

# Executive Branch Personnel

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

### Filer's Information

---

Hutchison III, Malcolm Clark

Director DCR, Commodity Futures Trading Commission

Report Year: 2024

---

Other Federal Government Positions Held During the Preceding 12 Months:

None

---

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

/s/ Hutchison III, Malcolm Clark [electronically signed on 05/14/2024 by Hutchison III, Malcolm Clark in Integrity.gov]

---

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

---

Other review conducted by

---

U.S. Office of Government Ethics Certification

---

Data Revised 06/20/2024

Data Revised 06/11/2024

Data Revised 06/10/2024

---

## 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    | U.S. brokerage – IRA 3A  | No  |                      |             |                           |
| 1.1  | Berkshire Hathaway Inc. Class b(3a)  | N/A | \$50,001 - \$100,000 |             | None (or less than \$201) |
| 1.2  | First Eagle Global Fund Class I (SGIIX)(3a)  | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 1.3  | Goldman Sachs Income Builder Fund(3a)  | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 1.4  | T. Rowe Price International Discovery Fund (PRIDX)(3a)                               | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 1.5  | iShares Core MSCI Emerging Markets ETF (IEMG)(3a)                                    | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 1.6  | ETFMG Prime Cyber Security ETF (HACK)(3a)  | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 1.7  | T Rowe Price Capital Appreciation Fund (PRWCX)(IRA 3a)                               | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 1.8  | U.S. brokerage - IRA #3A (cash)  | N/A | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 1.9  | GQG Partners Emerging Markets Equity Fund Institutional Class Shares (GQGIX)(IRA 3a) | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 1.10 | JPMorgan Diversified Return Emerging Markets Equity ETF (JPEM)(IRA3a)                | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |

| #    | DESCRIPTION   | EIF         | VALUE                | INCOME TYPE        | INCOME AMOUNT             |
|------|---|-------------|----------------------|--------------------|---------------------------|
| 1.11 | SPDR S&PEmerging Markets Small Cap ETF (EWX)(IRA3a)                 | Yes         | \$15,001 - \$50,000  |                    | None (or less than \$201) |
| 2    | Morgan Stanley (401K Plan)  | No          |                      |                    |                           |
| 2.1  | State Street Target Retirement 2025 Fund                            | Yes         | \$50,001 - \$100,000 |                    | None (or less than \$201) |
| 2.2  | Pimco Core Fixed Income Fund  | See Endnote | Yes                  | \$1,001 - \$15,000 | None (or less than \$201) |
| 2.3  | Pimco Real Return Portfolio   | Yes         | \$1,001 - \$15,000   |                    | None (or less than \$201) |
| 2.4  | iShares S&P 500 Index Fund (Blackrock) (BSPPIX)                     | Yes         | \$15,001 - \$50,000  |                    | None (or less than \$201) |
| 2.5  | Blackrock S&P 400 Midcap (iShares S&P Mid-Cap 400 Value ETF - IJJ)  | Yes         | \$15,001 - \$50,000  |                    | None (or less than \$201) |
| 2.6  | Blackrock Russell 2000 Index  | Yes         | \$15,001 - \$50,000  |                    | None (or less than \$201) |
| 2.7  | Global Real Estate Portfolio Fund - REIT - MSIF, Inc.               | Yes         | \$15,001 - \$50,000  |                    | None (or less than \$201) |
| 2.8  | Shenkman Captial High Yield Bond                                    | Yes         | \$1,001 - \$15,000   |                    | None (or less than \$201) |
| 2.9  | TransAmerica International Equity Fund (TSWIX)                      | Yes         | \$1,001 - \$15,000   |                    | None (or less than \$201) |
| 2.10 | Artisan International Growth Trust (morgan stanley 401k)            | Yes         | \$1,001 - \$15,000   |                    | None (or less than \$201) |
| 2.11 | Blackrock Emerging Markets Index Fund (MADCX) (morgan stanley 401k) | Yes         | \$1,001 - \$15,000   |                    | None (or less than \$201) |
| 2.12 | William Blair Emerging Equity (morgan stanley 401k)                 | Yes         | \$1,001 - \$15,000   |                    | None (or less than \$201) |
| 3    | Deutsche Bank (401K Plan)   | No          |                      |                    |                           |

| #   | DESCRIPTION   | EIF         | VALUE                   | INCOME TYPE        | INCOME AMOUNT             |
|-----|---|-------------|-------------------------|--------------------|---------------------------|
| 3.1 | MFS Value Fund Class R4 (MEIJX)   | Yes         | \$50,001 - \$100,000    |                    | None (or less than \$201) |
| 3.2 | DWS Real Estate Fund  | See Endnote | Yes                     | \$1,001 - \$15,000 | None (or less than \$201) |
| 3.3 | State Street Russell Small/Midcap Index II (fund name on statement - state street rsl smmdcp idx II cussip 857480552) | Yes         | \$50,001 - \$100,000    |                    | None (or less than \$201) |
| 3.4 | State Street Target Retirement 2025 Fund iv   | Yes         | \$50,001 - \$100,000    |                    | None (or less than \$201) |
| 3.5 | William Blair International Leaders (Deutsche Bank 401k)  | Yes         | \$1,001 - \$15,000      |                    | None (or less than \$201) |
| 3.6 | Dodge & Cox International Stock Fund (Deutsche Bank 401k)   | Yes         | \$15,001 - \$50,000     |                    | None (or less than \$201) |
| 3.7 | PIMCO Total Return Fund (Deutsche Bank 401k)  | Yes         | \$15,001 - \$50,000     |                    | None (or less than \$201) |
| 4   | U.S. brokerage - IRA #3   | No          |                         |                    |                           |
| 4.1 | Ground Lease REIT (GLRD)(ira 3)   | N/A         | \$50,001 - \$100,000    |                    | None (or less than \$201) |
| 4.2 | U.S. brokerage - IRA #3 (cash)  | N/A         | \$500,001 - \$1,000,000 |                    | None (or less than \$201) |
| 4.3 | Hudson Bay Fund (1HBIF) (Ira 3)   | Yes         | \$1,001 - \$15,000      |                    | None (or less than \$201) |

