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

Filer's Information

Gibbons, John

U.S. Marshal, District of Massachusetts, Department of Justice - U.S. Marshals Service

Report Year: 2021

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/ Gibbons, John [electronically signed on 05/11/2021 by Gibbons, John 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/ Dickinson, Lisa, Certifying Official [electronically signed on 12/17/2021 by Dickinson, Lisa in Integrity.gov]

Other review conducted by
/s/ Choi, Amanda, Ethics Official [electronically signed on 12/17/2021 by Choi, Amanda in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Granahan, Megan, Certifying Official [electronically signed on 12/27/2021 by Granahan, Megan in Integrity.gov]

Data Revised 12/09/2021

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	Commonwealth of Massachusetts Retirement Defined Benefit Plan, defined benefit plan	N/A	$50,001 - $100,000	Retirement Payments (annual)	$97,715
2	Raymond James IRA				
2.1	Raymond James Bank Deposit Program	Yes	$1,001 - $15,000		None (or less than $201)
2.2	Raymond James-AMG Times Square Small Cap Growth Fund Premier Class	Yes	$1,001 - $15,000		$201 - $1,000
2.3	Raymond James-AQR Managed Futures Strategy Fund Class N N/L	Yes	$1,001 - $15,000		None (or less than $201)
2.4	Raymond James-Aston/River Road Small Cap value Fund Class I N/L	Yes	$1,001 - $15,000		None (or less than $201)
2.5	Brown Advisory Growth Equity Fund Investor Shares N/L	Yes	$1,001 - $15,000		None (or less than $201)
2.6	Raymond James-Columbia Acorn International Fund Class Z N/L	Yes	$1,001 - $15,000		None (or less than $201)
2.7	Raymond james-Deutsche Global real Estate Securities FD Class A M/F	Yes	$1,001 - $15,000		None (or less than $201)
2.8	RJ-Dodge & Cox Income Fund Class F1-American Funds N/L	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.9	RJ-Europacific Growth Fund Class F1-American Funds N/L	Yes	$1,001 - $15,000		None (or less than $201)
2.10	RJ-John Hancock Disciplined Value Fund Class I N/L	Yes	$1,001 - $15,000		None (or less than $201)
2.11	RJ-JP Morgan Core Bond Fund Class A M/F	Yes	$1,001 - $15,000		None (or less than $201)
2.12	RJ-Morgan Mid Cap Value Fund Institutional Shares N/L	Yes	$1,001 - $15,000		None (or less than $201)
2.13	RJ-JP Morgan U.S. Large Cap Core Plus Fund Select Class N/L	Yes	$1,001 - $15,000		None (or less than $201)
2.14	RJ-Manning & Napier Quity Series N/L	Yes	$1,001 - $15,000		None (or less than $201)
2.15	RJ-MFS International Growth Fund Class I N/L	Yes	$1,001 - $15,000		None (or less than $201)
2.16	RJ-MFS Research Fund Class A M/F	Yes	$1,001 - $15,000		None (or less than $201)
2.17	RJ-Neuberger Berman Genesis Fund Investor Class N/L	Yes	$1,001 - $15,000		None (or less than $201)
2.18	RJ-Prudential Jennison Mid Cap Growth Fund Class Z N/L	Yes	$1,001 - $15,000		None (or less than $201)
2.19	RJ-Virtus Emerging Markets Opportunies Fund Class I N/L	Yes	$1,001 - $15,000		None (or less than $201)
2.20	RJ-Wells Fargo Advantage Intl Value FD Admin CL-N/L	Yes	$1,001 - $15,000		None (or less than $201)
2.21	Europacific Growth Fund Class F2-American Funds N/L	Yes	$1,001 - $15,000		None (or less than $201)
2.22	Wells Fargo Advantage INTL Value Class I N/L	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.23	Baird Aggregate Bond Fund INSTL Class N/L	Yes	$1,001 - $15,000		None (or less than $201)
2.24	Clarkston Partners Fund Institutional Class N/L	Yes	$1,001 - $15,000		None (or less than $201)
2.25	Metropolitan West Total Return Bond Fund Class I N/L	Yes	$1,001 - $15,000		None (or less than $201)
2.26	SEI U.S. Managed Volatility Fund Class Y (SUSYX)	Yes	$1,001 - $15,000		None (or less than $201)
3	Northwestern Mutual IRA				
3.1	Goldman Sachs Group Inc. Medium term NTS Bond	Yes	$15,001 - $50,000		$1,001 - $2,500
3.2	Janus Balanced Fund	Yes	$50,001 - $100,000		$1,001 - $2,500
3.3	John Deere Cap Corp Medium Term Med Bond	Yes	$15,001 - $50,000		$1,001 - $2,500
3.4	Catepillar Bond Fini SVCS Corp. Meduim Bond-John IRA	Yes	$15,001 - $50,000		$1,001 - $2,500
3.5	Merrill Lynch Bond-IRA	Yes	$15,001 - $50,000		$1,001 - $2,500
3.6	John Deere Cap Corp Medium Term Med Bond	Yes	$15,001 - $50,000		$1,001 - $2,500
3.7	General Electric Capital Internotes Bond	Yes	$15,001 - $50,000		$1,001 - $2,500
3.8	General Money Market Fund Class B	Yes	$1,001 - $15,000		None (or less than $201)
3.9	Merrill Lynch & Co Inc Medium Term NTS R	Yes	$15,001 - $50,000		$201 - $1,000
3.10	Janus Balanced Fund A Shares	Yes	$50,001 - $100,000		$1,001 - $2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.11	Citigroup Inc Bond	Yes	$15,001 - $50,000		$1,001 - $2,500
