

# Executive Branch Personnel

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

### Filer's Information

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Olson, Benjamin K

Senior Associate Director for Consumer Protection & Supervision, Board of Governors of the Federal Reserve System

Report Year: 2023

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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/ Olson, Benjamin K [electronically signed on 01/15/2023 by Olson, Benjamin K 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/ Phillips, Christina, Certifying Official [electronically signed on 05/04/2023 by Phillips, Christina in Integrity.gov]

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Other review conducted by

/s/ Phillips, Christina, Ethics Official [electronically signed on 05/04/2023 by Phillips, Christina in Integrity.gov]

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U.S. Office of Government Ethics Certification

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Data Revised 05/04/2023

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

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Capital One Financial Corp. 401k	No			
1.1	BlackRock LifePath 2040 Index Fund (LIKIX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
2	IRA #1	No			
2.1	Vanguard Targeted Retirement 2040 (VFORX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3	IRA #2 (Roth)	No			
3.1	COMM SERVICES SELECT SECTOR SPDR ETF (XLC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	INVESCO QQQ TRUST ETF (QQQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.3	ISHARES CORE MSCI EMERGING MARKETS ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.4	ISHARES CORE S&P MIDCAP ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.5	ISHARES CORE S&P SMALL-CAP ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.6	ISHARES CORE TOTAL USD BOND MKT ETF (IUSB)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.7	ISHARES RUSSELL 1000 VALUE ETF (IWD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.8	ISHARES S&P MID-CAP 400 VALUE ETF (IJJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.9	VANGUARD HEALTH CARE ETF (VHT)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.10	Technology Select Sector SPDR Fund (XLK)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.11	iShares Ultra Short-Term Bond ETF (ICSH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.12	iShares 1-3 Year Treasury Bond ETF (SHY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.13	SPDR Portfolio Short Term Corporate Bond ETF (SPSB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.14	PGIM Short Duration Multi-Sector Bond Fund Class Z Shares (SDMZ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4	IRA #3 (Roth)	No			
4.1	Vanguard Total International Stock Index Fund Admiral Shares (VTIAX)	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	Capital One Financial Corporation	McLean, Virginia	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	7/2019

