

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

## Filer's Information

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Bagley, Elizabeth F.

Ambassador to Brazil, Department of State

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Names of Congressional Committees Considering Nomination:

- Committee on Foreign Relations
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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/ Bagley, Elizabeth F. [electronically signed on 09/14/2021 by Bagley, Elizabeth F. in Integrity.gov]

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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/ Huitema, David, Certifying Official [electronically signed on 01/24/2022 by Huitema, David in Integrity.gov]

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Other review conducted by

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U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 01/27/2022 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	Smith Bagley, Inc.		Show Low, Arizona	Corporation	Board Member	1/2009	Present
2	National Democratic Institute for International Affairs	See Endnote	Washington, District of Columbia	Non-Profit	Board Member	5/2011	Present
3	Carnegie Endowment for International Peace	See Endnote	Washington, District of Columbia	Non-Profit	Trustee	5/2017	Present
4	American Ireland Fund	See Endnote	Boston, Massachusetts	Non-Profit	Board Member	11/1992	Present
5	Council of American Ambassadors	See Endnote	Washington, District of Columbia	Non-Profit	Board Member	2/2015	Present
6	UN Foundation	See Endnote	Washington, District of Columbia	Non-Profit	Co-Chair, Global Leadership Council	6/2019	Present
7	Diplomacy Center Foundation	See Endnote	Washington, District of Columbia	Non-Profit	Trustee	6/2001	Present
8	February 2, 2017 Irrevocable Trust 1	See Endnote	Greenville, Delaware	Trust	Trustee	2/2017	Present
9	February 2, 2017 Irrevocable Trust 2	See Endnote	Greenville, Delaware	Trust	Trustee	2/2017	Present
10	October 17, 2016 Appointive Trust	See Endnote	Greenville, Delaware	Trust	Trustee	10/2016	Present
11	October 17, 2016 Irrevocable Trust	See Endnote	Greenville, Delaware	Trust	Trustee	10/2016	Present

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
12	October 16, 2017 Irrevocable Trust	See Endnote	Greenville, Delaware	Trust	Trustee	10/2017	Present
13	February 27, 2004 Marital Trust	See Endnote	Greenville, Delaware	Trust	Trustee	1/2010	Present
14	November 15, 2017 Irrevocable Trust 1	See Endnote	Greenville, Delaware	Trust	Trustee	11/2017	Present
15	November 15, 2017 Irrevocable Trust 2	See Endnote	Greenville, Delaware	Trust	Trustee	11/2017	Present
16	February 27, 2004 Irrevocable Trust 1	See Endnote	Greenville, Delaware	Trust	Trustee	2/2004	Present
17	February 27, 2004 Irrevocable Trust 2	See Endnote	Greenville, Delaware	Trust	Trustee	2/2004	Present
18	Appointive Trust FBO CB LLC	See Endnote	Wilmington, Delaware	Corporation	Manager	10/2016	Present
19	CRB 1995 Trust LLC	See Endnote	Wilmington, Delaware	Corporation	Manager	10/2016	Present
20	VEB 1990 Trust LLC	See Endnote	Wilmington, Delaware	Corporation	Manager	10/2016	Present
21	VEB 2004 Trust LLC	See Endnote	Wilmington, Delaware	Corporation	Manager	10/2016	Present
22	CRB 2004 Trust LLC	See Endnote	Wilmington, Delaware	Corporation	Manager	10/2016	Present
23	BDB 2004 Trust LLC	See Endnote	Wilmington, Delaware	Corporation	Manager	11/2017	Present
24	NLB 2004 Trust LLC	See Endnote	Wilmington, Delaware	Corporation	Manager	11/2017	Present
25	Musgrove BDB LLC	See Endnote	Wilmington, Delaware	Corporation	Manager	10/2018	Present

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
26	Innisfree LLC	See Endnote	Wilmington, Delaware	Corporation	Manager	2/2017	Present
27	Musgrove LLC	See Endnote	Wilmington, Delaware	Corporation	Manager	2/2017	Present

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

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Smith Bagley, Inc. d/b/a Cellular One	See Endnote	N/A		Director fees	\$237,500
2	Smith Bagley, Inc. d/b/a Cellular One	See Endnote	N/A	\$25,000,001 - \$50,000,000	Dividends	\$1,000,001 - \$5,000,000
3	IRA		No			
3.1	US bank account (cash)		N/A	\$15,001 - \$50,000		None (or less than \$201)
3.2	ARK GENOMIC REVOLUTION ETF (ARKG)		N/A	\$50,001 - \$100,000	Capital Gains	\$201 - \$1,000
3.3	ARK INNOVATION ETF (ARKK)		N/A	\$250,001 - \$500,000	Capital Gains	\$5,001 - \$15,000
3.4	INVESCO QQQ (QQQ)		N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$1,001 - \$2,500
3.5	INVESCO S&P 500 EQUAL WEIGHT ETF (RSP)		N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
3.6	SPDR S&P 500 ETF (SPY)		N/A	None (or less than \$1,001)	Dividends Capital Gains Interest	\$15,001 - \$50,000
3.7	WISDOMTREE CLOUD COMPUTING FUND (WCLD)		N/A	\$100,001 - \$250,000		None (or less than \$201)

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

None

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

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Smith Bagley, Inc.	Show Low, Arizona	I serve on the Board of Directors.

