

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Gomez, Lisa

Assistant Secretary, Employee Benefits Security, Department of Labor

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/ Gomez, Lisa [electronically signed on 05/06/2021 by Gomez, Lisa 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/ Constantine, Peter J, Certifying Official [electronically signed on 07/30/2021 by Constantine, Peter J in Integrity.gov]

Other review conducted by

/s/ Whaley, LaShanda R, Ethics Official [electronically signed on 07/30/2021 by Whaley, LaShanda R in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 08/06/2021 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	Cohen, Weiss and Simon LLP	See Endnote	New York, New York	Law Firm	Equity Partner	1/2002	Present
2	ABA Labor and Employment Section, Employee Benefits Committee		Chicago, Illinois	Non-Profit	Co-Chair of the Leadership Development Program	7/2019	Present
3	ABA/BNA Employee Benefits Law Treatise		Chicago, Illinois	Non-Profit	Co-Chair of the Senior Board of Editors	12/2018	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	ROTH IRA	No			
1.1	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	IRA	No			
2.1	Abbott Laboratories (ABT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	Activision Blizzard, Inc. (ATVI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.3	Adobe, Inc. (ADBE)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.4	Advanced Micro Devices, Inc. (AMD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.5	Airbnb, Inc. (ABNB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.6	Alibaba Group Holding Limited (BABA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.7	Alphabet, Inc. (GOOGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.8	Amazon.com, Inc. (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.9	American Electric Power Co., Inc. (AEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.10	American Funds Global Balanced Fund Class F2 Shares (GBLFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	American Tower Corporation (REIT) (AMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.12	Anthem, Inc. (ANTM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.13	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.14	Atlassian Corporation Plc (TEAM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.15	Ball Corporation (BLL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.16	BlackRock, Inc. (BLK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.17	Calamos Convertible and High Income Fund (CHY)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.18	Capital One Financial Corporation (COF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.19	Centene Corporation (CNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.20	Chevron Corporation (CVX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.21	Cisco Systems, Inc. (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.22	Citigroup Inc. (C)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.23	Comcast Corporation (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.24	Constellation Brands, Inc. (STZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.25	Costco Wholesale Corp. (COST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.26	CrowdStrike Holdings, Inc. (CRWD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.27	Crown Castle International Corp. (CCI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.28	Danaher Corp. (DHR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.29	DexCom, Inc. (DXCM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.30	DoubleLine Income Solutions Fund (DSL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.31	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.32	Eaton Vance Tax-Advantaged Global Dividend Income Fund (ETG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.33	Enphase Energy, Inc. (ENPH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.34	Equinix, Inc. (REIT) (EQIX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.35	EXACT Sciences Corp. (EXAS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.36	Facebook, Inc. (FB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.37	Fiserv, Inc. (FISV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.38	Goldman Sachs GQG Partners International Opportunities Fund Institutional Shares (GSIMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.39	GW Pharmaceuticals PLC	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.40	Hess Corp. (HES)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.41	Hilton Worldwide Holdings, Inc. (HLT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.42	The Home Depot, Inc. (HD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.43	Honeywell International, Inc. (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.44	IDEXX Laboratories, Inc. (IDXX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.45	Incyte Corporation (INCY)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.46	Intuitive Surgical, Inc. (ISRG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.47	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.48	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.49	iShares Edge MSCI