

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

## Filer's Information

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Niblock, Elizabeth A

Chief Information Officer, Department of Housing and Urban Development

Date of Appointment: 07/06/2021

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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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/ Niblock, Elizabeth A [electronically signed on 08/31/2021 by Niblock, Elizabeth A in Integrity.gov] - Filer received a 30 day filing extension.

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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/ Allen, Lindsey, Certifying Official [electronically signed on 10/22/2021 by Allen, Lindsey in Integrity.gov]

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Other review conducted by

/s/ Smith Johnson, Tiffanie R, Ethics Official [electronically signed on 10/14/2021 by Smith Johnson, Tiffanie R in Integrity.gov]

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U.S. Office of Government Ethics Certification

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Data Revised 10/19/2021

Data Revised 10/15/2021

Data Revised 10/14/2021

Data Revised 09/30/2021

Data Revised 09/29/2021

Data Revised 09/27/2021

Data Revised 09/24/2021

Data Revised 09/21/2021

Data Revised 09/02/2021

## 1. Filer's Positions Held Outside United States Government

| # | ORGANIZATION NAME  | CITY, STATE            | ORGANIZATION TYPE                        | POSITION HELD   | FROM   | TO      |
|---|--|------------------------|--|---|--------|---------|
| 1 | City of Detroit  | Detroit, Michigan      | City government                          | Chief Information Officer and Chief of Homeland Security and Emergency Management | 7/2019 | 7/2021  |
| 2 | Covenant House Michigan                                      | Detroit, Michigan      | Non-Profit                               | Secretary of the Board  | 6/2019 | 7/2021  |
| 3 | Niblock Family Charitable Trust                              | Louisville, Kentucky   | Trust                                    | trustee   | 8/2016 | Present |
| 4 | Elizabeth A. Niblock and Monique M. McGraw Family Foundation | Port Sanilac, Michigan | Trust                                    | trustee   | 6/2016 | Present |
| 5 | Financial Oversight and Management Board                     | San Juan, Puerto Rico  | Financial Oversight and Management Board | Consultant  | 3/2020 | 4/2021  |

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

| # | DESCRIPTION  | EIF | VALUE | INCOME TYPE    | INCOME AMOUNT             |
|---|--|-----|-------|----------------|---------------------------|
| 1 | City of Detroit  | N/A |       | Salary         | \$251,424                 |
| 2 | Financial Oversight and Management Board   | N/A |       | Consulting fee | \$16,000                  |
| 3 | Kentucky Retirement System--County Employee Retirement Non Hazardous, defined benefit plan (value not readily ascertainable) eligible for approx \$38,730/year at age 65 | N/A |       |                | None (or less than \$201) |

| #   | DESCRIPTION   | EIF | VALUE                 | INCOME TYPE | INCOME AMOUNT             |
|-----|---|-----|-----------------------|-------------|---------------------------|
| 4   | City of Detroit (deferred compensation)                     | No  |                       |             |                           |
| 4.1 | VanguardGlobal Wellesley Income Fund Admiral Shares (VGYAX) | Yes | \$50,001 - \$100,000  |             | None (or less than \$201) |
| 4.2 | Equitable Deferred Compensation                             | Yes | \$15,001 - \$50,000   |             | None (or less than \$201) |
| 4.3 | Vanguard Windsor Fund Investor                              | Yes | \$50,001 - \$100,000  |             | None (or less than \$201) |
| 5   | IRA #2  | Yes | \$100,001 - \$250,000 |             | None (or less than \$201) |
| 5.1 | Brown Advisory Sustainable Growth (BAFWX)                   | Yes | \$15,001 - \$50,000   |             | None (or less than \$201) |
| 5.2 | Domini Impact International Equity Fund (DOMYX)             | Yes | \$50,001 - \$100,000  |             | \$1,001 - \$2,500         |
| 5.3 | Parnassus Mid Cap Fund (PFPMX)                              | Yes | \$50,001 - \$100,000  |             | None (or less than \$201) |
| 5.4 | Vanguard FTSE Social Index Fund Admiral Shares (VFTAX)      | Yes | \$50,001 - \$100,000  |             | \$201 - \$1,000           |
| 6   | IRA #1  | No  | \$100,001 - \$250,000 |             | None (or less than \$201) |
| 6.1 | ABB LIMITED SPONSORED ADR (SWITZERLAND)                     | N/A | \$1,001 - \$15,000    | Dividends   | None (or less than \$201) |
| 6.2 | ACCENTURE PLC IRELAND SHS CLASS A (IRELAND)                 | N/A | \$1,001 - \$15,000    | Dividends   | None (or less than \$201) |
| 6.3 | ADIDAS AG ADR (GERMANY)                                     | N/A | \$1,001 - \$15,000    |             |                           |
| 6.4 | AIR LIQUIDE ADR (FRANCE)                                    | N/A | \$1,001 - \$15,000    | Dividends   | None (or less than \$201) |
| 6.5 | AKZO NOBEL N V SPONSRD ADS NEW (NETHERLANDS)                | N/A | \$1,001 - \$15,000    | Dividends   | None (or less than \$201) |

| #    | DESCRIPTION  | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|--|-----|-----------------------------|-------------|---------------------------|
| 6.6  | ALIBABA GROUP HLDG LIMITED SPONSORED ADS                 | N/A | \$1,001 - \$15,000          |             |                           |
| 6.7  | ALSTOM SA ADR (FRANCE)                                   | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 6.8  | ANGLO AMERICAN PLC SPONSORED ADR                         | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 6.9  | AON PLC SHS CL A (IRELAND)                               | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 6.10 | AUTOHOME INCORPORATED SP ADS RP CLASS A (CAYMAN ISLANDS) | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 6.11 | BANCO BRADESCO SA SPONSORED ADR REP PFD SHS              | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 6.12 | BARCLAYS PLC ADR (UNITED KINGDOM)                        | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 6.13 | BHP GROUP LIMITED SPONSORED ADS (AUSTRALIA)              | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 6.14 | BP PLC SPONSORED ADR (UNITED KINGDOM)                    | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 6.15 | CARLSBERG AS SPONSORED ADR (DENMARK)                     | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 6.16 | CHINA LONGYUAN POWER GROUP UNSPONSORD ADR (CHINA)        | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 6.17 | COMPANHIA DE SANEAMENTO BASICO SPONSORED ADR (BRAZIL)    | N/A | None (or less than \$1,001) | Dividends   | None (or less than \$201) |
| 6.18 | CONTINENTAL AG SPONSORED ADS (GERMANY)                   | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |
| 6.19 | DAIWA HOUSE INDUSTRY COMPANY LIMITED ADR (JAPAN)         | N/A | \$1,001 - \$15,000          | Dividends   | None (or less than \$201) |