4	Northwestern Mutual Investment Services				
4.1	Janus Balance Fund C Shares-Fixed Income Joint Account-John & Spouse	Yes	$15,001 - $50,000		$1,001 - $2,500
4.2	Northwestern Mutual Fixed Annuity	Yes	$100,001 - $250,000		$5,001 - $15,000
4.3	Janus Balanced Fund Class C-joint Account	Yes	$50,001 - $100,000		$201 - $1,000
4.4	Money Market Fund-Joint Account	Yes	$1,001 - $15,000		None (or less than $201)
5	Northwestern Mutual IRA Rollover Individual Retirement				
5.1	General Money Market Fund CL B	Yes	$1,001 - $15,000		None (or less than $201)
5.2	Europacific Growth Fund Class F-2	Yes	$1,001 - $15,000		None (or less than $201)
5.3	John Hancock Disciplined Value	Yes	$1,001 - $15,000		None (or less than $201)
5.4	Northern Small Cap Value Fund	Yes	$1,001 - $15,000		None (or less than $201)
5.5	Van Eck Constant Maturity Commodity	Yes	$1,001 - $15,000		None (or less than $201)
5.6	IShares TR MSCI Emerging MKTS ETF	Yes	$1,001 - $15,000		$201 - $1,000
5.7	IShares TR S&P 500 Growth ETF	Yes	$1,001 - $15,000		None (or less than $201)
5.8	IShares TR S&P 500 Value ETF	Yes	$1,001 - $15,000		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5.9	IShares TR MSCI EAFE ETF	Yes	$1,001 - $15,000		None (or less than $201)
5.10	IShares TR Core S&P Mid-Cap ETF	Yes	$1,001 - $15,000		None (or less than $201)
5.11	IShares TR S&P U S PFD STK Index FD	Yes	$15,001 - $50,000		$1,001 - $2,500
5.12	SPDR S&P 500 ETF TR TR UNIT	Yes	$15,001 - $50,000		$201 - $1,000
5.13	SPDR SER TR Barclays High Yield BD ETF	Yes	$15,001 - $50,000		$1,001 - $2,500
5.14	Vanguard BD Index FD INC Total BD Market	Yes	$50,001 - $100,000		$1,001 - $2,500
5.15	Vanguard Tax-Managed INTL FD FTSE	Yes	$1,001 - $15,000		$201 - $1,000
5.16	Vanguard Index FDS Vanguard REIT ETF	Yes	$1,001 - $15,000		$201 - $1,000
5.17	Northern Small Cap Value Fund	Yes	$1,001 - $15,000		$201 - $1,000
6	Raymond James Gibbons Joint Freedom Balance with Growth-Mutual Fund Account				
6.1	Raymond James Bank Deposit Program	Yes	$1,001 - $15,000		None (or less than $201)
6.2	AMG Times Square Small CAP Growth Fund Premier Class N/L (TSCPX)	Yes	$1,001 - $15,000		None (or less than $201)
6.3	Brown Advisory Growth Equity Fund Investor Shares N/L (BIAGX)	Yes	$1,001 - $15,000		$201 - $1,000
6.4	Columbia Acorn International Fund Class Z N/L (ACINX)	Yes	$1,001 - $15,000		None (or less than $201)
6.5	Deutsche Global Real Estate Securities FD Clas A M/F (RRGAX)	Yes	$1,001 - $15,000		$201 - $1,000
6.6	Dodge & Cox Income Fund N/L (DODIX)	Yes	$1,001 - $15,000		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.7	Europacific Growth Fund Class F1-American Funds N/L (AEGFX)	Yes	$1,001 - $15,000		None (or less than $201)
6.8	JPMorgan Mid Cap Vaule Fund Institutional Shares N/L (FLMVX)	Yes	$1,001 - $15,000		None (or less than $201)
6.9	John Hancock Disciplined Value Fund Class I N/L (JVLIX)	Yes	$1,001 - $15,000		None (or less than $201)
6.10	JPMorgan U.S. Large Cap Core Plus Fund Select Class N/L (JLPSX)	Yes	$1,001 - $15,000		None (or less than $201)
6.11	JPMorgan Core Bond Fund Class A M/F (PGBOX)	Yes	$1,001 - $15,000		None (or less than $201)
6.12	MFS International Growth Fund Class I N/L (MQGIX)	Yes	$1,001 - $15,000		None (or less than $201)
6.13	MFS Research Fund Class A M/F (MFRFX)	Yes	$1,001 - $15,000		None (or less than $201)
6.14	Neuberger Berman Genesis Fund Investor Class N/L (NBGNX)	Yes	$1,001 - $15,000		None (or less than $201)
6.15	Prudential Jennison Mid Cap Growth Fund Class Z N/L (PEGZX)	Yes	$1,001 - $15,000		None (or less than $201)
6.16	Virtus Emerging Markets Opportunities Fund Class I N/L (HIEMX)	Yes	$1,001 - $15,000		None (or less than $201)
6.17	Wells Fargo Advantage INTL Value FD Admin CL N/L (WFVDX)	Yes	$1,001 - $15,000		None (or less than $201)
6.18	Baird Aggregate Bond Fund	Yes	$1,001 - $15,000		None (or less than $201)
6.19	Victory Trivalent INTL Small-Cap Fund Class Y N/L (MYSIX)	Yes	$1,001 - $15,000		None (or less than $201)
6.20	Lazard Emerging Markets Equity Port Institutional SHS N/L (LZEMX)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7	TD Bank North Joint Checking Account	N/A	$1,001 - $15,000		None (or less than $201)
8	Berkshire Bank Joint Savings Account	N/A	$1,001 - $15,000		None (or less than $201)
9	American National Insurance Company-Fixed Annuity	N/A	$100,001 - $250,000	Interest	$1,001 - $2,500
10	New York Life Insurance and Annuity Corporation Variable Universal Life-				
10.1	Mainstay VP MacKay Growth--Initial Class (104)	Yes	$15,001 - $50,000		$201 - $1,000
10.2	MainStay VP MacKay S&P 500 Index-Initial Class (105)	Yes	$15,001 - $50,000		$1,001 - $2,500

