

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

Filer's Information

Kemper, Rufus Crosby

Director, Institute of Museum and Library Services

Other Federal Government Positions Held During the Preceding 12 Months:

None

Names of Congressional Committees Considering Nomination:

- **Committee on Health, Education, Labor, and Pensions**
-

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/ Kemper, Rufus Crosby [electronically signed on 08/04/2019 by Kemper, Rufus Crosby 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/ Bakale, Amanda, Certifying Official [electronically signed on 11/21/2019 by Bakale, Amanda in Integrity.gov]

Other review conducted by

/s/ Bakale, Amanda, Ethics Official [electronically signed on 11/21/2019 by Bakale, Amanda in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 11/22/2019 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

| # | ORGANIZATION NAME | CITY, STATE | ORGANIZATION TYPE | POSITION HELD | FROM | TO |
|---|--|----------------------------------|-------------------|--|--------|---------|
| 1 | The Kansas City Public Library | Kansas City, Missouri | Public library | Director/CEO | 1/2005 | Present |
| 2 | R. C. Kemper, Jr. Charitable Trust | Kansas City, Missouri | Trust | Trustee | 9/2013 | Present |
| 3 | Show Me Institute (Think Tank) | St. Louis, Missouri | Non-Profit | Chairman of the Board | 9/2005 | Present |
| 4 | School Health Care and Libraries Broadband Coalition | Washington, District of Columbia | Non-Profit | Chairman of the Board | 1/2017 | 8/2019 |
| 5 | Union Station Kansas City (Exhibition Space) | Kansas City, Missouri | Non-Profit | Board Member (Finance & Audit Committee) | 1/2013 | Present |
| 6 | The Rabbit Hole: National Center for the Children's Book (Creation of Museums) | Kansas City, Missouri | Non-Profit | Board Member | 9/2015 | Present |

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

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|--|-----|-------|-------------|---------------------------|
| 1 | Kansas City Public School System, defined benefit plan (value not readily ascertainable): eligible for \$4,670/mo. upon retirement | N/A | | | None (or less than \$201) |
| 2 | Kansas City Public Library | N/A | | Salary | \$335,723 |
| 3 | IRA #1 | No | | | |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|-----------------------|--------------|---------------------------|
| 3.1 | Fidelity Treasury MMKT (FDUXX) | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 3.2 | UMB Financial Corporation (UMBF) | N/A | \$100,001 - \$250,000 | | None (or less than \$201) |
| 4 | R. C. Kemper Jr. Charitable Trust | N/A | | Trustee Fees | \$82,541 |
| 5 | Kansas City PBS, TV Appearances on Ruckus | N/A | | | |
| 5.1 | TV Appearance - 3/29/2018 | N/A | | Honorarium | \$50 |
| 5.2 | TV Appearance - 4/19/2018 | N/A | | Honorarium | \$50 |
| 5.3 | TV Appearance - 5/3/2018 | N/A | | Honorarium | \$50 |
| 5.4 | TV Appearance - 8/30/2018 | N/A | | Honorarium | \$50 |
| 5.5 | TV Appearance - 9/13/2018 | N/A | | Honorarium | \$50 |
| 5.6 | TV Appearance - 11/1/2018 | N/A | | Honorarium | \$50 |
| 5.7 | TV Appearance - 12/20/2018 | N/A | | Honorarium | \$50 |
| 5.8 | TV Appearance - 1/10/2019 | N/A | | Honorarium | \$50 |
| 5.9 | TV Appearance - 2/14/2019 | N/A | | Honorarium | \$50 |
| 5.10 | TV Appearance - 3/28/2019 | N/A | | Honorarium | \$50 |
| 5.11 | TV Appearance - 4/18/2019 | N/A | | Honorarium | \$50 |
| 5.12 | TV Appearance - 2/1/2018 | N/A | | Honorarium | \$50 |

3. Filer's Employment Agreements and Arrangements

| # | EMPLOYER OR PARTY | CITY, STATE | STATUS AND TERMS | DATE |
|---|--------------------------------------|-----------------------|---|--------|
| 1 | The Kansas City Public School System | Kansas City, Missouri | I will continue to participate in the KSPL defined benefit plan. Upon retirement, I will begin receiving a monthly pension. | 9/2005 |

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

| # | SOURCE NAME | CITY, STATE | BRIEF DESCRIPTION OF DUTIES |
|---|--|-----------------------|-----------------------------|
| 1 | Kansas City Public Library | Kansas City, Missouri | Director/CEO |
| 2 | R.C. Kemper, Jr., Charitable Trust (Family Trust #1) | Kansas City, Missouri | Trustee |