| #    | DESCRIPTION  | EIF | VALUE              | INCOME TYPE | INCOME AMOUNT             |
|------|--|-----|--------------------|-------------|---------------------------|
| 6.20 | DBS GROUP HOLDINGS LIMITED SPONSORED ADR (SINGAPORE)     | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.21 | ENEL SOCIETA PER AZIONI UNSPONSORD ADR (ITALY)           | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.22 | ENGIE SA SPONS ADR (FRANCE)                              | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.23 | ENN ENERGY HLDGS LIMITED UNSPONSORD ADR                  | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.24 | EQUINOR ASA SPONSORED ADR (NORWAY)                       | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.25 | FERGUSON PLC NEW SHS (JERSEY)                            | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.26 | FUJITSU LIMITED UNSPONSORED ADR (JAPAN)                  | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.27 | GRUPO FINANCIERO BANORTE S A B ADR (MEXICO)              | N/A | \$1,001 - \$15,000 |             |                           |
| 6.28 | HEXAGON AKTIEBOLAG ADR (SWEDEN)                          | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.29 | HITACHI LIMITED ADR 2 COM (JAPAN)                        | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.30 | ICICI BANK LIMITED ADR (INDIA)                           | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.31 | INDUSTRIA DE DISENO TEXTIL IND UNSPONSORD ADR (SPAIN)    | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.32 | ISHARES TR EAFE VALUE ETF                                | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.33 | KB FINL GROUP INCORPORATED SPONSORED ADR (KOREA (SOUTH)) | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |

| #    | DESCRIPTION   | EIF | VALUE              | INCOME TYPE | INCOME AMOUNT             |
|------|---|-----|--------------------|-------------|---------------------------|
| 6.34 | LOJAS RENNER SA SPONSORED ADR                           | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.35 | MAKITA CORPORATION SPONSORED ADR (JAPAN)                | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.36 | MEDTRONIC PLC SHS (IRELAND)                             | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.37 | MERCK KGAA SPONSORED ADR (GERMANY)                      | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.38 | MR PRICE GROUP LIMITED SPONSORED ADR (SOUTH AFRICA)     | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.39 | NOVARTIS AG SPONSORED ADR (SWITZERLAND)                 | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.40 | P T TELEKOMUNIKASI INDONESIA SPONSORED ADR (INDONESIA)  | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.41 | PERNOD RICARD SA ADR (FRANCE)                           | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.42 | PING AN INS GROUP COMPANY CHINA LIMITED SPON ADR REP H  | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.43 | PRUDENTIAL PLC ADR (UNITED KINGDOM)                     | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.44 | PT BANK MANDIRI PERSERO TBK UNSPONSORED ADR (INDONESIA) | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.45 | RELX PLC SPONSORED ADR (UNITED KINGDOM)                 | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.46 | ROYAL DSM N V SPON ADR (NETHERLANDS)                    | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.47 | RYANAIR HOLDINGS PLC SPONSORED ADS (IRELAND)            | N/A | \$1,001 - \$15,000 |             |                           |

| #    | DESCRIPTION   | EIF | VALUE              | INCOME TYPE | INCOME AMOUNT             |
|------|---|-----|--------------------|-------------|---------------------------|
| 6.48 | RYOHIN KEIKAKU COMPANY LIMITED UNSPONSORD ADR (JAPAN) | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.49 | SAMPO OYJ ADR (FINLAND)                               | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.50 | SANDS CHINA LIMITED UNSPONSORE ADR (CAYMAN ISLANDS)   | N/A | \$1,001 - \$15,000 |             |                           |
| 6.51 | SANDVIK AB ADR (SWEDEN)                               | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.52 | SANOFI SPONSORED ADR (FRANCE)                         | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.53 | SHIMANO INCORPORATED UNSPONSORD ADR (JAPAN)           | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.54 | SUMITOMO MITSUI FINL GROUP INCORPORATED SPONSORED ADR | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.55 | SUNCOR ENERGY INCORPORATED NEW (CANADA)               | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.56 | SUZUKI MOTOR CORPORATION UNSPONSORD ADR (JAPAN)       | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.57 | TAIWAN SEMICONDUCTOR MFG LIMITED SPONSORED ADS        | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.58 | TELENOR ASA SPONSORED ADR (NORWAY)                    | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.59 | TENCENT HOLDINGS LIMITED UNSPON ADR (CAYMAN ISLANDS)  | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.60 | TESCO PLC SPONSORED ADR (UNITED KINGDOM)              | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |
| 6.61 | UNILEVER PLC SPON ADR NEW (UNITED KINGDOM)            | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |



| #    | DESCRIPTION   | EIF | VALUE                | INCOME TYPE | INCOME AMOUNT             |
|------|---|-----|----------------------|-------------|---------------------------|
| 6.62 | VESTAS WIND SYSTEMS AS UNSP ADR (DENMARK)                 | N/A | \$1,001 - \$15,000   | Dividends   | None (or less than \$201) |
| 6.63 | VIVENDI UNSPONSORD ADR (FRANCE)                           | N/A | \$1,001 - \$15,000   | Dividends   | None (or less than \$201) |
| 6.64 | VOLKSWAGEN AG UNSPONSRED ADS (GERMANY)                    | N/A | \$1,001 - \$15,000   | Dividends   | None (or less than \$201) |
| 6.65 | WOLTERS KLUWER N V SPONSORED ADR (NETHERLANDS)            | N/A | \$1,001 - \$15,000   | Dividends   | None (or less than \$201) |
| 6.66 | Cash  | N/A | \$1,001 - \$15,000   |             |                           |
| 7    | IRA #3  | Yes | \$50,001 - \$100,000 |             | None (or less than \$201) |
| 7.1  | AMERICAN FUNDS AMERICAN BALANCED FUND CL F2 N/L           | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 7.2  | AMERICAN FUNDS BOND FUND OF AMERICA FUND CL F2 N/L        | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 7.3  | AMERICAN FUNDS CAPITAL INCOME BUILDER FUND CL F2 N/L      | Yes | \$15,001 - \$50,000  |             | \$201 - \$1,000           |
| 7.4  | AMERICAN FUNDS CAPITAL WORLD GROWTH & INCOME FD CL F2 N/L | Yes | \$15,001 - \$50,000  |             | \$201 - \$1,000           |
| 7.5  | AMERICAN FUNDS GROWTH FUND OF AMERICA FUND CL F2 N/L      | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 7.6  | AMERICAN FUNDS INVESTMENT CO OF AMERICA FD CL F2 N/L      | Yes | \$15,001 - \$50,000  |             | \$201 - \$1,000           |
| 7.7  | AMERICAN FUNDS SMALLCAP WORLD FUND CL F2 N/L              | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 7.8  | AMERICAN FUNDS STRATEGIC BOND FUND CL F2 N/L              | Yes | \$1,001 - \$15,000   |             | None (or less than \$201) |
| 7.9  | WASHINGTON MUTUAL INVESTORS FUND CL F2 - AMERICAN N/L     | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |

