

Executive Branch Personnel

Public Financial Disclosure Report (OGE Form 278e)

Filer's Information

Cisneros, Gilbert

Under Secretary of Defense for Personnel and Readiness, Department of Defense

Other Federal Government Positions Held During the Preceding 12 Months:

Member of Congress (1/2019 - 1/2021)

Names of Congressional Committees Considering Nomination:

- Committee on Armed Services
-

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/ Cisneros, Gilbert [electronically signed on 04/08/2021 by Cisneros, Gilbert in Integrity.gov]

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

/s/ Thompson, Scott F, Certifying Official [electronically signed on 06/09/2021 by Thompson, Scott F in Integrity.gov]

Other review conducted by

/s/ Raab, Dean, Ethics Official [electronically signed on 06/09/2021 by Raab, Dean in Integrity.gov]

U.S. Office of Government Ethics Certification

/s/ Apol, David, Certifying Official [electronically signed on 06/09/2021 by Apol, David in Integrity.gov]

1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME		CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	The Gilbert & Jacki Cisneros Foundation	See Endnote	Los Angeles, California	Non-Profit	Advocate	12/2018	Present
2	BG Strategies, Inc. (dormant)		Los Angeles, California	Corporation	Director, President	3/2021	Present
3	150 Main Street Trust (revocable family trust)		Los Angeles, California	Trust	Trustee	6/2010	Present

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US Financial Institution Roth IRA	No			
1.1	US Financial Institution Deposit Sweep	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.2	Alphabet, Inc. (GOOGL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3	Amazon.com, Inc. (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.4	Apple, Inc. (AAPL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.5	Facebook, Inc. (FB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.6	Netflix, Inc. (NFLX)	N/A	\$15,001 - \$50,000		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

