

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Hutchison III, Malcolm Clark

Director DCR, Commodity Futures Trading Commission

Report Year: 2020

Other Federal Government Positions Held During the Preceding 12 Months:

None

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

/s/ Hutchison III, Malcolm Clark [electronically signed on 05/12/2020 by Hutchison III, Malcolm Clark in Integrity.gov]

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

/s/ LoPresti, Heather J, Certifying Official [electronically signed on 07/24/2020 by LoPresti, Heather J in Integrity.gov]

Other review conducted by

U.S. Office of Government Ethics Certification

Data Revised 07/24/2020

1. Filer's Positions Held Outside United States Government

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Deutsche Bank, restricted stock and stock options	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	Deutsche Bank, deferred compensation: received	N/A		Cash Payment	\$214,795
3	Deutsche Bank, deferred compensation: cash receivable	N/A	\$250,001 - \$500,000		None (or less than \$201)
4	Deutsche Bank	N/A		Salary/Bonus	\$1,033,861
5	Deutsche Bank	N/A		Severance	\$48,076
6	U.S. brokerage – IRA #1	No			
6.1	Alerian MLP ETF	Yes	\$50,001 - \$100,000		None (or less than \$201)
6.2	Berkshire Hathaway Inc. Class b	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.3	Corteva Inc	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.4	Doubleline Income Solutions Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.5	Doubleline Total Return Bond Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.6	Eaton Vance Limited Duration Income Fund (EVV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.7	Eaton Vance Tax Managed Diversified Equity Income Fund (ETY)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.8	Eaton Vance Tax Managed Global Diversified Equity Income Fund (EXG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.9	Enterprise Product Partners LP	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.10	First Eagle Global fund Class 1	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.11	Goldman Sachs Income Builder Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.12	Hood River Small Cap Growth Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.13	iShares MSCI Emerging Markets ETF (EEM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.14	iShares Edge MSCI Min Vol EAFE ETF (EFAV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
6.15	Ishares short Term Corp Bond ETF	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.16	Janus Henderson Enterprise Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.17	JPMorgan Equity Income Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
6.18	Kayne Anderson Midstream Energy Fund, Inc. (closed-end fund)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.19	Kayne Anderson MLP Midstream Investment Co (KYN) (closed-end fund)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.20	T. Rowe Price International Discovery Fund (PRIDX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.21	Templeton Global Bond Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.22	Vanguard Real Estate Index Fund (VGSIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.23	Vanguard Scotsdale Fund: Vanguard Short-Term Corporate Bond Index Fund ETF Shares (VCSH)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.24	Victory Sycamore Established Value Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
6.25	AllianzGi NFJ Dividend, Interest & Premium Strategy Fund (NFJ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.26	JPMorgan Strategic Income Opps Sel (JSOSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.27	Vanguard High Dividend Yield Index Fund ETF Shares (VYM)	Yes	\$50,001 - \$100,000		None (or less than \$201)
7	U.S. brokerage – IRA #2	No			
7.1	Kayne Anderson MLP Midstream Investment Co (KYN) (closed-end fund)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.2	U.S. brokerage - IRA #2 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.3	Lord Abbett Ultra Short Bond Fund (LUBAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8	Morgan Stanley (401K Plan)	No			
8.1	State Street Target Retirement 2025 Index	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.2	Blackrock Bond Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.3	Pimco Core Fixed Income Fund See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.4	Pimco Real Return Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
8.5	iShares S&P 500 Index Fund (Blackrock) (BSPIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.6	Blackrock S&P 400 Midcap (iShares S&P Mid-Cap 400 Value ETF - IJJ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.7	Blackrock Russell 2000 Index	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.8	Global Real Estate Portfolio Fund - REIT - MSIF, Inc.	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.9	Shenkman Captial High Yield Bond	Yes	\$1,001 - \$15,000		None (or less than \$201)
9	Deutsche Bank (401K Plan)	No			
9.1	Vangard Target 2025 See Endnote	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.2	DWS High Income Fund (KHYAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.3	MFS Value Fund Class R4 (MEIJX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.4	DWS Real Estate Fund See Endnote	Yes	\$15,001 - \$50,000		None (or less than \$201)
9.5	Vanguard Extended Market Index Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Deutsche Bank	New York, New York	I have deferred compensation earned for pay periods up and until 2017. I did not receive an award of deferred compensation for 2018. My deferred compensation is in cash, restricted stock (unvested), and restricted stock options (unvested). Regarding the restricted stock and restricted stock options, I have forfeited all except \$15,000. From Sep 2019 until Sep 2022 I will receive cash payments each year in March and September.	11/2013
2	Deutsche Bank	New York, New York	Future bonus payments represent deferred compensation over and above the salary I received. These payments were annual year-end performance bonus payments. These payments are part of a standard company policy.	11/2013
3	Morgan Stanley	New York, New York	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	8/2009
4	Deutsche Bank	New York, New York	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	11/2013