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

None

### 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Cash Account #1	No			
1.1	US bank account (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
2	Brokerage Account #1	No			
2.1	US bank account #1 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
2.2	US bank account #2 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.3	3M COMPANY (MMM)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.4	ABBOTT LABS (ABT)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
2.5	ABBVIE INCORPORATED (ABBV)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
2.6	ACCENTURE PLC IRELAND SHS CLASS A (IRELAND) (ACN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
2.7	ACTAVIS PLC SHS (IRELAND) (AGNOLDD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
2.8	ACUITY BRANDS INCORPORATED (AYI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.9	ADOBE SYSTEMS INCORPORATED (ADBE)	N/A	\$50,001 - \$100,000	Capital Gains	\$15,001 - \$50,000
2.10	ADVANCED MICRO DEVICES INCORPORATED (AMD)	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
2.11	AFFILIATED MANAGERS GROUP INCORPORATED (AMG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.12	AGCO CORPORATION (AGCO)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
2.13	AGNC INVT CORPORATION REIT (AGNC)	N/A	\$1,001 - \$15,000	Dividends Interest	\$201 - \$1,000
2.14	ALASKA AIR GROUP INCORPORATED (ALK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.15	ALBEMARLE CORPORATION (ALB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.16	ALEXANDRIA REAL ESTATE EQ INCORPORATED REIT (ARE)	N/A	\$1,001 - \$15,000	Dividends Capital Gains Interest	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.17	ALIBABA GROUP HLDG LIMITED SPONSORED ADS (CAYMAN ISLANDS) (BABA)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
2.18	ALIGN TECHNOLOGY INCORPORATED (ALGN)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
2.19	ALLEGHANY CORPORATION MD (Y)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.20	ALLSTATE CORPORATION (ALL)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.21	ALPHABET INCORPORATED CAP STK CLASS A (GOOGL)	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
2.22	ALPHABET INCORPORATED CAP STK CLASS C (GOOG)	N/A	\$100,001 - \$250,000	Capital Gains	\$15,001 - \$50,000
2.23	ALTRIA GROUP INCORPORATED (MO)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
2.24	AMAZON COM INCORPORATED (AMZN)	N/A	\$100,001 - \$250,000	Capital Gains	\$50,001 - \$100,000
2.25	AMERICAN ELEC PWR COMPANY INCORPORATED (AEP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.26	AMERICAN FINL GROUP INCORPORATED OHIO (AFG)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.27	AMGEN INCORPORATED (AMGN)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
2.28	ANALOG DEVICES INCORPORATED (ADI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
2.29	ANSYS INCORPORATED (ANSS)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
2.30	AON PLC SHS CL A (IRELAND) (AON)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
2.31	APARTMENT INCOME REIT CORPORATION REIT (AIRC)	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.32	APPLE INCORPORATED (AAPL)	N/A	\$250,001 - \$500,000	Dividends Capital Gains	\$100,001 - \$1,000,000
2.33	ARCH CAP GROUP LIMITED ORD (BERMUDA) (ACGL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.34	ARCHER DANIELS MIDLAND COMPANY (ADM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.35	AT&T INCORPORATED (T)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
2.36	AVALONBAY CMNTYS INCORPORATED REIT (AVB)	N/A	\$1,001 - \$15,000	Dividends Interest	\$201 - \$1,000
2.37	BALL CORPORATION (BLL)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.38	BANK NEW YORK MELLON CORPORATION (BK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.39	BARRICK GOLD CORPORATION (CANADA) (GOLD)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
2.40	BERKSHIRE HATHAWAY INCORPORATED DEL CLASS B NEW (BRK.B)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.41	BIOGEN INCORPORATED (BIIB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.42	BK OF AMERICA CORPORATION (BAC)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
2.43	BLACKROCK INCORPORATED (BLK)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
2.44	BLOCK H & R INCORPORATED (HRB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.45	BOEING COMPANY (BA)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.46	BOOKING HOLDINGS INCORPORATED (BKNG)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
2.47	BORGWARNER INCORPORATED (BWA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.48	BRIGHTHOUSE FINL INCORPORATED (BHF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.49	BRISTOL-MYERS SQUIBB COMPANY (BMY)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.50	BROADCOM INCORPORATED (AVGO)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
2.51	BROWN & BROWN INCORPORATED (BRO)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.52	BROWN FORMAN CORPORATION CLASS B (BF.B)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.53	CABOT OIL & GAS CORPORATION (COG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.54	CADENCE DESIGN SYSTEM INCORPORATED (CDNS)	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
2.55	CALL: CBOE S&P 500 INDEX APR 2650 EXP 04/17/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.56	CALL: CBOE S&P 500 INDEX APR 2675 EXP 04/17/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.57	CALL: CBOE S&P 500 INDEX APR 2775 EXP 04/17/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.58	CALL: CBOE S&P 500 INDEX APR 2875 EXP 04/17/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
2.59	CALL: CBOE S&P 500 INDEX APR 2900 EXP 04/17/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.60	CALL: CBOE S&P 500 INDEX APR 3050 EXP 04/17/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.61	CALL: CBOE S&P 500 INDEX APR 3150 EXP 04/17/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.62	CALL: CBOE S&P 500 INDEX APR 3325 EXP 04/17/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.63	CALL: CBOE S&P 500 INDEX APR 3350 EXP 04/17/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.64	CALL: CBOE S&P 500 INDEX APR 3375 EXP 04/17/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.65	CALL: CBOE S&P 500 INDEX APR 3400 EXP 04/17/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
2.66	CALL: CBOE S&P 500 INDEX DEC 3700 EXP 12/31/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.67	CALL: CBOE S&P 500 INDEX JUL 3225 EXP 07/31/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
2.68	CALL: CBOE S&P 500 INDEX JUN 2975 EXP 06/19/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.69	CALL: CBOE S&P 500 INDEX MAR 2800 EXP 03/31/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
2.70	CALL: CBOE S&P 500 INDEX MAR 2850 EXP 03/31/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.71	CALL: CBOE S&P 500 INDEX MAR 2925 EXP 03/31/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.72	CALL: CBOE S&P 500 INDEX MAR 2950 EXP 03/31/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.73	CALL: CBOE S&P 500 INDEX MAR 3025 EXP 03/27/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
2.74	CALL: CBOE S&P 500 INDEX MAR 3075 EXP 03/31/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.75	CALL: CBOE S&P 500 INDEX MAR 3100 EXP 03/20/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.76	CALL: CBOE S&P 500 INDEX MAR 3100 EXP 03/31/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.77	CALL: CBOE S&P 500 INDEX MAR 3175 EXP 03/20/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.78	CALL: CBOE S&P 500 INDEX MAR 3200 EXP 03/20/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.79	CALL: CBOE S&P 500 INDEX MAR 3225 EXP 03/31/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
2.80	CALL: CBOE S&P 500 INDEX MAR 3325 EXP 03/20/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.81	CALL: CBOE S&P 500 INDEX MAR 3350 EXP 03/20/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
2.82	CALL: CBOE S&P 500 INDEX MAR 3350 EXP 03/31/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.83	CALL: CBOE S&P 500 INDEX MAR 3375 EXP 03/20/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.84	CALL: CBOE S&P 500 INDEX MAR 3375 EXP 03/31/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
2.85	CALL: CBOE S&P 500 INDEX MAY 2825 EXP 05/15/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
2.86	CALL: CBOE S&P 500 INDEX MAY 2850 EXP 05/15/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
2.87	CALL: CBOE S&P 500 INDEX MAY 2850 EXP 05/22/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
2.88	CALL: CBOE S&P 500 INDEX NOV 3400 EXP 11/06/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
2.89	CALL: CBOE S&P 500 INDEX NOV 3525 EXP 11/20/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