Min VolGlobal ETF (ACWV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.50	JPMorgan Chase & Co. (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.51	Lockheed Martin Corp. (LMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.52	MainStay MacKay DefinedTerm Municipal Opportunities Fund (MMD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.53	Marvell Technology Group Ltd. (MRVL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.54	Mastercard Incorporated (MA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.55	McDonald's Corp. (MCD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.56	MFS Global Total Return Fund Class I Shares (MFWIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.57	Microchip Technology, Inc. (MCHP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.58	Microsoft Corp. (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.59	Netflix, Inc. (NFLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.60	NextEra Energy, Inc. (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.61	Nuveen Municipal High Income Opportunity Fund (NMZ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.62	NVIDIA Corp. (NVDA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.63	PepsiCo, Inc. (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.64	PIMCO Corporate & Income Opportunity Fund (PTY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.65	Prologis, Inc. (PLD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.66	ServiceNow, Inc. (NOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.67	The Southern Company (SO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.68	SPDR S&P Biotech ETF (XBI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.69	SPDR S&P Dividend ETF (SDY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.70	Splunk, Inc. (SPLK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.71	Take-Two Interactive Software, Inc. (TTWO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.72	Thermo Fisher Scientific, Inc. (TMO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.73	Truist Financial Corporation (TFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.74	Twilio, Inc. (TWLO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.75	Union Pacific Corp. (UNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.76	Vanguard Dividend Appreciation Index Fund ETF Shares (VIG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.77	Vanguard Extended Duration Treasury Index Fund ETF Shares (EDV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.78	Vanguard Intermediate-Term Bond Index Fund ETF Shares (BIV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.79	Visa, Inc. (V)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.80	Walmart, Inc. (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.81	The Walt Disney Co. (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.82	WisdomTree Europe Hedged Equity Fund (HEDJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.83	WisdomTree U.S. MidCap Dividend Fund (DON)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.84	WisdomTree U.S. Quality Dividend Growth Fund (DGRW)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.85	Xilinx, Inc. (XLNX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.86	Zendesk, Inc. (ZEN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.87	Zoetis, Inc. (ZTS)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.88	Zscaler, Inc. (ZS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3	Cohen, Weiss and Simon LLP				
3.1	COHEN, WEISS AND SIMON LLP 401(k) Profit Sharing Plan and Trust - Defined Contribution	No			
3.1.1	American Funds New World Fund Class R-6 (RNWGX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.1.2	BlackRock Strategic Income Opportunities Portfolio Class K (BSIKX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.1.3	Columbia Convertible Securities Fund Institutional 3 Class (CSFYX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.1.4	Federated Hermes Institutional High Yield Bond Fund Class R6 (FIHLX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.1.5	Fidelity 500 Index Fund (FXAIX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.1.6	Fidelity U.S. Bond Index Fund (FXNAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.1.7	PRINCIPAL MIDCAP FUND Class R-6 (PMAQX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.1.8	Vanguard Growth Index Fund Admiral Class Shares (VIGAX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.1.9	Vanguard International Growth Fund Admiral Shares (VWILX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.1.10	Vanguard Mid-Cap Index Fund Admiral Shares (VIMAX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.1.11	Vanguard Short-Term Corporate Bond Index Fund Admiral Class Shares (VSCSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1.12	Vanguard Value Index Fund Admiral Shares (VVIAX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.2	Cohen, Weiss and Simon LLP (law firm)	N/A		Partnership Distribution	\$966,222
3.3	Cohen, Weiss and Simon LLP (anticipated partnership share)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3.4	Cohen, Weiss and Simon LLP capital account	N/A	\$15,001 - \$50,000		None (or less than \$201)