#### 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	Johns Hopkins University	N/A		salary	
2	John Hopkins University, 401(k) plan:	No			
2.1	Vanguard LifeStrategy Growth Fund (VASGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	Vanguard Institutional Target Retirement 2040 Fund (VIRSX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#### 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brokerage Account #1	See Endnote	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
2	U.S. bank #1 (cash)	N/A	\$250,001 - \$500,000	Interest	\$201 - \$1,000
3	U.S. bank #2 (cash)	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
4	Maryland 529 College Savings Plan	No			
4.1	Maryland 529 College Saving Portfolio for Education Today	Yes	\$50,001 - \$100,000		None (or less than \$201)
5	Maryland 529 College Savings Plan	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.1	Maryland 529 College Savings Portfolio 2024	Yes	\$50,001 - \$100,000		None (or less than \$201)
6	Vanguard Total Bond Market Index Fund Admiral (VBTLX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
7	Vanguard 500 Index Fund Admiral (VFIAX)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
8	U.S. bank #3 (cash)	N/A	None (or less than \$1,001)		None (or less than \$201)
9	IRA #4 (Spouse Roth)	No			
9.1	COMM SERVICES SELECT SECTOR SPDR ETF (XLC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.2	INVESCO QQQ TRUST ETF (QQQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.3	ISHARES CORE MSCI EMERGING MARKETS ETF (IEMG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.4	ISHARES CORE S&P MIDCAP ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.5	ISHARES CORE S&P SMALL-CAP ETF (IJR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.6	ISHARES RUSSELL 1000 VALUE ETF (IWD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.7	ISHARES S&P MID-CAP 400 VALUE ETF (IJJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.8	SPDR METALS & MINING ETF (XME)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.9	TECHNOLOGY SELECT SECTOR SPDR ETF (XLK)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.10	VANGUARD HEALTH CARE ETF (VHT)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.11	Energy Select Sector SPDR Fund (XLE)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.12	VanEck Vectors Pharmaceutical ETF (PPH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
9.13	iShares Ultra Short-Term Bond ETF (ICSH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
10	IRA #5 (Spouse Roth Alt)	No			
10.1	ACAP Strategic Fund (MFAAAI)	Yes	\$50,001 - \$100,000		None (or less than \$201)
11	Trust Account #1 (Spouse)	See Endnote	No	Over \$1,000,000	Dividends \$100,001 - \$1,000,000
11.1	U.S. bank #4 (cash)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
11.2	BLACKROCK STRATEGIC INCOME OPPORTUNITIES PORTFOLIO INSTITUTIONAL (BSIIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
11.3	COMM SERVICES SELECT SECTOR SPDR ETF (XLC)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
11.4	INVESCO QQQ TRUST ETF (QQQ)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
11.5	ISHARES CORE S&P MIDCAP ETF (IJH)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
11.6	ISHARES CORE S&P SMALL-CAP ETF (IJR)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
11.7	ISHARES RUSSELL 1000 VALUE ETF (IWD)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
11.8	ISHARES S&P MID-CAP 400 VALUE ETF (IJJ)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.9	SPDR METALS & MINING ETF (XME)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
11.10	VANGUARD HEALTH CARE ETF (VHT)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
11.11	Energy Select Sector SPDR Fund (XLE)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.12	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
11.13	Technology Select Sector SPDR Fund (XLK)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
11.14	VanEck Vectors Pharmaceutical ETF (PPH)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
11.15	iShares Ultra Short-Term Bond ETF (ICSH)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
11.16	iShares 1-3 Year Treasury Bond ETF (SHY)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
11.17	iShares Core Total USD Bond Market ETF (IUSB)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
11.18	SPDR Portfolio Short Term Corporate Bond ETF (SPSB)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
11.19	PGIM High Yield Fund Class Z Shares (PHYZX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
11.20	PGIM Short Duration Multi-Sector Bond Fund Class Z Shares (SDMZ)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
12	Trust Account #2 (Spouse)	No	Over \$1,000,000	Dividends	\$100,001 - \$1,000,000
12.1	ALPHABET INC (GOOG)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.2	COMCAST CORP NEW A (CMCSA)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.3	OMNICOM GROUP INC COM (OMC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.4	AMAZON.COM INC	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.5	BOOKING HOLDINGS INC (BKNG)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.6	HOME DEPOT INC COM (HD)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.7	MCDONALDS CORPORATION (MCD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.8	TARGET CORP CPOM (TGT)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.9	COSTCO WHOLESALE CORP CM (COST)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.10	PEPSICO INC COM (PEP)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.11	CHEVRON CORP (CVX)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.12	EOG RESOURCES INC COM (EOG)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.13	VALERO ENERGY CORP COM (VLO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.14	ALLSTATE CORP (ALL)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.15	BLACKROCK INC (BLK)	N/A	\$1,001 - \$15,000	Dividends	\$2,501 - \$5,000