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

| # | EMPLOYER OR PARTY | CITY, STATE        | STATUS AND TERMS  | DATE   |
|---|-------------------|--------------------|---|--------|
| 1 | Morgan Stanley    | New York, New York | I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions. | 8/2009 |

| # | EMPLOYER OR PARTY | CITY, STATE        | STATUS AND TERMS  | DATE    |
|---|-------------------|--------------------|---|---------|
| 2 | Deutsche Bank     | New York, New York | I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions. | 11/2013 |

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

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

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

| #   | DESCRIPTION   | EIF | VALUE                | INCOME TYPE | INCOME AMOUNT             |
|-----|---|-----|----------------------|-------------|---------------------------|
| 1   | U.S. brokerage – IRA #2   | No  |                      |             |                           |
| 1.1 | U.S. brokerage - IRA #2 (cash)  | N/A | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 1.2 | Kayne Anderson MLP Midstream Investment Co (KYN) (closed-end fund)                  | Yes | \$15,001 - \$50,000  |             | \$1,001 - \$2,500         |
| 1.3 | JPMorgan 100% US Treasury Securities Money Market Fund Capital Shares (CJTXX)(IRA2) | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 1.4 | JPMorgan Diversified Return Emerging Markets Equity ETF (JPEM)(IRA2)                | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 1.5 | SPDR S&P Emerging Markets Small Cap ETF (EWX)(IRA2)                                 | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 2   | U.S. brokerage – IRA #4   | No  |                      |             |                           |
| 2.1 | Fidelity Government Cash Reserves (FDRXX)   | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 2.2 | Costco Corp   | N/A | \$50,001 - \$100,000 |             | None (or less than \$201) |

| #   | DESCRIPTION   | EIF | VALUE                | INCOME TYPE | INCOME AMOUNT             |
|-----|---|-----|----------------------|-------------|---------------------------|
| 2.3 | Enbridge Inc (ENB)  | N/A | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 2.4 | Mid America Apartment Communities Inc. - REIT (MAA)               | N/A | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 2.5 | Philip Morris International Inc. (PM)                             | N/A | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 2.6 | Vanguard Mid-cap Value Index Fund                                 | Yes | \$50,001 - \$100,000 |             | None (or less than \$201) |
| 2.7 | iShares Core S&P Small-Cap ETF (IJR)                              | Yes | \$50,001 - \$100,000 |             | None (or less than \$201) |
| 2.8 | Walgreens Boots Alliance, Inc. (WBA)                              | N/A | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 2.9 | Vanguard Dividend Growth Fund Investor Shares (VDIGX)             | Yes | \$50,001 - \$100,000 |             | None (or less than \$201) |
| 3   | U.S. brokerage - IRA #5   | No  |                      |             |                           |
| 3.1 | Vanguard Dividend Growth Fund Investor Shares (VDIGX)             | Yes | \$50,001 - \$100,000 |             | None (or less than \$201) |
| 3.2 | Vanguard Federal Money Market Fund Investor Shares (VMFXX)(IRA 5) | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |

## 6. Other Assets and Income

| #   | DESCRIPTION  | EIF | VALUE                 | INCOME TYPE | INCOME AMOUNT       |
|-----|--|-----|-----------------------|-------------|---------------------|
| 1   | U.S. brokerage account - #2(spouse)  | No  |                       |             |                     |
| 1.1 | Fidelity Investments Money Market Government Portfolio - Institutional Class (FRGXX)(brok 2) | Yes | \$250,001 - \$500,000 |             | \$15,001 - \$50,000 |

| #   | DESCRIPTION  | EIF | VALUE                   | INCOME TYPE | INCOME AMOUNT             |
|-----|--|-----|-------------------------|-------------|---------------------------|
| 1.2 | Cash account (Brok #2)   | No  | \$1,001 - \$15,000      |             | \$201 - \$1,000           |
| 1.3 | JPMorgan 100% US Treasury Securities Money Market Fund Capital Shares (CJTXX)(brok2)   | Yes | \$15,001 - \$50,000     |             | \$2,501 - \$5,000         |
| 1.4 | Global X NASDAQ 100 Covered Call ETF (QYLD)(brok 2)  | No  | \$15,001 - \$50,000     |             | \$2,501 - \$5,000         |
| 1.5 | Invesco DWA Momentum ETF (PDP)(brok 2)   | Yes | \$15,001 - \$50,000     |             | None (or less than \$201) |
| 1.6 | Invesco S&P 500 Low Volatility ETF (SPLV)(brok 2)  | Yes | \$50,001 - \$100,000    |             | \$1,001 - \$2,500         |
| 1.7 | iShares Russell 2000 ETF (IWM)(brok 2)   | Yes | \$15,001 - \$50,000     |             | \$201 - \$1,000           |
| 2   | U.S. brokerage account - #3  | No  |                         |             |                           |
| 2.1 | BTAS, Inc. (brok 3)(privately held - Federal and commercial customers with business and technological solutions for program management, engineering, information technology, security, communications, and marketing) (ibtas4) | N/A | \$100,001 - \$250,000   |             | None (or less than \$201) |
| 2.2 | Paloma Partners(1POLM) (Brok 3)/Palamo Resources (privately held - oil and gas acreage acquisition and development)  | N/A | \$500,001 - \$1,000,000 |             | None (or less than \$201) |
| 2.3 | Invesco DWA Momentum ETF (PDP)(brok 3)   | Yes | \$15,001 - \$50,000     |             | None (or less than \$201) |
| 2.4 | Global X NASDAQ 100 Covered Call ETF (QYLD)(brok 3)  | Yes | \$15,001 - \$50,000     |             | \$2,501 - \$5,000         |
| 2.5 | Invesco S&P 500 Low Volatility ETF (SPLV)(brok 3)  | Yes | \$50,001 - \$100,000    |             | \$1,001 - \$2,500         |
| 2.6 | iShares Russell 2000 ETF (IWM)(brok 3)   | Yes | \$15,001 - \$50,000     |             | \$201 - \$1,000           |