3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	COHEN, WEISS AND SIMON LLP 401(K) Profit Sharing Plan and Trust	NEW YORK, New York	I will continue to participate in this defined contribution plan. The plan sponsor will not make further contributions after my separation.	7/1995
2	Cohen, Weiss and Simon LLP	New York, New York	Pursuant to the partnership agreement, following my withdrawal from the firm, I will receive my final partnership share distribution. The payment will be calculated based on my share of the firm's 2021 profits as of the close of the month preceding the date of withdrawal, less any amounts I have been paid by the firm towards that share as of the date of the withdrawal, and less contributions to be made on my behalf to the firm's retirement plan.	1/2002
3	COHEN, WEISS AND SIMON LLP Capital Account	New York, New York	Pursuant to the partnership agreement, within 6 months following my withdrawal from the firm, I will receive a lump-sum payment of my capital account. This payment will be calculated as of the date of my withdrawal.	1/2002

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Cohen, Weiss and Simon LLP	New York, New York	Partner at the firm
2	National Association of Letter Carriers	Washington, District of Columbia	Legal services (client of Cohen, Weiss and Simon LLP)
3	New York State Nurses Association	New York, New York	Legal services (client of Cohen, Weiss and Simon LLP)
4	SAG-AFTRA Health Plan	Burbank, California	Legal services (client of Cohen, Weiss and Simon LLP)
5	SAG-AFTRA	Los Angeles, California	Legal services (client of Cohen, Weiss and Simon LLP)
6	NALC Health Benefit Plan	Ashburn, Virginia	Legal services (client of Cohen, Weiss and Simon LLP)
7	Actor's Equity Association	New York, New York	Legal services (client of Cohen, Weiss and Simon LLP)
8	NYSNA Pension Plan & Benefits Fund	Albany, New York	Legal services (client of Cohen, Weiss and Simon LLP)
9	AFTRA Retirement Fund	New York, New York	Legal services (client of Cohen, Weiss and Simon LLP)
10	IUE-CWA Pension Fund	Bloomington, Indiana	Legal services (client of Cohen, Weiss and Simon LLP)
11	Local 108 Recycling Welfare, Pension and Annuity Funds	New York, New York	Legal services (client of Cohen, Weiss and Simon LLP)
12	American Guild of Musical Artists	New York, New York	Legal services (client of Cohen, Weiss and Simon LLP)
13	SAG-Producers Pension Plan	Burbank, California	Legal services (client of Cohen, Weiss and Simon LLP)
14	Metallic Lathers Local 46 Funds	New York, New York	Legal services (client of Cohen, Weiss and Simon LLP)
15	DGA Assistant Directors Training Program Trust Fund	New York, New York	Legal services (client of Cohen, Weiss and Simon LLP)

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
16	IUOE Marine Division Local 25 Medical, Vacation and Annuity Plans	Millstone Township, New Jersey	Legal services (client of Cohen, Weiss and Simon LLP)
17	Joint Union-Employer Training Fund	Millstone Township, New Jersey	Legal services (client of Cohen, Weiss and Simon LLP)
18	Southern California Local 831 Pension and Health Funds	Covina, California	Legal services (client of Cohen, Weiss and Simon LLP)
19	Pacific Southwest Administrators	Covina, California	Legal services (client of Cohen, Weiss and Simon LLP)
20	AFSCME District Council 37	New York, New York	Legal services (client of Cohen, Weiss and Simon LLP)
21	Northern New Jersey Teamsters Benefit Plan	North Haledon, New Jersey	Legal services (client of Cohen, Weiss and Simon LLP)
22	District Council 1707 Local 389 Health and Pension Funds	New York, New York	Legal services (client of Cohen, Weiss and Simon LLP)
23	Sports Arena Employees Local 137 Retirement Fund	New York, New York	Legal services (client of Cohen, Weiss and Simon LLP)
24	Brotherhood of Locomotive Engineers Div 269 Pension and Health Funds	Ronkonkoma, New York	Legal services (client of Cohen, Weiss and Simon LLP)
25	Pressroom Unions' Pension and Annuity Funds	New York, New York	Legal services (client of Cohen, Weiss and Simon LLP)
26	Teamsters Local 966 Pension and Health Funds	New York, New York	Legal services (client of Cohen, Weiss and Simon LLP)
27	American Arbitration Association	Chicago, Illinois	Legal services/served as panel arbitrator (as part of work with Cohen, Weiss and Simon LLP)
28	Allen Health - Local 389 Health Care Plan	New York, New York	Legal services (client of Cohen, Weiss and Simon LLP)
29	NYSNA Child Care & Elder Care Fund	New York, New York	Legal services (client of Cohen, Weiss and Simon LLP)

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
30	NYSNA Tuition and Continuing Education Fund	New York, New York	Legal services (client of Cohen, Weiss and Simon LLP)
31	U.S. Letter Carriers Mutual Benefit Association	Washington, District of Columbia	Legal services (client of Cohen, Weiss and Simon LLP)