12.16	METLIFE INC (MET)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.17	CVS HEALTH CORP (CVS)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.18	DANAHER CORP COM (DHR)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.19	GILEAD SCIENCES INC COM (GILD)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.20	JOHNSON & JOHNSON (JNJ)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.21	MERCK & CO INC (MRK)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.22	PFIZER INC (PFE)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.23	FEDEX CORP COM (FDX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
12.24	LOCKHEED MARTIN CORP COM (LMT)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.25	RAYTHEON TECHNOLOGIES CORP (RTX)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.26	UNION PACIFIC CORP COM (UNP)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.27	ADOBE INC (ADBE)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.28	ANALOG DEVICES INC (ADI)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.29	APPLE INC (AAPL)	N/A	\$15,001 - \$50,000	Dividends	\$5,001 - \$15,000
12.30	BROADCOM INC (AVGO)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.31	CISCO SYSTEMS INC (CSCO)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.32	MASTERCARD INC CL A (MA)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
12.33	MICROSOFT CORP (MSFT)	N/A	\$50,001 - \$100,000	Dividends	\$15,001 - \$50,000
12.34	ORACLE CORP COM (ORCL)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.35	SHERWIN WILLIAMS CO COM (SHW)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.36	AMERICAN TOWER CORP CL A (AMT)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.37	AVALONBAY COMMUNITIES INC (AVB)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.38	AMERICAN ELECTRIC POWER CO INC (AEP)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.39	AB CONCENTRATED GR FD CL ADV (WPSGX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
12.40	HARBOR LG-CAP VALUE FD CL RET (HNLVX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
12.41	ISHARES MSCI USA VALUE FACTOR (VLUE)	Yes	\$1,001 - \$15,000		\$2,501 - \$5,000
12.42	T ROWE PRICE LG-CAP GR FD I (TRLGX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.43	AMG RIVER RD SM-CAP VALUE FD CL I (ARSIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
12.44	JOHNSON CONTROL INTERNATIONAL PLC (JCI)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.45	Medtronic Plc (MDT)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.46	WILLIS TOWERS WATSON PLC (WLTW)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.47	COLUMBIA OVERSEAS VALUE-13 (COSYX)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
12.48	ISHARES CORE MSCI EAFE ETF (IEFA)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
12.49	WCM FOCUSED INTL GROWTH FD (WCMIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
12.50	BAILLE GIFFORD EMERG MKTS CL K (BGKEX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
12.51	ISHARES CORE MSCI EMERGING (IEMG)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
12.52	WILMINGTON INTERNATIONAL FUND-I (WINIX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
12.53	WILMINGTON MUNICIPAL BOND FUND (WTAIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
12.54	NUVEEN HIGH YIELD MUNI CL-I (NHMRX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
12.55	NUVEEN SHORT DUR H/Y MUNI CL I (NVHIX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
12.56	WILMINGTON REAL ASSET FUND-I (WMRIX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
12.57	WILMINGTON GLOBAL ALPHA EQUITIES FD (WRAIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12.58	BLACKROCK EVENT DRIVEN EQ FD CL I (BILPX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
12.59	WILMINGTON TRUST BANK DEPOSIT SWEEP (BKSWP)	N/A	\$50,001 - \$100,000	Dividends	\$5,001 - \$15,000
12.60	Meta Platforms, Inc-A (META)	No	\$1,001 - \$15,000		\$201 - \$1,000
12.61	The Walt Disney Co. (DIS)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
12.62	Proctor & Gamble Co (PG)	No	\$1,001 - \$15,000		\$201 - \$1,000
12.63	Elevance Health Inc (ELV)	No	\$1,001 - \$15,000		\$1,001 - \$2,500
12.64	PayPal Holdings, Inc. (PYPL)	No	\$1,001 - \$15,000		\$1,001 - \$2,500
12.65	CMS Energy Corp. (CMS)	No	\$1,001 - \$15,000		\$1,001 - \$2,500
12.66	iShares Russell 1000 Growth ETF (IWF)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
12.67	iShares Russell 1000 Value ETF (IWD)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
12.68	iShares Russell 2000 Growth ETF (IWO)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
12.69	iShares S&P Small-Cap 600 Growth ETF (IJT)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
12.70	Accenture Plc (ACN)	No	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
12.71	iShares MSCI EAFE Value ETF (EFV)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
12.72	T Rowe Price Tax-Free Income Fund, Inc Class I Shares (TFILX)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
13	IRA #6 (Dependent)	No			
13.1	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13.2	Schwab US Broad Market ETF (SCHB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
14	Trust Account #3 (Spouse JtwB)	See Endnote	No		\$5,001 - \$15,000
14.1	Franklin Utilities Fund Class A1 Shares (FKUTX)	No	\$15,001 - \$50,000	Capital Gains Dividends	\$5,001 - \$15,000
14.2	Columbia Tax-Exempt Fund Class A Shares (COLTX)	Yes	\$50,001 - \$100,000		\$15,001 - \$50,000
