	\$1,001 - \$15,000		
1.4.6	American Water Works Company, Inc. (AWK)	N/A	\$1,001 - \$15,000		
1.4.7	Apple Inc (AAPL)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.4.8	Bank of America Corporation Com (BAC)	N/A	\$1,001 - \$15,000		
1.4.9	Berkshire Hathaway Inc Del Cl B New (BRK.B)	N/A	\$1,001 - \$15,000		
1.4.10	Boeing Co Com (BA)	N/A	\$1,001 - \$15,000		
1.4.11	Brown Forman Corp Class A (BF.A)	N/A	\$1,001 - \$15,000		
1.4.12	Chevron Corporation (CVX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4.13	Citigroup Inc. Com (C)	N/A	\$1,001 - \$15,000		
1.4.14	Facebook, Inc (FB)	N/A	\$15,001 - \$50,000		
1.4.15	Home Depot Inc (HD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.4.16	Humana Inc Com (HUM)	N/A	\$1,001 - \$15,000		
1.4.17	Intuitive Surgical Inc (ISRG)	N/A	\$1,001 - \$15,000		
1.4.18	J P Morgan Chase & Co Com (JPM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.4.19	Johnson & Johnson Com (JNJ)	N/A	\$1,001 - \$15,000		
1.4.20	Microsoft Corp Com (MSFT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.4.21	Netflix, Inc (NFLX)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.4.22	Procter & Gamble Co Com (PG)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.4.23	Sherwin Williams Co Com (SHW)	N/A	\$1,001 - \$15,000		
1.4.24	Starbucks Corp common (SBUX)	N/A	\$1,001 - \$15,000		
1.4.25	Stryker Corp common (SYK)	N/A	\$1,001 - \$15,000		
1.4.26	Thermo Fisher Scientific Inc (TMO)	N/A	\$1,001 - \$15,000		
1.4.27	Unitedhealth Group Inc (UNH)	N/A	\$1,001 - \$15,000		
1.4.28	Valero Energy Corp (VLO)	N/A	\$1,001 - \$15,000		
1.4.29	VISA Inc Cl A (V)	N/A	\$1,001 - \$15,000		
1.4.30	Wal Mart Stores Inc Com (WMT)	N/A	\$1,001 - \$15,000		
1.4.31	Williams Cos (WMB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.4.32	Tencent Holdings Ltd - ADR (TCEHY)	N/A	\$1,001 - \$15,000		

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4.33	Suncor Energy (SU)	N/A	\$1,001 - \$15,000		
1.4.34	Vanguard Small Cap Index Adm (VSMAX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.4.35	Primecap Odyssey Aggressive Growth (POAGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4.36	Principal MidCap Blend Inst (PCBIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4.37	John Hancock Int'l Growth (GOGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4.38	MFS International Value I (MINIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.4.39	Royce International Premier Instl (RIPIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4.40	Diamond Hill Corporate Credit (DHSTX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.4.41	Eaton Vance Emerging Markets Local Inc I (EEIIX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
1.4.42	DoubleLine Total Return Bond I (DBLTX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.4.43	PIMCO Income Instl (PIMIX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.4.44	Vanguard Bd Index Fd Admiral Shares 584 (VBTLX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.4.45	SPDR Gold Trust (GLD)	Yes	\$1,001 - \$15,000		
1.4.46	American Beacon AHL Mgd Futs Strat Instl (AHLIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
1.4.47	Infinity Q Diversified Alpha Instl (IQDNX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4.48	GQG Partners Emerging Markets Equity Inst (GQGIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4.49	First Trust Managed Muni (FMB)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
1.4.50	Commonwealth Institutional Money Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	Brokerage Account #1	No	\$500,001 - \$1,000,000		None (or less than \$201)
2.1	ALPHABET INCORPORATED CAP STK CLASS A	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.2	CASH	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.3	ALPHABET INCORPORATED CAP STK CLASS C	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.4	AMERICAN FUNDS AMERICAN MUTUAL FUND CL A M/F	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	BERKSHIRE HATHAWAY INCORPORATED DEL CLASS B NEW	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.6	BIOGEN INCORPORATED	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.7	CISCO SYSTEMS INCORPORATED	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.8	FACEBOOK INCORPORATED CLASS A	N/A	\$100,001 - \$250,000		None (or less than \$201)
2.9	MEDTRONIC PLC SHS (IRELAND)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.10	T. ROWE PRICE EUROPEAN STOCK FUND INVESTOR CL N/L	Yes	\$15,001 - \$50,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.11	VIATRIS INCORPORATED	N/A	None (or less than \$1,001)		None (or less than \$201)
2.12	BRISTOL-MYERS SQUIBB COMPANY	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2.13	CLOROX COMPANY DEL	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
2.14	DUKE ENERGY CORPORATION NEW COM NEW	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.15	GILEAD SCIENCES INCORPORATED	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.16	HSBC HLDGS PLC SPON ADR NEW (UNITED KINGDOM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.17	ISHARES TR MSCI EMG MKT ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.18	MICROSOFT CORPORATION	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.19	PFIZER INCORPORATED	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.20	SPDR PORTFOLIO S&P 500 GROWTH ETF	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.21	T. ROWE PRICE NEW ASIA FUND INVESTOR CL N/L	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.22	T. ROWE PRICE NEW ASIA FUND INVESTOR CL N/L	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	US Bank #1 (cash)	No	\$15,001 - \$50,000		None (or less than \$201)
4	US Bank #2 (cash)	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	Akzo Fixed Annuity	N/A	\$50,001 - \$100,000	Cash payment	\$20,000
6	Brandywine Global Corporate Credit I (BCGIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
7	Inherited Annuity	N/A		Cash Payment	\$20,000