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

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-----|--|-----|-----------------------|-------------|---------------------------|
| 1 | Lyric Opera of Kansas City | N/A | | salary | |
| 2 | Lyric Opera Retirement Plan - Great-West Lifetime 2015 (MXABX) | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 3 | IRA #2 | | | | |
| 3.1 | Fidelity Government Cash Reserves (FDRXX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3.2 | Apple Inc. - Common Stock (AAPL) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 3.3 | Amazon.com, Inc. (AMZN) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3.4 | Fidelity Value Fund (FDVLX) | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|-----------------------|-------------|---------------------------|
| 3.5 | Fidelity GNMA Fund (FGMNX) | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 3.6 | Fidelity 500 Index Fund (FXAIX) | Yes | \$100,001 - \$250,000 | | None (or less than \$201) |
| 3.7 | Gabelli Small Cap Growth Fund Class AAA (GABSX) | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 3.8 | JP Morgan Chase & Co (JPM) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3.9 | lululemon athletica inc. (LULU) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 3.10 | BlackRock Basic Value Inv A (MDBAX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3.11 | BlackRock Capital Appreciation Inv A (MDFGX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3.12 | BlackRock Global Allocation Inv A (MDLOX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3.13 | Merck & Co Inc (MRK) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 3.14 | NVIDIA Corps (NVDA) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3.15 | AT&T Inc (T) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 3.16 | Exxon Mobil Corp (XOM) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |

6. Other Assets and Income

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|-------------------------|----------------------------|---------------------------|
| 1 | Investment Account #1: | No | | | |
| 1.1 | Fidelity Treasury Money Market (FDUXX) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 1.2 | UMB Financial Corp (UMBF) | N/A | \$500,001 - \$1,000,000 | Dividends | \$15,001 - \$50,000 |
| 2 | Investment Account #2: | No | | | |
| 2.1 | Abbott Laboratories (ABT) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 2.2 | Accenture plc (ACN) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 2.3 | Alphabet Inc Class A (GOOGL) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 2.4 | Amazon Com Inc (AMZN) | N/A | \$15,001 - \$50,000 | Capital Gains | \$1,001 - \$2,500 |
| 2.5 | Apple Inc. (AAPL) | N/A | \$15,001 - \$50,000 | Dividends Capital Gains | \$2,501 - \$5,000 |
| 2.6 | AT&T Inc (T) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 2.7 | Bank of America Corp (BAC) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 2.8 | Becton Dickinson & Co (BDX) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$201 - \$1,000 |
| 2.9 | BlackRock Inc (BLK) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 2.10 | Boeing Co (BA) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$2,501 - \$5,000 |
| 2.11 | Brown-Forman Corp B BF.B | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | None (or less than \$201) |
| 2.12 | Chevron Corp (CVX) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 2.13 | CME Group Inc (CME) | N/A | \$15,001 - \$50,000 | Dividends Capital Gains | \$2,501 - \$5,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|-------------------------------|-----|---------------------|----------------------------|---------------------------|
| 2.14 | Costco Wholesale Corp (COST) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$2,501 - \$5,000 |
| 2.15 | Walt Disney Co (DIS) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 2.16 | Duke Energy Corp (DUK) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$201 - \$1,000 |
| 2.17 | Eaton Corp plc (ETN) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$1,001 - \$2,500 |
| 2.18 | Ecolab Inc (ECL) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$1,001 - \$2,500 |
| 2.19 | Exxon Mobil Corp (XOM) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 2.20 | Facebook, Inc. - Class A (FB) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 2.21 | Genuine Parts Co (GPC) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 2.22 | Home Depot Inc (HD) | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 2.23 | Honeywell Intl Inc (HON) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 2.24 | Intel Corp (INTC) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$1,001 - \$2,500 |
| 2.25 | Intuit Inc (INTU) | N/A | \$15,001 - \$50,000 | Dividends Capital Gains | \$1,001 - \$2,500 |
| 2.26 | Johnson & Johnson (JNJ) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 2.27 | JP Morgan Chase & Co (JPM) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$2,501 - \$5,000 |
| 2.28 | Linde Public Limited Co (LIN) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|--------|---|-----|-----------------------------|----------------------------|---------------------------|
| 2.29 | Mastercard Inc A (MA) | N/A | \$15,001 - \$50,000 | Dividends Capital Gains | \$2,501 - \$5,000 |
| 2.30 | Merck & Co Inc (MRK) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 2.31 | Microsoft Corp (MSFT) | N/A | \$15,001 - \$50,000 | Dividends Capital Gains | \$5,001 - \$15,000 |
| 2.32 | Morgan Stanley (MS) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$2,501 - \$5,000 |
| 2.33 | NextEra Energy Inc (NEE) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$1,001 - \$2,500 |
| 2.34 | PepsiCo Inc (PEP) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 2.35 | Pfizer Inc (PFE) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 2.36 | Pioneer Service Corp (holding company) | No | | | |
| 2.36.1 | BP plc (BP) | N/A | None (or less than \$1,001) | Dividends | None (or less than \$201) |
| 2.36.2 | Commerce Bancshares (CBSH) | N/A | None (or less than \$1,001) | Dividends | None (or less than \$201) |
| 2.36.3 | Tower Properties Company (TOWP) | N/A | None (or less than \$1,001) | | None (or less than \$201) |
| 2.36.4 | UMB Financial Corporation (UMBF) | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 2.36.5 | Federated Treasury Obligations Fund #68 (TOIXX) | Yes | None (or less than \$1,001) | | None (or less than \$201) |
| 2.36.6 | Commercial real estate, Kansas City, MO | N/A | None (or less than \$1,001) | Rent or Royalties | None (or less than \$201) |
| 2.36.7 | Commercial real estate, Kansas City, MO | N/A | None (or less than \$1,001) | Rent or Royalties | None (or less than \$201) |
| 2.37 | Procter & Gamble (PG) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|-------------------------|----------------------------|---------------------------|
| 2.38 | Raytheon Co (RTN) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 2.39 | Salesforce.com (CRM) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 2.40 | Simon Property Group (SPG) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 2.41 | Southwest Airlines Co (LUV) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 2.42 | Starbucks Corp (SBUX) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$201 - \$1,000 |
| 2.43 | Target Corp (TGT) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 2.44 | Texas Instruments Inc (TXN) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 2.45 | UMB Financial Corporation (UMBF) | N/A | \$500,001 - \$1,000,000 | Dividends | \$15,001 - \$50,000 |
| 2.46 | Union Pacific Corp (UNP) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 2.47 | United Health Group Inc (UNH) | N/A | \$1,001 - \$15,000 | Capital Gains Dividends | \$5,001 - \$15,000 |