14.3	Eaton Vance Virginia Municipal Income Fund Class A Shares (ETVAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
14.4	Fidelity Advisor Municipal Income Fund Class M Shares (FLUVX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
14.5	Franklin Strategic Income Fund Class A Shares (FRSTX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
14.6	Fidelity Advisor Balanced Fund Class M Shares (FAIGX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
14.7	Franklin Income Fund Class A1 Shares (FKINX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
15	Trust Account #4 (Spouse)	See Endnote	No		None (or less than \$201)
15.1	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15.2	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.3	iShares Russell 1000 Value ETF (IWD)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15.4	iShares S&P Mid-Cap 400 Value ETF (IJJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.5	Technology Select Sector SPDR Fund (XLK)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15.6	Vanguard Health Care Index Fund ETF Class Shares (VHT)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
15.7	iShares Ultra Short-Term Bond ETF (ICSH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.8	iShares 1-3 Year Treasury Bond ETF (SHY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.9	iShares Core Total USD Bond Market ETF (IUSB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15.10	SPDR Portfolio Short Term Corporate Bond ETF (SPSB)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
15.11	BlackRock Strategic Income Opportunities Portfolio Institutional Shares (BSIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
15.12	PGIM Short Duration Multi-Sector Bond Fund Class Z Shares (SDMZX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
16	Trust Account #5	No	\$100,001 - \$250,000		\$5,001 - \$15,000
16.1	Blackstone Real Estate Income Trust (MFQGNJ)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
16.2	UBS Lord Abbett Ultra Short Bond Fund (LUBAX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
16.3	UBS Putnam Ultra Short Duration Fund (PSDTX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
17	United States Treasury Trust Direct Share Class (UTSXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	PGIM Absolute Return Bond Fund Class Z Shares (PADZX)	Sale	12/28/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
2	PGIM Absolute Return Bond Fund Class Z Shares (PADZX)	Sale	12/28/2022	\$50,001 - \$100,000
3	iShares Core Total USD Bond Market ETF (IUSB)	Purchase	12/29/2022	\$50,001 - \$100,000
4	Virtus KAR Small-Cap Growth Fund Class I Shares (PXSGX)	Sale	12/09/2022	\$15,001 - \$50,000
5	iShares Russell 2000 Growth ETF (IWO)	Purchase	12/12/2022	\$15,001 - \$50,000
6	WILMINGTON INTERNATIONAL FUND-I	Purchase	12/13/2022	\$1,001 - \$15,000
7	Nuveen High Yield Municipal Bond Fund Class I Shares (NHMRX)	Purchase	12/15/2022	\$1,001 - \$15,000
8	wilmington global alpha equities fund	Purchase	12/15/2022	\$1,001 - \$15,000
9	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Purchase	12/15/2022	\$1,001 - \$15,000
10	baillie gifford emerging markets class k	Purchase	12/15/2022	\$1,001 - \$15,000
11	T Rowe Price Tax-Free Income Fund, Inc Class I Shares (TFILX)	Purchase	12/15/2022	\$1,001 - \$15,000
12	Wilmington Real Asset Fund Institutional Shares (WMRIX)	Purchase	12/15/2022	\$1,001 - \$15,000
13	Wilmington Municipal Bond Fund Institutional Shares (WTAIX)	Purchase	12/15/2022	\$1,001 - \$15,000
14	Wilmington International Fund Institutional Shares (WINIX)	Sale	12/15/2022	\$1,001 - \$15,000
15	WCM Focused International Growth FD (WCMIX)	Sale	12/15/2022	\$1,001 - \$15,000
16	AMG River Road Small-Cap Value FD CL I (ARSIX)	Sale	12/15/2022	\$15,001 - \$50,000
17	columbia overseas value 13	Sale	12/15/2022	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
18	iShares S&P Small-Cap 600 Growth ETF (IJT)		Purchase	12/16/2022	\$1,001 - \$15,000
19	iShares Core MSCIEmerging Markets ETF (IEMG)		Purchase	12/16/2022	\$1,001 - \$15,000
20	iShares Russell 1000 Growth ETF (IWF)		Purchase	12/16/2022	\$50,001 - \$100,000
21	Valero Energy Corp. (VLO)		Sale	12/16/2022	\$1,001 - \$15,000
22	FedEx Corp. (FDX)		Sale	12/16/2022	\$1,001 - \$15,000
23	meta platforms, inc class a		Sale	12/16/2022	\$1,001 - \$15,000
24	iShares Core MSCI EAFE ETF (IEFA)		Sale	12/16/2022	\$1,001 - \$15,000
25	iShares MSCI EAFE Value ETF (EFV)		Sale	12/16/2022	\$1,001 - \$15,000
26	iShares Core S&P 500 Growth ETF (IVW)	See Endnote	Sale	12/16/2022	\$15,001 - \$50,000
27	AMG River Road Small Cap Value Fund Class I Shares (ARSIX)		Purchase	12/16/2022	\$1,001 - \$15,000
28	T Rowe Price Large-Cap Growth Fund Class I (TRLGX).	See Endnote	Purchase	12/19/2022	\$1,001 - \$15,000
29	Harbor Large Cap Value Fund Retirement Class Shares (HNLVX)		Purchase	12/20/2022	\$1,001 - \$15,000
30	Lord Abbett Short Duration Income Fund Class F Shares (LDLFX)		Sale	10/05/2022	\$1,001 - \$15,000
31	PGIM Short Duration Multi-Sector Bond Fund Class Z Shares (SDMZX)		Purchase	10/05/2022	\$1,001 - \$15,000
32	iShares Core US Aggregate Bond ETF (AGG)		Sale	10/07/2022	\$1,001 - \$15,000
33	iShares Core Total USD Bond Market ETF (IUSB)		Purchase	10/07/2022	\$1,001 - \$15,000
34	iShares Ultra Short-Term Bond ETF (ICSH)		Purchase	10/13/2022	\$1,001 - \$15,000
35	iShares ESG MSCI EAFE ETF (ESGD)		Sale	10/13/2022	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
36	Lord Abbett Short Duration Income Fund Class F Shares (LDLFX)	Sale	10/05/2022	\$1,001 - \$15,000
37	PGIM Short Duration Multi-Sector Bond Fund Class Z Shares (SDMZX)	Purchase	10/05/2022	\$1,001 - \$15,000
38	iShares Core US Aggregate Bond ETF (AGG)	Sale	10/07/2022	\$1,001 - \$15,000