| #    | DESCRIPTION   | EIF | VALUE                 | INCOME TYPE | INCOME AMOUNT             |
|------|---|-----|-----------------------|-------------|---------------------------|
| 2.7  | U.S. brokerage account - #3 (cash)                        | N/A | \$50,001 - \$100,000  |             | None (or less than \$201) |
| 2.8  | Alphabet, Inc. (GOOG)(brok 3)                             | N/A | \$1,001 - \$15,000    |             | None (or less than \$201) |
| 3    | U.S. brokerage account - #6                               | No  |                       |             |                           |
| 3.1  | Broadcom Inc. (AVGO)(brok 6)                              | N/A | \$100,001 - \$250,000 | Dividends   | \$2,501 - \$5,000         |
| 3.2  | Home Depot Inc (HD)(brok 6)                               | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 3.3  | United Parcel Service Inc B (UPS)(brok 6)                 | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 3.4  | Cummins Inc (CMI)(brok 6)                                 | N/A | \$15,001 - \$50,000   | Dividends   | \$1,001 - \$2,500         |
| 3.5  | LyondellBasell Industries N.V. (LYB)(brok 6)              | N/A | \$15,001 - \$50,000   | Dividends   | \$1,001 - \$2,500         |
| 3.6  | International Business Machines Corporation (IBM)(brok 6) | N/A | \$50,001 - \$100,000  | Dividends   | \$2,501 - \$5,000         |
| 3.7  | Cisco Systems Inc (CSCO)(brok 6)                          | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 3.8  | Hewlett-Packard Co (HPQ)(brok 6)                          | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 3.9  | Travelers Companies Inc (TRV)(brok 6)                     | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 3.10 | Verizon Communications Inc (VZ)(brok 6)                   | N/A | \$15,001 - \$50,000   | Dividends   | \$2,501 - \$5,000         |
| 3.11 | Comcast Corp (CMCSA)(brok 6)                              | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 3.12 | Metlife Inc (MET)(brok 6)                                 | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |

| #    | DESCRIPTION  | EIF | VALUE                | INCOME TYPE | INCOME AMOUNT     |
|------|--|-----|----------------------|-------------|-------------------|
| 3.13 | Procter & Gamble (PG)(brok 6)                      | N/A | \$50,001 - \$100,000 | Dividends   | \$1,001 - \$2,500 |
| 3.14 | Public Service Enterprise Group Inc. (PEG)(brok 6) | N/A | \$15,001 - \$50,000  | Dividends   | \$1,001 - \$2,500 |
| 3.15 | McDonald's Corp (MCD)(brok 6)                      | N/A | \$50,001 - \$100,000 | Dividends   | \$1,001 - \$2,500 |
| 3.16 | Gilead Sciences Inc (GILD)(brok 6)                 | N/A | \$50,001 - \$100,000 | Dividends   | \$1,001 - \$2,500 |
| 3.17 | Lockheed Martin (LMT)(brok 6)                      | N/A | \$50,001 - \$100,000 | Dividends   | \$1,001 - \$2,500 |
| 3.18 | Sonoco Products Co. (SON)(brok 6)                  | N/A | \$50,001 - \$100,000 | Dividends   | \$1,001 - \$2,500 |
| 3.19 | PepsiCo Inc (PEP)(brok 6)                          | N/A | \$50,001 - \$100,000 | Dividends   | \$1,001 - \$2,500 |
| 3.20 | AbbVie Inc. (ABBV)(brok 6)                         | N/A | \$50,001 - \$100,000 | Dividends   | \$1,001 - \$2,500 |
| 3.21 | Merck & Co Inc (MRK)(brok 6)                       | N/A | \$50,001 - \$100,000 | Dividends   | \$1,001 - \$2,500 |
| 3.22 | Amgen Inc (AMGN)(brok 6)                           | N/A | \$50,001 - \$100,000 | Dividends   | \$1,001 - \$2,500 |
| 3.23 | Johnson & Johnson (JNJ)(brok 6)                    | N/A | \$15,001 - \$50,000  | Dividends   | \$1,001 - \$2,500 |
| 3.24 | Bristol-Myers Squibb (BMY)(brok 6)                 | N/A | \$15,001 - \$50,000  | Dividends   | \$1,001 - \$2,500 |
| 3.25 | CVS Health Corp. (CVS)(brok 6)                     | N/A | \$50,001 - \$100,000 | Dividends   | \$1,001 - \$2,500 |
| 3.26 | MSC Industrial Direct Co., Inc. (MSM)(brok 6)      | N/A | \$50,001 - \$100,000 | Dividends   | \$1,001 - \$2,500 |

| #    | DESCRIPTION                                  | EIF | VALUE                 | INCOME TYPE | INCOME AMOUNT             |
|------|--|-----|-----------------------|-------------|---------------------------|
| 3.27 | NetApp, Inc. (NTAP)(brok 6)                  | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 3.28 | QUALCOMM, Inc. (QCOM)(brok 6)                | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 3.29 | amdocs ltd (dox)(brok 6)                     | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 3.30 | General Dynamics Corp. (GD)(brok 6)          | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 3.31 | General Mills, Inc. (GIS)(brok 6)            | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 3.32 | charles schwab (brok 6) cash                 | N/A | \$50,001 - \$100,000  | Interest    | None (or less than \$201) |
| 3.33 | Caterpillar, Inc. (CAT)(brok 6)              | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 3.34 | Prudential Financial, Inc. (PRU)(brok 6)     | N/A | \$15,001 - \$50,000   | Dividends   | \$1,001 - \$2,500         |
| 3.35 | T. Rowe Price Group, Inc. (TROW)(brok 6)     | N/A | \$100,001 - \$250,000 | Dividends   | \$5,001 - \$15,000        |
| 3.36 | Target Corp. (TGT)(brok 6)                   | N/A | \$15,001 - \$50,000   | Dividends   | \$1,001 - \$2,500         |
| 3.37 | Texas Instruments Incorporated (TXN)(brok 6) | N/A | \$15,001 - \$50,000   | Dividends   | \$1,001 - \$2,500         |
| 3.38 | VICI Properties, Inc. (VICI)(brok 6)         | N/A | \$50,001 - \$100,000  | Dividends   | \$2,501 - \$5,000         |
| 3.39 | Bond Stanhope NJ 5/3/24 (brok 6)             | N/A | \$15,001 - \$50,000   |             | \$1,001 - \$2,500         |
| 3.40 | Bond Maplewood NJ 2/15/25 (brok 6)           | N/A | \$15,001 - \$50,000   |             | \$1,001 - \$2,500         |