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	IRA	No			
1.1	Abbott Laboratories (ABT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Activision Blizzard, Inc. (ATVI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3	Adobe, Inc. (ADBE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4	Advanced Micro Devices, Inc. (AMD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.5	Alibaba Group Holding Limited (BABA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.6	Alphabet, Inc. (GOOGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.7	Amazon.com, Inc. (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.8	American Electric Power Co., Inc. (AEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.9	American Funds Global Balanced Fund Class F2 Shares (GBLFX)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.10	American Tower Corporation (REIT) (AMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.11	American Water Works Co., Inc. (AWK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.12	Anthem, Inc. (ANTM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.13	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.14	Team, Inc. (TISI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.15	Ball Corporation (BLL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.16	BlackRock, Inc. (BLK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.17	The Blackstone Group Inc. (BX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.18	Boeing Co (BA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.19	Broadcom, Inc. (AVGO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.20	Calamos Convertible and High Income Fund (CHY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.21	Capital One Financial Corp. (COF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.22	Centene Corp. (CNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.23	Chevron Corp. (CVX)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.24	Chubb Limited (CB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.25	Cigna Corp. (CI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.26	Cisco Systems, Inc. (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.27	Citigroup, Inc. (C)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.28	Comcast Corp. (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.29	Constellation Brands, Inc. (STZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.30	Costco Wholesale Corp. (COST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.31	CrowdStrike Holdings, Inc. (CRWD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.32	Curtiss-Wright Corp. (CW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.33	CyberArk Software Ltd. (CYBR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.34	CyrusOne, Inc. (CONE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.35	D.R. Horton, Inc. (DHI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.36	Danaher Corp. (DHR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.37	DexCom, Inc. (DXCM)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.38	DoubleLine Income Solutions Fund (DSL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.39	Equinix, Inc. (REIT) (EQIX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.40	EXACT Sciences Corp. (EXAS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.41	Facebook, Inc. (FB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.42	Federated Kaufmann Small Cap Fund Institutional Class Shares (FKAIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.43	First EagleGlobal Fund Class I Shares (SGIIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.44	Goldman Sachs Dynamic Municipal Income Fund Institutional Shares (GSMTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.45	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.46	Hess Corp. (HES)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.47	Hilton Worldwide Holdings, Inc. (HLT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.48	The Home Depot, Inc. (HD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.49	Honeywell International, Inc. (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.50	IDEXX Laboratories, Inc. (IDXX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.51	Incyte Corp. (INCY)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.52	Intuitive Surgical, Inc. (ISRG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.53	Invesco Preferred ETF (PGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.54	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.55	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.56	iShares Edge MSCI Min VolGlobal ETF (ACWV)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.57	iShares Nasdaq Biotechnology ETF (IBB)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.58	JPMorgan Chase & Co. (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.59	Janus Henderson Enterprise Fund Class I Shares (JMGRX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.60	JPMorgan Ultra-Short Income ETF (JPST)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.61	KKR & Co., Inc. (KKR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.62	Lockheed Martin Corp. (LMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.63	MainStay MacKay DefinedTerm Municipal Opportunities Fund (MMD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.64	MainStay MacKay High Yield Municipal Bond Fund Class I Shares (MMHIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.65	Marvell Technology Group Ltd. (MRVL)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.66	McDonald's Corp. (MCD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.67	Merck & Co., Inc. (MRK)	N/A	None (or less than \$1,001)		None (or less than \$201)
1.68	MFS Global Total Return Fund Class I Shares (MFWIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.69	Microchip Technology, Inc. (MCHP)	N/A	None (or less than \$1,001)		None (or less than \$201)