None

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

None

6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	150 Main Street Trust	No			
1.1	Brokerage Account #1	No			
1.1.1	Alphabet Inc. - Class A (GOOGL)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.1.2	Amazon.com, Inc. (AMZN)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
1.1.3	Apple, Inc. (AAPL)	N/A	\$1,000,001 - \$5,000,000	Dividends	\$5,001 - \$15,000
1.1.4	iShares Cohen & Steers REIT ETF (ICF)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1.5	iShares Nasdaq Biotechnology ETF (IBB)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.1.6	iShares Russell 2000 ETF (IWM)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
1.1.7	iShares US Healthcare ETF (IYH)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
1.1.8	JP Morgan Chase & Co. (JPM)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
1.1.9	Microsoft Corporation (MSFT)	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
1.1.10	Dreyfus Money Market Fund	Yes	\$1,000,001 - \$5,000,000		None (or less than \$201)
1.1.11	Netflix, Inc. (NFLX)	N/A	\$250,001 - \$500,000		None (or less than \$201)
1.1.12	SPDR S&P MIDCAP 400 ETF	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
1.1.13	PayPal Holdings, Inc. (PYPL)	N/A	\$250,001 - \$500,000		None (or less than \$201)
1.1.14	JP Morgan Chase, put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.1.15	Caterpillar, Inc. (CAT), put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.1.16	Facebook, Inc. (FB), put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.1.17	Microsoft Corp. (MSFT), put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.1.18	Advanced Micro Devices, Inc. (AMD), put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1.19	iShares Russell 2000 ETF (IWM), put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.1.20	McDonald's Corp. (MCD), put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.1.21	Netflix, Inc. (NFLX), put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.1.22	NVIDIA Corp. (NVDA), put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.1.23	Pioneer Natural Resources Co. (PXD), put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.1.24	Alphabet, Inc. (GOOG), put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.1.25	Adobe, Inc. (ADBE), put option	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.1.26	Square, Inc. (SQ), put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.1.27	Amazon.com, Inc. (AMZN), put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.1.28	The Walt Disney Co. (DIS), put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.1.29	Starbucks Corp. (SBUX), put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.1.30	Apple, Inc. (AAPL), put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.1.31	Intel Corp. (INTC), put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.1.32	Mastercard, Inc. (MA), put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1.33	Applied Materials, Inc. (AMAT), put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.1.34	Tesla, Inc. (TSLA), put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.1.35	NIKE, Inc. (NKE), put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.1.36	The Goldman Sachs Group, Inc. (GS), put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.1.37	Boeing Co (BA), put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.1.38	VanEck Vectors Oil Services ETF (OIH), put option	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.1.39	Constellation Brands, Inc. (STZ), put option	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.1.40	Adobe, Inc. (ADBE), put option (value not readily ascertainable), 100 shares, strike \$400, exp. 4/2021	N/A			None (or less than \$201)
1.1.41	Applied Materials, Inc. (AMAT), put option (value not readily ascertainable), 100 shares, strike \$100, exp. 4/2021	N/A			None (or less than \$201)
1.1.42	Advanced Micro Devices, Inc. (AMD), put option (value not readily ascertainable), 100 shares, strike \$70, exp. 4/2021	N/A			None (or less than \$201)
1.1.43	The Walt Disney Co. (DIS), put option (value not readily ascertainable), 100 shares, strike \$175, exp. 4/2021	N/A			None (or less than \$201)
1.1.44	Intel Corp. (INTC), put option (value not readily ascertainable), 100 shares, strike \$55, exp. 4/2021	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1.45	Mastercard, Inc. (MA), put option (value not readily ascertainable), 100 shares, strike \$330, exp. 4/2021	N/A			None (or less than \$201)
1.1.46	Microsoft Corp. (MSFT), put option (value not readily ascertainable), 100 shares, strike \$220, exp. 4/2021	N/A			None (or less than \$201)
1.1.47	NIKE, Inc. (NKE), put option (value not readily ascertainable), 100 shares, strike \$125, exp. 4/2021	N/A			None (or less than \$201)
1.1.48	Starbucks Corp. (SBUX), put option (value not readily ascertainable), 100 shares, strike \$100, exp. 4/2021	N/A			None (or less than \$201)
1.1.49	Constellation Brands, Inc. (STZ), put option (value not readily ascertainable), 100 shares, strike \$205, exp. 4/2021	N/A			None (or less than \$201)
1.1.50	Amazon.com, Inc. (AMZN), put option (value not readily ascertainable), 100 shares, strike \$2900, exp. 4/2021	N/A			None (or less than \$201)
1.1.51	VanEck Vectors Oil Services ETF (OIH), put option (value not readily ascertainable), 100 shares, strike \$155, exp. 4/2021	N/A			None (or less than \$201)
1.1.52	Apple, Inc. (AAPL), put option (value not readily ascertainable), 100 shares, strike \$110, exp. 4/2021	N/A			None (or less than \$201)
1.1.53	Boeing Co (BA), put option (value not readily ascertainable), 100 shares, strike \$220, exp. 4/2021	N/A			None (or less than \$201)
1.1.54	Facebook, Inc. (FB), put option (value not readily ascertainable), 100 shares, strike \$260, exp. 4/2021	N/A			None (or less than \$201)
1.1.55	McDonald's Corp. (MCD), put option (value not readily ascertainable), 100 shares, strike \$210, exp. 4/2021	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1.56	Netflix, Inc. (NFLX), put option (value not readily ascertainable), 100 shares, strike \$480, exp. 4/2021	N/A			None (or less than \$201)
1.1.57	Alphabet, Inc. (GOOG), put option (value not readily ascertainable), 100 shares, strike \$1840, exp. 4/2021	N/A			None (or less than \$201)
1.1.58	NVIDIA Corp. (NVDA), put option (value not readily ascertainable), 100 shares, strike \$460, exp. 4/2021	N/A			None (or less than \$201)
1.1.59	iShares Russell 2000 ETF (IWM), put option (value not readily ascertainable), 100 shares, strike \$200, exp. 4/2021	N/A			None (or less than \$201)
1.1.60	Tesla, Inc. (TSLA), put option (value not readily ascertainable), 100 shares, strike \$520, exp. 4/2021	N/A			None (or less than \$201)
1.1.61	The Goldman Sachs Group, Inc. (GS), put option (value not readily ascertainable), 100 shares, strike \$305, exp. 4/2021	N/A			None (or less than \$201)
1.1.62	JPMorgan Chase & Co. (JPM), put option (value not readily ascertainable), 100 shares, strike \$135, exp. 4/2021	N/A			None (or less than \$201)
1.1.63	Square, Inc. (SQ), put option (value not readily ascertainable), 100 shares, strike \$185, exp. 4/2021	N/A			None (or less than \$201)
1.1.64	Pioneer Natural Resources Co. (PXD), put option (value not readily ascertainable), 100 shares, strike \$135, exp. 4/2021	N/A			None (or less than \$201)
1.1.65	Caterpillar, Inc. (CAT), put option (value not readily ascertainable), 100 shares, strike \$, exp. 4/2021	N/A			None (or less than \$201)
1.1.66	SPDR S&P 500 ETF Trust (SPY), put option (value not readily ascertainable), 100 shares, strike \$338, exp. 4/2021	N/A			None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.1.67	SPDR S&P 500 ETF Trust (SPY), put option, 100 shares, strike \$275, exp. 4/2021	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.2	Brokerage Account #2	No			
1.2.1	Alameda County Water District Financing	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.2.2	Antelope Valley CA Community College	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
1.2.3	ANTIOCH CA PUB FING AUTH LEASE REV	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
1.2.4	BRISBANE/GUADALUPE VALLEY MUNICIPAL IMPROVEMENT	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.5	Burbank Unified School District	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.6	BURLINGAME CA FING AUTH	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
1.2.7	CAJON VALLEY CA UNIFIED SCHOOL DIST GO	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.2.8	CALAVERAS COUNTY CALIFORNIA GO REF	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
1.2.9	California Department of Water Resources	N/A	\$250,001 - \$500,000	Interest Capital Gains	\$15,001 - \$50,000
1.2.10	CALIFORNIA MUNICIPAL FINANCE AUTH REV	N/A	\$15,001 - \$50,000	Interest	\$2,501 - \$5,000
1.2.11	CALIFORNIA ST GO BONDS	N/A	\$1,000,001 - \$5,000,000	Interest	\$100,001 - \$1,000,000
1.2.12	CALLEGUAS CA MUN WTR DIST WTR REV	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.13	Goldman Sachs Bank - cash	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.14	Ceres California Unified School District	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.2.15	CHULA VISTA CA ELEMENTARY SCHOOL	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.16	CLOVIS CA UNIFIED SCHOOL DISTRICT	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.2.17	CONTRA COSTA CA CMNTY COLLEGE DIST	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.18	FOUNTAIN VALLEY CA PUBLIC FINANCING	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.19	FREMONT CA UNIFIED SCHOOL DISTRICT	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
1.2.20	HEALDSBURG CA UNIFIED SCHOOL DIST GO BONDS	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.2.21	JOHN SWETT CA USD GO BONDS	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
1.2.22	LODI CA UNI SCH DIST	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.23	LONG BEACH CA COMMUNITY COLLEGE DISTRICT GO	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
1.2.24	LONG BEACH CA HBR REV	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
1.2.25	LONG BEACH CA UNIFIED SCHOOL DISTRICT	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
1.2.26	LOS ANGELES CA DEPT WTR & PWR WTRWKS REV	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.27	LOS ANGELES CA HARBOR DEPT	N/A	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.28	LOS ANGELES CA UNI SCH DIST	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
1.2.29	LOS ANGELES CA WASTEWATR SYS REV	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.30	LOS ANGELES CNTY CA MET TRANSPORTATION AUTHORITY	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.31	LOS RIOS CA COMMUNTY COLLEGE DISTRICT	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
1.2.32	MANTECA CA UNIFIED SCHOOL DISTRICT	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.33	MOUNT SAN ANTONIO CA CMNTY COLLEGE DIST	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
1.2.34	MOUNT SAN JACINTO CA CMNTY COLLEGE DIST	N/A	\$500,001 - \$1,000,000	Capital Gains Interest	\$15,001 - \$50,000