39	iShares Core Total USD Bond Market ETF (IUSB)	Purchase	10/07/2022	\$1,001 - \$15,000
40	iShares Ultra Short-Term Bond ETF (ICSH)	Purchase	10/13/2022	\$1,001 - \$15,000
41	iShares ESG MSCI EAFE ETF (ESGD)	Purchase	10/13/2022	\$1,001 - \$15,000
42	PGIM Short Duration Multi-Sector Bond Fund Class Z Shares (SDMZX)	Purchase	10/05/2022	\$100,001 - \$250,000
43	iShares Core Total USD Bond Market ETF (IUSB)	Purchase	10/05/2022	\$100,001 - \$250,000
44	iShares Ultra Short-Term Bond ETF (ICSH)	Purchase	10/13/2022	\$15,001 - \$50,000
45	Lord Abbett Short Duration Income Fund Class F Shares (LDLFX)	Sale	10/13/2022	\$100,001 - \$250,000
46	iShares Core US Aggregate Bond ETF (AGG)	Sale	10/05/2022	\$50,001 - \$100,000
47	iShares ESG MSCI EAFE ETF (ESGD)	Sale	10/13/2022	\$15,001 - \$50,000
48	iShares 1-3 Year Treasury Bond ETF (SHY)	Sale	09/13/2022	\$1,001 - \$15,000
49	ACAP Strategic Fund	Purchase	09/27/2022	\$1,001 - \$15,000
50	Harbor Large Cap Value Fund Retirement Class Shares (HNLVX)	Purchase	09/08/2022	\$15,001 - \$50,000
51	The Walt Disney Co. (DIS)	Purchase	09/12/2022	\$1,001 - \$15,000
52	Medtronic Plc (MDT)	Purchase	09/12/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
53	CMS Energy Corp. (CMS)	Purchase	09/12/2022	\$1,001 - \$15,000
54	FedEx Corp. (FDX)	Purchase	09/12/2022	\$1,001 - \$15,000
55	iShares Edge MSCI USA Value Factor ETF (VLUE)	Purchase	09/12/2022	\$1,001 - \$15,000
56	AT&T Inc.	Sale	09/12/2022	\$1,001 - \$15,000
57	FirstEnergy Corp. (FE)	Sale	09/12/2022	\$1,001 - \$15,000
58	General Electric Co. (GE)	Sale	09/12/2022	\$1,001 - \$15,000
59	FMC Corp. (FMC)	Sale	09/12/2022	\$1,001 - \$15,000
60	V F Corp	Sale	09/12/2022	\$1,001 - \$15,000
61	Wilmington International Fund Institutional Shares (WINIX)	Purchase	09/28/2022	\$1,001 - \$15,000
62	AB Concentrated Growth Fund Advisor Class Shares (WPSGX)	Purchase	09/28/2022	\$15,001 - \$50,000
63	T Rowe Price Tax-Free Income Fund, Inc Class I Shares (TFILX)	Purchase	09/28/2022	\$15,001 - \$50,000
64	Wilmington Real Asset Fund Institutional Shares (WMRIX)	Purchase	09/28/2022	\$1,001 - \$15,000
65	Wilmington Global Alpha Equities Fund	Sale	09/28/2022	\$1,001 - \$15,000
66	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)	Sale	09/28/2022	\$1,001 - \$15,000
67	iShares Core MSCI EAFE ETF (IEFA)	Sale	09/29/2022	\$15,001 - \$50,000
68	Apple, Inc. (AAPL)	Sale	09/29/2022	\$1,001 - \$15,000
69	iShares Edge MSCI USA Value Factor ETF (VLUE)	Sale	09/29/2022	\$1,001 - \$15,000
70	iShares S&P Small-Cap 600 Growth ETF (IJT)	Purchase	08/09/2022	\$15,001 - \$50,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
71	iShares S&P Small-Cap 600 Value ETF (IJS)		Sale	08/09/2022	\$15,001 - \$50,000
72	T Rowe Price Tax-Free Income Fund, Inc Class I Shares (TFILX)		Purchase	08/09/2022	\$1,001 - \$15,000
73	Columbia Overseas Value Fund Institutional 3 Class Shares (COSYX)		Purchase	08/09/2022	\$50,001 - \$100,000
74	PayPal Holdings, Inc. (PYPL)		Purchase	08/10/2022	\$1,001 - \$15,000
75	The Walt Disney Co. (DIS)		Purchase	08/10/2022	\$1,001 - \$15,000
76	Target Corp. (TGT)		Purchase	08/10/2022	\$1,001 - \$15,000
77	CMS Energy Corp. (CMS)		Purchase	08/10/2022	\$1,001 - \$15,000
78	iShares MSCI EAFE Value ETF (EFV)		Purchase	08/10/2022	\$15,001 - \$50,000
79	iShares Russell 1000 Value ETF (IWD)		Purchase	08/10/2022	\$50,001 - \$100,000
80	Danaher Corp. (DHR)		Sale	08/10/2022	\$1,001 - \$15,000
81	Apple, Inc. (AAPL)		Sale	08/10/2022	\$1,001 - \$15,000
82	iShares Core S&P 500 ETF (IVV)		Sale	08/10/2022	\$50,001 - \$100,000
83	Mastercard, Inc. (MA)		Sale	08/10/2022	\$1,001 - \$15,000
84	VF Corp. (VFC)		Sale	08/10/2022	\$1,001 - \$15,000
85	iShares Core MSCI EAFE ETF (IEFA)		Sale	08/10/2022	\$100,001 - \$250,000
86	JPMorgan Chase & Co. (JPM)	See Endnote	Purchase	08/10/2022	\$1,001 - \$15,000
87	JPMorgan Chase & Co. (JPM)	See Endnote	Sale	09/07/2022	\$1,001 - \$15,000
88	Bank of America Corp. (BAC)	See Endnote	Purchase	08/10/2022	\$1,001 - \$15,000
89	Bank of America Corp. (BAC)	See Endnote	Sale	09/07/2022	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
90	Harbor Large Cap Value Fund Institutional Class Shares (HNVLX)	See Endnote	Purchase	09/07/2022	\$15,001 - \$50,000
91	iShares Ultra Short-Term Bond ETF (ICSH)		Purchase	08/03/2022	\$50,001 - \$100,000
92	Invesco QQQ Trust, Series 1 (QQQ)		Purchase	08/04/2022	\$50,001 - \$100,000
93	iShares Ultra Short-Term Bond ETF (ICSH)		Purchase	08/03/2022	\$1,001 - \$15,000
94	Invesco QQQ Trust, Series 1 (QQQ)		Purchase	08/04/2022	\$1,001 - \$15,000
95	iShares Ultra Short-Term Bond ETF (ICSH)		Purchase	08/03/2022	\$1,001 - \$15,000
96	Invesco QQQ Trust, Series 1 (QQQ)		Purchase	08/04/2022	\$1,001 - \$15,000
97	Virtus Seix High Income Fund Class I Shares (STHTX)		Sale	07/01/2022	\$1,001 - \$15,000
98	Baillie Gifford Emerging Markets Equities Fund Class K Shares (BGKEX)		Purchase	07/07/2022	\$50,001 - \$100,000
99	T Rowe Price Tax-Free Income Fund, Inc (PRTAX)		Purchase	07/07/2022	\$100,001 - \$250,000
100	Wilmington Municipal Bond Fund Institutional Shares (WTAIX)		Purchase	07/07/2022	\$50,001 - \$100,000
101	Vanguard Intermediate-Term Tax-Exempt Fund Admiral Shares (VWIUX)		Sale	07/07/2022	\$50,001 - \$100,000
102	AB Concentrated Growth Fund Advisor Class Shares (WPSGX)		Sale	07/07/2022	\$15,001 - \$50,000
103	Columbia Overseas Value Fund Institutional 3 Class Shares (COSYX)		Sale	07/07/2022	\$50,001 - \$100,000
104	Vanguard Long-Term Tax-Exempt Fund Admiral Shares (VWLUX)		Sale	07/07/2022	\$50,001 - \$100,000
105	iShares Core S&P 500 ETF (IVV)		Purchase	07/07/2022	\$50,001 - \$100,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
106	Medtronic Plc (MDT)		Purchase	07/08/2022	\$1,001 - \$15,000