| #    | DESCRIPTION | EIF | VALUE              | INCOME TYPE | INCOME AMOUNT             |
|------|-------------|-----|--------------------|-------------|---------------------------|
| 7.10 | Cash        | N/A | \$1,001 - \$15,000 | Dividends   | None (or less than \$201) |

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

| # | EMPLOYER OR PARTY  | CITY, STATE         | STATUS AND TERMS  | DATE   |
|---|--|---------------------|---|--------|
| 1 | Kentucky Retirement System--County Employee Retirement Non Hazardous | Frankfort, Kentucky | I will continue to participate in this defined benefit plan.  | 2/2004 |
| 2 | City of Detroit-   | Detroit, Michigan   | I will not participate in this defined contribution plan after my separation. My contribution has been rolled out of this retirement system | 2/2014 |
| 3 | City of Detroit (deferred compensation)                              | Detroit, Michigan   | I no longer participate in this defined contribution plan.  | 3/2014 |

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

| # | SOURCE NAME                              | CITY, STATE           | BRIEF DESCRIPTION OF DUTIES   |
|---|--|-----------------------|---|
| 1 | City of Detroit                          | Detroit, Michigan     | Chief Information Officer and Chief of Homeland Security and Emergency Management |
| 2 | Financial Oversight and Management Board | San Juan, Puerto Rico | Consultant  |

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

| # | DESCRIPTION | EIF | VALUE | INCOME TYPE | INCOME AMOUNT |
|---|-------------|-----|-------|-------------|---------------|
| 1 | IRA #4      | No  |       |             |               |

| #   | DESCRIPTION                         | EIF | VALUE                       | INCOME TYPE     | INCOME AMOUNT     |
|-----|-------------------------------------|-----|-----------------------------|-----------------|-------------------|
| 1.1 | Invesco International Diversified C | Yes | \$15,001 - \$50,000         |                 | \$201 - \$1,000   |
| 2   | Bid To Win Live                     | No  | None (or less than \$1,001) | Business Income |                   |
| 3   | McGraw Restorations                 | No  | \$50,001 - \$100,000        | Business Income |                   |
| 4   | IRA #5                              |     |                             |                 |                   |
| 4.1 | MFS Diversified Income Fund C       | Yes | \$100,001 - \$250,000       |                 | \$2,501 - \$5,000 |
| 4.2 | Pax Small Cap Fund A                | Yes | \$100,001 - \$250,000       |                 | \$201 - \$1,000   |

## 6. Other Assets and Income

| #     | DESCRIPTION                              | EIF | VALUE                   | INCOME TYPE   | INCOME AMOUNT       |
|-------|--|-----|-------------------------|---------------|---------------------|
| 1     | Commonwealth Bank & Trust                | N/A |                         | cash payments | \$1,906             |
| 1.1   | Family Trust #1                          | No  | \$500,001 - \$1,000,000 |               | \$15,001 - \$50,000 |
| 1.1.1 | Alphabet Inc Cap Stk Cl A (GOOGL)        | N/A | \$15,001 - \$50,000     |               |                     |
| 1.1.2 | Amazon.Com Inc (AMZN)                    | N/A | \$50,001 - \$100,000    |               |                     |
| 1.1.3 | America Tower Corp (AMT)                 | N/A | \$1,001 - \$15,000      | Dividends     | \$201 - \$1,000     |
| 1.1.4 | American Water Works Company, Inc. (AWK) | N/A | \$1,001 - \$15,000      |               |                     |
| 1.1.5 | Apple Inc (AAPL)                         | N/A | \$15,001 - \$50,000     | Dividends     | \$201 - \$1,000     |

| #      | DESCRIPTION                                 | EIF | VALUE                | INCOME TYPE | INCOME AMOUNT   |
|--------|---|-----|----------------------|-------------|-----------------|
| 1.1.6  | Bank of America Corporation Com (BAC)       | N/A | \$1,001 - \$15,000   |             |                 |
| 1.1.7  | Berkshire Hathaway Inc Del Cl B New (BRK.B) | N/A | \$15,001 - \$50,000  |             |                 |
| 1.1.8  | Boeing Co Com (BA)                          | N/A | \$1,001 - \$15,000   |             |                 |
| 1.1.9  | Chevron Corporation (CVX)                   | N/A | \$1,001 - \$15,000   | Dividends   | \$201 - \$1,000 |
| 1.1.10 | Citigroup Inc. Com (C)                      | N/A | \$1,001 - \$15,000   |             |                 |
| 1.1.11 | Facebook, Inc (FB)                          | N/A | \$15,001 - \$50,000  |             |                 |
| 1.1.12 | Home Depot Inc (HD)                         | N/A | \$15,001 - \$50,000  | Dividends   | \$201 - \$1,000 |
| 1.1.13 | Humana Inc Com (HUM)                        | N/A | \$1,001 - \$15,000   |             |                 |
| 1.1.14 | J P Morgan Chase & Co Com (JPM)             | N/A | \$1,001 - \$15,000   | Dividends   | \$201 - \$1,000 |
| 1.1.15 | Johnson & Johnson Com (JNJ)                 | N/A | \$1,001 - \$15,000   | Dividends   | \$201 - \$1,000 |
| 1.1.16 | Lockheed Martin Corp (LMT)                  | N/A | \$1,001 - \$15,000   | Dividends   | \$201 - \$1,000 |
| 1.1.17 | Microsoft Corp Com (MSFT)                   | N/A | \$15,001 - \$50,000  | Dividends   | \$201 - \$1,000 |
| 1.1.18 | Netflix, Inc (NFLX)                         | N/A | \$1,001 - \$15,000   |             |                 |
| 1.1.19 | Procter & Gamble Co Com (PG)                | N/A | \$1,001 - \$15,000   | Dividends   | \$201 - \$1,000 |
| 1.1.20 | Sherwin Williams Co Com (SHW)               | N/A | \$1,001 - \$15,000   |             |                 |
| 1.1.21 | Stryker Corp common (SYK)                   | N/A | \$1,001 - \$15,000   |             |                 |
| 1.1.22 | Tencent Holdings Ltd - ADR (TCEHY)          | N/A | \$1,001 - \$15,000   |             |                 |
| 1.1.23 | Rpost Comm. Private Company Stock           | N/A | \$50,001 - \$100,000 |             |                 |
| 1.1.24 | Vanguard Small Cap Index Adm (VSMAX)        | Yes | \$1,001 - \$15,000   |             | \$201 - \$1,000 |