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Commonwealth of Massachusetts Retirement Defined Benefit Plan	Boston, Massachusetts	I will continue to participate in this defined benefit plan.	9/1979
2	Raymond James IRA	Milwaukee, Wisconsin	I will not participate in this defined contribution plan after my separation.	2/2011
3	Northwestern Mutual Investment Services	Milwaukee, Wisconsin	I will not participate in this defined contribution plan after my separation.	2/2011
4	Northwestern Mutual IRA	Milwaukee, Wisconsin	I will not participate in this defined contribution plan after my separation.	2/2011
5	American National Insurance Company-Fixed Annuity IRA	Sringfield, Missouri	I will not participate in this defined contribution plan after my separation	1/2019

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	Commonwealth of Massachusetts Defined Benefit Pension Plan (value not readily ascertainable)	N/A			$15,001 - $50,000
2	Raymond James-Spouse IRA Freedom Balance		$50,001 - $100,000		
2.1	Aston/River Road Small Cap Value Fund Class I N/L (ARSIX)	Yes	$1,001 - $15,000		None (or less than $201)
2.2	AMG Times Square Small Cap Growth Fund Premier Class N/L (TSCPX)	Yes	$1,001 - $15,000		None (or less than $201)
2.3	Clarkston Partners Fund Institutional Class N/L (CISMX)	Yes	$1,001 - $15,000		None (or less than $201)
2.4	Baird Aggregate Bond Fund INSTL Class N?L (BAGIX)	Yes	$1,001 - $15,000		None (or less than $201)
2.5	Brown Advisory Growth Equity Fund Investor Shares N/L (BIAGX)	Yes	$1,001 - $15,000		None (or less than $201)
2.6	Columbia Acorn International Fund Class Z N?L (ACINX)	Yes	$1,001 - $15,000		None (or less than $201)
2.7	Deutsche Global Real Estate Securities FD Class A M/F (RRGAX)	Yes	$1,001 - $15,000		None (or less than $201)
2.8	Europacific Growth Fund Class F2-American Funds N/L (AEPFX)	Yes	$1,001 - $15,000		None (or less than $201)
2.9	JPMorgan Mid Cap Value Fund Institutional Shares N/L (FLMVX)	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.10	John Hancock Disciplined Value Fund Class I N/L (JVLIX)	Yes	$1,001 - $15,000		None (or less than $201)
2.11	JPMorgan U.S. Large Cap Core Plus Fund Select Class N/L (JLPSX)	Yes	$1,001 - $15,000		None (or less than $201)
2.12	MFS International Growth Fund Class I N/L (MQGIX)	Yes	$1,001 - $15,000		None (or less than $201)
2.13	MFS Research Fund Class A M/F (MFRFX)	Yes	$1,001 - $15,000		None (or less than $201)
2.14	Metropolitan West Total Return Bond Fund Class I N/L (MWTIX)	Yes	$1,001 - $15,000		None (or less than $201)
2.15	Prudential Jennison Mid Cap Growth Fund Class Z N/L (PEGZX)	Yes	$1,001 - $15,000		None (or less than $201)
2.16	JP Morgan Core Bond Fund (PGBOX)	Yes	$1,001 - $15,000		None (or less than $201)
2.17	Manning & Napier Equity Series (EXEYX)	Yes	$1,001 - $15,000		None (or less than $201)
2.18	Dodge & Cox Income Fund (DODIX)	Yes	None (or less than $1,001)		None (or less than $201)
2.19	Neuberger Berman Genesis Fund (NGBNX)	Yes	$1,001 - $15,000		None (or less than $201)
2.20	SEI U.S. Manged Volatility Fund Class Y (SUSYX)	Yes	$1,001 - $15,000		None (or less than $201)
3	Northwestern Mutual- Fixed Annuity	N/A	$100,001 - $250,000	Interest	$1,001 - $2,500
4	Northwestern IRA Account-MFS Growth Allocation Fund-A U.S. Equity Large Cap	Yes	$100,001 - $250,000		$1,001 - $2,500
4.1	Fidelity Advisor Total Bond Fund	Yes	$1,001 - $15,000		$201 - $1,000
5	TD Bank North Checking Account-Joint	N/A	$1,001 - $15,000	Interest	None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6	Berkshire Bank Savings Account-Joint	N/A	$1,001 - $15,000	Interest	None (or less than $201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	AMG Times Square Small Cap Growth Fund Premier Class N/L	Yes	$1,001 - $15,000		None (or less than $201)
2	Commonwealth of Massachusetts-Massachusetts State Police Retiree DOL/MUD Grievance Settlement Payout	N/A	$1,001 - $15,000		$5,001 - $15,000
3	Monumental Life Insurance Company-Universal Life Insurance	N/A	$1,001 - $15,000		None (or less than $201)
4	Monumental Life Insurance Company-Universal Life Insurance	N/A	$1,001 - $15,000		None (or less than $201)
5	Allianz Life Insurance	N/A	$15,001 - $50,000	Interest	$201 - $1,000
6	Raymond James Joint Freedom Program	Yes	$100,001 - $250,000		$2,501 - $5,000
6.1	AMG Times Square Small Cap Growth Fund Premier Class N/L	Yes	$1,001 - $15,000		None (or less than $201)
6.2	AQR Managed Futures Strategy Fund Class N N/L	Yes	$1,001 - $15,000		$201 - $1,000
6.3	Aston/River Road Small Cap Value Fund Class I N/L		$1,001 - $15,000		$201 - $1,000
6.4	Brown Advisory Growth Equity Fund Investor Shares N/L	Yes	$1,001 - $15,000		$201 - $1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.5	Columbia Acorn International Fund Class Z N/L	Yes	$1,001 - $15,000		None (or less than $201)
6.6	Deutsche Global Real Estate Securities FD Class A M/F	Yes	$1,001 - $15,000		$201 - $1,000
6.7	Dodge & Cox Income Fund N/L	Yes	$1,001 - $15,000		$201 - $1,000