| 2.48 | V F Corp (VFC) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$201 - \$1,000 |
| 2.49 | Ventas Inc (VTR) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$1,001 - \$2,500 |
| 2.50 | Verizon Communications Inc (VZ) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 2.51 | Wal-Mart Stores (WMT) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 2.52 | Carillon Eagle Small Cap Growth Fund I (HSIIX) | Yes | \$15,001 - \$50,000 | | \$5,001 - \$15,000 |
| 2.53 | Carillon Scout Mid Cap Fd CL I (UMBMX) | Yes | \$15,001 - \$50,000 | | \$2,501 - \$5,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|---------------------|----------------------------|---------------------------|
| 2.54 | Champlain Mid Cap - I (CIPIX) | Yes | \$15,001 - \$50,000 | | \$2,501 - \$5,000 |
| 2.55 | Driehaus Small Cap Growth Fund Instl. (DNSMX) | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 2.56 | iShares Core S&P Mid-Cap ETF (IJH) | Yes | \$15,001 - \$50,000 | | \$5,001 - \$15,000 |
| 2.57 | iShares Core S&P Small-Cap ETF | Yes | \$15,001 - \$50,000 | | \$2,501 - \$5,000 |
| 2.58 | Federated Treasury Obligations Fund #68 Money Market(TOIXX) | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 2.59 | Cisco Systems Inc (CSCO) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 2.60 | Amgen Inc (AMGN) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$201 - \$1,000 |
| 2.61 | Citigroup Inc (C) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 2.62 | FedEx Corp (FDX) | N/A | \$15,001 - \$50,000 | Dividends | None (or less than \$201) |
| 2.63 | Halliburton Co (HAL) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 2.64 | HP Inc (HQP) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 2.65 | Lockheed Martin (LMT) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$1,001 - \$2,500 |
| 2.66 | Marriot Intl inc new (MAR) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$1,001 - \$2,500 |
| 2.67 | Occidental Petroleum (OXY) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$201 - \$1,000 |
| 2.68 | Praxair Inc (PX) | N/A | \$1,001 - \$15,000 | Capital Gains Dividends | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|----------------------|----------------------------|---------------------------|
| 2.69 | Total S A (TOT) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$201 - \$1,000 |
| 2.70 | Weyerhaeuser Co (WY) | N/A | \$1,001 - \$15,000 | Capital Gains | \$201 - \$1,000 |
| 2.71 | CVS Health Corp. (CVS) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 2.72 | 3M Co (MMM) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$1,001 - \$2,500 |
| 2.73 | AbbVie Inc. (ABBV) | N/A | \$1,001 - \$15,000 | Dividends | \$2,501 - \$5,000 |
| 2.74 | Avon Grove Sch Dist PA Chester Cnty DTD, bonds | N/A | \$15,001 - \$50,000 | Interest | None (or less than \$201) |
| 2.75 | Carnival Corp (CCL) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 2.76 | Cummins Inc (CMI) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$201 - \$1,000 |
| 2.77 | DowDuPont (DWDP) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$5,001 - \$15,000 |
| 2.78 | Gilead Sciences Inc (GILD) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 2.79 | iShares MSCI EAFE Index (EFA) | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 2.80 | Kontoor Brands, Inc. (KTB) | N/A | \$1,001 - \$15,000 | Capital Gains | None (or less than \$201) |
| 2.81 | Oakmark International Fund (OAKIX) | Yes | \$50,001 - \$100,000 | | \$201 - \$1,000 |
| 2.82 | Oracle Corp (ORCL) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | None (or less than \$201) |
| 2.83 | Principal Financial Group (PFG) | N/A | \$1,001 - \$15,000 | Capital Gains | \$1,001 - \$2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|-------------------------|-------------------|---------------------------|
| 2.84 | St Louis Cnty MO Pattonville USC #R-3, bonds | N/A | \$15,001 - \$50,000 | Interest | None (or less than \$201) |
| 2.85 | St Peters MO DTD, bonds | N/A | \$15,001 - \$50,000 | Interest | None (or less than \$201) |
| 2.86 | Walhausen Small Cap Value Fund (WSCVX) | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 3 | Cash Account - US bank | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 4 | Cash Account - US bank | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 5 | Cash Account - US bank | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 6 | Pioneer Service Corporation (holding company) | No | | | |
| 6.1 | BP Plc (BP) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 6.2 | Commerce Bancshares (CBSH) | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 6.3 | Tower Properties Company (TOWP) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 6.4 | UMB Financial Corporation (UMBF) | N/A | \$500,001 - \$1,000,000 | Dividends | \$5,001 - \$15,000 |
| 6.5 | Federated Treasury Obligations Fund #68 (TOIXX) | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 6.6 | Commercial real estate, Kansas City, MO | N/A | \$1,001 - \$15,000 | Rent or Royalties | \$1,001 - \$2,500 |
| 6.7 | Commercial real estate, Kansas City, MO | N/A | \$1,001 - \$15,000 | Rent or Royalties | \$1,001 - \$2,500 |
| 7 | Kemper Realty Company (holding company) | | | | |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---|-----|-----------------------------|----------------------------|---------------------------|
| 7.1 | Pioneer Service Corp (holding company) | No | | | |
| 7.1.1 | BP Plc (BP) | N/A | None (or less than \$1,001) | Dividends | None (or less than \$201) |
| 7.1.2 | Commerce Bancshares (CBSH) | N/A | None (or less than \$1,001) | Dividends | None (or less than \$201) |
| 7.1.3 | Tower Properties Company (TOWP) | N/A | None (or less than \$1,001) | | None (or less than \$201) |