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. brokerage – IRA #3	No			
1.1	Goldman Sachs Middle Market Lending Corp (closed-end fund)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2	U.S. brokerage - IRA #3 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3	Kayne Anderson MLP Midstream Investment Co (KYN) (closed-end fund)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	Kayne Anderson Midstream Energy Fund (closed-end fund)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.5	Lord Abbett Ultra Short Bond Fund (LUBAX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	U.S. brokerage – IRA #4	No			
2.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	Costco Corp	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.3	Enbridge Inc (ENB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.4	Mid America Apartment Communities Inc. - REIT (MAA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.5	Philip Morris	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.6	John Deere Cap Corp Note	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.7	Dodge & Cox International Stock Fund (DODFX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.8	Vanguard Mid-cap Value Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.9	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.10	Invesco BulletShares 2019 High Yield Corporate Bond ETF (BSJJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.11	Invesco BulletShares 2020 High Yield Corporate Bond ETF (BSJK)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	Invesco BulletShares 2021 High Yield Corporate Bond ETF (BSJL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.13	Baron Discovery Fund Institutional Shares (BDFIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. brokerage account - #1	No			
1.1	Alphabet Inc. class c	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Amazon	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3	Invesco Optimum Yield Diversified Commodity Strategy No K-1 ETF (PDBC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	iShares Gold Trust (IAU)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.5	ishares russell 2000 etf (iwm)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.6	Schwab International Equity ETF (SCHF) (Schwab Strategic Trust)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.7	Schwab U.S. Small-Cap ETF (SCHA) (Schwab Strategic Trust)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	Vanguard Real Estate Index Fund ETF Shares (VNQ)	Yes	\$1,001 - \$15,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.9	Vanguard Small-Cap Value Index Fund ETF Shares (VBR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.10	Vanguard FTSE Emerging Markets Index Fund ETF Shares (VWO)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.11	Vanguard FTSE All-World ex-US Small-Cap Index Fund ETF Shares (VSS)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.12	iShares 0-5 Year TIPS Bond ETF (STIP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.13	iShares 0-5 Year High Yield Corporate Bond ETF (SHYG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.14	iShares 3-7 Year Treasury Bond ETF (IEI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.15	iShares iBoxx \$ Investment Grade Corporate Bond ETF (LQD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.16	iShares International Treasury Bond ETF (IGOV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.17	iShares TIPS Bond ETF (TIP)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.18	VanEck Vectors J.P. Morgan EM Local Currency Bond ETF (EMLC)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.19	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.20	Vanguard Total International Bond Index Fund ETF Shares (BNDX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.21	Vanguard Global ex-U.S. Real Estate Index Fund ETF Shares (VNQI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	U.S. brokerage account - #2	No			
2.1	U.S. brokerage account - #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.2	Lord Abbett Ultra Short Bond Fund Class A (LUBAX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
3	U.S. brokerage account - #3	No			
3.1	U.S. brokerage account - #3 (cash)	N/A	\$100,001 - \$250,000	Interest	\$201 - \$1,000
3.2	BTAS, Inc. (privately held - Federal and commercial customers with business and technological solutions for program management, engineering, information technology, security, communications, and marketing) (ibtas4)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3.3	First Trust Morningstar Dividend Leaders Index Fund (FDL)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
3.4	Goldman Sachs Middle Market Lending Corp (closed-end fund) (MMLC)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3.5	Invesco High Yield Equity Dividend Achievers ETF (PEY)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
3.6	iShares Core High Dividend ETF (HDV)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
3.7	Lord Abbett Ultra Short Bond Fund (LUBAX)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
3.8	Paloma Partners/Palamo Resources (privately held - oil and gas acreage acquisition and development)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3.9	WisdomTree Japan Hedged Equity Fund (DXJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.10	Lyft inc	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.11	PagSeguro Digital Ltd. (PAGS)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.12	iShares Trust - iShares Select Dividend ETF (DVI)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4	U.S. brokerage account - #4	No			
4.1	Berkshire Hathaway B BRK.B	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
4.2	Crestwood Equity Partners LP (CEQP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.3	DoubleLine Total Return Bond Fund Class I (DBLTX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.4	dreyfus treasury obligations cash mgmt fund (dtmi)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
4.5	Eaton Vance Tax-Managed Diversified Equity Income Fund (ETY)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
4.6	Eaton Vance Tax-Managed Global Diversified Equity Income Fund (EXG)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