| #      | DESCRIPTION                                       | EIF | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|--------|---|-----|---------------------|-------------|---------------------------|
| 1.1.25 | Primecap Odyssey Aggressive Growth (POAGX)        | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 1.1.26 | Principal MidCap Blend Inst (PCBIX)               | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 1.1.27 | John Hancock Int'l Growth (GOGIX)                 | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 1.1.28 | MFS International Value I (MINIX)                 | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 1.1.29 | Royce International Premier Instl (RIPIX)         | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 1.1.30 | Diamond Hill Corporate Credit (DHSTX)             | Yes | \$15,001 - \$50,000 |             | \$1,001 - \$2,500         |
| 1.1.31 | Eaton Vance Emerging Markets Local Inc I (EEIIX)  | Yes | \$1,001 - \$15,000  |             | \$201 - \$1,000           |
| 1.1.32 | DoubleLine Total Return Bond I (DBLTX)            | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |
| 1.1.33 | FPA New Income (FPNIX)                            | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.1.34 | PIMCO Income Instl (PIMIX)                        | Yes | \$15,001 - \$50,000 |             | \$1,001 - \$2,500         |
| 1.1.35 | Vanguard Bd Index Fd Admiral Shares 584 (VBTLX)   | Yes | \$1,001 - \$15,000  |             | \$201 - \$1,000           |
| 1.1.36 | SPDR Gold Trust (GLD)                             | Yes | \$1,001 - \$15,000  |             |                           |
| 1.1.37 | American Beacon AHL Mgd Futs Strat Instl (AHLIX)  | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |
| 1.1.38 | Infinity Q Diversified Alpha Instl (IQDNX)        | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 1.1.39 | GQG Partners Emerging Markets Equity Inst (GQGIX) | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |

| #      | DESCRIPTION                                 | EIF | VALUE                     | INCOME TYPE | INCOME AMOUNT             |
|--------|---|-----|---------------------------|-------------|---------------------------|
| 1.1.40 | Vanguard Russell 2000 Growth (VTWG)         | Yes | \$1,001 - \$15,000        |             | None (or less than \$201) |
| 1.1.41 | Commonwealth Institutional Money Fund       | Yes | \$1,001 - \$15,000        |             | None (or less than \$201) |
| 1.2    | Inherited IRA                               | No  | \$1,000,001 - \$5,000,000 |             | \$15,001 - \$50,000       |
| 1.2.1  | Alphabet Inc Cap Stk Cl A (GOOGL)           | N/A | \$15,001 - \$50,000       |             |                           |
| 1.2.2  | Alphabet Inc Cap Stk Cl C (GOOG)            | N/A | \$1,001 - \$15,000        |             |                           |
| 1.2.3  | Amazon.Com Inc (AMZN)                       | N/A | \$50,001 - \$100,000      |             |                           |
| 1.2.4  | America Tower Corp (AMT)                    | N/A | \$15,001 - \$50,000       | Dividends   | \$201 - \$1,000           |
| 1.2.5  | American Water Works Company, Inc. (AWK)    | N/A | \$1,001 - \$15,000        |             |                           |
| 1.2.6  | Amgen Inc Com (AMGN)                        | N/A | \$1,001 - \$15,000        | Dividends   | \$201 - \$1,000           |
| 1.2.7  | Berkshire Hathaway Inc Del Cl B New (BRK.B) | N/A | \$15,001 - \$50,000       |             |                           |
| 1.2.8  | BlackRock, Inc. (BLK)                       | N/A | \$1,001 - \$15,000        | Dividends   | \$201 - \$1,000           |
| 1.2.9  | Boeing Co Com (BA)                          | N/A | \$1,001 - \$15,000        |             |                           |
| 1.2.10 | Booking Hldgs Inc (BKNG)                    | N/A | \$1,001 - \$15,000        |             |                           |
| 1.2.11 | Facebook, Inc (FB)                          | N/A | \$15,001 - \$50,000       |             |                           |
| 1.2.12 | Goldman Sachs Group Inc common (GS)         | N/A | \$15,001 - \$50,000       | Dividends   | \$201 - \$1,000           |
| 1.2.13 | Henry Schein Inc common (HSIC)              | N/A | \$1,001 - \$15,000        |             |                           |
| 1.2.14 | Home Depot Inc (HD)                         | N/A | \$15,001 - \$50,000       | Dividends   | \$201 - \$1,000           |