| #    | DESCRIPTION  | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|--|-----|-----------------------------|-------------|---------------------------|
| 3.41 | The Coca-Cola Co. (KO)(brok 6)                                 | N/A | \$50,001 - \$100,000        |             | \$1,001 - \$2,500         |
| 3.42 | Wash twp bond 9/7/23   | N/A | None (or less than \$1,001) | Interest    | \$201 - \$1,000           |
| 4    | U.S. brokerage account - #7                                    | No  |                             |             |                           |
| 4.1  | Broadcom Inc. (AVGO)(brok 7)                                   | N/A | \$100,001 - \$250,000       | Dividends   | \$1,001 - \$2,500         |
| 4.2  | Ross Stores Inc (ROST)(brok 7)                                 | N/A | \$50,001 - \$100,000        | Dividends   | \$201 - \$1,000           |
| 4.3  | Apple Inc. (AAPL)(brok 7)                                      | N/A | \$50,001 - \$100,000        | Dividends   | \$201 - \$1,000           |
| 4.4  | Microchip Technology Inc (MCHP)(brok 7)                        | N/A | \$50,001 - \$100,000        | Dividends   | \$1,001 - \$2,500         |
| 4.5  | Honeywell Intl Inc (HON)(brok 7)                               | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000           |
| 4.6  | Assurant Inc (AIZ)(brok 7)                                     | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000           |
| 4.7  | T-Mobile US, Inc. (TMUS)(brok 7)                               | N/A | \$15,001 - \$50,000         |             | None (or less than \$201) |
| 4.8  | Cisco Systems Inc (CSCO)(brok 7)                               | N/A | \$50,001 - \$100,000        | Dividends   | \$1,001 - \$2,500         |
| 4.9  | LKQ Corporation - Common Stock (LKQ)(brok 7)                   | N/A | \$50,001 - \$100,000        |             | \$1,001 - \$2,500         |
| 4.10 | Microsoft Corp (MSFT)(brok 7)                                  | N/A | \$50,001 - \$100,000        | Dividends   | \$201 - \$1,000           |
| 4.11 | SS&C Technologies Holdings, Inc. - Common Stock (SSNC)(brok 7) | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000           |
| 4.12 | Verizon Communications Inc (VZ)(brok 7)                        | N/A | \$15,001 - \$50,000         | Dividends   | \$1,001 - \$2,500         |

| #    | DESCRIPTION                                   | EIF | VALUE                 | INCOME TYPE | INCOME AMOUNT             |
|------|---|-----|-----------------------|-------------|---------------------------|
| 4.13 | The Progressive Corporation (PGR)(brok 7)     | N/A | \$50,001 - \$100,000  |             | None (or less than \$201) |
| 4.14 | Accenture plc (ACN)(brok 7)                   | N/A | \$50,001 - \$100,000  | Dividends   | \$201 - \$1,000           |
| 4.15 | Oracle Corp (ORCL)(brok 7)                    | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 4.16 | CVS Caremark Corp. (CVS)(brok 7)              | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 4.17 | Pfizer Inc (PFE)(brok 7)                      | N/A | \$15,001 - \$50,000   | Dividends   | \$201 - \$1,000           |
| 4.18 | Amgen Inc (AMGN)(brok 7)                      | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 4.19 | Johnson & Johnson (JNJ)(brok 7)               | N/A | \$15,001 - \$50,000   | Dividends   | \$1,001 - \$2,500         |
| 4.20 | CACI International, Inc. (CACI)(brok 7)       | N/A | \$50,001 - \$100,000  |             | None (or less than \$201) |
| 4.21 | Hubbell, Inc. (HUBB)(brok 7)                  | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 4.22 | Newmont Corp. (NEM)(brok 7)                   | N/A | \$15,001 - \$50,000   | Dividends   | \$1,001 - \$2,500         |
| 4.23 | National Fuel Gas Co. (NFG)(brok 7)           | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 4.24 | iShares Russell 1000 Growth ETF (IWF)(brok 7) | Yes | \$50,001 - \$100,000  |             | \$201 - \$1,000           |
| 4.25 | Starwood Property Trust, Inc. (STWD)(brok 7)  | N/A | \$50,001 - \$100,000  | Dividends   | \$2,501 - \$5,000         |
| 4.26 | charles schwab (brok 7) cash                  | N/A | \$100,001 - \$250,000 | Interest    | \$201 - \$1,000           |

| #    | DESCRIPTION  | EIF         | VALUE                 | INCOME TYPE | INCOME AMOUNT             |
|------|--|-------------|-----------------------|-------------|---------------------------|
| 4.27 | Alphabet, Inc. (GOOGL)(brok 7)                                   | N/A         | \$50,001 - \$100,000  |             | None (or less than \$201) |
| 4.28 | Darden Restaurants, Inc. (DRI)                                   | N/A         | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 4.29 | Tapestry, Inc. (TPR)(brok 7)                                     | N/A         | \$15,001 - \$50,000   | Dividends   | \$1,001 - \$2,500         |
| 4.30 | Vertex Pharmaceuticals, Inc. (VRTX)(brok 7)                      | N/A         | \$100,001 - \$250,000 |             | None (or less than \$201) |
| 4.31 | BJ's Wholesale Club Holdings, Inc. (BJ)(brok 7)                  | N/A         | \$15,001 - \$50,000   |             | None (or less than \$201) |
| 4.32 | Dell Technologies, Inc. (DELL)(brok 7)                           | N/A         | \$50,001 - \$100,000  |             | None (or less than \$201) |
| 4.33 | Elevance Health Inc. Common Stock (ELV)(brok 7)                  | See Endnote | \$50,001 - \$100,000  | Dividends   | \$201 - \$1,000           |
| 4.34 | Jabil, Inc. (JBL)(brok 7)  | N/A         | \$50,001 - \$100,000  |             | None (or less than \$201) |
| 4.35 | Sonoco Products Co. (SON)(brok 7)                                | N/A         | \$15,001 - \$50,000   | Dividends   | \$1,001 - \$2,500         |
| 4.36 | Concentrix Corporation Common Stock (CNXC)                       | N/A         | \$15,001 - \$50,000   |             | None (or less than \$201) |
| 4.37 | CENCORA (COR) (brok 7) - formerly Amerisource Bergen Corp. (ABC) | N/A         | \$50,001 - \$100,000  |             | \$201 - \$1,000           |
| 4.38 | Conagra Brands, Inc. (CAG)(brok 7)                               | N/A         | \$50,001 - \$100,000  |             | \$2,501 - \$5,000         |
| 4.39 | METLIFE (MET)(brok 7)  | N/A         | \$50,001 - \$100,000  |             | \$1,001 - \$2,500         |
| 4.40 | PayPal Holdings, Inc. (PYPL)(brok 7)                             | N/A         | \$50,001 - \$100,000  |             | None (or less than \$201) |