4.7	Enable Midstream Partners LP (ENBL)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
4.8	Enbridge Inc (ENB)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
4.9	Energy Transfer LP (ET)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
4.10	Enterprise Products Partners L.P. (EPD)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.11	ETFMG Prime Cyber Security ETF (HACK) (ETF MANAGERS TR)	Yes	\$1,001 - \$15,000		None (or less than \$201)
4.12	Glenmede Quantitative U.S. Large Cap Growth Equity Portfolio (GTLLX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
4.13	Goldman Sachs Group Inc (GS)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.14	Goldman Sachs Group, Inc. (GSPRA) (depository shares preferred)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
4.15	Hood River Small-Cap Growth Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.16	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.17	iShares Edge MSCI Min Vol EAFE ETF (EFAV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.18	Janus Henderson Enterprise Fund Class I (JMGRX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
4.19	JPMorgan Alerian MLP Index ETN (AMJ)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
4.20	Morgan Stanley (MS)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
4.21	MPLX, LP	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.22	Phillips 66 Partners LP (PSXP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.23	Plains All American Pipeline, L.P. (PAA)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
4.24	Plains GP Holdings LP (PAGP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.25	Putnam Ultra Short Duration Income Fund Class Y (PSDYX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
4.26	Shell Midstream Partners LP (SHLX)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.27	T. Rowe Price International Discovery Fund (PRIDX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
4.28	Tallgrass Energy, LP (TGE)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.29	Templeton Global Bond Fund	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
4.30	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.31	Victory Sycamore Established Value Fund Class I (VEVIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.32	Williams Companies Inc. (WMB)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.33	Victory Sycamore Small Company Opportunity Fund Class I (VSOIX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
4.34	Money Market Obligations Trust - Federated Capital Reserves Fund (FRFXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5	U.S. brokerage account - #5	No			
5.1	Alphabet	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.2	Amazon	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.3	Baker Hughes, a GE company (BHGE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.4	Bank of America Corp (BAC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.5	Berkshire Hathaway B BRK.B	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.6	Booking Holdings Inc. (BKNG)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.7	Capital One Financial (COF)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.8	Chevron Corporation (CVX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.9	Cisco Systems Inc (CSCO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.10	Citizens Financial Group, Inc. (CFG)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.11	Comcast Corp (CMCSA)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.12	Conagra Brands, Inc. (CAG)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.13	ConocoPhillips (COP)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.14	Corteva Inc. (CTVA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.15	Diamondback Energy, Inc. (FANG)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.16	Facebook, Inc. - Class A Common Stock (FB)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.17	General Money Market Fund Class B (GMBXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
5.18	Goldman Sachs Group Inc (GS)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.19	Lowe's Companies, Inc. (LOW)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.20	Merck & Co Inc (MRK)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.21	Microsoft Corp (MSFT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.22	Mondelez International Inc (MDLZ)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.23	Northrop Grumman Corp (NOC)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.24	Novartis	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.25	Oracle Corp (ORCL)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.26	Philip Morris International (PM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.27	Charles Schwab Corporation Common Stock (SCHW)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.28	Sempra Energy (SRE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.29	SunTrust Banks Inc (GA) (STI)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.30	Texas Instruments Inc (TXN)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.31	Union Pacific Corp (UNP)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.32	United Technologies Corp (UTX)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.33	UnitedHealth Group Inc. (UNH)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.34	Visa Inc (V)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.35	Zimmer Biomet Holdings Inc (ZBH)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.36	Crown Castle International Corp. (REIT) (CCI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.37	Medtronic plc (MDT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.38	Alcon Inc (ALC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
5.39	Citigroup Inc (C)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	U.S. brokerage account - #6	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.1	Broadcom Inc. (AVGO)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.2	Home Depot Inc (HD)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.3	United Parcel Service Inc B (UPS)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.4	Emerson Electric Co (EMR)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.5	Cummins Inc (CMI)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.6	LyondellBasell Industries N.V. (LYB)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.7	Intl Business Machines Corp (IBM)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