1.2.35	OAKLAND CALIF GO C	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.2.36	OXNARD CA SCHOOL DISTRICT REF	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.2.37	PERRIS CALIF UNION HIGH SCHOOL DISTRICT GO REF	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.38	PLACER CA UN HIGH SCHOOL DIST	N/A	\$250,001 - \$500,000	Interest	\$2,501 - \$5,000
1.2.39	PORTOLA VALLEY CA SCH DIST GO BONDS	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.40	REDLANDS CA UNI SCH DIST GO BONDS	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.41	RIVERSIDE CNTY CA TRANSN COMMN SALES TAX	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.42	SACRAMENTO CA MUNICIPAL UTILITY DISTRICT	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.43	SAN DIEGO CA CMNTY COLLEGE DIST	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.44	SAN DIEGO CALIF UNIFIED SCHOOL DISTRICT	N/A	\$50,001 - \$100,000	Interest	\$5,001 - \$15,000
1.2.45	SAN DIEGO CNTY CA WTR AUTH	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.46	SAN DIEGO COUNTY CA REGL TRANS	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.47	SAN FRANCISCO CA CITY & CNTY GO BONDS	N/A	None (or less than \$1,001)	Interest	\$1,001 - \$2,500
1.2.48	SAN JOAQUIN CNTY CA TRANSN AUTH SALES TAX	N/A	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
1.2.49	SAN JOSE CA UNI SCH DIST SANTA CLARA CNTY	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.50	SAN JUAN CA UNIFIED SCHOOL DISTRICT	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.51	SAN LUIS COASTAL CA UNIFIED SCHOOL DISTRICT	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
1.2.52	SANTA ANA COLLEGE IMPT DIST	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.53	SANTA CLARA CA UNIFIED SCHOOL DISTRICT	N/A	None (or less than \$1,001)	Interest Capital Gains	\$5,001 - \$15,000
1.2.54	SANTA MONICA-MALIBU UNIFIED SCHOOL DISTRICT CAL	N/A	\$50,001 - \$100,000	Interest	\$1,001 - \$2,500
1.2.55	SANTA ROSA CALIF ELEMENTARY SCHOOL DISTRICT	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2.56	SELMA CALIF UNIFIED SCHOOL DISTRICT	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.57	SEQUOIA CA UNION HIGH SCHOOL	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
1.2.58	SOUTHERN CALIFORNIA PUBLIC POWER AUTHORITY REV	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
1.2.59	STANISIAUS CA UN SCHOOL DIST	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.60	TAMALPAIS CA UNION HIGH SCHOOL	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.61	TEHAMA CNTY CA CTFS	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.62	TORRANCE CA UNIFIED SCHOOL DISTRICT	N/A	\$250,001 - \$500,000	Interest	\$15,001 - \$50,000
1.2.63	UNIVERSITY CA REVENUE BONDS	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.64	VALLEY CA SANITATION DIST WSTWTR REV	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
1.2.65	WEST BASIN CA MUN WTR DIST REV	N/A	\$500,001 - \$1,000,000	Interest	\$15,001 - \$50,000
1.2.66	WEST KERN CMNTY COLLEGE DISTRICT GO BONDS	N/A	\$250,001 - \$500,000	Interest	\$5,001 - \$15,000
1.2.67	WILLIAMS HART CA UN HIGH	N/A	\$100,001 - \$250,000	Interest	\$5,001 - \$15,000
1.2.68	WISEBURN CALIF UNIED SCHOOL DISTRICT GO REF A	N/A	\$50,001 - \$100,000	Interest	\$2,501 - \$5,000
1.2.69	US Financial Institution (cash account)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3	Brokerage Account #3	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.1	3M Company (MMM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.2	Abbott Laboratories (ABT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.3	AbbVie Inc. (ABBV)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
1.3.4	ABIOMED, Inc. (ABMD)	N/A	\$50,001 - \$100,000	Capital Gains	\$1,001 - \$2,500
1.3.5	Accenture plc Class A Ordinary Shares (ACN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.6	Activision Blizzard, Inc (ATVI)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$5,001 - \$15,000
1.3.7	Adobe Systems Incorporated (ADBE)	N/A	\$100,001 - \$250,000	Capital Gains	\$201 - \$1,000
1.3.8	Advanced Micro Devices, Inc. (AMD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.9	Agilent Technologies, Inc. Common Stock Ex-Distribution When Distributed (A.Z)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.10	Agree Realty Corporation (ADC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.11	Air Products and Chemicals, Inc. (APD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.12	Akamai Technologies, Inc. (AKAM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.13	Alamo Group, Inc. (ALG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.14	Alexion Pharmaceuticals, Inc. (ALXN)	N/A	\$1,001 - \$15,000	Capital Gains	\$50,001 - \$100,000
1.3.15	Alibaba Group Holding Limited American Depositary Share each representing one Ordinary share (BABA)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.16	Align Technology, Inc. (ALGN)	N/A	\$50,001 - \$100,000	Capital Gains	\$15,001 - \$50,000
1.3.17	Allegiant Travel Company (ALGT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.18	Alliant Energy Corporation (LNT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.19	Allstate Corporation (ALL)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.20	Alphabet Inc. - Class A (GOOGL)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.21	Alphabet Inc. - Class C Capital Stock (GOOG)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.22	Altaba Inc. (AABA)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
1.3.23	Amazon.com, Inc. (AMZN)	N/A	\$250,001 - \$500,000	Capital Gains	\$5,001 - \$15,000
1.3.24	Amdocs Limited - Ordinary Shares (DOX)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.3.25	American Electric Power Company, Inc. (AEP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.26	American Express Company (AXP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.27	American International Group, Inc. New (AIG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.28	American Tower Corporation (AMT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.29	Ameris Bancorp (ABCB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.30	AMERISAFE, Inc. (AMSF)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
1.3.31	Amgen Inc. (AMGN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.32	Amphenol Corporation (APH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.33	Analog Devices, Inc. (ADI)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.34	Anthem, Inc. (ANTM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.35	Aon plc Class A Ordinary Shares (AON)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.3.36	Apple Inc. (AAPL)	N/A	\$250,001 - \$500,000	Capital Gains Dividends	\$2,501 - \$5,000
1.3.37	Applied Materials, Inc. (AMAT)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$50,001 - \$100,000
1.3.38	AT&T Inc. (T)	N/A	\$1,001 - \$15,000	Dividends	\$1,001 - \$2,500
1.3.39	Atlassian Corporation Plc - Class A Ordinary Shares (TEAM)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.40	AtriCure, Inc.	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
1.3.41	Autodesk, Inc. (ADSK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.42	Automatic Data Processing, Inc. - Common Stock Ex-Distribution When Issued (ADPVV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.43	AutoZone, Inc. (AZO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.44	Avient Corporation (AVNT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.45	Balchem Corporation (BCPC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.46	Baxter International Inc. (BAX)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.47	Becton, Dickinson and Company (BDX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.48	Berkshire Hathaway Inc. New (BRK.B)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.49	BioMarin Pharmaceutical Inc. (BMRN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.50	BlackRock, Inc. (BLK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.51	Boeing Company (BA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.52	Booking Holdings Inc. (BKNG)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.3.53	Boot Barn Holdings, Inc. (BOOT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.54	Boston Scientific Corporation (BSX)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.55	Bristol-Myers Squibb Company (BMY)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
1.3.56	Broadcom Limited - Ordinary Shares (AVGO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.57	Broadridge Financial Solutions, Inc. (BR)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.3.58	Brooks Automation, Inc. (BRKS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.59	CACI International, Inc. Class A (CACI)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.3.60	Cantel Medical Corp. (CMD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
1.3.61	Capri Holdings Limited Ordinary Shares (CPRI)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.62	Cardinal Health, Inc. (CAH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.63	Carlisle Companies Incorporated (CSL)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$201 - \$1,000
1.3.64	Carlyle AIP Secondaries Access V II LP	See Endnote	Yes	\$1,001 - \$15,000	None (or less than \$201)
1.3.65	CarMax Inc (KMX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.66	Carnival Corporation (CCL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.67	Carrier Global Corporation (CARR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.68	Castle Biosciences, Inc. - Common stock (CSTL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.69	Catalent, Inc. (CTLT)	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
1.3.70	Caterpillar, Inc. (CAT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.71	Cathay General Bancorp (CATY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.72	Cboe Global Markets, Inc. (CBOE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.73	Centene Corporation (CNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.74	Central Garden & Pet Company (CENT)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
1.3.75	Central Garden & Pet Company - Class A Common Stock Nonvoting (CENTA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.76	Cerence Inc. (CRNC)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.77	Ceridian HCM Holding Inc. (CDAY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.78	Cerner Corporation (CERN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.79	CF Industries Holdings, Inc. (CF)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
1.3.80	Charles Schwab Corporation (SCHW)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
1.3.81	Charter Communications, Inc. - Class A (CHTR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.82	Church & Dwight Company, Inc. (CHD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.83	Churchill Downs, Incorporated (CHDN)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