| #    | DESCRIPTION   | EIF | VALUE                 | INCOME TYPE | INCOME AMOUNT             |
|------|---|-----|-----------------------|-------------|---------------------------|
| 4.41 | Cigna Corp. (CI)(brok 7)  | N/A | \$50,001 - \$100,000  |             | \$1,001 - \$2,500         |
| 5    | U.S. brokerage account - #8   | No  |                       |             |                           |
| 5.1  | Fidelity Treasury Money Market Fund (FZFXX)(brok 8)                     | Yes | \$50,001 - \$100,000  |             | \$2,501 - \$5,000         |
| 5.2  | Google Inc (GOOG)(brok 8)   | N/A | \$100,001 - \$250,000 | Dividends   | \$201 - \$1,000           |
| 5.3  | Google Inc. - Class A Common Stock (GOOGL)(brok 8)                      | N/A | \$50,001 - \$100,000  | Dividends   | \$201 - \$1,000           |
| 5.4  | Check Point Software Technologies Ltd. - Ordinary Shares (CHKP)(brok 8) | N/A | \$50,001 - \$100,000  | Dividends   | None (or less than \$201) |
| 5.5  | First Trust NASDAQ-100- Technology Sector Index Fund (QTEC)(brok 8)     | Yes | \$100,001 - \$250,000 |             | \$1,001 - \$2,500         |
| 5.6  | iShares Expanded Tech Sector ETF (IGM)(brok 8)                          | Yes | \$100,001 - \$250,000 |             | \$201 - \$1,000           |
| 5.7  | New Jersey Resources Corp (NJR)(brok 8)                                 | N/A | \$15,001 - \$50,000   | Dividends   | \$201 - \$1,000           |
| 5.8  | Waste Connections, Inc. (WCN)(brok 8)                                   | N/A | \$100,001 - \$250,000 | Dividends   | \$201 - \$1,000           |
| 5.9  | Gaming and Leisure Properties, Inc. - Common Stock (GLPI)(brok 8)       | N/A | \$15,001 - \$50,000   | Dividends   | \$1,001 - \$2,500         |
| 5.10 | STAG Industrial, Inc. (STAG)(brok 8)                                    | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 5.11 | Iron Mountain Inc (IRM)(brok 8)   | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 5.12 | Berkshire Hathaway Inc. (BRKB)(brok 8)                                  | N/A | \$50,001 - \$100,000  |             | None (or less than \$201) |
| 5.13 | Otis Worldwide Corporation (OTIS)(brok 8)                               | N/A | \$1,001 - \$15,000    |             | None (or less than \$201) |

| #    | DESCRIPTION  | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|--|-----|-----------------------------|-------------|---------------------------|
| 5.14 | Invesco High Yield Equity Dividend Achievers ETF (PEY)(brok 8)           | N/A | \$1,001 - \$15,000          |             | \$201 - \$1,000           |
| 5.15 | iShares Select Dividend ETF (DVY) (brok 8)                               | Yes | \$1,001 - \$15,000          |             | \$201 - \$1,000           |
| 5.16 | Schwab US Dividend Equity ETF (SCHD) (brok 8)                            | Yes | \$1,001 - \$15,000          |             | \$201 - \$1,000           |
| 5.17 | Vanguard Dividend Appreciation Index Fund ETF Class Shares (VIG)(brok 8) | Yes | \$1,001 - \$15,000          |             | \$201 - \$1,000           |
| 5.18 | Vanguard Total Stock Market Index Fund ETF Class Shares (VTI)(brok 8)    | Yes | \$50,001 - \$100,000        |             | \$201 - \$1,000           |
| 5.19 | WisdomTree US LargeCap Dividend Fund (DLN) (brok 8)                      | Yes | \$1,001 - \$15,000          |             | \$201 - \$1,000           |
| 5.20 | US Treasury Bill 3/21/24 (brok 8)  | N/A | \$15,001 - \$50,000         |             | \$201 - \$1,000           |
| 5.21 | US Treasury Bill 6/13/24 (brok 8)  | N/A | \$15,001 - \$50,000         |             | \$201 - \$1,000           |
| 5.22 | MetLife, Inc. Corporate Note (brok 8)                                    | N/A | None (or less than \$1,001) | Interest    | \$201 - \$1,000           |
| 5.23 | Philip Morris note (11/15/23) (brok 8)                                   | N/A | None (or less than \$1,001) | Interest    | \$201 - \$1,000           |
| 5.24 | Cisco Systems Note 3/4/24 (brok 8)                                       | N/A | \$15,001 - \$50,000         | Interest    | \$201 - \$1,000           |
| 6    | U.S. brokerage account - #9  | No  |                             |             |                           |
| 6.1  | Vanguard Treasury Money Market Fund Investor Shares (VUSXX)(brok 9)      | Yes | \$250,001 - \$500,000       |             | \$15,001 - \$50,000       |
| 7    | U.S. bank account - #1 (cash)  | N/A | \$15,001 - \$50,000         | Interest    | \$201 - \$1,000           |
| 8    | Northwestern Mutual (whole life insurance policy)                        | N/A | \$50,001 - \$100,000        |             | None (or less than \$201) |