6.8	Europacific Growth Fund Class F1-American Funds N/L	Yes	$1,001 - $15,000		None (or less than $201)
6.9	John Hancock Disciplined Value Fund Class I N/L	Yes	$1,001 - $15,000		None (or less than $201)
6.10	JP Morgan Core Bond Fund Class A M/F	Yes	$1,001 - $15,000		None (or less than $201)
6.11	JP Morgan Mid Cap Vaule Fund Institutional Shares N/L	Yes	$1,001 - $15,000		None (or less than $201)
6.12	JP Morgan U.S. Large Cap Core Plus Fund Select Class N/L	Yes	$1,001 - $15,000		None (or less than $201)
6.13	Manning & Napier Equity Series N/L	Yes	$1,001 - $15,000		None (or less than $201)
6.14	MFS International Growth Fund Class I N/L	Yes	$1,001 - $15,000		None (or less than $201)
6.15	MFS Research Fund Class A M/F	Yes	$1,001 - $15,000		None (or less than $201)
6.16	Neuberger Berman Genesis Fund Investor Class N/L	Yes	$1,001 - $15,000		None (or less than $201)
6.17	Prudential Jennison Mid Cap Growth Fund Class Z N/L	Yes	$1,001 - $15,000		None (or less than $201)
6.18	Virtus Emerging Markets Opportunities Fund Class I N/L	Yes	$1,001 - $15,000		None (or less than $201)
6.19	Wells Fargo Advantage Intl Value FD Admin CL N/L	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.20	Raymond James Bank Deposit Program	Yes	$1,001 - $15,000		None (or less than $201)
6.21	AQR Managed Futures Strategy Fund Class N N/L	Yes	$1,001 - $15,000		$201 - $1,000
6.22	Baird Aggregate Bond Fund INSTL Class N/L	Yes	$1,001 - $15,000		$201 - $1,000
6.23	Clarkston Partners Fund Institutional Class N/L	Yes	$1,001 - $15,000		None (or less than $201)
6.24	Metropolitan West Total Return Bond Fund Class I N/L	Yes	$1,001 - $15,000		None (or less than $201)
6.25	Aston/River Road Small Cap Value Fund Class I N/L	Yes	$1,001 - $15,000		$201 - $1,000
6.26	SEI U.S. Managed Volatility Fund Class Y (SUSYX)	Yes	$1,001 - $15,000		None (or less than $201)
7	EE U.S. Treasury Bonds	N/A	$1,001 - $15,000	Interest	$201 - $1,000
8	I Treasury Bonds	N/A	$1,001 - $15,000	Interest	$201 - $1,000
9	Berkshire Bank	N/A	$1,001 - $15,000		None (or less than $201)
10	BankNorth	N/A	$1,001 - $15,000		None (or less than $201)
11	New York Life Variable Universal Life Insurance	N/A	$1,001 - $15,000		None (or less than $201)
11.1	Mainstay Variable Product Capital Appreciation Account	Yes	$1,001 - $15,000		None (or less than $201)
11.2	Mainstay VP S&P 500 Index Portfolio	Yes	$1,001 - $15,000		None (or less than $201)
12	Monumental Life Insurance Company-Universal Life Insurance	N/A	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
13	AQR Managed Futures Strategy Fund Class N N/L	Yes	$1,001 - $15,000		None (or less than $201)
14	Raymond James Ira-Aston/River Road Small Cap Value Fund Class 1 N/L	Yes	$1,001 - $15,000		None (or less than $201)
15	Raymond James Ira-Brown Advisory Growth Equity Fund Investor Shares N/L	Yes	$1,001 - $15,000		$201 - $1,000
16	Raymond James IRA-Deutsche Global Real Estate Securities FD Class A/ MF	Yes	$1,001 - $15,000		None (or less than $201)
17	Raymond James IRA-Dodge & Cox Income Fund N/L	Yes	$1,001 - $15,000		None (or less than $201)
18	Raymond James IRA-Europacific Growth Fund Class F1-American Funds N/L	Yes	$1,001 - $15,000		None (or less than $201)
19	Raymond James IRA-John Hancock Disciplined Vaule Fund Class i N/L	Yes	$1,001 - $15,000		None (or less than $201)
20	Raymond James IRA-JP Morgan Core Bond Fund Class A M/F	Yes	$1,001 - $15,000		None (or less than $201)
21	Raymond James IRA-JP Morgan MID CAP Vaule Fund Institutional Shares N/L	Yes	$1,001 - $15,000		None (or less than $201)
22	JP Morgan U.S. Large Cap Core Plus Fund Select Class N/L	Yes	$1,001 - $15,000		None (or less than $201)
23	Raymond James IRA-Manning & Napier Equity Series N/L	Yes	$1,001 - $15,000		None (or less than $201)
24	Raymond James IRA-MFS International Growth Fund Class I N/L	Yes	$1,001 - $15,000		None (or less than $201)
25	Raymond James IRA-MFS Research Fund Class A M/F	Yes	$1,001 - $15,000		None (or less than $201)
26	Raymond James IRA-Neuberger Berman Genesis Fund Investor Class N/L	Yes	$1,001 - $15,000		None (or less than $201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
27	Raymond James IRA-Prudential Jennison Mid Cap Growth Fund Class Z N/L	Yes	$1,001 - $15,000		None (or less than $201)
28	Raymond James IRA-Virtus Emerging Markets Opportunities Fund Class I N/L	Yes	$1,001 - $15,000		None (or less than $201)
29	Raymond James IRA-Wells Fargo Advantage Intl Value FD Admin CL N/L	Yes	$1,001 - $15,000		None (or less than $201)
30	Northwestern Mutual Money Market Fund-IRA	Yes	None (or less than $1,001)		None (or less than $201)
31	Northwestern Mutual MFS Growth Allocation-IRA	Yes	$100,001 - $250,000		$5,001 - $15,000
32	Northwestern Mutual Investment Services: Janus Balanced Fund Class	Yes	$50,001 - $100,000		$201 - $1,000
33	Northwestern Mutual Investment Services-Money Market Fund	Yes	$1,001 - $15,000		None (or less than $201)
34	Manning & Napier Equity Series N/L (EXEYX)	Yes	$1,001 - $15,000		None (or less than $201)