107	iShares Core MSCI EAFE ETF (IEFA)		Purchase	07/08/2022	\$100,001 - \$250,000
108	iShares S&P 500 Growth ETF (IVW)	See Endnote	Purchase	07/08/2022	\$15,001 - \$50,000
109	iShares Edge MSCI USA Value Factor ETF (VLUE)		Sale	07/08/2022	\$15,001 - \$50,000
110	iShares Core MSCI Emerging Markets ETF (IEMG)		Sale	07/08/2022	\$50,001 - \$100,000
111	iShares Russell 1000 Value ETF (IWD)		Sale	07/08/2022	\$50,001 - \$100,000
112	Virtus KAR Small-Cap Growth Fund Class I Shares (PXSGX)		Purchase	06/01/2022	\$15,001 - \$50,000
113	BlackRock Event Driven Equity Fund Institutional Shares (BILPX)		Purchase	06/01/2022	\$1,001 - \$15,000
114	Artisan Small Cap Fund Institutional Shares (APHSX)		Sale	06/01/2022	\$15,001 - \$50,000
115	Harbor Large Cap Value Fund Retirement Class Shares (HNLVX)		Sale	06/01/2022	\$15,001 - \$50,000
116	iShares Core MSCI EAFE ETF (IEFA)		Purchase	06/02/2022	\$15,001 - \$50,000
117	iShares MSCI EAFE Value ETF (EFV)		Purchase	06/02/2022	\$15,001 - \$50,000
118	Gilead Sciences, Inc. (GILD)		Sale	06/02/2022	\$1,001 - \$15,000
119	Wilmington International Fund Institutional Shares (WINIX)		Sale	06/02/2022	\$15,001 - \$50,000
120	Wilmington Global Alpha Equities Fund		Sale	06/02/2022	\$1,001 - \$15,000
121	Vanguard Intermediate TRM Tax Exempt Class Admiral.	See Endnote	Purchase	06/06/2022	\$50,001 - \$100,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
122	Vanguard Long-Term Tax-Exempt Fund Admiral Shares (VWLUX)	Purchase	06/06/2022	\$50,001 - \$100,000
123	Baillie Gifford Emerging Markets Class K	Sale	06/06/2022	\$50,001 - \$100,000
124	T Rowe Price Tax-Free High Yield Fund, Inc Class I Shares (PTYIX)	Sale	06/06/2022	\$50,001 - \$100,000
125	Wilmington Municipal Bond Fund Institutional Shares (WTAIX)	Sale	06/06/2022	\$50,001 - \$100,000
126	Ishares Core MSCI Emerging	Purchase	06/07/2022	\$50,001 - \$100,000
127	Virtus Seix Floating Rate High Income Fund Class I Shares (SAMBX)	Sale	07/01/2022	\$1,001 - \$15,000
128	iShares Core S&P 500 ETF (IVV)	Sale	06/21/2022	\$1,001 - \$15,000
129	iShares Core S&P 500 ETF (IVV)	Sale	06/21/2022	\$50,001 - \$100,000
130	Vanguard Short-Term Bond Index Fund Admiral Shares (VBIRX)	Sale	05/16/2022	\$1,001 - \$15,000
131	Vanguard Windsor Fund Investor Shares (VWNDX)	Sale	05/16/2022	\$15,001 - \$50,000
132	Vanguard 500 Index Fund Admiral Shares (VFIAX)	Purchase	05/16/2022	\$15,001 - \$50,000
133	SPDR Portfolio Short Term Corporate Bond ETF (SPSB)	Purchase	05/28/2022	\$50,001 - \$100,000
134	iShares Core S&P 500 ETF (IVV)	Purchase	05/09/2022	\$15,001 - \$50,000
135	iShares Core S&P 500 ETF (IVV)	Purchase	05/10/2022	\$15,001 - \$50,000
136	iShares Core US Aggregate Bond ETF (AGG)	Purchase	05/16/2022	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
137	VanEck Vectors Pharmaceutical ETF (PPH)	Purchase	05/25/2022	\$50,001 - \$100,000
138	iShares Core 1-5 Year USD Bond ETF (ISTB)	Sale	04/28/2022	\$50,001 - \$100,000
139	iShares Core Total USD Bond Market ETF (IUSB)	Sale	04/16/2022	\$100,001 - \$250,000
140	Consumer Discretionary Select Sector SPDR Fund (XLY)	Sale	04/25/2022	\$50,001 - \$100,000
141	Invesco QQQ Trust, Series 1 (QQQ)	Purchase	05/02/2022	\$1,001 - \$15,000
142	iShares Core US Aggregate Bond ETF (AGG)	Purchase	05/16/2022	\$1,001 - \$15,000
143	VanEck Vectors Pharmaceutical ETF (PPH)	Purchase	05/25/2022	\$1,001 - \$15,000
144	iShares Core Total USD Bond Market ETF (IUSB)	Sale	05/16/2022	\$1,001 - \$15,000
145	Consumer Discretionary Select Sector SPDR Fund (XLY)	Sale	05/25/2022	\$1,001 - \$15,000
146	SPDR Portfolio Short Term Corporate Bond ETF (SPSB)	Purchase	04/28/2022	\$1,001 - \$15,000
147	iShares Core US Aggregate Bond ETF (AGG)	Purchase	05/16/2022	\$1,001 - \$15,000
148	iShares Core 1-5 Year USD Bond ETF (ISTB)	Sale	04/28/2022	\$1,001 - \$15,000
149	iShares Core Total USD Bond Market ETF (IUSB)	Sale	05/16/2022	\$1,001 - \$15,000
150	SPDR Portfolio Short Term Corporate Bond ETF (SPSB)	Purchase	04/28/2022	\$1,001 - \$15,000
151	iShares Core US Aggregate Bond ETF (AGG)	Purchase	04/16/2022	\$1,001 - \$15,000
152	iShares Core 1-5 Year USD Bond ETF (ISTB)	Sale	04/28/2022	\$1,001 - \$15,000
153	iShares Core Total USD Bond Market ETF (IUSB)	Sale	05/16/2022	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
154	WCM Focused International Growth Fund Institutional Class (WCMIX)	See Endnote	Purchase	05/31/2022	\$15,001 - \$50,000
155	Virtus KAR Small-Cap Growth I (PSXGX)	See Endnote	Purchase	05/31/2022	\$15,001 - \$50,000
156	BlackRock Event Driven Equity Fund Investor A Shares (BALPX)		Purchase	05/31/2022	\$1,001 - \$15,000
157	Artisan Small Cap Fund Institutional Shares (APHSX)		Sale	06/01/2022	\$15,001 - \$50,000
158	Harbor Large Cap Value Fund Retirement Class Shares (HNLVX)		Sale	06/01/2022	\$15,001 - \$50,000
159	iShares Core MSCI EAFE ETF (IEFA)		Purchase	06/02/2022	\$15,001 - \$50,000
160	Gilead Sciences, Inc. (GILD)		Sale	05/31/2022	\$1,001 - \$15,000
161	T Rowe Price Tax-Free High Yield Fund, Inc Class I Shares (PTYIX)		Purchase	04/05/2022	\$15,001 - \$50,000
162	Wilmington Municipal Bond Fund Institutional Shares (WTAIX)		Purchase	04/05/2022	\$1,001 - \$15,000
163	WCM Focused International Growth Fund Institutional Class Shares (WCMIX)	See Endnote	Sale	04/05/2022	\$1,001 - \$15,000
164	Harbor Large Cap Value Fund Institutional Class Shares (HAVLX)		Sale	04/05/2022	\$1,001 - \$15,000
165	iShares Russell 1000 Value ETF (IWD)		Purchase	04/06/2022	\$50,001 - \$100,000
166	Microsoft Corp. (MSFT)		Sale	04/06/2022	\$1,001 - \$15,000
167	Amazon.com, Inc. (AMZN)		Sale	04/06/2022	\$1,001 - \$15,000
168	Apple, Inc. (AAPL)		Sale	04/06/2022	\$1,001 - \$15,000
169	Mastercard, Inc. (MA)		Sale	04/06/2022	\$1,001 - \$15,000
170	Alphabet, Inc. (GOOG)		Sale	04/06/2022	\$1,001 - \$15,000