| #    | DESCRIPTION  | EIF | VALUE                   | INCOME TYPE | INCOME AMOUNT             |
|------|--|-----|-------------------------|-------------|---------------------------|
| 9    | Northwestern Mutual (whole life insurance policy)    | N/A | \$500,001 - \$1,000,000 |             | None (or less than \$201) |
| 10   | Northwestern Mutual (whole life insurance policy)    | N/A | \$250,001 - \$500,000   |             | None (or less than \$201) |
| 11   | U.S. brokerage account - # 12                        | No  |                         |             |                           |
| 11.1 | Invesco DWA Momentum ETF (PDP)(brok 12)              | Yes | \$100,001 - \$250,000   |             | \$1,001 - \$2,500         |
| 11.2 | Global X NASDAQ 100 Covered Call ETF (QYLD)(brok 12) | Yes | \$100,001 - \$250,000   |             | \$5,001 - \$15,000        |
| 11.3 | Invesco S&P 500 Low Volatility ETF (SPLV)(brok 12)   | Yes | \$250,001 - \$500,000   |             | \$5,001 - \$15,000        |
| 11.4 | Cash Account(brok 12)                                | N/A | \$1,001 - \$15,000      |             | None (or less than \$201) |
| 12   | U.S. brokerage account - # 14                        | No  |                         |             |                           |
| 12.1 | Global X NASDAQ 100 Covered Call ETF (QYLD)(brok 14) | Yes | \$50,001 - \$100,000    |             | \$5,001 - \$15,000        |
| 12.2 | Invesco S&P 500 Low Volatility ETF (SPLV)(brok 14)   | Yes | \$100,001 - \$250,000   |             | \$2,501 - \$5,000         |
| 12.3 | Invesco DWA Momentum ETF (PDP)(brok 14)              | Yes | \$50,001 - \$100,000    |             | \$201 - \$1,000           |
| 12.4 | Cash Account   | N/A | \$1,001 - \$15,000      |             | None (or less than \$201) |
| 13   | U.S. brokerage account - # 15                        | No  |                         |             |                           |
| 13.1 | Loomis Sayles Growth Fund Class Y (LSGRX)(brok 15)   | Yes | \$50,001 - \$100,000    |             | None (or less than \$201) |
| 13.2 | U.S. brokerage account - # 15 (cash)                 | N/A | \$1,001 - \$15,000      |             | None (or less than \$201) |

| #    | DESCRIPTION  | EIF | VALUE                 | INCOME TYPE | INCOME AMOUNT             |
|------|--|-----|-----------------------|-------------|---------------------------|
| 13.3 | roche hldg ltd adr(rhhby)(brok 15)                         | No  | \$15,001 - \$50,000   |             | \$201 - \$1,000           |
| 13.4 | Berkshire Hathaway Inc. (BRKB)(brok 15)                    | N/A | \$100,001 - \$250,000 |             | None (or less than \$201) |
| 13.5 | The Williams Cos., Inc. (WMB)(brok 15)                     | No  | \$50,001 - \$100,000  | Dividends   | \$2,501 - \$5,000         |
| 13.6 | T Rowe Price International Discovery Fund (PRIDX)(brok 15) | Yes | \$15,001 - \$50,000   |             | \$201 - \$1,000           |
| 13.7 | iShares Russell 2000 ETF (IWM)(brok 15)                    | Yes | \$100,001 - \$250,000 |             | \$1,001 - \$2,500         |
| 13.8 | iShares Edge MSCI Min Vol EAFE ETF (EFAV)(brok 15)         | Yes | \$15,001 - \$50,000   |             | \$201 - \$1,000           |
| 13.9 | iShares Core MSCI Emerging Markets ETF (IEMG)(brok 15)     | Yes | \$15,001 - \$50,000   |             | \$1,001 - \$2,500         |
| 14   | U.S. brokerage account #17                                 | No  |                       |             |                           |
| 14.1 | Alex Brown Brokerage 17 (cash)                             | No  | \$15,001 - \$50,000   |             | None (or less than \$201) |
| 14.2 | us t-bill 1/18/24 (brok 17)                                | No  | \$100,001 - \$250,000 |             | \$1,001 - \$2,500         |
| 14.3 | us t-note 1/31/25 (brok 17)                                | No  | \$100,001 - \$250,000 |             | \$2,501 - \$5,000         |
| 14.4 | us t-note 7/31/26 (brok 17)                                | No  | \$100,001 - \$250,000 |             | \$1,001 - \$2,500         |
| 14.5 | us t-note 1/31/27 (brok 17)                                | N/A | \$100,001 - \$250,000 |             | \$1,001 - \$2,500         |
| 14.6 | us t-note 12/31/27 (brok 17)                               | N/A | \$100,001 - \$250,000 |             | \$201 - \$1,000           |
| 14.7 | us t-note 1/31/24 (brok 17)                                | N/A | \$100,001 - \$250,000 |             | \$1,001 - \$2,500         |

| #     | DESCRIPTION                             | EIF | VALUE                 | INCOME TYPE | INCOME AMOUNT     |
|-------|---|-----|-----------------------|-------------|-------------------|
| 14.8  | us t-note 7/15/25 (brok 17)             | N/A | \$100,001 - \$250,000 |             | \$2,501 - \$5,000 |
| 14.9  | us t-note 7/31/24 (brok 17)             | N/A | \$100,001 - \$250,000 |             | \$2,501 - \$5,000 |
| 14.10 | us t-note 7/31/27 (brok 17)             | N/A | \$100,001 - \$250,000 |             | \$2,501 - \$5,000 |
| 14.11 | us t-note 1/15/26 (brok 17)             | N/A | \$100,001 - \$250,000 |             | \$2,501 - \$5,000 |
| 14.12 | amcor bond 4/28/26 (brok 17)            | N/A | \$15,001 - \$50,000   |             | \$1,001 - \$2,500 |
| 14.13 | comcast bond 8/15/25 (brok 17)          | N/A | \$15,001 - \$50,000   |             | \$1,001 - \$2,500 |
| 14.14 | hewlett packard bond 10/15/25 (brok 17) | N/A | \$15,001 - \$50,000   |             | \$1,001 - \$2,500 |
| 14.15 | mckesson corp bond 2/15/26 (brok 17)    | N/A | \$15,001 - \$50,000   |             | \$2,501 - \$5,000 |
| 14.16 | nutrien ltd bond 12/15/26 (brok 17)     | N/A | \$15,001 - \$50,000   |             | \$1,001 - \$2,500 |
| 14.17 | oneok partners bond (brok 17)           | N/A | \$15,001 - \$50,000   |             | \$1,001 - \$2,500 |
| 14.18 | owens corning bond 8/15/26 (brok 17)    | N/A | \$15,001 - \$50,000   |             | \$1,001 - \$2,500 |
| 14.19 | pulte group bond 1/15/27 (brok 17)      | N/A | \$15,001 - \$50,000   |             | \$1,001 - \$2,500 |
| 14.20 | reynolds american bond (brok 17)        | N/A | \$15,001 - \$50,000   |             | \$1,001 - \$2,500 |
| 14.21 | united health group bond (brok 17)      | N/A | \$15,001 - \$50,000   |             | \$1,001 - \$2,500 |
| 15    | U.S. brokerage account #16              | No  |                       |             |                   |