1.3.84	Chuy's Holdings, Inc. (CHUY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.85	Cigna Corporation (CI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.86	Cimpress PLC - Ordinary Shares (CMPR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.87	Cisco Systems, Inc. (CSCO)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.88	Citigroup, Inc. (C)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
1.3.89	Citizens Financial Group, Inc. (CFG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.90	Citrix Systems, Inc. (CTXS)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.91	Clorox Company (CLX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.92	CME Group Inc. - Class A (CME)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.93	Coca-Cola Company (KO)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$201 - \$1,000
1.3.94	Cohen & Steers Inc (CNS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.95	Colgate-Palmolive Company (CL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.96	COLUMBIA CONTRARIAN CORE FUND CLASS Z SHARES- EIF	Yes	\$1,000,001 - \$5,000,000		\$100,001 - \$1,000,000
1.3.97	COLUMBIA DIVIDEND INCOME FUND - EIF	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
1.3.98	Comcast Corporation - Class A (CMCSA)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$201 - \$1,000
1.3.99	Comerica Incorporated (CMA)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.100	Compass Minerals Intl Inc (CMP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.101	ConAgra Brands, Inc. (CAG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.102	Corning Incorporated (GLW)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
1.3.103	Corteva, Inc. (CTVA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.104	CoStar Group, Inc. (CSGP)	N/A	\$50,001 - \$100,000	Capital Gains	\$15,001 - \$50,000
1.3.105	Costco Wholesale Corporation (COST)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.106	Covetrus, Inc. (CVET)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.107	Crown Castle International Corp. (CCI)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$5,001 - \$15,000
1.3.108	CryoLife, Inc. (CRY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.109	CryoPort, Inc. (CYRX)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
1.3.110	CSP III Distressed Opportunities Trust	See Endnote	Yes	\$50,001 - \$100,000	None (or less than \$201)
1.3.111	CSX Corporation (CSX)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.3.112	Cummins Inc. (CMI)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.113	CVS Health Corporation (CVS)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
1.3.114	D/B/A Royal Caribbean Cruises Ltd. (RCL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.115	Danaher Corporation (DHR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.116	Darden Restaurants, Inc. (DRI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.117	DaVita Inc. (DVA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.118	Deere & Company (DE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.119	Dell Technologies Inc. Class V (DVMT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.120	Digital Realty Trust, Inc. (DLR)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.121	Dollar General Corporation (DG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.122	Dominion Energy, Inc. (D)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$2,501 - \$5,000
1.3.123	Dover Corporation (DOV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.124	Dow Inc. (DOW)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
1.3.125	Dreyfus Treasury Prime Cash Mgmt	Yes	\$500,001 - \$1,000,000		\$1,001 - \$2,500
1.3.126	DTE Energy Company (DTE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.127	Duke Energy Corporation (DUK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.128	Duke Realty Corporation (DRE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.129	Dunkin' Brands Group, Inc. (DNKN)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$15,001 - \$50,000
1.3.130	DuPont de Nemours, Inc. (DD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.131	DXC Technology Company (DXC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.132	Eaton Corporation, PLC Ordinary Shares (ETN)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.133	eBay Inc. (EBAY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.134	Ecolab Inc. (ECL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.135	Edison International (EIX)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.136	Edwards Lifesciences Corporation (EW)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.137	Elanco Animal Health Incorporated (ELAN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.138	Electronic Arts Inc. (EA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.139	Eli Lilly and Company (LLY)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.3.140	Emergent BioSolutions, Inc. (EBS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.141	Emerson Electric Company (EMR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.142	Endava plc American Depositary Shares (DAVA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.143	Entegris, Inc. (ENTG)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
1.3.144	Entergy Corporation (ETR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.145	Equinix, Inc. (EQIX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.146	Ericsson - American Depositary Shares each representing 1 underlying Class B share (ERIC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.147	Essex Property Trust, Inc. (ESS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.148	Estee Lauder Companies, Inc. (EL)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.3.149	Exact Sciences Corporation (EXAS)	N/A	\$50,001 - \$100,000	Capital Gains	\$1,001 - \$2,500
1.3.150	Exelon Corporation (EXC)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.151	F5 Networks, Inc. (FFIV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.152	Facebook, Inc. - Class A (FB)	N/A	\$100,001 - \$250,000	Capital Gains	\$2,501 - \$5,000
1.3.153	Fastenal Company (FAST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.154	FIDELITY GOVERNMENT PORTFOLIO INSTITUTIONAL CLASS Money Market	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
1.3.155	Fidelity National Information Services, Inc. (FIS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.156	Fifth Third Bancorp (FITB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.157	FIRST REPUBLIC BANK (FRC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.158	First Trust Dow Jones Internet Index Fund	Yes	\$100,001 - \$250,000		None (or less than \$201)
1.3.159	Fiserv, Inc. (FISV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.160	Five Below, Inc. (FIVE)	N/A	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000
1.3.161	FleetCor Technologies, Inc. (FLT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.162	Flex Ltd. - Ordinary Shares (FLEX)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.163	FLIR Systems, Inc. (FLIR)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.164	FMC Corporation (FMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.165	Ford Motor Company (F)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.166	Fortive Corporation (FTV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.167	Freeport-McMoRan, Inc. (FCX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.168	frontdoor, inc. (FTDR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.169	Gartner, Inc. (IT)	N/A	\$1,001 - \$15,000	Capital Gains	\$15,001 - \$50,000
1.3.170	General Dynamics Corporation (GD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.171	General Electric Company (GE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.172	General Mills, Inc. (GIS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.173	Gildan Activewear, Inc. Class A Sub. Vot. (GIL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.174	Gilead Sciences, Inc. (GILD)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
1.3.175	Glacier Bancorp, Inc. (GBCI)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.176	Global Payments Inc. (GPN)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.3.177	Globant S.A. Common Shares (GLOB)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.3.178	Globus Medical, Inc. Class A (GMED)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
1.3.179	GoDaddy Inc. Class A (GDDY)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.180	Goldman Sachs Group, Inc. (GS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.181	Grand Canyon Education, Inc. (LOPE)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.182	Haemonetics Corporation (HAE)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.3.183	Halozyme Therapeutics, Inc. (HALO)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.184	International Equity Portfolio Institutional Class Shares (HLMIX)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
1.3.185	HCA Healthcare, Inc. (HCA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.186	HealthEquity, Inc. (HQY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.187	Healthpeak Properties, Inc. (PEAK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.188	Heartland Express, Inc. (HTLD)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.189	Helen of Troy Limited (HELE)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
1.3.190	Helios Technologies, Inc. (HLIO)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.191	The Home Depot, Inc. (HD)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.3.192	Honeywell International Inc. (HON)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.193	Horace Mann Educators Corporation (HMN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.194	Host Hotels & Resorts, Inc. (HST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.195	Houlihan Lokey, Inc. Class A (HLI)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.196	Howmet Aerospace Inc. (HWM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.197	HP Inc. (HPQ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.198	HubSpot, Inc. (HUBS)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
1.3.199	Humana Inc. (HUM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.200	Huntington Bancshares Incorporated (HBAN)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.201	ICF International, Inc. (ICFI)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.202	ICU Medical, Inc. (ICUI)	N/A	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000
1.3.203	IDACORP, Inc. (IDA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.204	IDEXX Laboratories, Inc. (IDXX)	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
1.3.205	IHS Markit Ltd. Common Shares (INFO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.206	Illinois Tool Works Inc. (ITW)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.207	Illumina, Inc. (ILMN)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.208	Ingersoll Rand, Inc. (IR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.209	Integra LifeSciences Holdings Corporation (IART)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.210	Intel Corporation (INTC)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.211	Intercontinental Exchange Inc. (ICE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.212	International Business Machines Corporation (IBM)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