| 7.1.4 | UMB Financial Corporation (UMBF) | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 7.1.5 | Federated Treasury Obligations Fund #68 (TOIXX) | Yes | None (or less than \$1,001) | | None (or less than \$201) |
| 7.1.6 | Commercial real estate, Kansas City, MO | N/A | None (or less than \$1,001) | Rent or Royalties | None (or less than \$201) |
| 7.1.7 | Commercial real estate, Kansas City, MO | N/A | None (or less than \$1,001) | Rent or Royalties | None (or less than \$201) |
| 7.2 | UMB Financial Corporation (UMBF) | N/A | \$250,001 - \$500,000 | Dividends | \$5,001 - \$15,000 |
| 7.3 | Williams Companies Inc (WMB) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 7.4 | Tortoise Energy Infrastructure Corp. (TYG) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 7.5 | Federated Treasury Obligation Fund #68 (TOIXX) | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 8 | Family Trust #1: | | | | |
| 8.1 | Abbott Laboratories (ABT) | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 8.2 | Accenture plc (ACN) | N/A | \$15,001 - \$50,000 | Dividends Capital Gains | \$1,001 - \$2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---------------------------------|-----|---------------------|----------------------------|---------------------------|
| 8.3 | Alphabet Inc Class A (GOOGL) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 8.4 | Amazon Com Inc (AMZN) | N/A | \$15,001 - \$50,000 | | None (or less than \$201) |
| 8.5 | Appl Inc (AAPL) | 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 America Corp (BAC) | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 8.8 | BB&T Corp (BBT) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.9 | Becton Dickinson & Co (BDX) | N/A | \$15,001 - \$50,000 | Dividends | None (or less than \$201) |
| 8.10 | BlackRock Inc (BLK) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 8.11 | Boeing Co (BA) | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 8.12 | Brown Forman Corporation (BF/B) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.13 | Chevron Corp (CVX) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 8.14 | Cisco Systems Inc (CSCO) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.15 | CME Group Inc (CME) | N/A | \$15,001 - \$50,000 | Dividends Capital Gains | \$2,501 - \$5,000 |
| 8.16 | Costco Wholesale Corp (COST) | N/A | \$15,001 - \$50,000 | Dividends Capital Gains | \$2,501 - \$5,000 |
| 8.17 | Walt Disney Co (DIS) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|-------------------------------|-----|---------------------|----------------------------|---------------------------|
| 8.18 | Eaton Corp plc (ETN) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$2,501 - \$5,000 |
| 8.19 | Ecolab Inc (ECL) | N/A | \$15,001 - \$50,000 | Dividends | None (or less than \$201) |
| 8.20 | Exxon Mobil Corp (XOM) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 8.21 | Facebook, Inc. - Class A (FB) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.22 | Genuine Parts Co (GPC) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.23 | Home Depot Inc (HD) | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 8.24 | Honeywell Intl Inc (HON) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.25 | Intel Corp (INTC) | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 8.26 | Intuit Inc (INTU) | N/A | \$15,001 - \$50,000 | Dividends Capital Gains | \$5,001 - \$15,000 |
| 8.27 | Johnson & Johnson (JNJ) | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 8.28 | JP Morgan Chase & Co (JPM) | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 8.29 | Linde Public Limited Co (LIN) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$5,001 - \$15,000 |
| 8.30 | Mastercard Inc A (MA) | N/A | \$15,001 - \$50,000 | Dividends Capital Gains | \$2,501 - \$5,000 |
| 8.31 | Merck & Co Inc (MRK) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 8.32 | Microsoft Corp (MSFT) | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|-----------------------------------|-----|---------------------|----------------------------|---------------------------|
| 8.33 | Morgan Stanley (MS) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$5,001 - \$15,000 |
| 8.34 | NextEra Energy Inc (NEE) | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 8.35 | PepsiCo Inc (PEP) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 8.36 | Pfizer Inc (PFE) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 8.37 | Procter & Gamble (PG) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 8.38 | Raytheon Co (RTN) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 8.39 | Salesforce.com (CRM) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 8.40 | Southwest Airlines Co (LUV) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$2,501 - \$5,000 |
| 8.41 | Target Corp (TGT) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 8.42 | Texas Instruments Inc (TXN) | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 8.43 | Union Pacific Corp (UNP) | N/A | \$15,001 - \$50,000 | Dividends | \$201 - \$1,000 |
| 8.44 | United Parcel Service Inc B (UPS) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.45 | UnitedHealth Group (UHG) | N/A | \$15,001 - \$50,000 | Dividends Capital Gains | \$2,501 - \$5,000 |
| 8.46 | V F Corp | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 8.47 | Ventas Inc (VTR) | N/A | \$1,001 - \$15,000 | Dividends | \$1,001 - \$2,500 |
| 8.48 | Verizon Communication (VZ) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 8.49 | Walmart Inc | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|----------------------|-------------|---------------------------|
| 8.50 | Carillon Eagle Small Cap Growth Fund I (HIISX) | Yes | \$15,001 - \$50,000 | | \$5,001 - \$15,000 |
| 8.51 | Carillon Scout Mid Cap Fd CL I (UMBMX) | Yes | \$50,001 - \$100,000 | | None (or less than \$201) |