| #      | DESCRIPTION                      | EIF | VALUE               | INCOME TYPE | INCOME AMOUNT   |
|--------|----------------------------------|-----|---------------------|-------------|-----------------|
| 1.2.15 | Honeywell Intl Inc Com (HON)     | N/A | \$1,001 - \$15,000  |             |                 |
| 1.2.16 | Humana Inc Com (HUM)             | N/A | \$15,001 - \$50,000 |             |                 |
| 1.2.17 | Intuitive Surgical Inc (ISRG)    | N/A | \$1,001 - \$15,000  |             |                 |
| 1.2.18 | J P Morgan Chase & Co Com (JPM)  | N/A | \$15,001 - \$50,000 | Dividends   | \$201 - \$1,000 |
| 1.2.19 | Johnson & Johnson Com (JNJ)      | N/A | \$1,001 - \$15,000  |             |                 |
| 1.2.20 | Lockheed Martin Corp (LMT)       | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000 |
| 1.2.21 | MasterCard Inc (MA)              | N/A | \$15,001 - \$50,000 |             |                 |
| 1.2.22 | Microsoft Corp Com (MSFT)        | N/A | \$15,001 - \$50,000 |             |                 |
| 1.2.23 | Nextera Energy Inc (NEE)         | N/A | \$1,001 - \$15,000  |             |                 |
| 1.2.24 | PayPal Holding Inc (PYPL)        | N/A | \$15,001 - \$50,000 |             |                 |
| 1.2.25 | Pepsico Inc Com (PEP)            | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000 |
| 1.2.26 | Philip Morris Intl Inc (PM)      | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000 |
| 1.2.27 | Sherwin Williams Co Com (SHW)    | N/A | \$1,001 - \$15,000  |             |                 |
| 1.2.28 | Square Inc (SQ)                  | N/A | \$15,001 - \$50,000 |             |                 |
| 1.2.29 | Stanley Black & Decker Inc (SWK) | N/A | \$1,001 - \$15,000  |             |                 |
| 1.2.30 | Starbucks Corp common (SBUX)     | N/A | \$15,001 - \$50,000 | Dividends   | \$201 - \$1,000 |
| 1.2.31 | Stryker Corp common (SYK)        | N/A | \$1,001 - \$15,000  |             |                 |
| 1.2.32 | Sysco Corp Com (SYY)             | N/A | \$1,001 - \$15,000  |             |                 |

| #      | DESCRIPTION                                      | EIF | VALUE                | INCOME TYPE | INCOME AMOUNT             |
|--------|--|-----|----------------------|-------------|---------------------------|
| 1.2.33 | Texas Instruments Inc (TXN)                      | N/A | \$1,001 - \$15,000   | Dividends   | \$201 - \$1,000           |
| 1.2.34 | Unitedhealth Group Inc (UNH)                     | N/A | \$15,001 - \$50,000  | Dividends   | \$201 - \$1,000           |
| 1.2.35 | Williams Cos (WMB)                               | N/A | \$1,001 - \$15,000   | Dividends   | \$201 - \$1,000           |
| 1.2.36 | Alibaba Group Holding - SP ADR (BABA)            | N/A | \$15,001 - \$50,000  |             |                           |
| 1.2.37 | Taiwan Semiconductor Mfg Co ADR (TSM)            | N/A | \$15,001 - \$50,000  | Dividends   | \$201 - \$1,000           |
| 1.2.38 | Tencent Holdings Ltd - ADR (TCEHY)               | N/A | \$15,001 - \$50,000  |             |                           |
| 1.2.39 | Chubb LTD Ord (CB)                               | N/A | \$1,001 - \$15,000   |             |                           |
| 1.2.40 | Suncor Energy (SU)                               | N/A | \$1,001 - \$15,000   | Dividends   | \$201 - \$1,000           |
| 1.2.41 | Primecap Odyssey Aggressive Growth (POAGX)       | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 1.2.42 | Principal MidCap Blend Inst (PCBIX)              | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 1.2.43 | John Hancock Int'l Growth (GOGIX)                | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 1.2.44 | MFS International Value I (MINIX)                | Yes | \$15,001 - \$50,000  |             | \$201 - \$1,000           |
| 1.2.45 | Royce International Premier Instl (RIPIX)        | Yes | \$15,001 - \$50,000  |             | None (or less than \$201) |
| 1.2.46 | Diamond Hill Corporate Credit (DHSTX)            | Yes | \$50,001 - \$100,000 |             | \$2,501 - \$5,000         |
| 1.2.47 | Eaton Vance Emerging Markets Local Inc I (EEIIX) | Yes | \$15,001 - \$50,000  |             | \$1,001 - \$2,500         |
| 1.2.48 | DoubleLine Total Return Bond I (DBLTX)           | Yes | \$50,001 - \$100,000 |             | \$1,001 - \$2,500         |



| #      | DESCRIPTION                                       | EIF | VALUE                   | INCOME TYPE | INCOME AMOUNT             |
|--------|---|-----|-------------------------|-------------|---------------------------|
| 1.2.49 | FPA New Income (FPNIX)                            | Yes | \$15,001 - \$50,000     |             | None (or less than \$201) |
| 1.2.50 | PIMCO Income Instl (PIMIX)                        | Yes | \$15,001 - \$50,000     |             | \$1,001 - \$2,500         |
| 1.2.51 | Vanguard Bd Index Fd Admiral Shares 584 (VBTLX)   | Yes | \$15,001 - \$50,000     |             | \$201 - \$1,000           |
| 1.2.52 | SPDR Gold Trust (GLD)                             | Yes | \$15,001 - \$50,000     |             |                           |
| 1.2.53 | American Beacon AHL Mgd Futs Strat Instl (AHLIX)  | Yes | \$15,001 - \$50,000     |             | \$1,001 - \$2,500         |
| 1.2.54 | Infinity Q Diversified Alpha Instl (IQDNX)        | Yes | \$15,001 - \$50,000     |             |                           |
| 1.2.55 | GQG Partners Emerging Markets Equity Inst (GQGIX) | Yes | \$50,001 - \$100,000    |             | \$201 - \$1,000           |
| 1.2.56 | Vanguard Russell 2000 Growth (VTWG)               | Yes | \$15,001 - \$50,000     |             | \$201 - \$1,000           |
| 1.2.57 | Commonwealth Institutional Money Fund             | Yes | \$15,001 - \$50,000     |             |                           |
| 1.3    | Inherited Roth IRA                                | No  | \$500,001 - \$1,000,000 |             | \$5,001 - \$15,000        |
| 1.3.1  | Adobe Systems Inc (ADBE)                          | N/A | \$15,001 - \$50,000     |             |                           |
| 1.3.2  | Alphabet Inc Cap Stk Cl A (GOOGL)                 | N/A | \$1,001 - \$15,000      |             |                           |
| 1.3.3  | Amazon.Com Inc (AMZN)                             | N/A | \$15,001 - \$50,000     |             |                           |
| 1.3.4  | America Tower Corp (AMT)                          | N/A | \$1,001 - \$15,000      | Dividends   | \$201 - \$1,000           |
| 1.3.5  | American Water Works Company, Inc. (AWK)          | N/A | \$1,001 - \$15,000      |             |                           |
| 1.3.6  | Amgen Inc Com (AMGN)                              | N/A | \$1,001 - \$15,000      |             |                           |