1.3.213	International Farmland Trust	See Endnote	Yes	\$100,001 - \$250,000	\$1,001 - \$2,500
1.3.214	Intuit Inc. (INTU)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$15,001 - \$50,000
1.3.215	Intuitive Surgical, Inc. (ISRG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.216	IQVIA Holdings, Inc. (IQV)	N/A	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
1.3.217	iShares Core MSCI EAFE ETF (IEFA)	Yes	\$250,001 - \$500,000		\$2,501 - \$5,000
1.3.218	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
1.3.219	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
1.3.220	iShares Expanded Tech Sector ETF (IGM)	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
1.3.221	ishares Gold Trust (IAU)	Yes	\$250,001 - \$500,000		None (or less than \$201)
1.3.222	iShares Russell 1000 Growth ETF	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
1.3.223	iShares Russell Midcap Growth ETF (IWP)	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
1.3.224	ISHARES US AEROSPACE & DEFENSE	Yes	None (or less than \$1,001)		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.225	iShares US Home Construction ETF (ITB)	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.3.226	iShares US Medical Devices ETF (IHI)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
1.3.227	J.M. Smucker Company (SJM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.228	Jacobs Engineering Group Inc. (JEC)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
1.3.229	Johnson & Johnson (JNJ)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.3.230	JP Morgan Chase & Co. (JPM)	N/A	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000
1.3.231	Kansas City Southern (KSU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.232	Kellogg Company (K)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
1.3.233	KeyCorp (KEY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.234	Kimberly-Clark Corporation (KMB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.235	KLA-Tencor Corporation (KLAC)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
1.3.236	Kroger Company (KR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.237	L3Harris Technologies, Inc. (LHX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.238	Lam Research Corporation (LRCX)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$5,001 - \$15,000
1.3.239	Lamar Advertising Company - Class A (LAMR)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.240	Lamb Weston Holdings, Inc. (LW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.241	Las Vegas Sands Corp. (LVS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.242	LHC Group - common stock (LHCG)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
1.3.243	Linde plc Ordinary Share (LIN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.244	Lithia Motors, Inc. (LAD)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
1.3.245	Live Nation Entertainment, Inc. (LYV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.246	Lockheed Martin Corporation (LMT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.247	Loews Corporation (L)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.248	Lowe's Companies, Inc. (LOW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.249	LPL Financial Holdings Inc. (LPLA)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.3.250	Lumen Technologies, Inc. (LUMN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.251	LyondellBasell Industries NV Ordinary Shares Class A (LYB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.252	M&T Bank Corporation (MTB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.253	MACOM Technology Solutions Holdings, Inc. (MTSI)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.254	Marriott International - Class A (MAR)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.255	Marsh & McLennan Companies, Inc. (MMC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.256	Mastercard Incorporated (MA)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.3.257	Match Group, Inc. (MTCH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.258	McCormick & Company, Incorporated (MKC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.259	McDonald's Corporation (MCD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.260	McKesson Corporation (MCK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.261	Medpace Holdings, Inc. (MEDP)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.262	Medtronic plc. Ordinary Shares (MDT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.263	Merck & Company, Inc. Common Stock (MRK)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
1.3.264	Meridian Bancorp, Inc. (EBSB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.265	MetLife, Inc. (MET)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.266	MFS Value Fund Class R6 Shares (MEIKX)	Yes	\$1,000,001 - \$5,000,000		\$50,001 - \$100,000
1.3.267	MGM Resorts International (MGM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.268	Microchip Technology Incorporated (MCHP)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.3.269	Micron Technology, Inc. (MU)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.270	Microsoft Corporation (MSFT)		N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
1.3.271	Minerals Technologies Inc. (MTX)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.272	Mobile Mini, Inc. (MINI)		N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
1.3.273	Mondelez International, Inc. - Class A (MDLZ)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.274	Monster Beverage Corporation (MNST)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.275	Morgan Stanley (MS)		N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$201 - \$1,000
1.3.276	MSCI Inc (MSCI)		N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$15,001 - \$50,000
1.3.277	National Health Investors, Inc. (NHI)		N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
1.3.278	National Instruments Corporation (NATI)		N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
1.3.279	NB Private Markets Fund II (TI) LLC	See Endnote	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
1.3.280	Netflix, Inc. (NFLX)		N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.281	Neurocrine Biosciences, Inc. (NBIX)		N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
1.3.282	New Oriental Education & Technology Group, Inc. Sponsored ADR representing 1 Ordinary Share (EDU)		N/A	\$15,001 - \$50,000	Capital Gains	\$15,001 - \$50,000
1.3.283	Newmont Mining Corporation (NEM)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.284	NextEra Energy, Inc. (NEE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.285	NICE Ltd - American Depositary Shares each representing one Ordinary Share (NICE)	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
1.3.286	Nike, Inc. (NKE)	N/A	\$100,001 - \$250,000	Capital Gains Dividends	\$1,001 - \$2,500
1.3.287	NiSource Inc (NI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.288	Norfolk Southern Corporation (NSC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.289	Northern Trust Corporation (NTRS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.290	NorthWestern Corporation (NWE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.291	Novanta Inc. - Common Shares (NOVT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.292	NRG Energy, Inc. (NRG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.293	Nucor Corporation (NUE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.294	NVIDIA Corporation (NVDA)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$15,001 - \$50,000
1.3.295	O'Reilly Automotive, Inc. (ORLY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.296	OceanFirst Financial Corp. (OCFC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.297	Ollie's Bargain Outlet Holdings, Inc. (OLLI)	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
1.3.298	Omnicom Group Inc. (OMC)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.299	ON Semiconductor Corporation (ON)	N/A	\$50,001 - \$100,000	Capital Gains	\$5,001 - \$15,000
1.3.300	Oracle Corporation (ORCL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.301	Otis Worldwide Corporation (OTIS)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
1.3.302	Oxford Industries, Inc. (OXM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.303	PACCAR Inc. (PCAR)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.304	Pacific Premier Bancorp Inc (PPBI)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.305	Parker-Hannifin Corporation (PH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.306	Patrick Industries, Inc. (PATK)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.307	Paychex, Inc. (PAYX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.308	Paylocity Holding Corporation (PCTY)	N/A	\$15,001 - \$50,000	Capital Gains	\$5,001 - \$15,000
1.3.309	PayPal Holdings, Inc. (PYPL)	N/A	\$100,001 - \$250,000	Capital Gains	\$15,001 - \$50,000
1.3.310	Pepsico, Inc. (PEP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.311	Performance Food Group Company (PFGC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.312	PerkinElmer, Inc. (PKI)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$2,501 - \$5,000
1.3.313	Pfizer, Inc. (PFE)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.314	Phreesia, Inc. (PHR)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
1.3.315	PNC Financial Services Group, Inc. (PNC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.316	Power Integrations, Inc. (POWI)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
1.3.317	PRA Group, Inc. (PRAA)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.3.318	PRA Health Sciences, Inc. (PRAH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.319	Primoris Services Corporation (PRIM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.320	Procter & Gamble Company (PG)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
1.3.321	Progressive Corporation (PGR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.322	Progyny, Inc. (PGNY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.323	ProLogis, Inc. (PLD)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
1.3.324	Proofpoint, Inc. (PFPT)	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
1.3.325	Public Service Enterprise Group Incorporated (PEG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.326	Public Storage (PSA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.327	PVH Corp. (PVH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.328	QTS Realty Trust, Inc. Class A (QTS)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.329	QUALCOMM Incorporated (QCOM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.330	Quanta Services, Inc. (PWR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.331	Quest Diagnostics Incorporated (DGX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.332	Quidel Corporation (QDEL)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