6.8	General Motors Company (GM)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.9	Prudential Financial Inc (PRU)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.10	T Rowe Price Group Inc (TROW)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.11	Kohl's Corp (KSS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
6.12	Chevron Corporation (CVX)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.13	Wal-Mart Stores (WMT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.14	Cisco Systems Inc (CSCO)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.15	JPMorgan Chase & Co. (JPM)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.16	Valero Energy Corp (VLO)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.17	Maxim Integrated Products, Inc. - Common Stock (MXIM)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.18	Hewlett-Packard Co (HPQ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.19	Cullen/Frost Bankers, Inc. (CFR)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.20	Travelers Companies Inc (TRV)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.21	Verizon Communications Inc (VZ)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.22	Walgreens Boots Alliance Inc (WBA)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.23	Sabre Corporation - Common Stock (SABR)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.24	Comcast Corp (CMCSA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.25	Metlife Inc (MET)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.26	AT&T Inc (T)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
6.27	Procter & Gamble (PG)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.28	Exxon Mobil Corp (XOM)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.29	BB&T Corporation (BBT)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.30	First Horizon National Corp (FHN)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.31	Public Service Enterprise Group Inc. (PEG)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.32	McDonald's Corp (MCD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.33	Gilead Sciences Inc (GILD)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.34	Dominion Energy Inc (D)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.35	Lockheed Martin (LMT)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.36	Centerpoint Energy Inc (CNP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.37	Sonoco Products Co. (SON)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.38	National Retail Properties, Inc. (REIT) (NNN)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.39	American Electric Power Company Inc (AEP)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.40	Pfizer Inc (PFE)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.41	PepsiCo Inc (PEP)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.42	Quest Diagnostics (DGX)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.43	Mid-America Apartment Communities Inc (MAA)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.44	AbbVie Inc. (ABBV)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.45	Merck & Co Inc (MRK)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.46	Amgen Inc (AMGN)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.47	Johnson & Johnson (JNJ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.48	muni bond brick twp	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.49	muni bond jackson twp	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
6.50	muni bond old bridge twp	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
6.51	Schwab Value Advantage Money Fund (SWVXX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
6.52	Kroger Co (KR)	N/A	\$50,001 - \$100,000		\$1,001 - \$2,500
6.53	Omnicom Group Inc. (OMC)	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
6.54	Medical Properties Trust Inc. (MPW)	N/A	\$50,001 - \$100,000		\$2,501 - \$5,000
7	U.S. brokerage account - #7	No			
7.1	Broadcom Inc. (AVGO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.2	Anthem Inc (ANTM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.3	Ross Stores Inc (ROST)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.4	Cigna Corporation (CI)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.5	Aptiv PLC	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.6	Apple Inc. (AAPL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.7	Celanese Corporation (CE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.8	Microchip Technology Inc (MCHP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.9	Honeywell Intl Inc (HON)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.10	CDW Corporation - Common Stock (CDW)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.11	Assurant Inc (AIZ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.12	Spirit AeroSystems Holdings, Inc. (SPR)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
7.13	t-mobile us (tmus)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.14	Reinsurance Group of America Inc (RGA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.15	Facebook, Inc. - Class A Common Stock (FB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
7.16	Chevron Corporation (CVX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.17	Wal-Mart Stores (WMT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.18	Ingredion Inc (INGR)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.19	Cisco Systems Inc (CSCO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.20	LKQ Corporation - Common Stock (LKQ)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
7.21	Microsoft Corp (MSFT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.22	ConocoPhillips (COP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.23	Vistra Energy Corp. (VST)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.24	Evergy, Inc. (EVRG)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.25	SS&C Technologies Holdings, Inc. - Common Stock (SSNC)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