7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Northwestern Mutual- John Gibbons IRA FBO Rollover Mutual Fund Account- Amazon Com Inc (CUSIP: 023135-10-6)	Purchase	03/20/2020	$1,001 - $15,000
2	Northwestern Mutual-John Gibbons IRA FBO Rollover Mutual Fund Account-New Perspective Fund Class F-2 (Cusip: #648018-82-8)	Purchase	03/20/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
3	Northwestern Mutual-John Gibbons IRA FBO Rollover Mutual Fund Account- Blackrock IShares S&P 500 Index Fund Institutional Class (Cusip: #066923-55-8)	Purchase	03/20/2020	$15,001 - $50,000
4	Northwestern Mutual-John Gibbons IRA FBO Rollover Mutual Fund Account- Fidelity Advisor Total Bond Fund Class 1 (Cusip: #31617K-83-2)	Purchase	03/20/2020	$15,001 - $50,000
5	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account: Metropolitan West Total Return Bond Fund Class 1 N/L (MWTIX)	Purchase	01/07/2020	$1,001 - $15,000
6	Northwestern Mutual- John Gibbons IRA FBO Rollover Mutual Fund Account- FMI International Fund Institutional Class (Cusip: # 302933-70-0)	Purchase	03/20/2020	$1,001 - $15,000
7	Northwestern Mutual-John Gibbons IRA FBO Rollover Mutual Fund Account- IShares TR MSCI EAFE Minimum Volatility ETF (Cusip: # 46429B-68-9)	Purchase	03/20/2020	$1,001 - $15,000
8	Northwestern Mutual- John Gibbons IRA FBO Rollover Mutual Fund Account- Fidelity Advisor International Growth Fund Class 1 (Cusip: #315910-37-2)	Purchase	03/20/2020	$1,001 - $15,000
9	Northwestern Mutual- John Gibbons IRA FBO Rollover Mutual Fund Account- Cohen & Steers Preferred Securities Income Fund Class I (Cusip: #19248X-30-7)	Purchase	03/20/2020	$15,001 - $50,000
10	Northwestern Mutual-John Gibbons IRA FBO Rollover Mutual Fund Account- Blackrock Total Return Fund Class Institutional (Cusip: #09252M-88-3)	Purchase	03/20/2020	$15,001 - $50,000
11	Northwestern Mutual-John Gibbons IRA FBO Rollover Mutual Fund Account- Guggenheim Total Return Bond Fund Institutional Class (Cusip: # 40168W-52-5)	Purchase	03/20/2020	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
12	Northwestern Mutual-John Gibbons IRA FBO Rollover Mutual Fund Account- MFS Value Fund Class 1 (Cusip: #552983-69-4)	Purchase	03/20/2020	$15,001 - $50,000
13	Northwestern Mutual-John Gibbons IRA FBO Rollover Mutual Fund Account- New World Fund Class F-2 (Cusip: 649280-82-3)	Purchase	03/20/2020	$1,001 - $15,000
14	Northwestern Mutual-John Gibbons IRA FBO Rollover Mutual Fund Account- Microsoft Corp Com (Cusip: #594918-10-4)	Purchase	03/20/2020	$1,001 - $15,000
15	Northwestern Mutual- John Gibbons IRA FBO Rollover Mutual Fund Account- Vanguard BD Index FDS Vanguard Total BD Market ETF (Cusip # 921937-83-5)	Sale	03/20/2020	$50,001 - $100,000
16	Northwestern Mutual- John Gibbons IRA FBO Rollover Mutual Fund Account- Europacific Growth Fund Class F-2 (Cusip: 29875E-10-0)	Sale	03/20/2020	$1,001 - $15,000
17	Northwestern Mutual-John Gibbons IRA FBO Rollover Mutul Fund Account- IShares TR MSCI Emerging MKTS Index FD (Cusip: 464287-23-4)	Sale	03/20/2020	$1,001 - $15,000
18	Northwestern Mutual- John gibbons IRA FBO Rollover Mutual Fund Account- IShares TR MSCI Emerging MKTS Index FD (Cusip #464287-23-4)	Sale	03/20/2020	$1,001 - $15,000
19	Northwestern Mutual-John Gibbons IRA FBO Rollover Mutual Fund Account- IShares TR S&P 500 Value ETF (Cusip: #464287-40-8)	Sale	03/20/2020	$1,001 - $15,000
20	Northwestern Mutual-John Gibbons IRA FBO Rollover Mutual Fund Account- IShares TR S&P 500 Growth ETF	Sale	03/20/2020	$15,001 - $50,000
21	Northwestern Mutual-John Gibbons IRA FBO Rollover Mutual Fund Account- SPDR SER TR Bloomberg Barclays High Yield BD ETF New (Cusip: #78468R-62-2)	Sale	03/20/2020	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
22	Northwestern Mutual- John gibbons IRA FBO Rollover Mutual Fund Account-IShares TR MSCI EAFE ETF (Cusip: #464287-46-5)	Sale	03/20/2020	$1,001 - $15,000
23	Northwestern Mutual- John Gibbons IRA FBO Rollover Mutual Fund Account- Northern Small Cap Value Fund (Cusip: #665162-40-0)	Sale	03/20/2020	$1,001 - $15,000
24	Northwestern Mutual- John Gibbons IRA FBO Rollover Mutual Fund account- IShares TR PFD & Income SECS ETF (Cusip: #464288-68-7)	Sale	03/20/2020	$15,001 - $50,000
25	Northwestern Mutual- John Gibbons IRA FBO Rollover Mutual Fund Account- SPDR S&P 500 ETF TR TR Unit (Cusip: #78462F-10-3)	Sale	03/20/2020	$15,001 - $50,000
26	Northwestern Mutual- John Gibbons IRA FBO Rollover Mutual Fund account- Vanguard INTL FD FTSE Developed MKTS ETF	Sale	03/20/2020	$1,001 - $15,000
27	Northwestern Mutual-Spouse IRA FBO Rollover Mutual Fund Account-Apple Inc Com (Cusip:#037833-10-0)	Purchase	03/20/2020	$1,001 - $15,000
28	Northwestern Mutual-Spouse IRA FBO Rollover Mutual Fund Account- New Perspective Fund Class F-2 (Cusip: 648018-82-8)	Purchase	03/20/2020	$1,001 - $15,000
29	Northwestern Mutual-Spouse IRA FBO Rollover Mutual Fund account-Amazon Com Inc (Cusip: #023135-10-6)	Purchase	03/20/2020	$1,001 - $15,000
30	Northwestern Mutual- Spouse IRA FBO Rollover Mutual Fund Account- Blackrock IShares S&P 500 Index Fund Institutional Class (Cusip: 066923-55-8)	Purchase	03/20/2020	$1,001 - $15,000
31	Northwestern Mutual- Spouse IRA FBO Rollover Mutual Fund Account- Cohen & Steers Preferred Securities Income Fund Class 1	Purchase	03/20/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
32	Northwestern Mutual-Spouse IRA FBO Rollover Mutual Fund Account- IShares TR MSCI EAFE Minimum Volatility ETF (Cusip: 46429B-68-9)	Purchase	03/20/2020	$1,001 - $15,000
33	Northwestern Mutual- Spouse IRA FBO Rollover Mutual Fund account- Fidelity Advisor International Growth Fund Class 1 UCusip: 315910-37-2)	Purchase	03/20/2020	$1,001 - $15,000
34	Northwestern Mutual-Spouse IRA FBO Rollover Mutual Fund Account- FMI International Fund Institutional Class (Cusip: 302933-70-0)	Purchase	03/20/2020	$1,001 - $15,000
35	Northwestern Mutual- Spouse IRA FBO Rollover Mutual Fund account- Guggenheim Total Return Bond Fund Institutional Class (Cusip: 40168W-52-5)	Purchase	03/20/2020	$1,001 - $15,000