1.3.333	Rapid7, Inc. (RPD)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.334	Raytheon Technologies Corporation (RTX)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
1.3.335	RBC Bearings Incorporated (ROLL)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
1.3.336	Regeneron Pharmaceuticals, Inc. (REGN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.337	Regions Financial Corporation (RF)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.338	Republic Services, Inc. (RSG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.339	Rexnord Corporation (RXN)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
1.3.340	Ritchie Bros. Auctioneers Incorporated (RBA)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$5,001 - \$15,000
1.3.341	Rockwell Automation, Inc. (ROK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.342	Rogers Corporation (ROG)	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
1.3.343	Roku, Inc. - Class A (ROKU)	N/A	\$15,001 - \$50,000	Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.344	Roper Technologies, Inc. (ROP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.345	Ross Stores, Inc. (ROST)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.346	Ryanair Holdings plc Ordinary Shares (RYAOF)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.347	Ryman Hospitality Properties, Inc. (RHP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.348	S&P Global Inc. (SPGI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.349	Salesforce.com Inc (CRM)	N/A	\$100,001 - \$250,000	Capital Gains	\$2,501 - \$5,000
1.3.350	Sarepta Therapeutics, Inc. (SRPT)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
1.3.351	SBA Communications Corporation - Class A (SBAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.352	Seacoast Banking Corporation of Florida (SBCF)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.353	Sealed Air Corporation (SEE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.354	Sempra Energy (SRE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.355	Sensata Technologies Holding N.V. Ordinary Shares (ST)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.356	ServiceNow, Inc. (NOW)	N/A	\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000
1.3.357	Sherwin-Williams Company (SHW)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
1.3.358	Silgan Holdings Inc. (SLGN)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.359	Silicon Laboratories, Inc. (SLAB)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
1.3.360	Simon Property Group, Inc. (SPG)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.361	SiteOne Landscape Supply, Inc. (SITE)	N/A	\$1,001 - \$15,000	Capital Gains	\$2,501 - \$5,000
1.3.362	Skyline Champion Corporation (SKY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.363	SPDR S&P Biotech ETF (XBI)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
1.3.364	Technology Select Sector SPDR Fund (XLK)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
1.3.365	Splunk Inc. (SPLK)	N/A	\$50,001 - \$100,000	Capital Gains	\$1,001 - \$2,500
1.3.366	Square, Inc. Class A (SQ)	N/A	\$50,001 - \$100,000	Capital Gains	\$15,001 - \$50,000
1.3.367	SS&C Technologies Holdings, Inc. (SSNC)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.3.368	Stag Industrial, Inc. (STAG)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
1.3.369	Starbucks Corporation (SBUX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.370	State Street Corporation (STT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.371	STERIS plc (STE)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$5,001 - \$15,000
1.3.372	Stifel Financial Corporation (SF)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
1.3.373	Stryker Corporation (SYK)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.374	Supernus Pharmaceuticals, Inc. (SUPN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.375	Syneos Health, Inc. - Class A (SYNH)	N/A	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
1.3.376	Sysco Corporation (SYU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.377	T-Mobile US, Inc. (TMUS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.378	Take-Two Interactive Software, Inc. (TTWO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.379	Target Corporation (TGT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.380	TD Ameritrade Holding Corporation (AMTD)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
1.3.381	TE Connectivity Ltd. New Switzerland Registered Shares(TEL)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
1.3.382	Teladoc Health, Inc. (TDOC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.383	Teledyne Technologies Incorporated (TDY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.384	Teleflex Incorporated (TFX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.385	Terminix Global Holdings, Inc. (TMX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.386	Tesla, Inc. (TSLA)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.387	Texas Instruments Incorporated (TXN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.388	Texas Roadhouse, Inc. (TXRH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.389	Textron Inc. (TXT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.390	The AES Corporation (AES)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.391	The Cooper Companies, Inc. (COO)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.392	The Descartes Systems Group Inc. (DSGX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.393	The Hershey Company (HSY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.394	The Kraft Heinz Company (KHC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.395	The Shyft Group, Inc. (SHYF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.396	Thermo Fisher Scientific Inc (TMO)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.397	Tiffany & Co. (TIF)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
1.3.398	TJX Companies, Inc. (TJX)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
1.3.399	Trane Technologies plc (TT)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$1,001 - \$2,500
1.3.400	Transdigm Group Incorporated Transdigm Group Inc. (TDG)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.401	Truist Financial Corporation (TFC)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
1.3.402	Twitter, Inc. (TWTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.403	Tyson Foods, Inc. (TSN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.404	U.S. Bancorp (USB)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
1.3.405	Uber Technologies, Inc. (UBER)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.406	UFP Industries, Inc. (UFPI)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.407	Union Pacific Corporation (UNP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.408	United Parcel Service, Inc. (UPS)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
1.3.409	United Rentals, Inc. (URI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.410	UnitedHealth Group Incorporated Common Stock (UNH)	N/A	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500
1.3.411	Universal Health Services, Inc. (UHS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.412	US Ecology, Inc. (ECOL)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.413	V.F. Corporation (VFC)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
1.3.414	Vanguard FTSE Emerging Markets ETF (VWO)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.3.415	Varian Medical Systems, Inc. (VAR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.416	Ventas, Inc. (VTR)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.417	Veracyte, Inc. (VCYT)	N/A	\$15,001 - \$50,000	Capital Gains	\$2,501 - \$5,000
1.3.418	VeriSign, Inc. (VRSN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.419	Verisk Analytics, Inc. (VRSK)	N/A	\$50,001 - \$100,000	Capital Gains Dividends	\$15,001 - \$50,000
1.3.420	Verizon Communications Inc. (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
1.3.421	Vertex Pharmaceuticals Incorporated (VRTX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.422	ViacomCBS Inc. - Class B (VIAC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.423	Viatis Inc. (VTRS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.424	Viavi Solutions Inc. (VIAV)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.425	Virtusa Corporation - common stock (VRTU)	N/A	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
1.3.426	Visa Inc. (V)	N/A	\$100,001 - \$250,000	Dividends Capital Gains	\$1,001 - \$2,500
1.3.427	Visteon Corporation (VC)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.428	Vulcan Materials Company (VMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.429	W.R. Berkley Corporation (WRB)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.3.430	Walgreens Boots Alliance, Inc. (WBA)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.431	Walt Disney Company (DIS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.432	Waste Management, Inc. (WM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.433	Waters Corporation (WAT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.434	WD-40 Company (WDFC)	N/A	None (or less than \$1,001)	Capital Gains Dividends	\$5,001 - \$15,000
1.3.435	Webster Financial Corporation (WBS)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
1.3.436	WEC Energy Group, Inc. (WEC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.437	Wellcare Health Plans, Inc. (WCG)	N/A	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
1.3.438	Wells Fargo & Company (WFC)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
1.3.439	Welltower Inc. (HCN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.440	Western Digital Corporation (WDC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.441	Western Union Company (WU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.442	Westinghouse Air Brake Technologies Corporation (WAB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
1.3.443	Westrock Company (WRK)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.444	WEX Inc. common stock (WEX)	N/A	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.445	Weyerhaeuser Company (WY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.446	WillScot Mobile Mini Holdings Corp. - Class A (WSC)	N/A	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
1.3.447	Wolverine World Wide, Inc. (WWW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.448	Wright Medical Group N.V. - Ordinary Shares (WMGI)	N/A	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
1.3.449	Wynn Resorts, Limited (WYNN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.450	Xilinx, Inc. (XLNX)	N/A	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
1.3.451	Yum China Holdings, Inc. (YUMC)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.452	Yum! Brands, Inc. (YUM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.453	Zions Bancorporation (ZION)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