2.90	CALL: CBOE S&P 500 INDEX NOV 3550 EXP 11/20/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
2.91	CALL: CBOE S&P 500 INDEX NOV 3575 EXP 11/20/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
2.92	CALL: CBOE S&P 500 INDEX OCT 3400 EXP 10/16/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
2.93	CALL: CBOE S&P 500 INDEX OCT 3450 EXP 10/16/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
2.94	CALL: CBOE S&P 500 INDEX OCT 3475 EXP 10/16/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.95	CALL: CBOE S&P 500 INDEX OCT 3500 EXP 10/16/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.96	CALL: CBOE S&P 500 INDEX OCT 3575 EXP 10/16/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.97	CALL: S&P DOW JONES INDEX JAN 3650 EXP 01/15/21 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.98	CALL: S&P DOW JONES INDEX JAN 3650 EXP 01/15/21 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
2.99	CALL: S&P DOW JONES INDEX JUN 4250 EXP 06/18/21 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.100	CALL: S&P DOW JONES INDEX JUN 4250 EXP 06/30/21 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.101	CALL: S&P DOW JONES INDEX MAR 3900 EXP 03/19/21 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
2.102	CALL: S&P DOW JONES INDEX MAR 3900 EXP 03/19/21 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
2.103	CALL: S&P DOW JONES INDEX MAR 3925 EXP 03/19/21 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.104	CALL: S&P DOW JONES INDEX MAR 3950 EXP 03/19/21 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
2.105	CALL: S&P DOW JONES INDEX MAR 3950 EXP 03/19/21 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.106	CANADIAN NATL RY COMPANY (CANADA) (CNI)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.107	CANADIAN PAC RY LIMITED (CANADA) (CP)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.108	CAPITAL ONE FINL CORPORATION (COF)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
2.109	CAPRI HOLDINGS LIMITED SHS (VIRGIN ISLANDS (BRITISH)) (CPRI)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.110	CARLISLE COMPANIES INCORPORATED (CSL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.111	CARRIER GLOBAL CORPORATION (CARR)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.112	CATERPILLAR INCORPORATED (CAT)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
2.113	CBOE GLOBAL MKTS INCORPORATED (CBOE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.114	CBRE GROUP INCORPORATED CLASS A (CBRE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.115	CDK GLOBAL INCORPORATED (CDK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.116	CELANESE CORPORATION DEL (CE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.117	CENTENE CORPORATION DEL (CNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.118	CF INDUSTRIES HLDGS INCORPORATED (CF)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.119	CHARLES RIV LABS INTERNATIONAL INCORPORATED (CRL)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
2.120	CHARTER COMMUNICATIONS INCORPORATED NEW CLASS A (CHTR)	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
2.121	CHECK POINT SOFTWARE TECH LIMITED ORD (ISRAEL) (CHKP)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
2.122	CHENIERE ENERGY INCORPORATED COM NEW (LNG)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
2.123	CHEVRON CORPORATION NEW (CVX)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
2.124	CHIPOTLE MEXICAN GRILL INCORPORATED (CMG)	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.125	CHUBB LIMITED (SWITZERLAND) (CB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.126	CHURCH & DWIGHT INCORPORATED (CHD)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
2.127	CIGNA CORPORATION NEW (CI)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
2.128	CINCINNATI FINL CORPORATION (CINF)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
2.129	CISCO SYSTEMS INCORPORATED (CSCO)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.130	CITIGROUP INCORPORATED COM NEW (C)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.131	COLGATE PALMOLIVE COMPANY (CL)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
2.132	COMCAST CORPORATION NEW CLASS A (CMCSA)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
2.133	CONOCOPHILLIPS (COP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.134	CONSTELLATION BRANDS INCORPORATED CLASS A (STZ)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
2.135	CONTINENTAL RES INCORPORATED (CLR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.136	COOPER COMPANIES INCORPORATED COM NEW (COO)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.137	CORTEVA INCORPORATED (CTVA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.138	COSTAR GROUP INCORPORATED (CSGP)	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
2.139	COSTCO WHOLESALE CORPORATION NEW (COST)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.140	CROWN CASTLE INTERNATIONAL CORPORATION NEW REIT (CCI)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.141	CROWN HLDGS INCORPORATED (CCK)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.142	CVS HEALTH CORPORATION (CVS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.143	DANAHER CORPORATION (DHR)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
2.144	DAVITA INCORPORATED (DVA)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
2.145	DENTSPLY SIRONA INCORPORATED (XRAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.146	DEVON ENERGY CORPORATION NEW (DVN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.147	DIAMONDBACK ENERGY INCORPORATED (FANG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.148	DISNEY WALT COMPANY (DIS)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
2.149	DOMINION ENERGY INCORPORATED (D)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.150	DOMINOS PIZZA INCORPORATED (DPZ)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.151	DOUGLAS EMMETT INCORPORATED REIT (DEI)	N/A	\$1,001 - \$15,000	Dividends Interest	\$201 - \$1,000
2.152	DOW INCORPORATED (DOW)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.153	DUPONT DE NEMOURS INCORPORATED (DD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.154	ECOLAB INCORPORATED (ECL)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.155	EDGEWELL PERS CARE COMPANY (EPC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.156	EMERSON ELEC COMPANY (EMR)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.157	ENBRIDGE INCORPORATED (CANADA) (ENB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.158	EQT CORPORATION (EQT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.159	EQUIFAX INCORPORATED (EFX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
2.160	EQUITY RESIDENTIAL SH BEN INT REIT (EQR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.161	ESSENTIAL UTILS INCORPORATED (WTRG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
2.162	ESSEX PROPERTY TR INCORPORATED REIT (ESS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.163	EXXON MOBIL CORPORATION (XOM)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
2.164	F5 NETWORKS INCORPORATED (FFIV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.165	FACEBOOK INCORPORATED CLASS A (FB)	N/A	\$50,001 - \$100,000	Capital Gains	\$15,001 - \$50,000
2.166	FACTSET RESH SYSTEMS INCORPORATED (FDS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
2.167	FEDERAL RLTY INVT TR SH BEN INT NEW REIT (FRT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.168	FEDEX CORPORATION (FDX)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.169	FIRST REP BK SAN FRANCISCO CAL (FRC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
2.170	FISERV INCORPORATED (FISV)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
2.171	FLOWSERVE CORPORATION (FLS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.172	FMC CORPORATION COM NEW (FMC)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.173	FOOT LOCKER INCORPORATED (FL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.174	FORD MTR COMPANY DEL (F)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.175	FORTIVE CORPORATION (FTV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.176	FORTUNE BRANDS HOME & SEC INCORPORATED (FBHS)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.177	FOX CORPORATION CLASS A COM (FOXA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.178	GARMIN LIMITED SHS (SWITZERLAND) (GRMN)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.179	GARTNER INCORPORATED (IT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.180	GENERAL DYNAMICS CORPORATION (GD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.181	GENERAL ELECTRIC COMPANY (GE)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.182	GENERAL MTRS COMPANY (GM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