36	Northwestern Mutual-Spouse IRA FBO Rollover Mutual Fund Account-MFS Value Fund Class 1	Purchase	03/20/2020	$1,001 - $15,000
37	Northwestern Mutual- Spouse IRA FBO Rollover Mutual Fund Account- Microsoft Corp Com (Cusip: 594918-10-4)	Purchase	03/20/2020	$1,001 - $15,000
38	Northwestern Mutual- Spouse IRA FBO Rollover Mutual Fund Account- Blackrock Total Return Fund Class Institutional (Cusip: 09252M-88-3)	Purchase	03/20/2020	$1,001 - $15,000
39	Northwestern Mutual- Spouse IRA FBO Rollover Mutual Fund Account- New World Fund Class F-2 (Cusip: 649280-82-3)	Purchase	03/20/2020	$1,001 - $15,000
40	Northwestern Mutual- Spouse IRA FBO Rollover Mutual Fund Account- American Century Diversified Bond Investor Class (Cusip:024932-40-2)	Sale	03/20/2020	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
41	Northwestern Mutual-John Gibbons IRA FBO Rollover Mutual Fund Account-Apple Inc Com (Cusip: #037833-10-0)	Purchase	03/20/2020	$1,001 - $15,000
42	Northwestern Mutual- Spouse IRA FBO Rollover Mutual Fund Account- Europacific Growth Fund Class F-2 (cisip: 29875E-10-0)	Sale	03/20/2020	$1,001 - $15,000
43	Northwestern Mutual- Spouse IRA FBO Rollover Mutual Fund Account-Vanguard BD Index FDS Vanguard Total BD Market ETF (Cusip: 921937-83-5)	Sale	03/20/2020	$15,001 - $50,000
44	Northwestern Mutual- Spouse IRA FBO Rollover Mutual Fund Account- IShares TR MSCI Emerging MKTS Index FD (Cusip: 464287-23-4)	Sale	03/20/2020	$1,001 - $15,000
45	Northwestern Mutual- Spouse IRA FBO Rollover Mutual Fund Account- IShares TR MSCI EAFE ETF (Cusip: 464287-46-5)	Sale	03/20/2020	$1,001 - $15,000
46	Northwestern Mutual-Spouse IRA FBO Rollover Mutual Fund Account- IShares TR S&P 500 Value ETF (Cusip: 464287-40-8)	Sale	03/20/2020	$1,001 - $15,000
47	Northwestern Mutual-Spouse IRA FBO Rollover Mutual Fund Account- IShares TR S&P 500 Growth ETF (Cusip: 464287-30-9)	Sale	03/20/2020	$1,001 - $15,000
48	Northwestern Mutual- Spouse IRA FBO Rollover Mutual Fund account- SPDR SER TR Bloomberg Barclays High Yield BD ETF New (Cusip: 78468R-62-2)	Sale	03/20/2020	$1,001 - $15,000
49	Northwestern Mutual-Spouse IRA FBO Rollover Mutual Fund account- Northern Small Cap Value Fund (Cusip: 665162-40-0)	Sale	03/20/2020	$1,001 - $15,000
50	Northwestern Mutual- Spouse IRA FBO Rollover Mutual Fund account- SPDR S&P 500 ETF TR TR Unit (Cusip: 78462F-10-3)	Sale	03/20/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
51	Northwestern Mutual- Spouse IRA FBO Rollover Mutual Fund account- Vanguard INTL FD FTSE Developed MKTS ETF	Sale	03/20/2020	$1,001 - $15,000
52	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-John Hancock Disciplined Value Fund Class 1 N/L (JVLIX)	Purchase	03/05/2020	$1,001 - $15,000
53	Northwestern Mutual-John Gibbons IRA FBO Rollover Mutual Fund Account - AB Global Bond Fund Advisor Class (Cusip: 01853W-70-9)	Purchase	03/20/2020	$15,001 - $50,000
54	Northwestern Mutual- Spouse IRA FBO Rollover Mutual Fund Account-AB Global Bond Fund Advisor Class (Cusip: 01853W-70-9)	Purchase	03/20/2020	$1,001 - $15,000
55	Raymond James-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- Metropolitan West Total Return Bond Fund Class 1 N/L	Sale	03/05/2020	$1,001 - $15,000
56	Northwestern Mutual-Spouse IRA FBO Rollover Mutual Account- Principal Smallcap S&P 600 Index Fund Class 1	Purchase	03/20/2020	$1,001 - $15,000
57	Northwestern Mutual-John Gibbons IRA FBO Rollover Mutual Fund Account- Principal Smallcap S&P 600 Index Fund Class 1	Purchase	03/20/2020	$1,001 - $15,000
58	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-Baird Aggregate Bond Fund Instl Class N/L	Sale	04/06/2020	$1,001 - $15,000
59	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund-Wasatch Small Cap Growth Fund Inst Class N/L	Purchase	04/06/2020	$1,001 - $15,000
60	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund Account-Metropolitan West Total Return Bond Fund Class I N/L	Sale	04/06/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
61	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund Account- Metropolitan West Total Return Bond Fund Class I N/L	Sale	04/06/2020	$1,001 - $15,000
62	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund-Pimco Low Duration Fun Class I2 N/L	Sale	04/06/2020	$1,001 - $15,000
63	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-Metrpolitan West Total Return Bond Fund Class I N/L	Sale	04/06/2020	$1,001 - $15,000
64	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund-John Hancock Disciplined Value Fund Class I N/L	Purchase	04/06/2020	$1,001 - $15,000
65	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund Account- Brown Advisory Growth Equity Fund Institutional Shares N/L	Sale	04/06/2020	$1,001 - $15,000
66	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund Account-Baird Aggregate Bond Fund Instl Class N/L	Sale	04/06/2020	$1,001 - $15,000
67	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-Wells Fargo Special Mid Cap Value FD Class L N/L	Purchase	04/06/2020	$1,001 - $15,000
68	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund Account-Brown Advisory Growth Equity Fund Institutional Shares N/L	Sale	04/06/2020	$1,001 - $15,000
69	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- Baird Aggregate Bond Fund Instl Class N/L (BAGIX)	Purchase	05/06/2020	$1,001 - $15,000
70	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund account- Harding Loevner Emerg Markets Port Fund Advisor CL N/L (HLEMX)	Sale	05/05/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
71	Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- Clarkston Partners Fund Institutional Class N/L (CISMX)	Sale	05/05/2020	$1,001 - $15,000
72	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-Columbia Dividend Income Fund Inst CL N/L (GSFTX)	Purchase	05/06/2020	$1,001 - $15,000
73	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- T. Rowe Price U.S. Equity Research FD Invest CLS N/L (PRCOX)	Purchase	05/06/2020	$1,001 - $15,000