| 8.52 | Champlain Mid Cap - I (CIPIX) | Yes | \$50,001 - \$100,000 | | \$2,501 - \$5,000 |
| 8.53 | Dodge & Cox Fund (DODFX) | Yes | \$15,001 - \$50,000 | | \$2,501 - \$5,000 |
| 8.54 | iShares Core S&P Mid-Cap ETF (IJH) | Yes | \$50,001 - \$100,000 | | \$1,001 - \$2,500 |
| 8.55 | iShares Core Small-Cap ETF (IJR) | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 8.56 | iShares MSCI EAFE Index (EFA) | Yes | \$15,001 - \$50,000 | | \$2,501 - \$5,000 |
| 8.57 | Walthausen Small Cap Value Inst'l Class (WFICX) | Yes | \$15,001 - \$50,000 | | \$2,501 - \$5,000 |
| 8.58 | Clayton Missouri Sch Dist, bonds | N/A | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 |
| 8.59 | Jefferson City Missouri Sch Dist, bonds | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 8.60 | Kearney Missouri, bonds | N/A | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 |
| 8.61 | Missouri St Envrnmntl Inpt & Energy, bonds | N/A | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 |
| 8.62 | North Kansas City MO Sch Dist #74, bonds | N/A | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 |
| 8.63 | Saint Peters MO, bonds | N/A | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|---------------------|----------------------------|---------------------------|
| 8.64 | St. Louis Cnty MO Pattonville USD #R-3, bonds | N/A | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 |
| 8.65 | St Peters Missouri Wtrwks & Sew Rev, bonds | N/A | \$15,001 - \$50,000 | Interest | \$1,001 - \$2,500 |
| 8.66 | Metropolitan West High Yield Bond Fund I (MWHIX) | Yes | \$15,001 - \$50,000 | | \$5,001 - \$15,000 |
| 8.67 | Federated Govt Obligations Fund #5 (GOIXX) | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 8.68 | Amgen Inc (AMGN) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$1,001 - \$2,500 |
| 8.69 | Citigroup Inc (C) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 8.70 | CVS Health Corporation (CVS) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.71 | Duke Energy Corp (DUK) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 8.72 | FedEx Corp (FDX) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.73 | Halliburton Co (HAL) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.74 | HP Inc (HPQ) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 8.75 | Lockheed Martin (LMT) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$2,501 - \$5,000 |
| 8.76 | Marriott Intl A (MAR) | N/A | \$15,001 - \$50,000 | Dividends Capital Gains | \$1,001 - \$2,500 |
| 8.77 | Occidental Petroleum (OXY) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 8.78 | Praxair Inc (PX) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$201 - \$1,000 |
| 8.79 | Total S A (TOT) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$1,001 - \$2,500 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|---------------------|----------------------------|---------------------------|
| 8.80 | Realty Income Corp (O) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.81 | Weyerhaeuser Co (WY) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 8.82 | 3M Co (MMM) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$1,001 - \$2,500 |
| 8.83 | AbbVie Inc. (ABBV) | N/A | \$1,001 - \$15,000 | Dividends | \$2,501 - \$5,000 |
| 8.84 | Carnival Corp (CCL) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.85 | Cummins Inc (CMI) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$201 - \$1,000 |
| 8.86 | DowDuPont (DWDP) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$2,501 - \$5,000 |
| 8.87 | Gilead Sciences Inc (GILD) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.88 | Metro St. Louis MO Swr Dist Wastewtr Rev, bonds | N/A | \$15,001 - \$50,000 | Interest | \$201 - \$1,000 |
| 8.89 | Oracle Corp (ORCL) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | None (or less than \$201) |
| 8.90 | Phillips 66 (PSX) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.91 | Principal Financial Group (PFG) | N/A | \$1,001 - \$15,000 | Capital Gains | \$1,001 - \$2,500 |
| 8.92 | Schlumberger Ltd (SLB) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.93 | Simon Property Group (SPG) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 8.94 | Starbucks Corp (SBUX) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$5,001 - \$15,000 |
| 9 | Investment Account #3: | | | | |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|---|-----|---------------------|-------------|---------------------------|
| 9.1 | Carillon Eagle Small Cap Growth Fund I (HSIIX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.2 | Carillon Scout Mid Cap Fd CL I (UMBX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.3 | Champlain Mid Cap - I (CIPX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.4 | Dodge & Cox Funds (DODFX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.5 | iShares Core S&P 500 ETF (IVV) | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 9.6 | iShares Core S&P Mid-Cap ETF (IJH) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.7 | iShares Core S&P Small-Cap ETF (IJR) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.8 | iShares MSCI EAFE (EFA) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.9 | Primecap Odyssey Growth Fund (POGRX) | Yes | \$15,001 - \$50,000 | | None (or less than \$201) |
| 9.10 | TIAA-CREF Growth & Income Fd - Instl (TIGRX) | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 9.11 | Walthausen Small Cap Value Inst'l Class (WFICX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 9.12 | Dodge & Cox Income Fund (DODIX) | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 9.13 | Federated Treasury Obligations Fund #68 (TOIXX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 10 | Family Trust #2: | | | | |