2.183	GENUINE PARTS COMPANY (GPC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.184	GILEAD SCIENCES INCORPORATED (GILD)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.185	GRACO INCORPORATED (GGG)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.186	HASBRO INCORPORATED (HAS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.187	HERBALIFE NUTRITION LIMITED COM SHS (CAYMAN ISLANDS) (HLF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.188	HILL-ROM HLDGS INCORPORATED (HRC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.189	HOLLYFRONTIER CORPORATION (HFC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.190	HOLOGIC INCORPORATED (HOLX)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
2.191	HOME DEPOT INCORPORATED (HD)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
2.192	HUBBELL INCORPORATED (HUBB)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
2.193	HUNT J B TRANS SVCS INCORPORATED (JBHT)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.194	ICICI BANK LIMITED ADR (INDIA) (IBN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.195	IDEX CORPORATION (IEX)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
2.196	IHS MARKIT LIMITED SHS (BERMUDA) (INFO)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
2.197	INGREDION INCORPORATED (INGR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.198	INTEL CORPORATION (INTC)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.199	INTERCONTINENTAL EXCHANGE INCORPORATED (ICE)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
2.200	INTERNATIONAL BUSINESS MACHINES (IBM)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.201	INTERNATIONAL PAPER COMPANY (IP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.202	INVESCO LIMITED SHS (BERMUDA) (IVZ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.203	INVITATION HOMES INCORPORATED REIT (INVH)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
2.204	IQVIA HLDGS INCORPORATED (IQV)	N/A	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000
2.205	JETBLUE AWYS CORPORATION (JBLU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.206	JOHNSON & JOHNSON (JNJ)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
2.207	JPMORGAN CHASE & COMPANY (JPM)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
2.208	KANSAS CITY SOUTHERN COM NEW (KSU)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.209	KEURIG DR PEPPER INCORPORATED (KDP)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.210	KIMBERLY-CLARK CORPORATION (KMB)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
2.211	KIMCO RLTY CORPORATION REIT (KIM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.212	KLA CORPORATION COM NEW (KLAC)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
2.213	KOHL'S CORPORATION (KSS)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.214	KRAFT HEINZ COMPANY (KHC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.215	L BRANDS INCORPORATED (LB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.216	L3HARRIS TECHNOLOGIES INCORPORATED (LHX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.217	LABORATORY CORPORATION AMER HLDGS COM NEW (LH)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
2.218	LAMB WESTON HLDGS INCORPORATED (LW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.219	LENNAR CORPORATION CLASS A (LEN)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.220	LENNOX INTERNATIONAL INCORPORATED (LII)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.221	LILLY ELI & COMPANY (LLY)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
2.222	LINCOLN ELEC HLDGS INCORPORATED (LECO)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.223	LINCOLN NATL CORPORATION IND (LNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.224	LIVENT CORPORATION (LTHM)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
2.225	LKQ CORPORATION (LKQ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.226	LOWES COMPANIES INCORPORATED (LOW)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
2.227	M & T BK CORPORATION (MTB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.228	MARATHON OIL CORPORATION (MRO)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.229	MARKEL CORPORATION (MKL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.230	MARSH & MCLENNAN COMPANIES INCORPORATED (MMC)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
2.231	MASTERCARD INCORPORATED CLASS A (MA)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$5,001 - \$15,000
2.232	MATTEL INCORPORATED (MAT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.233	MCDONALDS CORPORATION (MCD)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
2.234	MEDNAX INCORPORATED (MD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.235	MEDTRONIC PLC SHS (IRELAND) (MDT)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
2.236	MERCK & COMPANY INCORPORATED (MRK)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.237	METHANEX CORPORATION (CANADA) (MEOH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.238	MGM RESORTS INTERNATIONAL (MGM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.239	MICRON TECHNOLOGY INCORPORATED (MU)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
2.240	MICROSOFT CORPORATION (MSFT)	N/A	\$250,001 - \$500,000	Dividends Capital Gains	\$50,001 - \$100,000
2.241	MID-AMER APT CMNTYS INCORPORATED REIT (MAA)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.242	MOHAWK INDUSTRIES INCORPORATED (MHK)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.243	MOLSON COORS BEVERAGE COMPANY CLASS B (TAP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.244	MONDELEZ INTERNATIONAL INCORPORATED CLASS A (MDLZ)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
2.245	MOODYS CORPORATION (MCO)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
2.246	MORGAN STANLEY COM NEW (MS)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.247	MOSAIC COMPANY NEW (MOS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.248	MOTOROLA SOLUTIONS INCORPORATED COM NEW (MSI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.249	NASDAQ INCORPORATED (NDAQ)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.250	NAVIENT CORPORATION (NAVI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.251	NETAPP INCORPORATED (NTAP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.252	NETFLIX INCORPORATED (NFLX)	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
2.253	NIKE INCORPORATED CLASS B (NKE)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
2.254	NORDSTROM INCORPORATED (JWN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.255	NORTHERN TR CORPORATION (NTRS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.256	NORTHROP GRUMMAN CORPORATION (NOC)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.257	NOVARTIS AG SPONSORED ADR (SWITZERLAND) (NVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.258	NRG ENERGY INCORPORATED COM NEW (NRG)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.259	NVIDIA CORPORATION (NVDA)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$15,001 - \$50,000
2.260	OGE ENERGY CORPORATION (OGE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.261	OLD DOMINION FREIGHT LINE INCORPORATED (ODFL)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.262	ORACLE CORPORATION (ORCL)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
2.263	ORGANON & COMPANY COMMON STOCK (OGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.264	OTIS WORLDWIDE CORPORATION (OTIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.265	PARKER-HANNIFIN CORPORATION (PH)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
2.266	PAYPAL HLDGS INCORPORATED (PYPL)	N/A	\$50,001 - \$100,000	Capital Gains	\$15,001 - \$50,000
2.267	PERKINELMER INCORPORATED (PKI)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
2.268	PFIZER INCORPORATED (PFE)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.269	PHILIP MORRIS INTERNATIONAL INCORPORATED (PM)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
2.270	POOL CORPORATION (POOL)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.271	PORTLAND GENERAL ELEC COMPANY COM NEW (POR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.272	POST HLDGS INCORPORATED (POST)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.273	PPG INDUSTRIES INCORPORATED (PPG)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
2.274	PRINCIPAL FINANCIAL GROUP INCORPORATED (PFG)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.275	PROLOGIS INCORPORATED. REIT (PLD)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
2.276	PRUDENTIAL FINL INCORPORATED (PRU)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
2.277	PTC INCORPORATED (PTC)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