74	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- Hartford Midcap Fund Class l N/L (HFMIX)	Purchase	05/06/2020	$1,001 - $15,000
75	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-MFS International Growth Fund Class l N/L (MQGIX)	Sale	05/05/2020	$1,001 - $15,000
76	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-Europacific Growth Fund Class F2-American Funds N/L (AEPFX)	Sale	05/05/2020	$1,001 - $15,000
77	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-John Hancock Disciplined Value Fund Class l N/L (JVLIX)	Sale	05/05/2020	$15,001 - $50,000
78	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- Wasatch Small Cap Growth Fund Inst Class N/L (WIAEX)	Sale	05/05/2020	$1,001 - $15,000
79	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- Wells Fargo Special Mid Cap Value FD Class N/L (WFMIX)	Sale	05/05/2020	$1,001 - $15,000
80	Raymond James Gibbons JointFreedom Bal w/Growth Mutual Fund Account-Wells Fargo International Value Fund Class 1 N/L (WFVIX)	Sale	05/05/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
81	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-SEI U.S. Managed Volatility Fund Class Y N/L (SUSYX)	Sale	05/05/2020	$1,001 - $15,000
82	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- Victory Trivalent Intl Small-Cap Fund Class Y N/L (MYSIX)	Sale	05/05/2020	$1,001 - $15,000
83	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- Pimco Low Duration Fund Class I2 N/L (PLDPX)	Sale	05/05/2020	$1,001 - $15,000
84	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- Clarkston Partners Fund Institutional Class N/L (CISMX)	Sale	05/05/2020	$1,001 - $15,000
85	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- Europacific Growth Fund Class F2- American Funds N/L (AEPFX)	Sale	05/05/2020	$1,001 - $15,000
86	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- AMG River Road Small Cap Value Fund Class I N/L (ARSIX)	Purchase	05/07/2020	$1,001 - $15,000
87	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- John Hancock Disciplined Value Fund Class I N/L (JVLIX)	Sale	05/05/2020	$15,001 - $50,000
88	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- AB High Income Fund Advisor Shares N/L (AGDYX)	Purchase	05/07/2020	$15,001 - $50,000
89	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- Bond Fund of America Class F2- American Funds N/L (ABNFX)	Purchase	05/07/2020	$15,001 - $50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
90	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- Harding Loevner Emerg Markets Port Fund Advisor CL N/L (HLEMX)	Sale	05/05/2020	$1,001 - $15,000
91	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- Pimco Low Duration Fund Class l2 N/L (PLDPX)	Sale	05/05/2020	$1,001 - $15,000
92	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- asatch Small Cap Growth Fund Inst Class N/L (WIAEX)	Sale	05/05/2020	$1,001 - $15,000
93	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual FundAccount- Victory Trivalent Instl Small-Cap Fund Class Y N/L (MYSIX)	Sale	05/05/2020	$1,001 - $15,000
94	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- MFS International Growth Fund Class l N/L (MQGIX)	Sale	05/05/2020	$1,001 - $15,000
95	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- SEI U.S. Managed Volatility Fund Class Y N/L (SUSYX)	Sale	05/05/2020	$1,001 - $15,000
96	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account- Wells Fargo Special Mid Cap Value FD Class l N/L (WFMIX)	Sale	05/05/2020	$1,001 - $15,000
97	Raymond James John IRA Freedom Bal w/Growth Mutual Fund account- Europacific Growth Fund Class F2- American Funds N/L (AEPFX)	Sale	05/07/2020	$1,001 - $15,000
98	Raymond James John IRA Freedom Bal w/Growth Mutual Fund Account- Clarkston Partners Fund Institutional Class N/L (CISMX)	Sale	05/07/2020	$1,001 - $15,000
99	Raymond James Gibbons Joint Freedom Bal w/Growth- Wells Fargo International Value Fund Class l N/L (WFVIX)	Sale	05/05/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
100	Raymond James John IRA Freedom Bal w/Growth Mutual Fund Account- Harding Loevner Emerg Markets Port Fund Advisor CL N/L (HLEMX)	Sale	05/07/2020	$1,001 - $15,000
101	Raymond James Spouse IRA Freedom Bal w/Growth Mutual Fund Account- Europacific Growth Fund Class F2- American Funds N/L (AEPFX)	Sale	05/07/2020	$1,001 - $15,000
102	Raymond James Spouse IRA Freedom Bal w/Growth Mutual Fund Account- Clarkston Partners Fund Institutional Class N/L (CISMX)	Sale	05/07/2020	$1,001 - $15,000
103	Raymond James John IRA Freedom Bal w/Growth Mutual Fund Account- Victory Trivalent Intl Small-Cap Fund Class Y N/L (MYSIX)	Sale	05/07/2020	$1,001 - $15,000
104	Raymond James Spouse Freedom Bal w/Growth Mutual Fund Account- Harding Loevner Emerg Markets Port Fund Advisor CL N/L (HLEMX)	Sale	05/07/2020	$1,001 - $15,000
105	Raymond James Spouse IRA Freedom Bal w/Growth Mutual Fund Account- Victory Trivalent Intl Small-Cap Fund Class Y N/L (MYSIX)	Sale	05/07/2020	$1,001 - $15,000
106	Raymond James Spouse Freedom Bal w/Growth Mutual Fund Account- T. Rowe Price U.S. Equity Research FD Invest CLS N/L (PRCOX)	Sale	05/07/2020	$1,001 - $15,000
107	Raymond James- John IRA Freedom Bal w/Groh Mutual Fund Account- Wells Fargo Special Mid Cap Value FD Class I N/L	Sale	05/07/2020	$1,001 - $15,000
108	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund Account- Pimco Low Duration Fund Class I2 N/L	Sale	05/07/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
109	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund Account- Wells Fargo International Value Fund Class I N/L	Sale	05/07/2020	$1,001 - $15,000
110	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund Account-MFS International Growth Fund Class I N/L	Sale	05/07/2020	$1,001 - $15,000
111	Raymond James Gibbons Joint Freedom Bal w/Growth Mutual Fund Account-Vanguard Long Term Investment Grade Fund Admiral Shares N/L	Purchase	05/08/2020	$15,001 - $50,000