| #     | DESCRIPTION   | EIF | VALUE                 | INCOME TYPE | INCOME AMOUNT     |
|-------|---|-----|-----------------------|-------------|-------------------|
| 15.1  | AbbVie Inc. (ABBV)(brok 16)                                     | N/A | \$50,001 - \$100,000  | Dividends   | \$2,501 - \$5,000 |
| 15.2  | Canadian Pacific Railway Limited (CP)(Brok 16)                  | N/A | \$15,001 - \$50,000   | Dividends   | \$201 - \$1,000   |
| 15.3  | Costco Wholesale Corp (COST)(brok 16)                           | N/A | \$50,001 - \$100,000  | Dividends   | \$201 - \$1,000   |
| 15.4  | FedEx Corp (FDX)(brok 16)                                       | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500 |
| 15.5  | First American Financial Corporation (FAF)(brok 16)             | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500 |
| 15.6  | Home Depot Inc (HD)(brok 16)                                    | N/A | \$100,001 - \$250,000 | Dividends   | \$2,501 - \$5,000 |
| 15.7  | Visa Inc (V)(brok 16)   | N/A | \$100,001 - \$250,000 | Dividends   | \$1,001 - \$2,500 |
| 15.8  | Raytheon Co. (RTN) (formerly United Technologies Inc.)(brok 16) | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500 |
| 15.9  | Air Products and Chemicals, Inc. (APD)(brok 16)                 | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500 |
| 15.10 | Cisco Systems, Inc. (CSCO)(brok 16)                             | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500 |
| 15.11 | DuPont de Nemours, Inc. (DD)(brok 16)                           | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500 |
| 15.12 | McCormick & Co., Inc. (brok 16)(MKC)                            | N/A | \$15,001 - \$50,000   | Dividends   | \$201 - \$1,000   |
| 15.13 | Merck & Co., Inc. (MRK)(brok 16)                                | N/A | \$15,001 - \$50,000   | Dividends   | \$201 - \$1,000   |
| 15.14 | Aon Plc (AON)(brok 16)  | N/A | \$50,001 - \$100,000  | Dividends   | \$201 - \$1,000   |

| #     | DESCRIPTION   | EIF | VALUE                 | INCOME TYPE | INCOME AMOUNT             |
|-------|---|-----|-----------------------|-------------|---------------------------|
| 15.15 | Apple, Inc. (AAPL)(brok 16)                                   | N/A | \$15,001 - \$50,000   |             | None (or less than \$201) |
| 15.16 | Honeywell International, Inc. (HON)(brok 16)                  | N/A | \$100,001 - \$250,000 | Dividends   | \$1,001 - \$2,500         |
| 15.17 | Illinois Tool Works, Inc. (ITW)(brok 16)                      | N/A | \$15,001 - \$50,000   | Dividends   | \$201 - \$1,000           |
| 15.18 | Intuit, Inc. (INTU)(brok 16)                                  | N/A | \$50,001 - \$100,000  |             | \$201 - \$1,000           |
| 15.19 | Oracle Corp. (ORCL)(brok 16)                                  | N/A | \$50,001 - \$100,000  | Dividends   | \$1,001 - \$2,500         |
| 15.20 | Thermo Fisher Scientific, Inc. (TMO)(brok 16)                 | N/A | \$50,001 - \$100,000  |             | None (or less than \$201) |
| 15.21 | The TJX Cos., Inc. (TJX)(brok 16)                             | N/A | \$15,001 - \$50,000   | Dividends   | \$201 - \$1,000           |
| 15.22 | McDonald's Corp. (MCD)(brok 16)                               | N/A | \$15,001 - \$50,000   | Dividends   | \$201 - \$1,000           |
| 15.23 | American Tower Corporation (REIT) Common Stock (AMT)(brok 16) | N/A | \$15,001 - \$50,000   | Dividends   | \$201 - \$1,000           |
| 15.24 | Accenture Plc (ACN)(brok 16)                                  | N/A | \$50,001 - \$100,000  |             | \$1,001 - \$2,500         |
| 15.25 | Automatic Data Processing, Inc. (ADP)(brok 16)                | N/A | \$50,001 - \$100,000  |             | \$1,001 - \$2,500         |
| 15.26 | Chevron Corp. (CVX)(brok 16)                                  | N/A | \$15,001 - \$50,000   |             | \$1,001 - \$2,500         |
| 15.27 | CVS Health Corp. (CVS)(brok 16)                               | N/A | \$15,001 - \$50,000   |             | \$1,001 - \$2,500         |
| 15.28 | Johnson & Johnson (JNJ)(brok16)                               | N/A | \$50,001 - \$100,000  |             | \$1,001 - \$2,500         |

| #     | DESCRIPTION                                 | EIF | VALUE                 | INCOME TYPE | INCOME AMOUNT      |
|-------|---|-----|-----------------------|-------------|--------------------|
| 15.29 | Medtronic Plc (MDT)(brok 16)                | N/A | \$50,001 - \$100,000  |             | \$1,001 - \$2,500  |
| 15.30 | Microsoft Corp. (MSFT)(brok 16)             | N/A | \$15,001 - \$50,000   |             | \$201 - \$1,000    |
| 15.31 | nVent Electric Plc (NVT)(brok 16)           | N/A | \$15,001 - \$50,000   |             | \$201 - \$1,000    |
| 15.32 | PepsiCo, Inc. (PEP)(brok 16)                | N/A | \$15,001 - \$50,000   |             | \$201 - \$1,000    |
| 15.33 | Skyworks Solutions, Inc. (SWKS)(brok 16)    | N/A | \$50,001 - \$100,000  |             | \$1,001 - \$2,500  |
| 15.34 | Starbucks Corp. (SBUX)(brok 16)             | N/A | \$15,001 - \$50,000   |             | \$201 - \$1,000    |
| 15.35 | United Health group (UNH) (brok 16)         | N/A | \$100,001 - \$250,000 |             | \$1,001 - \$2,500  |
| 15.36 | TE Connectivity Ltd. (TEL)(brok 16)         | N/A | \$15,001 - \$50,000   |             | \$201 - \$1,000    |
| 15.37 | Verizon Communications, Inc. (VZ) (brok 16) | No  | \$15,001 - \$50,000   |             | \$1,001 - \$2,500  |
| 15.38 | Zoetis, Inc. (ZTS) (brok 16)                | No  | \$50,001 - \$100,000  |             | \$201 - \$1,000    |
| 15.39 | cash(brok 16)                               | N/A | \$250,001 - \$500,000 |             | \$5,001 - \$15,000 |
| 15.40 | Bond FHLB 10/7/24 (brok 16)                 | N/A | \$50,001 - \$100,000  |             | \$2,501 - \$5,000  |
| 15.41 | Fed Nat Mort Bond 10/17/24 (brok 16)        | N/A | \$50,001 - \$100,000  |             | \$2,501 - \$5,000  |
| 15.42 | FHLB Bond 3/20/26 (brok 16)                 | N/A | \$50,001 - \$100,000  |             | \$5,001 - \$15,000 |