7.26	Verizon Communications Inc (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.27	Starwood Property Trust, Inc. (STWD) (REIT)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7.28	Exxon Mobil Corp (XOM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.29	The Progressive Corporation (PGR)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
7.30	Wells Fargo & Co (WFC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.31	PNC Finl Services Group (PNC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.32	Accenture plc (ACN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.33	Willis Towers Watson Public Limited Company (WLTW)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.34	Lab Corp of America Hldgs (LH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.35	Oracle Corp (ORCL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.36	CVS Caremark Corp. (CVS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.37	Pfizer Inc (PFE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.38	AmerisourceBergen Corp (ABC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.39	muni bond clinton twp	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.40	muni bond glen rock nj	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.41	muni bond harrison twp nj	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
7.42	jackson twp muni bond nj	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.43	kearny nj muni bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.44	medford lakes nj muni bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.45	milltown nj muni bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.46	north arlington nj muni bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.47	nor nj dist water muni bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.48	piscataway twp nj muni bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.49	rivervale twp nj muni bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.50	sparta twp nj muni bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.51	sussex twp nj muni bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.52	toms river nj muni bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.53	union city nj muni bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.54	verona twp nj muni bond	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000
7.55	Schwab Value Advantage Money Fund Investor (SWVXX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7.56	montville township muni bond	N/A	\$1,001 - \$15,000		\$201 - \$1,000
7.57	haworth boro muni bond	N/A	\$15,001 - \$50,000		\$201 - \$1,000
7.58	Amgen Inc (AMGN)	N/A	\$15,001 - \$50,000		\$201 - \$1,000
7.59	California Resources Corporation (CRC)	N/A	None (or less than \$1,001)		None (or less than \$201)
7.60	Comcast Corp (CMCSA)	N/A	\$15,001 - \$50,000		\$201 - \$1,000
7.61	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
7.62	Lockheed Martin (LMT)	N/A	\$1,001 - \$15,000		\$201 - \$1,000
7.63	Omnicom Group Inc. (OMC)	N/A	\$15,001 - \$50,000		\$201 - \$1,000
8	U.S. brokerage account - #8	No			
8.1	Fidelity Treasury Money Market Fund (FZFXX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.2	AbbVie Inc. (ABBV)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.3	Google Inc (GOOG)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.4	Google Inc. - Class A Common Stock (GOOGL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.5	Aqua America Inc (WTR)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.6	AT&T Inc (T)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.7	Bank of New York Mellon Corp (BK)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.8	Boeing Co (BA)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.9	Canadian Pacific Railway Limited (CP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.10	Check Point Software Technologies Ltd. - Ordinary Shares (CHKP)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
8.11	Chevron Corporation (CVX)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.12	Chubb Corp (CB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.13	Costco Wholesale Corp (COST)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.14	Delta Air Lines (DAL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.15	Enbridge Inc (ENB)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.16	Exxon Mobil Corp (XOM)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.17	FedEx Corp (FDX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.18	First American Financial Corporation (FAF)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.19	First Trust NASDAQ-100- Technology Sector Index Fund (QTEC)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.20	Home Depot Inc (HD)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.21	Intel Corp (INTC)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.22	Invesco BulletShares 2020 High Yield Corporate Bond ETF (BSJK)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.23	Invesco BulletShares 2021 High Yield Corporate Bond ETF (BSJL)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.24	Invesco BulletShares 2022 High Yield Corporate Bond ETF (BSJM)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
8.25	iShares S&P Small Cap 600 Index (IJR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.26	iShares S&P North Amer Technology Sector Index Fund (IGM)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.27	JPMorgan Chase & Co. (JPM)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.28	New Jersey Resources Corp (NJR)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.29	Novartis (nvs)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.30	Philip Morris International (PM)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.31	Royal Dutch Shell plc (RDS-B)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.32	Southern Co (SO)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.33	Unilever PLC (UL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.34	United Technologies Corp (UTX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.35	Vanguard Financials Index Fund ETF Shares (VFH)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.36	Verizon Communications Inc (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.37	Visa Inc (V)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