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Purchase	11/18/2021	\$1,001 - \$15,000
2	iSharesJPMorgan USDEmerging Markets Bond ETF (EMB)	Purchase	11/19/2021	\$1,001 - \$15,000
3	PIMCO Income Fund Institutional Class Shares (PIMIX)	Purchase	11/18/2021	\$15,001 - \$50,000
4	Principal MidCap Fund Institutional Class Shares (PCBIX)	Purchase	11/18/2021	\$1,001 - \$15,000
5	Eaton Vance Emerging Markets Local Income Fund Class I Shares (EEIIX)	Sale	11/18/2021	\$1,001 - \$15,000
6	Vanguard Small Cap Index Adm	Sale	08/31/2021	\$1,001 - \$15,000
7	Netflix, Inc. (NFLX)	Sale	09/01/2021	\$1,001 - \$15,000
8	Facebook, Inc. (FB)	Sale	09/01/2021	\$1,001 - \$15,000
9	FPA New Income, Inc (FPNIX)	Purchase	08/31/2021	\$1,001 - \$15,000
10	GQG Partners Emerging Markets Equity Inst	Purchase	08/31/2021	\$1,001 - \$15,000
11	Berkshire Hathaway Inc Del Cl B New	Sale	09/01/2021	\$1,001 - \$15,000
12	Sherwin Williams Co Com	Sale	09/01/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
13	The Home Depot, Inc. (HD)	Sale	09/01/2021	\$1,001 - \$15,000
14	Principal MidCap Blend Inst	Sale	09/14/2021	\$1,001 - \$15,000
15	Apple, Inc. (AAPL)	Sale	10/29/2021	\$1,001 - \$15,000
16	The Home Depot, Inc. (HD)	Sale	10/29/2021	\$1,001 - \$15,000
17	Adobe, Inc. (ADBE)	Sale	10/29/2021	\$1,001 - \$15,000
18	Facebook, Inc. (FB)	Sale	10/29/2021	\$1,001 - \$15,000
19	Coterra Energy	Sale	10/29/2021	\$1,001 - \$15,000
20	The Goldman Sachs Group, Inc. (GS)	Sale	10/29/2021	\$1,001 - \$15,000
21	Chubb Ltd. (CB)	Sale	10/29/2021	\$1,001 - \$15,000
22	Tencent Holding Ltd ADR	Sale	10/29/2021	\$1,001 - \$15,000
23	Principal MidCap Fund Institutional Class Shares (PCBIX)	Sale	10/29/2021	\$1,001 - \$15,000
24	salesforce.com, inc. (CRM)	Sale	10/29/2021	\$1,001 - \$15,000
25	Henry Schein, Inc. (HSIC)	Sale	10/29/2021	\$1,001 - \$15,000
26	Advanced Micro Devices, Inc. (AMD)	Sale	11/19/2021	\$1,001 - \$15,000
27	First Trust Managed Municipal ETF (FMB)	Sale	11/19/2021	\$15,001 - \$50,000
28	The Home Depot, Inc. (HD)	Sale	11/19/2021	\$1,001 - \$15,000
29	Netflix, Inc. (NFLX)	Sale	11/19/2021	\$1,001 - \$15,000
30	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Purchase	11/18/2021	\$1,001 - \$15,000
31	iSharesJPMorgan USDEmerging Markets Bond ETF (EMB)	Purchase	11/19/2021	\$1,001 - \$15,000
32	First Trust Managed Municipal ETF (FMB)	Sale	11/19/2021	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
33	Eaton Vance Emerging Markets Local Income Fund Class I Shares (EEIIX)	Sale	11/18/2021	\$1,001 - \$15,000