| 10.1 | Abbott Laboratories (ABT) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|---------------------------------------|-----|-----------------------------|----------------------------|---------------------------|
| 10.2 | Alphabet Inc Class A (GOOGL) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.3 | Apple Inc. (AAPL) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.4 | AT&T Inc (T) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.5 | The Bank of New York Mellon Corp (BK) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | None (or less than \$201) |
| 10.6 | Boeing Co (BA) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.7 | CME Group Inc (CME) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.8 | Comcast Corp (CMCSA) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | \$201 - \$1,000 |
| 10.9 | Costco Wholesale Corp (COST) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.10 | Walt Disney Co (DIS) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.11 | Dow Inc (DOW) | N/A | None (or less than \$1,001) | Capital Gains Dividends | \$201 - \$1,000 |
| 10.12 | Highwoods Properties Inc | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | None (or less than \$201) |
| 10.13 | Home Depot Inc (HD) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.14 | Honeywell Intl Inc (HON) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.15 | Intuit Inc (INTU) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|-----------------------------|-----|--------------------|-------------|---------------------------|
| 10.16 | Johnson & Johnson (JNJ) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.17 | JP Morgan Chase & Co (JPM) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.18 | Lilly Eli & Co (LLY) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.19 | Lincoln National Corp (LNC) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.20 | Mastercard Inc A (MA) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.21 | Merck & Co Inc (MRK) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.22 | Microsoft Corp (MSFT) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.23 | NextEra Energy Inc (NEE) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.24 | Nike | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.25 | PepsiCo Inc (PEP) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.26 | Procter & Gamble (PG) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.27 | Raytheon Co (RTN) | N/A | \$1,001 - \$15,000 | | None (or less than \$201) |
| 10.28 | Starbucks Corp (SBUX) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.29 | Texas Instruments Inc (TXN) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|--|-----|--------------------|-------------|---------------------------|
| 10.30 | Unitedhealth Group Inc (UNH) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.31 | V F Corp (VFC) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.32 | Verizon Communications Inc (VZ) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.33 | Walmart Inc (WMT) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.34 | Wells Fargo & Co (WFC) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.35 | Carillon Eagle Small Cap Growth Fund I (HIIX) | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 10.36 | Carillon Scout Mid Cap Fd CL I (UMBMX) | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 10.37 | Champlain Mid Cap I (CIPIX) | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 10.38 | Dodge & Cox Funds (DODFX) | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 10.39 | iShares Core S&P Mid-Cap ETF (IJH) | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 10.40 | iShares Core S&P Small-Cap ETF (IJR) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 10.41 | iShares MSCI EAFE (EFA) | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 10.42 | Walthausen Small Cap Value Inst'l Class (WFICX) | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 10.43 | Lindbergh MO Sch Dist (Bond) | N/A | \$1,001 - \$15,000 | Interest | \$201 - \$1,000 |
| 10.44 | Norfolk Virginia (Bond) | N/A | \$1,001 - \$15,000 | Interest | \$1,001 - \$2,500 |
| 10.45 | St Louis Cnty MO Pattonville USD #R-3 (Bond) | N/A | \$1,001 - \$15,000 | Interest | \$1,001 - \$2,500 |
| 10.46 | Metropolitan West High Yield Bond Fund I (MWHIX) | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|-------|--|-----|----------------------|----------------------------|---------------------------|
| 10.47 | Federated Gov't Obligations Fund #5 (GOIXX) | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 10.48 | 3M Co (MMM) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.49 | Amgen Inc (AMGN) | N/A | \$1,001 - \$15,000 | Capital Gains Dividends | \$201 - \$1,000 |
| 10.50 | Carnival Corp (CCL) | N/A | \$1,001 - \$15,000 | Dividends Capital Gains | None (or less than \$201) |
| 10.51 | EOG Resources (EOG) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.52 | Paychex Inc (PAYX) | N/A | \$1,001 - \$15,000 | Capital Gains Dividends | \$201 - \$1,000 |
| 10.53 | Southwest Airlines Co (LUV) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.54 | Bank of America Corp (BAC) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 10.55 | Corteva Inc | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 10.56 | Jackson Cnty MO Reorg S/D, bonds | N/A | \$1,001 - \$15,000 | Interest | None (or less than \$201) |
| 11 | Family Trust #3: | | | | |
| 11.1 | ConocoPhillips (COP) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 11.2 | Exxon Mobil Corp (XOM) | N/A | \$1,001 - \$15,000 | Dividends | \$201 - \$1,000 |
| 11.3 | Carillon Eagle Small Cap Growth Fund I (HSIIX) | Yes | \$1,001 - \$15,000 | | \$1,001 - \$2,500 |
| 11.4 | Champlain Mid Cap - I (CIPIX) | Yes | \$15,001 - \$50,000 | | \$1,001 - \$2,500 |
| 11.5 | iShares Core S&P 500 ETF (IVV) | Yes | \$50,001 - \$100,000 | | \$2,501 - \$5,000 |