2.278	PULTE GROUP INCORPORATED (PHM)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.279	PUT: CBOE S&P 500 INDEX APR 2750 EXP 04/17/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.280	PUT: CBOE S&P 500 INDEX JUN 2200 EXP 06/19/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
2.281	PUT: CBOE S&P 500 INDEX JUN 2625 EXP 06/19/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
2.282	PUT: CBOE S&P 500 INDEX JUN 2800 EXP 06/19/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
2.283	PUT: CBOE S&P 500 INDEX MAY 2175 EXP 05/15/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.284	PUT: CBOE S&P 500 INDEX MAY 2625 EXP 05/15/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
2.285	PUT: CBOE S&P 500 INDEX MAY 2750 EXP 05/15/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.286	PUT: CBOE S&P 500 INDEX MAY 2800 EXP 05/15/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.287	PUT: CBOE S&P 500 INDEX MAY 2975 EXP 05/15/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.288	PUT: CBOE S&P 500 INDEX MAY 3000 EXP 05/15/20 REPRESENTS SETTLES IN CASH	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
2.289	PUT: S&P DOW JONES INDEX OCT 3825 EXP 10/15/21 REPRESENTS SETTLES IN CASH	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.290	PUT: S&P DOW JONES INDEX OCT 3900 EXP 10/15/21 REPRESENTS SETTLES IN CASH	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.291	PUT: S&P DOW JONES INDEX OCT 3925 EXP 10/15/21 REPRESENTS SETTLES IN CASH	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.292	PUT: S&P DOW JONES INDEX OCT 3950 EXP 10/15/21 REPRESENTS SETTLES IN CASH	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.293	PUT: S&P DOW JONES INDEX OCT 3975 EXP 10/15/21 REPRESENTS SETTLES IN CASH	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.294	PUT: S&P DOW JONES INDEX SEP 3850 EXP 09/17/21 REPRESENTS SETTLES IN CASH	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.295	PUT: S&P DOW JONES INDEX SEP 3950 EXP 09/17/21 REPRESENTS SETTLES IN CASH	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.296	QORVO INCORPORATED (QRVO)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
2.297	QUALCOMM INCORPORATED (QCOM)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
2.298	RANGE RES CORPORATION (RRC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.299	RAYMOND JAMES FINL INCORPORATED (RJF)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.300	RAYTHEON TECHNOLOGIES CORPORATION (RTX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.301	RENAISSANCERE HLDGS LIMITED (UNITED KINGDOM) (RNR)	N/A	\$1,001 - \$15,000	Dividends	\$2,501 - \$5,000
2.302	RESMED INCORPORATED (RMD)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
2.303	RIO TINTO PLC SPONSORED ADR (UNITED KINGDOM) (RIO)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.304	RPM INTERNATIONAL INCORPORATED (RPM)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.305	SALESFORCE COM INCORPORATED (CRM)	N/A	\$15,001 - \$50,000	Capital Gains	\$15,001 - \$50,000
2.306	SAP SE SPON ADR (GERMANY) (SAP)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.307	SCHLUMBERGER LIMITED COM STK (CURACAO) (SLB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.308	SCHWAB CHARLES CORPORATION (SCHW)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
2.309	SEAGATE TECHNOLOGY HLDNGS PLC ORD SHS (IRELAND) (STX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.310	SEMPRA ENERGY (SRE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.311	SOUTHERN COPPER CORPORATION (SCCO)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.312	STARBUCKS CORPORATION (SBUX)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
2.313	STEEL DYNAMICS INCORPORATED (STLD)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.314	STERIS PLC SHS USD (IRELAND) (STE)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.315	SUN CMNTYS INCORPORATED REIT (SUI)	N/A	None (or less than \$1,001)	Dividends Capital Gains Interest	\$201 - \$1,000
2.316	SYNOPSYS INCORPORATED (SNPS)	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
2.317	TAKE-TWO INTERACTIVE SOFTWARE (TTWO)	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
2.318	TE CONNECTIVITY LIMITED REG SHS (SWITZERLAND) (TEL)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
2.319	TECHNIPFMC PLC (UNITED KINGDOM) (FTI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.320	TERADYNE INCORPORATED (TER)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
2.321	TEREX CORPORATION NEW (TEX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.322	TESLA INCORPORATED (TSLA)	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
2.323	TEXAS INSTRS INCORPORATED (TXN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
2.324	THERMO FISHER SCIENTIFIC INCORPORATED (TMO)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
2.325	TIFFANY & COMPANY NEW (TIF)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
2.326	TJX COMPANIES INCORPORATED NEW (TJX)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
2.327	TRAVELERS COMPANIES INCORPORATED (TRV)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.328	TRUIST FINL CORPORATION (TFC)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.329	TWITTER INCORPORATED (TWTR)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
2.330	UDR INCORPORATED REIT (UDR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.331	UGI CORPORATION NEW (UGI)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.332	UNION PAC CORPORATION (UNP)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
2.333	UNITED AIRLS HLDGS INCORPORATED (UAL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.334	UNITED PARCEL SERVICE INCORPORATED CLASS B (UPS)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
2.335	UNITED RENTALS INCORPORATED (URI)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
2.336	UNITEDHEALTH GROUP INCORPORATED (UNH)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
2.337	UNIVERSAL HLTH SVCS INCORPORATED CLASS B (UHS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.338	VAIL RESORTS INCORPORATED (MTN)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.339	VALE S A SPONSORED ADS (BRAZIL) (VALE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.340	VARIAN MED SYSTEMS INCORPORATED (VAR)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
2.341	VEEVA SYSTEMS INCORPORATED CLASS A COM (VEEV)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
2.342	VERIZON COMMUNICATIONS INCORPORATED (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
2.343	VIATRIS INCORPORATED (VTRS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.344	VISA INCORPORATED COM CLASS A (V)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$5,001 - \$15,000
2.345	VONTIER CORPORATION (VNT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.346	WABTEC (WAB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.347	WALGREENS BOOTS ALLIANCE INCORPORATED (WBA)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.348	WALMART INCORPORATED (WMT)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$5,001 - \$15,000
2.349	WASTE CONNECTIONS INCORPORATED (CANADA) (WCN)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
2.350	WASTE MGMT INCORPORATED DEL (WM)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
2.351	WELLS FARGO COMPANY NEW (WFC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.352	WHIRLPOOL CORPORATION (WHR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.353	XILINX INCORPORATED (XLNX)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.354	XYLEM INCORPORATED (XYL)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
3	Individually Managed Account #1	No			
3.1	US bank account #1 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3.2	US bank account #2 (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.3	US bank account #3 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.4	US bank account #4 (cash)	N/A	\$50,001 - \$100,000		None (or less than \$201)
3.5	BARCLAYS BANK PLC 3Y U.S. EQUITY CONTINGENT COUPON CALLABLE YIELD NOTE NTS VARIABLE RATE PAYS QTRLY ISIN US06748EKR35 10.2500% DUE 04/25/2024 FACTOR: 1.00000000 (06748EKR3) (indexed to lesser of Nasdaq-100, Russell 2000, and S&P 500)	N/A	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
3.6	US bank account #5 (cash)	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
3.7	US TREASURY BILLS OID 12/08/2020 DUE 12/08/2020	N/A	None (or less than \$1,001)	Dividends	\$2,501 - \$5,000
3.8	FIRST TRUST VALUE LINE TARGET SAFETY 30 4Q '19 UNIT INVESTMENT TRUST TERM 01/08/2021 CASH MONTHLY (30311J182)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
3.9	PRINCIPAL SPECTRUM PREFERRED AND CPTL SECS INC FD CL A M/F (PPSAX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
3.10	FIRST TRUST VALUE LINE TARGET SAFETY 30 1Q '21 UNIT INVESTMENT TRUST TERM 04/08/2022 CASH MONTHLY (30316S187)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
