

# Executive Branch Personnel

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

### Filer's Information

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Kemper, Rufus Crosby

Director, Institute of Museum and Library Services

Report Year: 2021

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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

/s/ Kemper, Rufus Crosby [electronically signed on 05/11/2021 by Kemper, Rufus Crosby 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/ Weiss, Nancy E, Certifying Official [electronically signed on 06/15/2021 by Weiss, Nancy E in Integrity.gov]

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Other review conducted by

/s/ Ridges, Mae, Ethics Official [electronically signed on 05/11/2021 by Ridges, Mae in Integrity.gov]

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U.S. Office of Government Ethics Certification

Data Revised 07/11/2021

Data Revised 06/24/2021

Data Revised 06/15/2021

Data Revised 05/27/2021

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

None

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Kansas City Public School System, defined benefit plan (receives monthly benefit)	N/A		Retirement benefits	\$40,190
2	Kansas City Public Library	N/A		Salary and severance payout	\$83,757
3	IRA #1	No			
3.1	Fidelity Treasury MMKT (FDUXX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.2	UMB Financial Corporation (UMBF)	N/A	\$100,001 - \$250,000		None (or less than \$201)

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## 3. Filer's Employment Agreements and Arrangements

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	The Kansas City Public School System	Kansas City, Missouri	Participates in the KSPL defined benefit plan. Currently receiving a monthly retirement pension benefit.	9/2005

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

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

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

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Lyric Opera of Kansas City	N/A		salary	
2	Lyric Opera Retirement Plan - Great-West Lifetime 2015 (MXABX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3	IRA #2				
3.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.2	Apple Inc. - Common Stock (AAPL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.3	Amazon.com, Inc. (AMZN)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.4	Fidelity Value Fund (FDVLX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.5	Fidelity GNMA Fund (FGMNX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.6	Fidelity 500 Index Fund (FXAIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.7	Gabelli Small Cap Growth Fund Class AAA (GABSX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.8	JP Morgan Chase & Co (JPM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.9	lululemon athletica inc. (LULU)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.10	BlackRock Basic Value Inv A (MDBAX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.11	BlackRock Capital Appreciation Inv A (MDFGX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.12	BlackRock Global Allocation Inv A (MDLOX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
3.13	Merck & Co Inc (MRK)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.14	NVIDIA Corps (NVDA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
3.15	Exxon Mobil Corp (XOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Investment Account #1:	No			
1.1	Fidelity Treasury Money Market (FDUXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.2	UMB Financial Corp (UMBF)	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
2	Investment Account #2:	No			
2.1	Abbott Laboratories (ABT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.2	Accenture plc (ACN)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.3	Alphabet Inc Class A (GOOGL)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.4	Amazon Com Inc (AMZN)	N/A	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
2.5	Apple Inc. (AAPL)	N/A	\$50,001 - \$100,000	Dividends Capital Gains	\$201 - \$1,000
2.6	Bank of America Corp (BAC)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.7	BlackRock Inc (BLK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.8	Brown-Forman Corp B BF.B	N/A	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
2.9	Chevron Corp (CVX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.10	CME Group Inc (CME)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.11	Costco Wholesale Corp (COST)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$2,501 - \$5,000
2.12	Walt Disney Co (DIS)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
2.13	Duke Energy Corp (DUK)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.14	Eaton Corp plc (ETN)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.15	Ecolab Inc (ECL)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
2.16	Facebook, Inc. - Class A (FB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.17	Home Depot Inc (HD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.18	Honeywell Intl Inc (HON)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.19	Intuit Inc (INTU)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.20	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.21	JP Morgan Chase & Co (JPM)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
2.22	Linde Public Limited Co (LIN)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
2.23	Mastercard Inc A (MA)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	None (or less than \$201)
2.24	Merck & Co Inc (MRK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.25	Microsoft Corp (MSFT)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
2.26	Morgan Stanley (MS)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
2.27	NextEra Energy Inc (NEE)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
2.28	PepsiCo Inc (PEP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.29	Pfizer Inc (PFE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.30	Pioneer Service Corp (holding company)	No			
2.30.1	BP plc (BP)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
2.30.2	Commerce Bancshares (CBSH)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
2.30.3	Tower Properties Company (TOWP)	N/A	None (or less than \$1,001)		None (or less than \$201)
2.30.4	UMB Financial Corporation (UMBF)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.30.5	Federated Treasury Obligations Fund #68 (TOIXX)	Yes	None (or less than \$1,001)		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.30.6	Commercial real estate, Kansas City, MO	N/A	None (or less than \$1,001)	Rent or Royalties	None (or less than \$201)
2.30.7	Commercial real estate, Kansas City, MO	N/A	None (or less than \$1,001)	Rent or Royalties	None (or less than \$201)
2.31	Procter & Gamble (PG)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.32	Salesforce.com (CRM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.33	Simon Property Group (SPG)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
2.34	Southwest Airlines Co (LUV)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
2.35	Starbucks Corp (SBUX)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
2.36	Target Corp (TGT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.37	Texas Instruments Inc (TXN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.38	UMB Financial Corporation (UMBF)	N/A	\$500,001 - \$1,000,000	Dividends	\$15,001 - \$50,000
2.39	Union Pacific Corp (UNP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
2.40	United Health Group Inc (UNH)	N/A	\$15,001 - \$50,000	Capital Gains Dividends	\$201 - \$1,000
2.41	Verizon Communications Inc (VZ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.42	Wal-Mart Stores (WMT)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
2.43	Carillon Eagle Small Cap Growth Fund I (HSIIX)	Yes	\$15,001 - \$50,000		\$5,001 - \$15,000