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|------|--|-----|-----------------------|-------------|---------------------------|
| 11.6 | iShares Core S&P Mid-Cap ETF (IJH) | Yes | \$15,001 - \$50,000 | | \$201 - \$1,000 |
| 11.7 | iShares Core S&P Small-Cap ETF (IJR) | Yes | \$1,001 - \$15,000 | | \$201 - \$1,000 |
| 11.8 | Primecap Odyssey Growth Fund (POGRX) | Yes | \$50,001 - \$100,000 | | \$1,001 - \$2,500 |
| 11.9 | Fidelity Treasury Only Fund #680 (FSIXX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |
| 12 | Family Trust #4: | | | | |
| 12.1 | Evergy Inc (EVRG) | N/A | \$1,001 - \$15,000 | Dividends | None (or less than \$201) |
| 12.2 | UMB Financial Corp (UMBF) | N/A | \$250,001 - \$500,000 | Dividends | \$5,001 - \$15,000 |
| 12.3 | Federated Govt Obligations Fund #5 (GOIXX) | Yes | \$1,001 - \$15,000 | | None (or less than \$201) |

7. Transactions

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

8. Liabilities

| # | CREDITOR NAME | TYPE | AMOUNT | YEAR INCURRED | RATE | TERM |
|---|---------------|--------------------------------|-------------------------|---------------|-------|-----------|
| 1 | UMB Bank | Exercised Line of Credit | \$50,001 - \$100,000 | 2014 | prime | on demand |
| 2 | UMB Bank | Mortgage on Personal Residence | \$500,001 - \$1,000,000 | 2018 | 4.25 | 20 years |

| # | CREDITOR NAME | TYPE | AMOUNT | YEAR INCURRED | RATE | TERM |
|---|----------------------------------|-------------|---------------------|---------------|-------|-----------|
| 3 | Delta Sky Miles/American Express | Credit Card | \$10,001 - \$15,000 | 2019 | 22.49 | Revolving |

9. Gifts and Travel Reimbursements

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

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 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. 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 another Federal agency, court or party in a court or Federal administrative proceeding when the Government is a party or in order to comply with a judge-issued subpoena; (4) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (5) to the National Archives and Records Administration or the General Services Administration in records management inspections; (6) to the Office of Management and Budget during legislative coordination on private relief legislation; (7) to the Department of Justice or in certain legal proceedings when the disclosing agency, an employee of the disclosing agency, or the United States is a party to litigation or has an interest in the litigation and the use of such records is deemed relevant and necessary to the litigation; (8) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another; (9) to a Member of Congress or a congressional office in response to an inquiry made on behalf of an individual who is the subject of the record; (10) 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 an OGE Government-wide system of records; and (11) on the OGE Website and to any person, department or agency, any written ethics agreement filed with OGE by an individual nominated by the President to a position requiring Senate confirmation. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

Public Burden Information

This collection of information is estimated to take an average of ten hours per response, including time for reviewing the instructions, gathering the data needed, and completing the form. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Program Counsel, U.S. Office of Government Ethics (OGE), Suite 500, 1201 New York Avenue, NW., Washington, DC 20005-3917.

Pursuant to the Paperwork Reduction Act, as amended, an agency may not conduct or sponsor, and no person is required to respond to, a collection of information unless it displays a currently valid OMB control number (that number, 3209-0001, is displayed here and at the top of the first page of this OGE Form 278e).