3.11	PRINCIPAL GLOBAL DIVERSIFIED INCOME FUND CLASS A M/F (PGBAX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
3.12	GS FINANCE CORP. 3Y UKX SX5E ACCELERATED RETURN NOTE NTS ISIN US40057HUC23 DUE 07/26/2024 (40057HUC2) (indexed to lesser of FTSE 100 and EURO STOXX 50)	N/A	\$100,001 - \$250,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.13	HSBC USA INC. 4Y U.S. EQUITY AUTOCALLABLE STEP-UP NOTE NTS ISIN US40439JGS87 DUE 07/30/2025 (40439JGS8) (indexed to lesser of Russell 2000 and S&P 500)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3.14	HSBC USA INC. 5Y U.S. EQUITY AUTOCALLABLE STEP-UP NOTE NTS ISIN US40438CL411 DUE 12/23/2025 (40438CL41) (indexed to lesser of Dow Jones, Russell 2000, and S&P 500)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3.15	CITIGROUP GLOBAL MARKETS HOLDINGS INC. 3Y ARKK ACCELERATED RETURN NOTE NTS ISIN US17328YQ564 DUE 01/29/2024 (17328YQ56) (indexed to ARK Innovation ETF)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3.16	CITIGROUP GLOBAL MARKETS HOLDINGS INC. 2Y U.S. EQUITY ITM DIGITAL BARRIER NOTE NTS ISIN US17328WHU53 DUE 08/01/2022 (17328WHU5) (indexed to lesser of Dow Jones and S&P 500)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3.17	GS FINANCE CORP. 4Y NIKKEI INDEX ACCELERATED BARRIER NOTE NTS ISIN US40055A3T27 DUE 11/18/2021 (40055A3T2) (indexed to Nikkei 225)	N/A	\$250,001 - \$500,000		None (or less than \$201)
3.18	GS FINANCE CORP. 5Y NDX ARKK ACCELERATED BARRIER NOTE NTS ISIN US40057HUB40 DUE 07/27/2026 (40057HUB4) (indexed to lesser of ARK Innovation ETF and Nasdaq-100)	N/A	\$250,001 - \$500,000		None (or less than \$201)
3.19	GS FINANCE CORP. 6Y U.S. EQUITY ACCELERATED BARRIER NOTE NTS ISIN US40057FZF43 DUE 04/30/2027 (40057FZF4) (indexed to lesser of Russell 2000 and S&P 500)	N/A	\$250,001 - \$500,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.20	MORGAN STANLEY FINANCE LLC 5Y GLOBAL EQUITY ACCELERATED BARRIER NOTE NTS ISIN US61768C3E55 DUE 05/26/2023 (61768C3E5) (indexed to lesser of weighted basket of S&P 500, Russell 2000, EURO STOXX 50, and iShares MSCI Emerging Markets ETF)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3.21	MORGAN STANLEY FINANCE LLC 5Y U.S. EQUITY ACCELERATED RETURN BARRIER NOTE NTS ISIN US61768DZB45 DUE 01/25/2024 (61768DZB4) (indexed to lesser of Russell 2000 and S&P 500)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3.22	ALKEON GROWTH RJ PARTNERS LP - SERIES 1 (1ALKR)	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
3.23	MORGAN STANLEY FINANCE LLC 6Y US EQUITY ACCELERATED RETURN BARRIER NOTE NTS ISIN US61770FWE23 DUE 03/30/2026 (61770FWE2) (indexed to lesser of Dow Jones and S&P 500)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)
4	Individually Managed Account #2	No			
4.1	US bank account (cash)	N/A	\$1,001 - \$15,000		None (or less than \$201)
4.2	ALGER DYNAMIC OPPORTUNITIES FUND CLASS Z N/L (ADOZX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
4.3	ALGER WEATHERBIE SPECIALIZED GROWTH FUND CLASS Z N/L (ASMZX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
4.4	ARK GENOMIC REVOLUTION ETF (ARKG)	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
4.5	ARK INNOVATION ETF (ARKK)	Yes	\$500,001 - \$1,000,000		\$100,001 - \$1,000,000
4.6	BARON PARTNERS FUND INSTITUTIONAL CLASS N/L (BPTIX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.7	BLACKSTONE STRATEGIC CREDIT FD COM SHS BEN IN (BGB)	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
4.8	COLUMBIA SMALL CAP GROWTH FUND INSTL CL N/L (CMSCX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
4.9	DELAWARE SMALL CAP GROWTH FUND INSTL CL N/L (DSGGX)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
4.10	DIAMOND HILL LONG-SHORT FUND CLASS I N/L (DHLSX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
4.11	EATON VANCE FLOATING RATE FUND CLASS I N/L (EIBLX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
4.12	FIDELITY ADVISOR HEALTH CARE FUND CL I N/L (FHCIX)	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
4.13	FIRST TRUST DOW JONES INTERNET INDEX FUND (FDN)	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
4.14	INVESCO QQQ (QQQ)	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
4.15	INVESCO S&P 500 EQUAL WEIGHT ETF (RSP)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
4.16	INVESCO SOLAR ETF (TAN)	Yes	\$100,001 - \$250,000		None (or less than \$201)
4.17	ISHARES TR SELECT DIVID ETF (DVY)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
4.18	JPMORGAN CHASE FINANCIAL COMPANY LLC 6Y ARKK ARKG ARKW ACCELERATED BARRIER NOTE NTS ISIN US48132PV686 DUE 12/23/2026 (48132PV68) (indexed to lesser of ARK Innovation ETF, ARK Genomic Revolution ETF, and ARK Next Generation Internet ETF)	N/A	\$100,001 - \$250,000		None (or less than \$201)
4.19	LORD ABBETT SHORT DURATION TAX FREE FUND CLASS F N/L (LSDFX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.20	SPDR S&P 500 ETF (SPY)		Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
4.21	WISDOMTREE CLOUD COMPUTING FUND (WCLD)		Yes	\$250,001 - \$500,000		None (or less than \$201)
5	February 27, 2004 Marital Trust		No			
5.1	Cash - Income Portfolio		N/A			
5.1.1	Fidelity Treasury Portfolio Money Market Fund Inst Share Class		Yes	\$50,001 - \$100,000		None (or less than \$201)
5.2	Cash - Principal Portfolio		N/A			
5.2.1	Fidelity Treasury Portfolio Money Market Fund Inst Share Class		Yes	\$250,001 - \$500,000		None (or less than \$201)
5.3	Smith Bagley, Inc. d/b/a Cellular One	See Endnote	No	\$5,000,001 - \$25,000,000	Dividends	\$100,001 - \$1,000,000
5.4	FIDELITY TREASURY PORTFOLIO MONEY MARKET FUND INST SHARE CLASS		Yes	None (or less than \$1,001)		\$2,501 - \$5,000
5.5	Promissory Note to Trust of Family Member (November 15, 2017 Irrevocable Trust 1)		N/A	\$1,000,001 - \$5,000,000	Interest	\$100,001 - \$1,000,000
5.6	Promissory Note to Trust of Family Member (November 15, 2017 Irrevocable Trust 2)		N/A	\$1,000,001 - \$5,000,000	Interest	\$100,001 - \$1,000,000
5.7	Promissory Note to Trust of Family Member (Nancy Reynolds Bagley Irrevocable Trust)		N/A	\$1,000,001 - \$5,000,000	Interest	\$100,001 - \$1,000,000
5.8	Promissory Note to Trust of Family Member (February 27, 2004 Irrevocable Trust 2)		N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
5.9	Promissory Note to Trust of Family Member (February 27, 2004 Irrevocable Trust 1)		N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
6	Brokerage Account #2		No			
6.1	US bank account (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2	CALL: SPDR S&P 500 ETF DEC 475 EXP 12/16/22 REPRESENTS 100 SPY	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.3	PUT: SPDR S&P 500 ETF DEC 420 EXP 12/16/22 REPRESENTS 100 SPY	N/A	\$50,001 - \$100,000		None (or less than \$201)
6.4	PUT: SPDR S&P 500 ETF JAN 335 EXP 01/21/22 REPRESENTS 100 SPY	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.5	PUT: SPDR S&P 500 ETF JAN 395 EXP 01/21/22 REPRESENTS 100 SPY	N/A	\$15,001 - \$50,000		None (or less than \$201)
6.6	SPDR COMMUNICATION SERVICES SELECT SECTOR FUND (XLC)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
6.7	SPDR CONSUMER DISCRETIONARY SELECT SECTOR FUND (XLY)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
6.8	SPDR CONSUMER STAPLES SELECT SECTOR FUND (XLP)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
6.9	SPDR ENERGY SELECT SECTOR FUND (XLE)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
6.10	SPDR FINANCIAL SELECT SECTOR FUND (XLF)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
6.11	SPDR HEALTH CARE SELECT SECTOR (XLV)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
6.12	SPDR INDUSTRIAL SELECT SECTOR FUND (XLI)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
6.13	SPDR MATERIALS SELECT SECTOR FUND (XLB)	Yes	\$15,001 - \$50,000		\$15,001 - \$50,000
6.14	SPDR REAL ESTATE SELECT SECTOR FUND (XLRE)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.15	SPDR TECHNOLOGY SELECT SECTOR FUND (XLK)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.16	SPDR UTILITIES SELECT SECTOR FUND (XLU)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
6.17	SWAN DEFINED RISK FUND CLASS I N/L (SDRIX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
7	Brokerage Account #3	No			
7.1	US bank account #1 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
7.2	US bank account #2 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
7.3	US bank account #3 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.4	US bank account #4 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
7.5	US bank account #5 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
7.6	US bank account #6 (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)
7.7	AUSTIN TX WTR & WASTEWATER SYS REV, REV REF BDS, SER 2017 5.0000% DUE 11/15/2029 Callable 11/15/2027 @ 100.000 (0524762Q0) (bond)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