1.3.454	Zoetis Inc. Class A (ZTS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.455	Aptiv PLC (APTV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.456	Blackstone Group Inc (BX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.457	Chevron Corp. (CVX)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.458	Chewy Inc. (CHWY)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.459	DexCom, Inc. (DXCM)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.460	RingCentral, Inc. (RNG)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.461	Campbell Soup Co. (CPB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.462	Discovery, Inc. (DISCA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.463	DISH Network Corp. (DISH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.464	DocuSign, Inc. (DOCU)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.465	Fox Corp. (FOXA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.466	J.B. Hunt Transport Services, Inc. (JBHT)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.467	Invesco Ltd. (IVZ)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.468	Kohl's Corp. (KSS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.469	The Mosaic Co. (MOS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.470	NortonLifeLock Inc. (NLOK)	N/A	None (or less than \$1,001)	Dividends	\$201 - \$1,000
1.3.471	Norwegian Cruise Line Holdings Ltd. (NCLH)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.472	Repligen Corp. (RGEN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.473	Snap-On, Inc. (SNA)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.474	TransUnion (TRU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.475	Wayfair, Inc. (W)	N/A	None (or less than \$1,001)		None (or less than \$201)
1.3.476	Whirlpool Corp. (WHR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.477	Bloom Energy Corporation (BE)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.3.478	Nuveen ESG Small-Cap ETF (NUSC)	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
1.3.479	Shyft Group Inc. (SHYF)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.480	Airbus SE (AIRFP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.481	ASML Holdings NV (ASML)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.482	Atlas Copco AB (ATCOASS)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.3.483	BHP Billiton Limited NPV (BHPAU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.484	Dassault Systems (DSY FP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.485	DBS Group Holdings (DBSSP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.486	Diageo PLC (DEO)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.487	Fanuc Corp (6954 JP)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.488	Keyence Corp (6861 JP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.489	LVMH Moet Hennessy Louis Vuitton (LVMU)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.490	Nidec Corp (6594 JP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.491	Nestle SA (NESN SW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.492	NXP Semiconductors NV (NXPI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.493	Prosus NV (PRX NV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.494	Roche Holdings (ROG SW)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.495	Sea Ltd. (SE)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.496	Shopify Inc. (SHOP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.497	Volkswagen AG (VOW3 GR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.498	Columbia Emerging Markets Fund Institutional 3 Class Shares (CEKYX)	Yes	\$500,001 - \$1,000,000		\$201 - \$1,000
1.3.499	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$250,001 - \$500,000		None (or less than \$201)
1.3.500	Taiwan Semiconductor Mfg Ltd (TSM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.3.501	Tencent Holdings Ltd (700 HK)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.3.502	Fitbit, Inc. (FIT)	N/A	None (or less than \$1,001)	Proceeds from securities litigation	\$205
1.3.503	Green Mountain Coffee Roasters Inc.	N/A	None (or less than \$1,001)	Proceeds from securities litigation	\$580
1.4	Brokerage Account #4	No			
1.4.1	DoubleLine Low Duration Bond Fund Class I Shares (DBLSX)	Yes	\$1,000,001 - \$5,000,000		\$15,001 - \$50,000
1.4.2	Fidelity Treasury Portfolio Institutional Class Shares (FRBXX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.4.3	Goldman Sachs Investor Tax-Exempt Money Market Fund Class I Shares (FTXXX)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.4.4	INVESCO GOVERNMENT AND AGENCY PORTFOLIO INSTL	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.4.5	Lord Abbett Short Duration Income Fund Class I Shares (LLDYX)	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
1.4.6	Nuveen Short Duration High Yield Municipal Bond Fund Class I Shares (NVHIX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
1.4.7	PIMCO Income Fund Institutional Class Shares (PIMIX)	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
1.4.8	Federated Tax-Free Obligations Fund Wealth Shares (TBIXX)	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
1.4.9	U.S. Bank Account #1 - cash	N/A	\$1,000,001 - \$5,000,000	Interest	\$201 - \$1,000
1.4.10	WisdomTree Floating Rate Treasury Fund (USFR)	Yes	None (or less than \$1,001)		\$201 - \$1,000
1.4.11	U.S. Bank Account #2 - cash	N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4.12	U.S. Bank Account #3 - cash	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.4.13	U.S. Bank Account #4 - cash	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.4.14	Archer-Daniels-Midland Co. (ADM)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
1.4.15	Burgerfi International Inc. (BFI)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4.16	Cognyte Software Ltd (CGNT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.4.17	Ebix, Inc. (EBIX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.4.18	Finserv Acquisition Corp Cl A (FSRV)	N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4.19	Franco-Nevada Corp. (FNV)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.4.20	Madison Square Garden Entertainment Corp. (MSGE)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.4.21	Mastercard, Inc. (MA)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.4.22	MicroStrategy, Inc. (MSTR)	N/A	\$100,001 - \$250,000		None (or less than \$201)
1.4.23	Moody's Corp (MCO)	N/A	\$50,001 - \$100,000		None (or less than \$201)
1.4.24	Pan American Silver Corp (PAAS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.4.25	Pershing Square Tontine Holdings Ltd (PSTH)	N/A	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.4.26	PLDT Inc. (PHI)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4.27	Texas Pacific Land Corp (TPL)		N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
1.4.28	Visa, Inc. (V)		N/A	\$50,001 - \$100,000		None (or less than \$201)
1.4.29	VPC Impact Acquisition Holdings (VIH)		N/A	\$1,001 - \$15,000		None (or less than \$201)
1.4.30	Wheaton Precious Metals Corp (WPM)		N/A	\$15,001 - \$50,000		None (or less than \$201)
1.4.31	BlackRock Health Sciences Opportunities Portfolio Institutional Shares (SHSSX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4.32	Credit Suisse Floating Rate High Income Fund Institutional Class Shares (CSHIX)		Yes	\$1,000,001 - \$5,000,000		\$2,501 - \$5,000
1.4.33	Fidelity Money Market Portfolio Institutional Class (FNSXX)		Yes	\$250,001 - \$500,000		None (or less than \$201)
1.4.34	Lazard Global Listed Infrastructure Portfolio Institutional Shares (GLIFX)		Yes	\$100,001 - \$250,000		None (or less than \$201)
1.4.35	Wells Fargo Specialized Technology Fund Institutional Class Shares (WFTIX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4.36	T Rowe Price Health Sciences Fund, Inc (PRHSX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
1.4.37	Wells Fargo Money Market Fund Premier Class Shares (WMPXX)		Yes	\$500,001 - \$1,000,000		\$201 - \$1,000
1.5	AB Energy Opportunity Fund	See Endnote	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
1.6	BlackRock Special Credit Opportunities Fund	See Endnote	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.7	Carlyle Energy Mezzanine Access ASP Fund	See Endnote	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.8	Ecosystem Integrity Fund	See Endnote	Yes	\$50,001 - \$100,000		None (or less than \$201)
1.9	11666 Mayfield Avenue, LLC		No			
1.9.1	Residential Real Property, Los Angeles, CA		N/A	\$15,001 - \$50,000	Rent or Royalties Interest	\$1,001 - \$2,500
1.10	11677-11683 Goshen Avenue, LLC		No			
1.10.1	Residential Real Property, Los Angeles, CA		N/A	\$100,001 - \$250,000	Rent or Royalties Interest	\$5,001 - \$15,000
1.11	11832 Kiowa Avenue, LLC		No			
1.11.1	Residential Real Property, Los Angeles, CA		N/A	\$1,000,001 - \$5,000,000	Rent or Royalties Interest	\$100,001 - \$1,000,000
1.12	150 Main St. LLC		No			
1.12.1	Residential Real Property, Torrance, CA	See Endnote	N/A	None (or less than \$1,001)	Capital Gains Rent or Royalties	\$100,001 - \$1,000,000
1.12.2	Residential Real Property, Torrance, CA	See Endnote	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
1.13	7513 Fountain Avenue, LLC		No			
1.13.1	Residential Real Property, Los Angeles, CA		N/A	\$100,001 - \$250,000	Rent or Royalties Interest	\$5,001 - \$15,000
1.14	CP Pavillion UVA		No			
1.14.1	Residential Real Property, Charlottesville, VA		N/A	\$250,001 - \$500,000	Rent or Royalties	\$15,001 - \$50,000
1.15	EXP 17760 Rowland LLC		No			
1.15.1	Industrial Real Property, Los Angeles, CA		N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.16	EXP 4545 Brooks, LLC		No			
1.16.1	Industrial Real Property, Los Angeles, CA		N/A	\$100,001 - \$250,000	Rent or Royalties	\$5,001 - \$15,000
1.17	Raymond James Multi-Margin Account B		No			
1.17.1	SECONDARY OPPORTUNITIES FD III PCS FEEDER US LP-EIF	See Endnote	Yes	\$100,001 - \$250,000		\$15,001 - \$50,000
1.17.2	US brokerage sweep account (cash)		N/A	\$50,001 - \$100,000		None (or less than \$201)
1.18	Rosehedge Pico Rivera LLC		No			
1.18.1	Residential Real Property, Pico Rivera, CA	See Endnote	N/A	\$500,001 - \$1,000,000	Rent or Royalties	\$15,001 - \$50,000
1.19	City National Securities		No			
1.19.1	US brokerage sweep account (cash)		N/A	\$5,000,001 - \$25,000,000	Interest	\$5,001 - \$15,000
2	New York 529 - DC1		No			
2.1	JPMorgan 529 Age Based 0-5 C		Yes	\$100,001 - \$250,000		None (or less than \$201)
3	New York 529 - DC2		No			
3.1	JPMorgan 529 Age Based 0-5 C		Yes	\$100,001 - \$250,000		None (or less than \$201)
4	Family trust #1		No			
4.1	Lincoln Financial, universal life		N/A	\$100,001 - \$250,000		None (or less than \$201)
4.2	Pacific Life Insurance Co, universal life		N/A	\$250,001 - \$500,000		None (or less than \$201)
4.3	TIAA-CREF Life Insurance Co, universal life		N/A	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.4	Prudential Financial, universal life	N/A	\$250,001 - \$500,000		None (or less than \$201)