34	PIMCO Income Fund Institutional Class Shares (PIMIX)	Purchase	11/18/2021	\$15,001 - \$50,000
35	Advanced Micro Devices, Inc. (AMD)	Sale	11/18/2021	\$1,001 - \$15,000
36	The Home Depot, Inc. (HD)	Sale	11/19/2021	\$1,001 - \$15,000
37	Netflix, Inc. (NFLX)	Sale	12/19/2021	\$1,001 - \$15,000
38	Treasury Series I Savings Bond	Purchase	12/21/2021	\$1,001 - \$15,000
39	American SMALLCAP World Fund, Inc Class F2 Shares (SMCFX)	Purchase	12/17/2021	\$1,001 - \$15,000
40	Investment Company of America Class F2 Shares (ICAFX)	Purchase	12/16/2021	\$1,001 - \$15,000
41	Hitachi Limited (HTHIY)	Sale	12/10/2021	\$1,001 - \$15,000
42	T Rowe Price New Asia Fund (PRASX)	Purchase	12/17/2021	\$1,001 - \$15,000
43	iShares MSCI EAFE Value ETF (EFV)	Purchase	12/08/2021	\$1,001 - \$15,000
44	Ryohin Keikaku Company LTD (RYKKY)	Sale	12/09/2021	\$1,001 - \$15,000
45	Pax Small Cap Fund Class A Shares (PXSAX)	Purchase	12/23/2021	\$15,001 - \$50,000
46	Capital World Growth & Income Fund Class F2 Shares (WGIFX)	Purchase	12/13/2021	\$1,001 - \$15,000
47	Invesco Oppenheimer International Diversified Fund Class C Shares (OIDCX)	Purchase	12/22/2021	\$1,001 - \$15,000
48	MFS Diversified Income Fund Class C Shares (DIFCX)	Purchase	12/17/2021	\$1,001 - \$15,000
49	Growth Fund of America Class F2 Shares (GFFFX)	Purchase	12/20/2021	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
50	MFS International Intrinsic Value Fund Class I Shares (MINIX)	Purchase	12/13/2021	\$1,001 - \$15,000
51	PRIMECAP Odyssey Aggressive Growth Fund (POAGX)	Purchase	12/17/2021	\$1,001 - \$15,000
52	John Hancock Funds III International Growth Fund Class I Shares (GOGIX)	Purchase	12/21/2021	\$1,001 - \$15,000
53	Royce International Premier Fund Institutional Class Shares (RIPIX)	Purchase	12/20/2021	\$1,001 - \$15,000
54	Principal MidCap Fund Institutional Class Shares (PCBIX)	Purchase	12/15/2021	\$1,001 - \$15,000
55	PIMCO Income Fund Institutional Class Shares (PIMIX)	Purchase	12/21/2021	\$1,001 - \$15,000
56	Eaton Vance Emerging Markets Local Income Fund Class I Shares (EEIIX)	Sale	12/21/2021	\$1,001 - \$15,000
57	Brandywine Global Corporate Credit I (BCGIX)	Purchase	12/06/2021	\$1,001 - \$15,000
58	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Purchase	12/21/2021	\$1,001 - \$15,000

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

None

Endnotes

# 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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