#	DESCRIPTION		TYPE	DATE	AMOUNT
171	General Electric Co. (GE)		Sale	04/06/2022	\$1,001 - \$15,000
172	FMC Corp. (FMC)		Sale	04/06/2022	\$1,001 - \$15,000
173	FirstEnergy Corp. (FE)		Sale	04/06/2022	\$1,001 - \$15,000
174	iShares MSCI EAFE Value ETF (EFV)		Sale	04/06/2022	\$1,001 - \$15,000
175	AT&T Inc.		Sale	04/06/2022	\$1,001 - \$15,000
176	iShares Edge MSCI USA Value Factor ETF (VLUE)		Sale	04/06/2022	\$15,001 - \$50,000
177	iShares 1-3 Year Treasury Bond ETF (SHY)		Purchase	04/01/2022	\$50,001 - \$100,000
178	iShares Core 1-5 Year USD Bond ETF (ISTB)		Sale	04/28/2022	\$100,001 - \$250,000
179	SPDR Portfolio Short Term Corporate Bond ETF (SPSB)		Purchase	04/28/2022	\$50,001 - \$100,000
180	iShares 1-3 Year Treasury Bond ETF (SHY)		Purchase	04/01/2022	\$1,001 - \$15,000
181	iShares Core 1-5 Year USD Bond ETF (ISTB)		Sale	04/28/2022	\$1,001 - \$15,000
182	SPDR Portfolio Short Term Corporate Bond ETF (SPSB)		Purchase	04/28/2022	\$1,001 - \$15,000
183	iShares 1-3 Year Treasury Bond ETF (SHY)		Purchase	04/01/2022	\$1,001 - \$15,000
184	iShares Core 1-5 Year USD Bond ETF (ISTB)		Sale	04/28/2022	\$1,001 - \$15,000
185	SPDR Portfolio Short Term Corporate Bond ETF (SPSB)		Purchase	04/28/2022	\$1,001 - \$15,000
186	Virtus Seix Floating Rate High Income Fund Class I Shares (SAMBX)		Purchase	03/09/2022	\$1,001 - \$15,000
187	Baillie Gifford Emerging Markets Equities Fund Class K Shares (BGKEX)		Purchase	03/09/2022	\$15,001 - \$50,000
188	Nuveen High Yield Muni CL-I (NHMRX)	See Endnote	Sale	03/09/2022	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
189	T Rowe Price Tax-Free Income Fund, Inc (PRTAX)	Sale	03/09/2022	\$1,001 - \$15,000
190	Wilmington Real Asset Fund Institutional Shares (WMRIX)	Sale	03/09/2022	\$15,001 - \$50,000
191	Wilmington Municipal Bond Fund Institutional Shares (WTAIX)	Sale	03/09/2022	\$1,001 - \$15,000
192	iShares Core MSCIEmerging Markets ETF (IEMG)	Purchase	03/10/2022	\$1,001 - \$15,000
193	Lord Abbett Short Duration Income Fund Class F Shares (LDLFX)	Sale	03/14/2022	\$1,001 - \$15,000
194	iShares Core S&P Mid-Cap ETF (IJH)	Sale	03/15/2022	\$1,001 - \$15,000
195	iShares Core S&P Small-Cap ETF (IJR)	Sale	03/15/2022	\$1,001 - \$15,000
196	iShares Russell 1000 Value ETF (IWD)	Sale	03/15/2022	\$1,001 - \$15,000
197	iShares S&P Mid-Cap 400 Value ETF (IJJ)	Sale	03/15/2022	\$1,001 - \$15,000
198	iShares Core MSCIEmerging Markets ETF (IEMG)	Sale	03/15/2022	\$1,001 - \$15,000
199	iShares Core Total USD Bond Market ETF (IUSB)	Sale	03/15/2022	\$1,001 - \$15,000
200	iShares ESG MSCI EAFE ETF (ESGD)	Sale	03/15/2022	\$1,001 - \$15,000
201	Proshares Short QQQ (PSQ)	Sale	03/15/2022	\$1,001 - \$15,000
202	SPDR S&P Metals & Mining ETF (XME)	Sale	03/15/2022	\$1,001 - \$15,000
203	Consumer Discretionary Select Sector SPDR Fund (XLY)	Sale	03/15/2022	\$1,001 - \$15,000
204	Technology Select Sector SPDR Fund (XLK)	Sale	03/15/2022	\$1,001 - \$15,000
205	Industrial Select Sector SPDR Fund (XLI)	Sale	03/15/2022	\$1,001 - \$15,000
206	Energy Select Sector SPDR Fund (XLE)	Sale	03/15/2022	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
207	Communication Services Select Sector SPDR Fund (XLC)		Sale	03/15/2022	\$1,001 - \$15,000
208	Vanguard Health Care Index Fund ETF Class Shares (VHT)		Sale	03/15/2022	\$1,001 - \$15,000
209	iShares PHLX Semiconductor ETF (SOXX)	See Endnote	Sale	03/17/2022	\$1,001 - \$15,000
210	Industrial Select Sector SPDR Fund (XLI)		Sale	03/22/2022	\$1,001 - \$15,000
211	Communication Services Select Sector SPDR Fund (XLC)		Sale	03/22/2022	\$1,001 - \$15,000
212	Industrial Select Sector SPDR Fund (XLI)		Sale	03/22/2022	\$1,001 - \$15,000
213	PGIM Total Return Bond Fund Class Z Shares (PDBZX)		Sale	03/31/2022	\$1,001 - \$15,000
214	PGIM Total Return Bond Fund Class Z Shares (PDBZX)		Sale	03/31/2022	\$1,001 - \$15,000
215	ACAP Strategic Fund		Purchase	03/28/2022	\$15,001 - \$50,000
216	iShares PHLX Semiconductor ETF (SOXX)	See Endnote	Sale	03/17/2022	\$15,001 - \$50,000
217	Industrial Select Sector SPDR Fund (XLI)		Sale	03/17/2022	\$100,001 - \$250,000
218	Communication Services Select Sector SPDR Fund (XLC)		Sale	03/17/2022	\$50,001 - \$100,000
219	PGIM Total Return Bond Fund Class Z Shares (PDBZX)		Sale	03/17/2022	\$50,001 - \$100,000
220	Energy Select Sector SPDR Fund (XLE)		Purchase	01/07/2022	\$15,001 - \$50,000
221	iShares Core MSCI Emerging Markets ETF (IEMG)		Sale	01/07/2022	\$15,001 - \$50,000
222	Energy Select Sector SPDR Fund (XLE)		Purchase	01/07/2022	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
223	iShares Core MSCIEmerging Markets ETF (IEMG)	Sale	01/07/2022	\$1,001 - \$15,000
224	Schwab US Broad Based Market ETF	Purchase	10/03/2022	\$1,001 - \$15,000