| #      | DESCRIPTION                         | EIF | VALUE                | INCOME TYPE | INCOME AMOUNT   |
|--------|-------------------------------------|-----|----------------------|-------------|-----------------|
| 1.3.7  | Apple Inc (AAPL)                    | N/A | \$50,001 - \$100,000 | Dividends   | \$201 - \$1,000 |
| 1.3.8  | Atmos Energy Corp (ATO)             | N/A | \$1,001 - \$15,000   |             |                 |
| 1.3.9  | BlackRock, Inc. (BLK)               | N/A | \$1,001 - \$15,000   |             |                 |
| 1.3.10 | Boeing Co Com (BA)                  | N/A | \$1,001 - \$15,000   |             |                 |
| 1.3.11 | Cimarex Energy Co (XEC)             | N/A | \$1,001 - \$15,000   |             |                 |
| 1.3.12 | Citigroup Inc. Com (C)              | N/A | \$1,001 - \$15,000   | Dividends   | \$201 - \$1,000 |
| 1.3.13 | ComCast Corp Cl A Common (CMCSA)    | N/A | \$1,001 - \$15,000   |             |                 |
| 1.3.14 | Costco Whsl Corp New Com (COST)     | N/A | \$15,001 - \$50,000  |             |                 |
| 1.3.15 | Facebook, Inc (FB)                  | N/A | \$15,001 - \$50,000  |             |                 |
| 1.3.16 | Goldman Sachs Group Inc common (GS) | N/A | \$1,001 - \$15,000   |             |                 |
| 1.3.17 | Home Depot Inc (HD)                 | N/A | \$1,001 - \$15,000   | Dividends   | \$201 - \$1,000 |
| 1.3.18 | Humana Inc Com (HUM)                | N/A | \$1,001 - \$15,000   |             |                 |
| 1.3.19 | J P Morgan Chase & Co Com (JPM)     | N/A | \$1,001 - \$15,000   | Dividends   | \$201 - \$1,000 |
| 1.3.20 | Lockheed Martin Corp (LMT)          | N/A | \$15,001 - \$50,000  | Dividends   | \$201 - \$1,000 |
| 1.3.21 | Netflix, Inc (NFLX)                 | N/A | \$1,001 - \$15,000   |             |                 |
| 1.3.22 | Nextera Energy Inc (NEE)            | N/A | \$1,001 - \$15,000   |             |                 |
| 1.3.23 | Philip Morris Intl Inc (PM)         | N/A | \$1,001 - \$15,000   | Dividends   | \$201 - \$1,000 |
| 1.3.24 | Salesforce.com Inc (CRM)            | N/A | \$1,001 - \$15,000   |             |                 |
| 1.3.25 | Sherwin Williams Co Com (SHW)       | N/A | \$1,001 - \$15,000   |             |                 |
| 1.3.26 | Stanley Black & Decker Inc (SWK)    | N/A | \$1,001 - \$15,000   |             |                 |

| #      | DESCRIPTION   | EIF | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|--------|---|-----|---------------------|-------------|---------------------------|
| 1.3.27 | Starbucks Corp common (SBUX)                          | N/A | \$1,001 - \$15,000  |             |                           |
| 1.3.28 | Stryker Corp common (SYK)                             | N/A | \$1,001 - \$15,000  |             |                           |
| 1.3.29 | Unitedhealth Group Inc (UNH)                          | N/A | \$1,001 - \$15,000  |             |                           |
| 1.3.30 | VISA Inc Cl A (V)                                     | N/A | \$15,001 - \$50,000 |             |                           |
| 1.3.31 | Williams Cos (WMB)                                    | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |
| 1.3.32 | Zimmer Biomet Hldgs Inc Com (ZBH)                     | N/A | \$1,001 - \$15,000  |             |                           |
| 1.3.33 | Taiwan Semiconductor Mfg Co ADR (TSM)                 | N/A | \$1,001 - \$15,000  |             |                           |
| 1.3.34 | Tencent Holdings Ltd - ADR (TCEHY)                    | N/A | \$1,001 - \$15,000  |             |                           |
| 1.3.35 | Fidelity Small Cap Index Fund - Institutional (FSSNX) | Yes | \$1,001 - \$15,000  |             | None (or less than \$201) |
| 1.3.36 | Primecap Odyssey Aggressive Growth (POAGX)            | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 1.3.37 | Principal MidCap Blend Inst (PCBIX)                   | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 1.3.38 | John Hancock Int'l Growth (GOGIX)                     | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 1.3.39 | MFS International Value I (MINIX)                     | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 1.3.40 | Royce International Premier Instl (RIPIX)             | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 1.3.41 | Diamond Hill Corporate Credit (DHSTX)                 | Yes | \$15,001 - \$50,000 |             | \$1,001 - \$2,500         |
| 1.3.42 | Eaton Vance Emerging Markets Local Inc I (EEIIX)      | Yes | \$1,001 - \$15,000  |             | \$1,001 - \$2,500         |
| 1.3.43 | DoubleLine Total Return Bond I (DBLTX)                | Yes | \$15,001 - \$50,000 |             | \$1,001 - \$2,500         |