8.38	Waste Connections, Inc. (WCN)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.39	Wisconsin Energy Corp (WEC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.40	WestRock Company (WRK)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.41	Zoetis Inc (ZTS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.42	Harding Loevner Institutional Emerging Markets Portfolio Class I (HLMEX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.43	Invesco Oppenheimer Developing Markets Fund Class Y (ODVYX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.44	Loomis Sayles Senior Floating Rate and Fixed Income Fund Class Y (LSFYX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.45	Matthews Pacific Tiger Fund Investor Class (MAPTX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.46	PRIMECAP Odyssey Growth Fund (POGRX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.47	T. Rowe Price Global Technology Fund I Class (PGTIX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
8.48	T. Rowe Price Health Sciences Fund I Class (THISX))	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.49	T. Rowe Price Mid-Cap Growth Fund I Class (RPTIX))	Yes	\$100,001 - \$250,000		\$201 - \$1,000
8.50	Vanguard International Growth Fund Admiral Shares (VWILX))	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.51	William Blair Small Cap Growth Fund Class I (WBSIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.52	Amgen Inc. (AMGN) corporate note	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.53	Anheuser-Busch (BUD) corporate note	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.54	BP p.l.c. (BP) corporate note	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.55	Caterpillar Inc. corporate note	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.56	Cisco Systems, Inc. (CSCO) corporate note	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.57	EMC Corporation, corporate note	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.58	Oracle Corporation, corporate note	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.59	Philip Morris International Inc. (PM) corporate note	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.60	Sysco Corporation (SY) corporate note	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.61	Toyota Motor Corporation (TM) corporate note	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.62	mt laurel twp nj muni	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.63	scotch plains twp nj muni	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.64	s brunswick twp nj muni	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.65	stafford twp nj muni	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.66	Crown Castle International Corp. (REIT) (CCI)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.67	Gaming and Leisure Properties, Inc. - Common Stock (GLPI)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.68	Realty Income, The Monthly Dividend Company (O) (REIT)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.69	STAG Industrial, Inc. (STAG)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.70	Iron Mountain Inc (IRM)	N/A	\$15,001 - \$50,000		\$1,001 - \$2,500
8.71	Metlife Inc., corporate note	N/A	\$15,001 - \$50,000		\$201 - \$1,000
8.72	Alerian MLP ETF (AMLPL)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
8.73	Invesco BulletShares 2022 High Yield Corporate Bond ETF (BSJM)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
9	U.S. brokerage account - #9	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.1	U.S. brokerage account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
9.2	Vanguard New Jersey Municipal Money Market (VNJXX)	Yes	\$250,001 - \$500,000		\$1,001 - \$2,500
9.3	Vanguard Dividend Growth Fund Investor Shares (VDIGX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
10	U.S. brokerage account - #10	No			
10.1	U.S. brokerage account - #10 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
11	U.S. bank account - #1 (cash)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
12	Northwestern Mutual (whole life insurance policy)	N/A	\$50,001 - \$100,000		None (or less than \$201)
13	Northwestern Mutual (whole life insurance policy)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
14	Northwestern Mutual (whole life insurance policy)	N/A	\$250,001 - \$500,000		None (or less than \$201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Loomis Sayles Growth Fund Class Y (LSGRX)	Purchase	12/27/2019	\$50,001 - \$100,000
2	Eaton Vance Tax-Managed Diversified Equity Income Fund (ETY)	Sale	12/27/2019	\$15,001 - \$50,000
3	iShares Russell 1000 Growth Index (IWF)	Purchase	12/27/2019	\$15,001 - \$50,000
4	Cisco Systems, Inc. - Common Stock (CSCO)	Purchase	12/10/2019	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
5	Exxon Mobil Corp (XOM)	Purchase	12/10/2019	\$1,001 - \$15,000
6	Pfizer Inc (PFE)	Purchase	12/10/2019	\$1,001 - \$15,000
7	Intl Business Machines Corp (IBM)	Sale	12/23/2019	\$15,001 - \$50,000
8	Gilead Sciences Inc (GILD)	Purchase	12/26/2019	\$1,001 - \$15,000
9	Kohl's Corp (KSS)	Purchase	12/26/2019	\$15,001 - \$50,000
10	Centerpoint Energy Inc (CNP)	Sale	12/27/2019	\$15,001 - \$50,000
11	LKQ Corporation - Common Stock (LKQ)	Sale	11/27/2019	\$1,001 - \$15,000
12	T-Mobile US, Inc. (TMUS)	Sale	11/27/2019	\$1,001 - \$15,000
13	Exxon Mobil Corp (XOM)	Sale	12/23/2019	\$1,001 - \$15,000
14	Chevron Corp (CVX)	Purchase	12/26/2019	\$1,001 - \$15,000
15	WestRock Company (WRK)	Sale	12/02/2019	\$15,001 - \$50,000

8. Liabilities

None

9. Gifts and Travel Reimbursements

None

Endnotes

PART	#	ENDNOTE
2.	8.3	No ticker symbol associated with this asset under a Morgan Stanley 401(k) plan.
2.	9.1	Name reported is exactly as provided in the account statement and no ticker symbol was provided.
2.	9.4	Name reported is exactly as provided in the account statement and no ticker symbol was provided.

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 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 \$390 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$390 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 \$156 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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