7.8	BARCLAYS BANK PLC 3Y S&P 500 INDEX ACCELERATED RETURN NOTE NTS ISIN US06741VRU88 DUE 04/22/2020 (06741VRU8)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
7.9	BARCLAYS BANK PLC 5Y S&P 500 ABSOLUTE RETURN BARRIER NOTE NTS ISIN US06744CT276 DUE 01/24/2023 (06744CT27) (linked to SPX index)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.10	CREDIT SUISSE AG 5Y INTERNATIONAL EQUITY SEMI-ANNUALLY ADJUSTING AUTOCALLABLE STEP-UP NOTE NTS ISIN US22551NAR70 DUE 11/29/2024 (22551NAR7) (indexed to lesser of EURO STOXX 50 and iShares MSCI Emerging Markets ETF)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
7.11	DALLAS TEX, GO REF AND IMPT BDS, SER 2014 5.0000% DUE 02/15/2024 (235219KG6) (bond)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
7.12	DISTRICT COLUMBIA WTR & SWR AUTH PUB UTIL REV, PUB UTIL SUB LIEN REV AND REF BDS, SER A 5.0000% DUE 10/01/2026 Callable 10/01/2022 @ 100.000 (254845HG8) (bond)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
7.13	EL CAMPO TX INDPT SCH DIST, ULTD TAX SCH BLDG AND REF BDS, TEXAS PERMANENT SCHOOL FUND PROGRAM, SER 2016 BANK QUALIFIED 4.0000% DUE 08/15/2027 Callable 08/15/2025 @ 100.000 (282783HD4) (bond)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
7.14	FIRST TRUST VALUE LINE TARGET SAFETY 30 4Q '19 TERM 01/08/2021 CASH MONTHLY (30311J182) (unit investment trust)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
7.15	FIRST TRUST WATER UTILITY & INFRA SELECT PORT 56 TERM 11/26/2021 CASH SEMI-ANNUAL (30312E661) (unit investment trust)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
7.16	GS FINANCE CORP. 3Y NIKKEI INDEX ACCELERATED BARRIER NOTE NTS ISIN US40055A3V72 DUE 11/18/2020 (40055A3V7)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
7.17	GS FINANCE CORP. 6Y U.S. EQUITY ACCELERATED BARRIER NOTE NTS ISIN US40057FTZ70 DUE 04/07/2027 (40057FTZ7)	N/A	\$1,000,001 - \$5,000,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.18	HOLLAND MI SCH DIST, REF BDS, SER 2014 ASSURED GUARANTY MUNICIPAL CORP 5.0000% DUE 05/01/2028 Callable 05/01/2024 @ 100.000 (435236JS4) (bond)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
7.19	JPMORGAN CHASE FINANCIAL COMPANY LLC 5Y GLOBAL EQUITY ACCELERATED BARRIER NOTE NTS ISIN US48132HVB58 DUE 01/28/2025 (48132HVB5) (indexed to EURO STOXX 50/FTSE 100)	N/A	\$250,001 - \$500,000		None (or less than \$201)
7.20	KING CNTY WA SCH DIST NO 415 KENT, ULTD TAX GO REF BDS, WASHINGTON SCHOOL BOND GUARANTY PROGRAM, SER 2015 5.0000% DUE 12/01/2025 (495278S20) (bond)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
7.21	LOWER CO RIV AUTH TEX, REF REV BDS, SER 2010B 4.0000% DUE 05/15/2020 (5481006Q8)	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
7.22	MASSACHUSETTS ST WTR RES AUTH, REV BDS, SER 2002 J AGMC FORMERLY FSA 5.5000% DUE 08/01/2021 (576049YZ7) (bond)	N/A	\$50,001 - \$100,000	Interest	\$5,001 - \$15,000
7.23	METROPOLITAN TRANSN AUTH NY REV, BDS, SER 2014C 5.0000% DUE 11/15/2023 (59259YZ36) (bond)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
7.24	METROPOLITAN WAD C ARPTS AUTH ARPT SYS REV, REV AND REF BDS, SER 2015C 3.0000% DUE 10/01/2027 (592647CA7)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
7.25	METROPOLITAN WAD C ARPTS AUTH ARPT SYS REV, REV AND REF BDS, SER 2015C 3.0000% DUE 10/01/2027 Callable 10/01/2025 @ 100.000 (592647CA7)	N/A	None (or less than \$1,001)	Interest	\$201 - \$1,000
7.26	MIAMI DADE CNTY FL EXPWY AUTH TOLL SYS REV, REF BDS, SER 2014B 5.0000% DUE 07/01/2024 (593338AK2)	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.27	MIAMI-DADE CNTY FL WTR & SWR REV, REV BDS, SER B 5.0000% DUE 10/01/2023 Prerefunded 10/01/2023 @ 100.000 (59334DHN7) (bond)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
7.28	MIAMI-DADE CNTY FLA, DOUBLE BARRELED AVIATION BDS, FULL CALL SER 2010 5.0000% DUE 07/01/2023 Callable 01/01/2021 @ 100.000 (59333FKK5)	N/A	None (or less than \$1,001)	Interest	\$2,501 - \$5,000
7.29	MORGAN STANLEY FINANCE LLC 4Y EURO STOXX 50 INDEX BUFFERED RETURN NOTE NTS ISIN US61768DYW90 DUE 01/25/2023 (61768DYW9)	N/A	\$250,001 - \$500,000		None (or less than \$201)
7.30	MORGAN STANLEY FINANCE LLC. 6Y U.S. EQUITY ACCELERATED BARRIER NOTE NTS ISIN US61768C2Q94 DUE 05/23/2024 (61768C2Q9)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
7.31	NEW YORK N Y, GO BDS, SER A 5.0000% DUE 08/01/2029 Callable 08/01/2025 @ 100.000 (64966LW49) (bond)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
7.32	NEW YORK NY CITY TRANSITIONAL FIN AUTH REV, SUB FUTURE TAX SECURED BDS, SER 2015 A-1 4.0000% DUE 08/01/2026 Callable 08/01/2024 @ 100.000 (64971WYF1) (bond)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
7.33	NEW YORK ST DORM AUTH REVS NON ST SUPPORTED DEBT, REV BDS, SER 2011A 5.0000% DUE 10/01/2021 Prerefunded 10/01/2021 @ 100.000 (64990C3E9) (bond)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
7.34	NEW YORK ST DORM AUTH ST PERS INCOME TAX REV, REV BDS, SER 2017 A 5.0000% DUE 02/15/2026 (64990FVW1) (bond)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
7.35	OAK RIDGE TENN, GO BDS, SER 2017 3.0000% DUE 06/01/2029 Callable 06/01/2025 @ 100.000 (671783TM0) (bond)	N/A	\$100,001 - \$250,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.36	PENNSYLVANIA ST, GO BDS, SER 2016 5.0000% DUE 09/15/2027 Callable 09/15/2026 @ 100.000 (70914PB76) (bond)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
7.37	PENNSYLVANIA ST, GO REF BDS, SER SECOND 2016 5.0000% DUE 01/15/2022 (70914PG71) (bond)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
7.38	PROVO UT SALES TAX REV, BDS, SER 2017 5.0000% DUE 02/15/2028 Callable 08/15/2027 @ 100.000 (744190AX7) (bond)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
7.39	SAN ANTONIO TX ELEC & GAS REV, REV REF BDS, SER 2012 5.0000% DUE 02/01/2025 Callable 08/01/2022 @ 100.000 (796253Z96) (bond)	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
7.40	SOCIETE GENERALE 5Y U.S. EQUITY ACCELERATED RETURN NOTE NTS ISIN US83369ED310DUE 10/13/2022 (83369ED31)	N/A	None (or less than \$1,001)	Capital Gains	\$1,000,001 - \$5,000,000
7.41	SUFFOLK CNTY N Y, PUB IMPT SERIAL BDS, SER 2015A ASSURED GUARANTY MUNICIPAL CORP 3.0000% DUE 06/01/2021 (86476PQB7)	N/A	None (or less than \$1,001)	Interest	\$5,001 - \$15,000
7.42	TEXAS TRANSN COMMN ST HWY FD REV, REV BDS, SER 2008 5.2500% DUE 04/01/2025 (88283LGX8) (bond)	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
7.43	UNIVERSITY MD SYS AUXILIARY FAC & TUITION REV, REV REF BDS, SER 2012D 4.0000% DUE 10/01/2024 Callable 10/01/2022 @ 100.000 (914402Y48) (bond)	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
7.44	UNIVERSITY NC GREENSBORO REV, REV REF BDS, SER 2012 A 5.0000% DUE 04/01/2022 Prerefunded 04/01/2022 @ 100.000 (914719WA3) (bond)	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.45	UNIVERSITY NC GREENSBORO REV, REV REF BDS, SER 2012 A 5.0000% DUE 04/01/2022 Prerefunded 04/01/2022 @ 100.000 (914719VM8) (bond)		N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
8	Cash Account #2		No			
8.1	US bank account #1 (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.2	US bank account #2 (cash)		N/A	\$1,001 - \$15,000		None (or less than \$201)
8.3	US bank account #3 (cash)		N/A	\$100,001 - \$250,000		None (or less than \$201)
8.4	US bank account #4 (cash)		N/A	\$100,001 - \$250,000		None (or less than \$201)
8.5	US bank account #5 (cash)		N/A	\$100,001 - \$250,000		None (or less than \$201)
8.6	US bank account #6 (cash)		N/A	\$100,001 - \$250,000		None (or less than \$201)
8.7	US bank account #7 (cash)		N/A	\$250,001 - \$500,000		None (or less than \$201)
9	US bank account #8		N/A	\$100,001 - \$250,000		None (or less than \$201)
10	US bank account #9		N/A	\$1,001 - \$15,000		None (or less than \$201)
11	November 30, 2012 Descendants Intentionally Defective Grantor Trust		No			
11.1	Split-dollar receivable (for Penn Mutual life insurance policy)	See Endnote	N/A	\$25,000,001 - \$50,000,000		None (or less than \$201)
11.2	US bank account (cash)		N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.3	CITIGROUP GLOBAL MARKETS HOLDINGS INC. 6Y U.S. EQUITY ACCELERATED BARRIER NOTE NTS ISIN US17328YAD67 DUE 12/28/2026 (17328YAD6) (linked to lesser of Dow Jones and S&P 500)		N/A	\$500,001 - \$1,000,000		None (or less than \$201)
12	October 17, 2016 Life Insurance Intentionally Defective Grantor Trust		No			
12.1	Penn Mutual life insurance policy, whole life		N/A	\$25,000,001 - \$50,000,000		None (or less than \$201)
13	Promissory Note from November 30, 2012 Descendants Intentionally Defective Grantor Trust	See Endnote	Yes	\$5,000,001 - \$25,000,000		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	U.S. Bank National Association	Personal Loan	\$25,000,001 - \$50,000,000	2016	1.25% + LIBOR (when positive)	5 years renewable