| #      | DESCRIPTION                                       | EIF | VALUE                   | INCOME TYPE        | INCOME AMOUNT             |
|--------|---|-----|-------------------------|--------------------|---------------------------|
| 1.3.44 | FPA New Income (FPNIX)                            | Yes | \$1,001 - \$15,000      |                    | None (or less than \$201) |
| 1.3.45 | PIMCO Income Instl (PIMIX)                        | Yes | \$15,001 - \$50,000     |                    | \$1,001 - \$2,500         |
| 1.3.46 | Vanguard Bd Index Fd Admiral Shares 584 (VBTLX)   | Yes | \$1,001 - \$15,000      |                    | \$201 - \$1,000           |
| 1.3.47 | SPDR Gold Trust (GLD)                             | Yes | \$1,001 - \$15,000      |                    |                           |
| 1.3.48 | American Beacon AHL Mgd Futs Strat Instl (AHLIX)  | Yes | \$15,001 - \$50,000     |                    | \$201 - \$1,000           |
| 1.3.49 | Infinity Q Diversified Alpha Instl (IQDNX)        | Yes | \$15,001 - \$50,000     |                    | None (or less than \$201) |
| 1.3.50 | GQG Partners Emerging Markets Equity Inst (GQGIX) | Yes | \$15,001 - \$50,000     |                    | None (or less than \$201) |
| 1.3.51 | Templeton China World Fund Class Advisor (TACWX)  | Yes | \$1,001 - \$15,000      |                    | None (or less than \$201) |
| 1.3.52 | Vanguard Russell 2000 Growth (VTWG)               | Yes | \$15,001 - \$50,000     |                    | None (or less than \$201) |
| 1.3.53 | Commonwealth Institutional Money Fund             | Yes | \$15,001 - \$50,000     |                    | None (or less than \$201) |
| 1.4    | Revocable Trust                                   | No  | \$500,001 - \$1,000,000 | Interest Dividends | \$5,001 - \$15,000        |
| 1.4.1  | Advanced Micro Devices (AMD)                      | N/A | \$1,001 - \$15,000      |                    |                           |
| 1.4.2  | Alphabet Inc Cap Stk Cl A (GOOGL)                 | N/A | \$50,001 - \$100,000    |                    |                           |
| 1.4.3  | Amazon.Com Inc (AMZN)                             | N/A | \$50,001 - \$100,000    |                    |                           |
| 1.4.4  | America Tower Corp (AMT)                          | N/A | \$1,001 - \$15,000      | Dividends          | \$201 - \$1,000           |
| 1.4.5  | American Express Co Com (AXP)                     | N/A | \$1,001 - \$15,000      |                    |                           |

| #      | DESCRIPTION                                 | EIF | VALUE                | INCOME TYPE | INCOME AMOUNT   |
|--------|---|-----|----------------------|-------------|-----------------|
| 1.4.6  | American Water Works Company, Inc. (AWK)    | N/A | \$1,001 - \$15,000   |             |                 |
| 1.4.7  | Apple Inc (AAPL)                            | N/A | \$50,001 - \$100,000 | Dividends   | \$201 - \$1,000 |
| 1.4.8  | Bank of America Corporation Com (BAC)       | N/A | \$1,001 - \$15,000   |             |                 |
| 1.4.9  | Berkshire Hathaway Inc Del Cl B New (BRK.B) | N/A | \$1,001 - \$15,000   |             |                 |
| 1.4.10 | Boeing Co Com (BA)                          | N/A | \$1,001 - \$15,000   |             |                 |
| 1.4.11 | Brown Forman Corp Class A (BF.A)            | N/A | \$1,001 - \$15,000   |             |                 |
| 1.4.12 | Chevron Corporation (CVX)                   | N/A | \$1,001 - \$15,000   | Dividends   | \$201 - \$1,000 |
| 1.4.13 | Citigroup Inc. Com (C)                      | N/A | \$1,001 - \$15,000   |             |                 |
| 1.4.14 | Facebook, Inc (FB)                          | N/A | \$15,001 - \$50,000  |             |                 |
| 1.4.15 | Home Depot Inc (HD)                         | N/A | \$1,001 - \$15,000   | Dividends   | \$201 - \$1,000 |
| 1.4.16 | Humana Inc Com (HUM)                        | N/A | \$1,001 - \$15,000   |             |                 |
| 1.4.17 | Intuitive Surgical Inc (ISRG)               | N/A | \$1,001 - \$15,000   |             |                 |
| 1.4.18 | J P Morgan Chase & Co Com (JPM)             | N/A | \$1,001 - \$15,000   | Dividends   | \$201 - \$1,000 |
| 1.4.19 | Johnson & Johnson Com (JNJ)                 | N/A | \$1,001 - \$15,000   |             |                 |
| 1.4.20 | Microsoft Corp Com (MSFT)                   | N/A | \$15,001 - \$50,000  | Dividends   | \$201 - \$1,000 |
| 1.4.21 | Netflix, Inc (NFLX)                         | N/A | \$1,001 - \$15,000   |             |                 |
| 1.4.22 | Procter & Gamble Co Com (PG)                | N/A | \$1,001 - \$15,000   | Dividends   | \$201 - \$1,000 |
| 1.4.23 | Sherwin Williams Co Com (SHW)               | N/A | \$1,001 - \$15,000   |             |                 |
| 1.4.24 | Starbucks Corp common (SBUX)                | N/A | \$1,001 - \$15,000   |             |                 |
| 1.4.25 | Stryker Corp common (SYK)                   | N/A | \$1,001 - \$15,000   |             |                 |

| #      | DESCRIPTION                                      | EIF | VALUE               | INCOME TYPE | INCOME AMOUNT             |
|--------|--|-----|---------------------|-------------|---------------------------|
| 1.4.26 | Thermo Fisher Scientific Inc (TMO)               | N/A | \$1,001 - \$15,000  |             |                           |
| 1.4.27 | Unitedhealth Group Inc (UNH)                     | N/A | \$1,001 - \$15,000  |             |                           |
| 1.4.28 | Valero Energy Corp (VLO)                         | N/A | \$1,001 - \$15,000  |             |                           |
| 1.4.29 | VISA Inc Cl A (V)                                | N/A | \$1,001 - \$15,000  |             |                           |
| 1.4.30 | Wal Mart Stores Inc Com (WMT)                    | N/A | \$1,001 - \$15,000  |             |                           |
| 1.4.31 | Williams Cos (WMB)                               | N/A | \$1,001 - \$15,000  | Dividends   | \$201 - \$1,000           |
| 1.4.32 | Tencent Holdings Ltd - ADR (TCEHY)               | N/A | \$1,001 - \$15,000  |             |                           |
| 1.4.33 | Suncor Energy (SU)                               | N/A | \$1,001 - \$15,000  |             |                           |
| 1.4.34 | Vanguard Small Cap Index Adm (VSMAX)             | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |
| 1.4.35 | Primecap Odyssey Aggressive Growth (POAGX)       | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 1.4.36 | Principal MidCap Blend Inst (PCBIX)              | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 1.4.37 | John Hancock Int'l Growth (GOGIX)                | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 1.4.38 | MFS International Value I (MINIX)                | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |
| 1.4.39 | Royce International Premier Instl (RIPIX)        | Yes | \$15,001 - \$50,000 |             | None (or less than \$201) |
| 1.4.40 | Diamond Hill Corporate Credit (DHSTX)            | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |
| 1.4.41 | Eaton Vance Emerging Markets Local Inc I (EEIIX) | Yes | \$1,001 - \$15,000  |             | \$1,001 - \$2,500         |
| 1.4.42 | DoubleLine Total Return Bond I (DBLTX)           | Yes | \$15,001 - \$50,000 |             | \$201 - \$1,000           |