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
6.	1	Accounts contains only cash
6.	11	There are no substantive changes to the underlying trust assets from prior disclosures, however, this year's report adopts a new strategy of breaking out separate sub-accounts within the trust for ease of reporting.
6.	14	The holdings of this trust account were inadvertently omitted from last year's report.
6.	15	Consistent with the endnote to Trust #1, this reflects this year's report's new strategy of breaking out separate sub-accounts within the trust for ease of reporting.
7.	26	Updated: This sale should instead reflect a sale of iShares Core S&P 500 Growth ETF (IVW), not IVV.
7.	28	Updated: This purchase of T Rowe Price Large-Cap Growth Fund Investor Class Share (TRGOX) should instead reflect a purchase of T Rowe Price Large-Cap Growth Fund Class I (TRLGX).

PART	#	ENDNOTE
7.	86	This purchase was made by the investment advisor managing this trust contrary to prior instructions that the trust could not own any bank stocks. The purchase was discovered by the filer on September 7, 2022 when reviewing the August monthly statement. That same day, the filer instructed the advisor to sell the stock and to take steps to ensure compliance going forward, and the advisor acknowledged receipt and sold the stock.
7.	87	Stock sold immediately upon discovery by filer. As noted with respect to the purchase of this stock, the purchase was made by the investment advisor managing this trust contrary to prior instructions that the trust could not own any bank stocks. The purchase was discovered by the filer on September 7, 2022 when reviewing the August monthly statement. That same day, the filer instructed the advisor to sell the stock and to take steps to ensure compliance going forward, and the advisor acknowledged receipt and sold the stock.
7.	88	This purchase was made by the investment advisor managing this trust contrary to prior instructions that the trust could not own any bank stocks. The purchase was discovered by the filer on September 7, 2022 when reviewing the August monthly statement. That same day, the filer instructed the advisor to sell the stock and to take steps to ensure compliance going forward, and the advisor acknowledged receipt and sold the stock.
7.	89	Stock sold immediately upon discovery by filer. As noted with respect to the purchase of this stock, the purchase was made by the investment advisor managing this trust contrary to prior instructions that the trust could not own any bank stocks. The purchase was discovered by the filer on September 7, 2022 when reviewing the August monthly statement. That same day, the filer instructed the advisor to sell the stock and to take steps to ensure compliance going forward, and the advisor acknowledged receipt and sold the stock.
7.	90	Updated: Ticker updated for accuracy.
7.	108	Updated: This sale should instead reflect a purchase of \$15,001-\$50,000.
7.	121	Updated: This purchase of Vanguard International TRM Tax Exempt Class Admiral should instead reflect a purchase of Vanguard Intermediate TRM Tax Exempt Class Admiral.
7.	154	Updated: This purchase of WCM Focused International Growth Fund Investor Class Shares (WCMRX) should instead reflect a purchase of WCM Focused International Growth Fund Institutional Class (WCMIX).
7.	155	Updated: This purchase of Virtus KAR Small-Cap Core Fund Class I Shares (PKSFX) should instead reflect a purchase of Virtus KAR Small-Cap Growth I (PSXGX).
7.	163	Updated: This sale of WCM Focused International Growth Fund Investor Class Shares (WCMRX) should instead reflect a sale of WCM Focused international Growth Fund Institutional Class (WCMIX).
7.	188	Updated: This sale of \$15,001-\$50,000 of Nuveen California High Yield Municipal Bond Fund Class I Shares (NCHRX) should instead reflect a sale of Nuveen High Yield Muni CL-I (NHMRX).

PART	#	ENDNOTE
7.	209	SOXX holdings were inadvertently omitted from last year's report.
7.	216	SOXX holdings were inadvertently omitted from last year's report.

# Summary of Contents

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

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

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

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

Part 2 discloses the following:

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

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

## 3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

#### 6. Other Assets and Income

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

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



## 7. Transactions

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

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

## 8. Liabilities

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

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

## 9. Gifts and Travel Reimbursements

This section discloses:

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

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

## Privacy Act Statement

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

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