1.70	Microsoft Corp. (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.71	Moderna, Inc. (MRNA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.72	Netflix, Inc. (NFLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.73	NextEra Energy, Inc. (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.74	Northrop Grumman Corp. (NOC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.75	NVIDIA Corp. (NVDA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.76	Pacer US Cash Cows 100 ETF (COWZ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.77	Palo Alto Networks, Inc. (PANW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.78	Parametric TABS 5-to-15 Year Laddered Municipal Bond Fund Class I Shares (EILTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.79	PepsiCo, Inc. (PEP)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.80	PIMCO Corporate & Income Opportunity Fund (PTY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.81	Plug Power, Inc. (PLUG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.82	Prologis, Inc. (PLD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.83	Pure Storage, Inc. (PSTG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.84	Raytheon Technologies Corporation (RTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.85	Ross Stores, Inc. (ROST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.86	salesforce.com, inc. (CRM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.87	ServiceNow, Inc. (NOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.88	The Southern Company (SO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.89	SPDRDoubleLine Total Return Tactical ETF (TOTL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.90	SPDR S&P Biotech ETF (XBI)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.91	SPDR S&P Dividend ETF (SDY)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.92	Splunk, Inc. (SPLK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.93	Square, Inc. (SQ)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.94	SVB Financial Group (SIVB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.95	Take-Two Interactive Software, Inc. (TTWO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.96	Thermo Fisher Scientific, Inc. (TMO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.97	Truist Financial Corporation (TFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.98	Twilio, Inc. (TWLO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.99	Union Pacific Corp. (UNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.100	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.101	Vanguard Dividend Appreciation Index Fund ETF Shares (VIG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.102	Verizon Communications, Inc. (VZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.103	VMware, Inc. (VMW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.104	The Walt Disney Co. (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.105	Waste Management, Inc. (WM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.106	WisdomTree Europe Hedged Equity Fund (HEDJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.107	WisdomTree U.S. MidCap Dividend Fund (DON)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.108	WisdomTree US Quality Dividend Growth Fund (DGRW)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.109	Workday, Inc. (WDAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.110	Xilinx, Inc. (XLNX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.111	Zendesk, Inc. (ZEN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.112	Zoetis, Inc. (ZTS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	ROTH IRA	No			
2.1	Alibaba Group Holding Limited (BABA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.2	Alphabet, Inc. (GOOGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.3	Amazon.com, Inc. (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.4	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.5	Team, Inc. (TISI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.6	DoubleLine Income Solutions Fund (DSL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.7	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.8	Facebook, Inc. (FB)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.9	Goldman Sachs GQG Partners International Opportunities Fund Institutional Class Shs (GSIMX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.10	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.11	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.12	iShares Edge MSCI Min VolGlobal ETF (ACWV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.13	MainStay MacKay DefinedTerm Municipal Opportunities Fund (MMD)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.14	MFS Global Total Return Fund Class I Shares (MFWIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.15	NVIDIA Corp. (NVDA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.16	SPDRDoubleLine Total Return Tactical ETF (TOTL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.17	SPDR S&P Dividend ETF (SDY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.18	Twilio, Inc. (TWLO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.19	Vanguard 500 Index Fund ETF Shares (VOO)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.20	Vanguard Dividend Appreciation Index Fund ETF Shares (VIG)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.21	Vanguard Intermediate-Term Bond Index Fund ETF Shares (BIV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.22	WisdomTree Europe Hedged Equity Fund (HEDJ)	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.23	WisdomTree U.S. MidCap Dividend Fund (DON)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.24	WisdomTree US Quality Dividend Growth Fund (DGRW)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.25	Zendesk, Inc. (ZEN)	N/A	\$1,001 - \$15,000		None (or less than \$201)