| #      | DESCRIPTION                                       | EIF | VALUE                   | INCOME TYPE | INCOME AMOUNT             |
|--------|---|-----|-------------------------|-------------|---------------------------|
| 1.4.43 | PIMCO Income Instl (PIMIX)                        | Yes | \$1,001 - \$15,000      |             | \$201 - \$1,000           |
| 1.4.44 | Vanguard Bd Index Fd Admiral Shares 584 (VBTLX)   | Yes | \$1,001 - \$15,000      |             | \$201 - \$1,000           |
| 1.4.45 | SPDR Gold Trust (GLD)                             | Yes | \$1,001 - \$15,000      |             |                           |
| 1.4.46 | American Beacon AHL Mgd Futs Strat Instl (AHLIX)  | Yes | \$15,001 - \$50,000     |             | \$1,001 - \$2,500         |
| 1.4.47 | Infinity Q Diversified Alpha Instl (IQDNX)        | Yes | \$1,001 - \$15,000      |             | None (or less than \$201) |
| 1.4.48 | GQG Partners Emerging Markets Equity Inst (GQGIX) | Yes | \$15,001 - \$50,000     |             | None (or less than \$201) |
| 1.4.49 | First Trust Managed Muni (FMB)                    | Yes | \$15,001 - \$50,000     |             | \$201 - \$1,000           |
| 1.4.50 | Commonwealth Institutional Money Fund             | Yes | \$1,001 - \$15,000      |             | None (or less than \$201) |
| 2      | Brokerage Account #1                              | No  | \$500,001 - \$1,000,000 |             | None (or less than \$201) |
| 2.1    | ALPHABET INCORPORATED CAP STK CLASS A             | No  | \$50,001 - \$100,000    |             | None (or less than \$201) |
| 2.2    | CASH  | N/A | \$50,001 - \$100,000    |             | None (or less than \$201) |
| 2.3    | ALPHABET INCORPORATED CAP STK CLASS C             | N/A | \$50,001 - \$100,000    |             | None (or less than \$201) |
| 2.4    | AMERICAN FUNDS AMERICAN MUTUAL FUND CL A M/F      | Yes | \$1,001 - \$15,000      |             | None (or less than \$201) |
| 2.5    | BERKSHIRE HATHAWAY INCORPORATED DEL CLASS B NEW   | N/A | \$1,001 - \$15,000      |             | None (or less than \$201) |
| 2.6    | BIOGEN INCORPORATED                               | N/A | \$50,001 - \$100,000    |             | None (or less than \$201) |

| #    | DESCRIPTION                                       | EIF | VALUE                       | INCOME TYPE | INCOME AMOUNT             |
|------|---|-----|-----------------------------|-------------|---------------------------|
| 2.7  | CISCO SYSTEMS INCORPORATED                        | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 2.8  | FACEBOOK INCORPORATED CLASS A                     | N/A | \$100,001 - \$250,000       |             | None (or less than \$201) |
| 2.9  | MEDTRONIC PLC SHS (IRELAND)                       | N/A | \$1,001 - \$15,000          |             | None (or less than \$201) |
| 2.10 | T. ROWE PRICE EUROPEAN STOCK FUND INVESTOR CL N/L | Yes | \$15,001 - \$50,000         |             | None (or less than \$201) |
| 2.11 | VIATRIS INCORPORATED                              | N/A | None (or less than \$1,001) |             | None (or less than \$201) |
| 2.12 | BRISTOL-MYERS SQUIBB COMPANY                      | N/A | \$50,001 - \$100,000        | Dividends   | \$1,001 - \$2,500         |
| 2.13 | CLOROX COMPANY DEL                                | N/A | \$50,001 - \$100,000        | Dividends   | \$1,001 - \$2,500         |
| 2.14 | DUKE ENERGY CORPORATION NEW COM NEW               | N/A | \$1,001 - \$15,000          | Dividends   | \$201 - \$1,000           |
| 2.15 | GILEAD SCIENCES INCORPORATED                      | N/A | \$15,001 - \$50,000         | Dividends   | \$1,001 - \$2,500         |
| 2.16 | HSBC HLDGS PLC SPON ADR NEW (UNITED KINGDOM)      | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000           |
| 2.17 | ISHARES TR MSCI EMG MKT ETF                       | Yes | \$15,001 - \$50,000         |             | \$201 - \$1,000           |
| 2.18 | MICROSOFT CORPORATION                             | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000           |
| 2.19 | PFIZER INCORPORATED                               | N/A | \$15,001 - \$50,000         | Dividends   | \$201 - \$1,000           |
| 2.20 | SPDR PORTFOLIO S&P 500 GROWTH ETF                 | Yes | \$15,001 - \$50,000         |             | \$201 - \$1,000           |



| #    | DESCRIPTION                                 | EIF | VALUE                | INCOME TYPE  | INCOME AMOUNT             |
|------|---|-----|----------------------|--------------|---------------------------|
| 2.21 | T. ROWE PRICE NEW ASIA FUND INVESTOR CL N/L | Yes | \$15,001 - \$50,000  |              | \$201 - \$1,000           |
| 2.22 | T. ROWE PRICE NEW ASIA FUND INVESTOR CL N/L | Yes | \$15,001 - \$50,000  |              | None (or less than \$201) |
| 3    | US Bank #1 (cash)                           | No  | \$15,001 - \$50,000  |              | None (or less than \$201) |
| 4    | US Bank #2 (cash)                           | No  | \$15,001 - \$50,000  |              | None (or less than \$201) |
| 5    | Akzo Fixed Annuity                          | N/A | \$50,001 - \$100,000 | Cash payment | \$20,000                  |

## 7. Transactions

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

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

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

## Endnotes

# Summary of Contents

## 1. Filer's Positions Held Outside United States Government

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

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

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

Part 2 discloses the following:

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

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

## 3. Filer's Employment Agreements and Arrangements

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

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

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

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

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

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

Part 5 discloses the following:

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

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

#### 6. Other Assets and Income

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

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

## 7. Transactions

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

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

## 8. Liabilities

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

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

## 9. Gifts and Travel Reimbursements

This section discloses:

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

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

## Privacy Act Statement

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

## Public Burden Information

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