| #     | DESCRIPTION                            | EIF | VALUE                | INCOME TYPE | INCOME AMOUNT     |
|-------|--|-----|----------------------|-------------|-------------------|
| 15.43 | Nextera Energy Bond 3/21/24 (brok 16)  | N/A | \$15,001 - \$50,000  |             | \$1,001 - \$2,500 |
| 15.44 | Pacificorp bond 4/1/24 (brok 16)       | N/A | \$15,001 - \$50,000  |             | \$1,001 - \$2,500 |
| 15.45 | Genuine Parts Bond 2/1/25 (brok 16)    | N/A | \$50,001 - \$100,000 |             | \$201 - \$1,000   |
| 15.46 | Genuine Parts Bond 2/1/25 (brok 16)    | N/A | \$50,001 - \$100,000 |             | \$201 - \$1,000   |
| 15.47 | Genuine Parts Bond 2/1/25 (brok 16)    | N/A | \$50,001 - \$100,000 |             | \$201 - \$1,000   |
| 15.48 | Genuine Parts Bond 2/1/25 (brok 16)    | N/A | \$50,001 - \$100,000 |             | \$201 - \$1,000   |
| 15.49 | Amgen bond 3/2/25 (brok 16)            | N/A | \$15,001 - \$50,000  |             | \$1,001 - \$2,500 |
| 15.50 | American Honda bond 7/8/25 (brok 16)   | N/A | \$15,001 - \$50,000  |             | \$201 - \$1,000   |
| 15.51 | lowes companies bond 9/15/25 (brok 16) | N/A | \$15,001 - \$50,000  |             | \$1,001 - \$2,500 |
| 15.52 | Allstate corp bond 12/15/25(brok 16)   | N/A | \$15,001 - \$50,000  |             | \$201 - \$1,000   |
| 15.53 | cvs health bond 6/1/26 (brok 16)       | N/A | \$15,001 - \$50,000  |             | \$1,001 - \$2,500 |
| 15.54 | HP inc bond 6/17/26 (brok 16)          | N/A | \$15,001 - \$50,000  |             | \$201 - \$1,000   |
| 15.55 | Verizon Bond 8/15/26 (brok 16)         | N/A | \$15,001 - \$50,000  |             | \$1,001 - \$2,500 |
| 15.56 | Duke energy bond 9/1/26 (brok 16)      | N/A | \$15,001 - \$50,000  |             | \$1,001 - \$2,500 |

| #     | DESCRIPTION                                      | EIF | VALUE               | INCOME TYPE | INCOME AMOUNT     |
|-------|--|-----|---------------------|-------------|-------------------|
| 15.57 | Abbvie bond 11/21/26 (brok 16)                   | N/A | \$15,001 - \$50,000 |             | \$1,001 - \$2,500 |
| 15.58 | Exelon Corp Bond 3/15/27 (brok 16)               | N/A | \$15,001 - \$50,000 |             | \$1,001 - \$2,500 |
| 15.59 | At&T bond 6/1/27 (brok 16)                       | N/A | \$15,001 - \$50,000 |             | \$201 - \$1,000   |
| 15.60 | Dr Pepper Snapple Bond 6/15/27(brok 16)          | N/A | \$15,001 - \$50,000 |             | \$1,001 - \$2,500 |
| 15.61 | American Electric Bond 11/21/27 (brok 16)        | N/A | \$15,001 - \$50,000 |             | \$1,001 - \$2,500 |
| 15.62 | Thermo Fisher Scientific bond 11/21/27 (brok 16) | N/A | \$15,001 - \$50,000 |             | \$1,001 - \$2,500 |
| 15.63 | Entergy Louisiana bond 4/1/28 (brok 16)          | N/A | \$15,001 - \$50,000 |             | \$1,001 - \$2,500 |

## 7. Transactions

| # | DESCRIPTION  | TYPE     | DATE       | AMOUNT               |
|---|--|----------|------------|----------------------|
| 1 | Lyft, Inc. (LYFT) (brok 3)                             | Sale     | 01/26/2023 | \$15,001 - \$50,000  |
| 2 | Life Storage, Inc. (LSI) (brok 6)                      | Sale     | 02/06/2023 | \$50,001 - \$100,000 |
| 3 | SPDR S&P Emerging Markets Small Cap ETF (EWX) (IRA 3a) | Purchase | 01/24/2023 | \$15,001 - \$50,000  |
| 4 | Entergy Louisiana bond 4/1/28 (brok 16)                | Purchase | 04/19/2023 | \$15,001 - \$50,000  |



## 8. Liabilities

None

---

## 9. Gifts and Travel Reimbursements

None

---

## Endnotes

| PART | #    | ENDNOTE  |
|------|------|--|
| 2.   | 2.2  | No ticker symbol associated with this asset under a Morgan Stanley 401(k) plan.                  |
| 2.   | 3.2  | Name reported is exactly as provided in the account statement and no ticker symbol was provided. |
| 6.   | 4.33 | Prior to June 2022, Elevance Health was named Anthem, Inc. (ANTM).                               |

# 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 \$480 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$480 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 \$192 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. § 13101 et seq., as amended by the Representative Louise McIntosh Slaughter 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 13989 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

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, N.W., 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).

---