112	Raymond James- John IRA Freedom Bal w/Growth Mutual Fund Account- Wasatch Small Cap Growth Fund Inst Class N/L	Sale	05/07/2020	$1,001 - $15,000
113	Raymond James- Spouse IRA Freedom Bal w/Growth Mutual Fund Account- Pimco Low Duration Fund Class I2 N/L	Sale	05/07/2020	$1,001 - $15,000
114	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund Account- SEI U.S. Managed Volatility Fund Class Y N/L	Sale	05/07/2020	$1,001 - $15,000
115	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund Account- SEI U.S. Managed Volatility Fund Class Y N/L	Sale	05/07/2020	$1,001 - $15,000
116	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund Account- Wasatch Small Cap Growth Fund Inst Class N/L	Sale	05/07/2020	$1,001 - $15,000
117	Raymond James Gibbons Joint Freedom Bal w/Growth-Touchstone Mid Cap Fund Class Y N/L	Purchase	05/08/2020	$1,001 - $15,000
118	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund Account- MFS International Growth Fund Class I N/L	Sale	05/07/2020	$1,001 - $15,000
119	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund Account- AB High Income Fund Advisor Shares N/L	Purchase	05/12/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
120	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund Account- Brown Advisory Growth Equity Fund Institutional Shares N/L	Purchase	05/11/2020	$1,001 - $15,000
121	Raymond James- Spouse IRA Freedom Bal w/Growth Mutual Fund Account- AB High Income Fund Advisor Shares N/L	Purchase	05/12/2020	$1,001 - $15,000
122	Raymond James- John IRA Freedom Bal w/Growth Mutual Fund Account- Baird Aggregate Bond Fund Instl Class N/L	Purchase	05/11/2020	$1,001 - $15,000
123	Raymond James- John IRA Freedom Bal w/Growth Mutual Fund Account- Columbia Dividend Income Fund Inst CL N/L	Purchase	05/11/2020	$1,001 - $15,000
124	Raymond James- John IRA Freedom Bal w/Growth Mutual Fund Account- MFS Research Fund Class l N/L	Purchase	05/11/2020	$1,001 - $15,000
125	Raymond James- Spouse IRA Freedom Bal w/Growth Mutual Fund Account- Baird Aggregate Bond Fund Instl Class N/L	Purchase	05/11/2020	$1,001 - $15,000
126	Raymond James-Spouse IRA Freedom Bal w/Growth Mutual Fund Account- Columbia Dividend Income Fund Int CL N/L	Purchase	05/11/2020	$1,001 - $15,000
127	Raymond James- John IRA Freedom Bal w/Growth Mutual Fund Account- T. Rowe Price U.S. Equity Research FD Invest CLS N/L	Purchase	05/11/2020	$1,001 - $15,000
128	Raymond James- Spouse IRA Freedom Bal w/Growth Mutual Fund Account- MFS Research Fund Class l N/L	Purchase	05/11/2020	$1,001 - $15,000
129	Raymond James- Spouse IRA Freedom Bal w/Growth Mutual Fund Account- Akre Focus Fund Institutional Class N/L	Sale	05/11/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
130	Raymond James- Spouse IRA Freedom Bal w/Growth Mutual Fund Account- Wells Fargo Special Mid Cap Value FD Class I N/L	Purchase	05/11/2020	$1,001 - $15,000
131	Raymond James- Spouse IRA Freedom Bal w/Growth Mutual Fund Account- Wells Fargo International Value Fund Class I N/L	Sale	05/11/2020	$1,001 - $15,000
132	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund Account- MFS Research Fund	Purchase	05/20/2020	$1,001 - $15,000
133	Raymond James-Gibbons Joint Freedom Bal w/Growth-MFS Research Fund Class I N/L	Purchase	07/06/2020	$1,001 - $15,000
134	Raymond James-Gibbons Joint Freedom Bal w/Growth- Bond Fund of America Class F2- American Funds N/L	Purchase	07/06/2020	$1,001 - $15,000
135	Raymond James Financial Services-John IRA Freedom Bal w/Growth Mutual Fund Account #54767076:Brown Advisory Growth Equity Fund Institutional Shares N/L	Sale	09/01/2020	$15,001 - $50,000
136	Raymond James-John IRA Freedom Bal w/Growth Mutual Fund Account #54767076: Brown Advisory Sustainable BD Fund Institutional Shares N/L	Purchase	09/01/2020	$15,001 - $50,000
137	Raymond James Financial Services-John IRA Freedom Bal w/growth Mutual Fund Account #54767076: MFS Research Fund Class I N/L	Sale	09/01/2020	$15,001 - $50,000
138	Raymond James Financial Services-John IRA Freedom Bal w/Growth Mutual Fund Account #54767076: MFS Total Return Bond Fund Class I N/L	Purchase	09/01/2020	$15,001 - $50,000
139	Raymond James Financial Services-Shelby IRA Mutual Fund Account #54767142: Brown Advisory Growth Equity Fund Institutional Shares N/L	Sale	09/01/2020	$1,001 - $15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
140	Raymond James Financial Services-Shelby IRA Mutual Fund Account #54767142:Brown Advisory Sustainable BD Fund Institutional Shares N/L	Purchase	09/01/2020	$1,001 - $15,000
141	Raymond James Financial Services-Shelby IRA Mutual Fund Account #54767142:MFS: MFS Research Fund Class I N/L	Sale	09/01/2020	$1,001 - $15,000
142	Raymond James Financial Services-Shelby IRA Mutual Fund Account #54767142: MFS Total Return Bond Fund Class I N/L	Purchase	09/01/2020	$1,001 - $15,000
143	Raymond James Financial Services-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account - Hartford Mid Cap Fund Class 1 N/L (HFMIX)	Purchase	12/11/2020	$1,001 - $15,000
144	Raymond James Financial Services-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account - Brown Advisory Growth Equity Fund Institutional Shares N/L (BAFGX)	Purchase	12/17/2020	$1,001 - $15,000
145	Raymond James Financial Services-Gibbons Joint Freedom Bal w/Growth Mutual Fund Account - MFS Research Fund Class 1 (MRFIX)	Purchase	12/11/2020	$1,001 - $15,000

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Roundpoint Mortgage Servicing Corporation	Mortgage on Personal Residence	$250,001 - $500,000	2018	4.875	30 Years

9. Gifts and Travel Reimbursements

None

Endnotes

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

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

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

Privacy Act Statement

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

Public Burden Information

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