7. Transactions

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

8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	Bank of America	Margin Account	\$5,000,001 - \$25,000,000	2014	30-day LIBOR	Revolving
2	Carlyle AIP Secondaries Access V II LP	Capital commitment	\$250,001 - \$500,000	2020	n/a	on demand
3	Carlyle Energy Mezzanine Access ASP Fund	Capital commitment	\$15,001 - \$50,000	2012	n/a	on demand
4	BlackRock Special Credit Opportunities Fund	Capital commitment	\$15,001 - \$50,000	2013	n/a	on demand
5	Secondary Opportunities Fund	Capital commitment	\$15,001 - \$50,000	2014	n/a	on demand
6	NB Private Markets Fund II (TI) LLC	Capital commitment	\$50,001 - \$100,000	2012	n/a	on demand

9. Gifts and Travel Reimbursements

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

Endnotes

PART	#	ENDNOTE
1.	1	Prior to being elected to Congress, I took the position of Veteran and Education Advocate. Before that I was the President of Foundation and a Director.
6.	1.3.64	Estimate; K1 not yet available.
6.	1.3.110	Estimate; K1 not yet available.
6.	1.3.213	Estimate; K1 not yet available.
6.	1.3.279	Estimate; K1 not yet available.
6.	1.5	Estimate; K1 not yet available.
6.	1.6	Estimate; K1 not yet available.
6.	1.7	Estimate; K1 not yet available.
6.	1.8	Estimate; K1 not yet available.
6.	1.12.1	rental income is imputed only
6.	1.12.2	imputed income
6.	1.17.1	Estimate; K1 not yet available.
6.	1.18.1	Estimate; K1 not yet available.

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).