## 9. Gifts and Travel Reimbursements

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

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## Endnotes

PART	#	ENDNOTE
1.	2	This position is uncompensated.
1.	3	This position is uncompensated.
1.	4	This position is uncompensated.
1.	5	This position is uncompensated.
1.	6	This position is uncompensated.
1.	7	This position is uncompensated.
1.	8	This position is uncompensated.
1.	9	This position is uncompensated.
1.	10	This position is uncompensated.
1.	11	This position is uncompensated.
1.	12	This position is uncompensated.
1.	13	This position is uncompensated.
1.	14	This position is uncompensated.
1.	15	This position is uncompensated.
1.	16	This position is uncompensated.
1.	17	This position is uncompensated.
1.	18	This position is uncompensated.
1.	19	This position is uncompensated.
1.	20	This position is uncompensated.

PART	#	ENDNOTE
1.	21	This position is uncompensated.
1.	22	This position is uncompensated.
1.	23	This position is uncompensated.
1.	24	This position is uncompensated.
1.	25	This position is uncompensated.
1.	26	This position is uncompensated.
1.	27	This position is uncompensated.
2.	1	In 2020, I received \$125,000 per year in director's fees. In 2021, I receive \$150,000 per year in director's fees.
2.	2	I own 35.9% of Smith Bagley, Inc. in my individual capacity.
6.	5.3	The Marital Trust owns 21.5% of Smith Bagley, Inc.
6.	11.1	The trust has the right to receive \$30 million plus accrued interest from the October 17, 2016 Life Insurance Intentionally Defective Grantor Trust upon my death.
6.	13	This is a promissory note from the November 30, 2012 Descendants Intentionally Defective Grantor Trust to Elizabeth Bagley to repay a loan from Elizabeth Bagley to the trust.

# 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).

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