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Brokerage Account	No			
1.1	Abbott Laboratories (ABT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Advanced Micro Devices, Inc. (AMD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3	Airbnb, Inc. (ABNB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4	Alibaba Group Holding Limited (BABA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.5	Alphabet, Inc. (GOOGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.6	Amazon.com, Inc. (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.7	American Tower Corporation (REIT) (AMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.8	American Water Works Co., Inc. (AWK)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.9	Anthem, Inc. (ANTM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.10	Apple, Inc. (AAPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.11	Team, Inc. (TISI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.12	Ball Corporation (BLL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.13	BlackRock, Inc. (BLK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.14	C3.ai, Inc. (AI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.15	Canopy Growth Corporation (CGC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.16	Capital One Financial Corp. (COF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.17	Chevron Corp. (CVX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.18	Cisco Systems, Inc. (CSCO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.19	Citigroup, Inc. (C)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.20	Comcast Corp. (CMCSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.21	Constellation Brands, Inc. (STZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.22	Costco Wholesale Corp. (COST)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.23	CROWD STRIKE (CRWD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.24	Danaher Corp. (DHR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.25	DexCom, Inc. (DXCM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.26	DocuSign, Inc. (DOCU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.27	DoubleLine Income Solutions Fund (DSL)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.28	Eaton Vance Tax-Advantaged Global Dividend Income Fund (ETG)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.29	Enphase Energy, Inc. (ENPH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.30	EXACT Sciences Corp. (EXAS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.31	Fiserv, Inc. (FISV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.32	Garmin Ltd. (GRMN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.33	Hess Corp. (HES)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.34	Hilton Worldwide Holdings, Inc. (HLT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.35	The Home Depot, Inc. (HD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.36	Honeywell International, Inc. (HON)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.37	IDEXX Laboratories, Inc. (IDXX)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.38	Invesco Preferred ETF (PGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.39	Invesco QQQ Trust, Series 1 (QQQ)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.40	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.41	JP MORGAN (jpm)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.42	Lord Abbett Bond-Debenture Fund, Inc Class F Shares (LBDFX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.43	MainStay MacKay DefinedTerm Municipal Opportunities Fund (MMD)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.44	Marvell Technology Group Ltd. (MRVL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.45	McDonald's Corp. (MCD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.46	MFS Global Total Return Fund Class I Shares (MFWIX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.47	Microchip Technology, Inc. (MCHP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.48	Microsoft Corp. (MSFT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.49	Nevro Corp. (NVRO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.50	NextEra Energy, Inc. (NEE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.51	NVIDIA Corp. (NVDA)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.52	Pacer US Small Cap Cash Cows 100 ETF (CALF)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.53	Parker-Hannifin Corp. (PH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.54	PayPal Holdings, Inc. (PYPL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.55	Prologis, Inc. (PLD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.56	Raytheon Technologies Corporation (RTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.57	Ross Stores, Inc. (ROST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.58	ServiceNow, Inc. (NOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.59	SPDR S&P 500 ETF Trust (SPY)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.60	SPDR S&P Dividend ETF (SDY)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
1.61	Square, Inc. (SQ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.62	SVB Financial Group (SIVB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.63	Take-Two Interactive Software, Inc. (TTWO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.64	Thermo Fisher Scientific, Inc. (TMO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.65	Truist Financial Corporation (TFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.66	Twilio, Inc. (TWLO)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.67	Uber Technologies, Inc. (UBER)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.68	Union Pacific Corp. (UNP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.69	Vanguard Russell 2000 Value Index Fund ETF Shares (VTWV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.70	Visa, Inc. (V)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.71	Walmart, Inc. (WMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.72	The Walt Disney Co. (DIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.73	Waste Management, Inc. (WM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.74	Xilinx, Inc. (XLNX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.75	Zendesk, Inc. (ZEN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.76	Zoetis, Inc. (ZTS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2	U.S. brokerage money market account (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3	U.S. bank #1 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4	NextGen 529 Maine College Savings Plan	No		Cash distributions	\$27,520
4.1	Franklin Templeton Age 20+	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
5	NextGen 529 Maine College Savings Plan	No		cash distributions	\$13,500
5.1	Franklin Templeton Age 19 Years	Yes	\$15,001 - \$50,000		None (or less than \$201)
6	NextGen 529 Maine College Savings Plan	No		cash distributions	\$13,500
6.1	Franklin Templeton Age 19 Years	Yes	\$15,001 - \$50,000		None (or less than \$201)
7	ETHEREUM (coinbase account)	N/A	\$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	Bank of America	Mortgage on Personal Residence	\$250,001 - \$500,000	2021	2.625	30 years	
2	Bank of America	See Endnote	Mortgage on Personal Residence	\$250,001 - \$500,000	2017	3.875	30 years

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	1	Associate attorney from May 1994 to December 2001 Non-equity partner in 2002 Equity partner from January 2003 to present Chair of the Firm's Management Committee from December 2020 to present
8.	2	Mortgage paid off April 5, 2021

Summary of Contents

1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

6. Other Assets and Income

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

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

7. Transactions

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

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

8. Liabilities

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

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

9. Gifts and Travel Reimbursements

This section discloses:

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

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

Privacy Act Statement

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

Public Burden Information

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).