#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.44	Carillon Scout Mid Cap Fd CL I (UMBMX)		Yes	\$50,001 - \$100,000		None (or less than \$201)
2.45	Champlain Mid Cap - I (CIPIX)		Yes	\$15,001 - \$50,000		None (or less than \$201)
2.46	Driehaus Small Cap Growth Fund Instl. (DNSMX)		Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.47	iShares Core S&P Mid-Cap ETF (IJH)		Yes	\$15,001 - \$50,000		\$5,001 - \$15,000
2.48	iShares Core S&P Small-Cap ETF		Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
2.49	Federated Treasury Obligations Fund #68 Money Market(TOIXX)		Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.50	Carillon Eagle Small Cap Growth Fund I (HSIIX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.51	Carillon Scout Mid Cap Fd CL I (UMBX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.52	Champlain Mid Cap - I (CIPX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.53	Dodge & Cox Funds (DODFX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.54	iShares Core S&P 500 ETF (IVV)	See Endnote	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.55	iShares Core S&P Mid-Cap ETF (IJH)	See Endnote	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.56	iShares Core S&P Small-Cap ETF (IJR)	See Endnote	Yes	\$50,001 - \$100,000		\$201 - \$1,000
2.57	iShares MSCI EAFE (EFA)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION		EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.58	Primecap Odyssey Growth Fund (POGRX)	See Endnote	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.59	TIAA-CREF Growth & Income Fd - Instl (TIGRX)	See Endnote	Yes	\$15,001 - \$50,000		\$201 - \$1,000
2.60	Dodge & Cox Income Fund (DODIX)	See Endnote	Yes	\$1,001 - \$15,000		\$201 - \$1,000
2.61	Federated Hermes Treasury Obl Fnd (TOIXX)	See Endnote	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.62	Cisco Systems Inc (CSCO)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.63	Amgen Inc (AMGN)	See Endnote	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.64	Citigroup Inc (C)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.65	FedEx Corp (FDX)	See Endnote	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
2.66	Halliburton Co (HAL)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
2.67	HP Inc (HQP)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
2.68	Lockheed Martin (LMT)	See Endnote	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.69	Marriot Intl inc new (MAR)	See Endnote	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.70	Occidental Petroleum (OXY)	See Endnote	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.71	Praxair Inc (PX)	See Endnote	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
2.72	Total S A (TOT)	See Endnote	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
2.73	Weyerhaeuser Co (WY)	See Endnote	N/A	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
2.74	CVS Health Corp. (CVS)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
2.75	3M Co (MMM)	See Endnote	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
2.76	AbbVie Inc. (ABBV)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.77	American Tower Corporation (REIT) (AMT)		N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
2.78	American Water Works Co., Inc. (AWK)		N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
2.79	Broadcom, Inc. (AVGO)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.80	Caterpillar, Inc. (CAT)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.81	Danaher Corp. (DHR)		N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
2.82	Duke Realty Corp. (DRE)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.83	Edwards Lifesciences Corp. (EW)		N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
2.84	McDonald's Corp. (MCD)		N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
2.85	Medtronic Plc (MDT)		N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
2.86	Realty Income Corp. (O)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.87	Rockwell Automation, Inc. (ROK)		N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
2.88	The Travelers Cos., Inc. (TRV)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.89	United Parcel Service, Inc. (UPS)		N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
2.90	Dodge & Cox International Stock Fund (DODFX)		Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.91	Driehaus Small Cap Growth Fund Institutional Share Class (DNSMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	Cash Account - US bank	N/A	\$1,001 - \$15,000		None (or less than \$201)
4	Cash Account - US bank	N/A	\$15,001 - \$50,000		None (or less than \$201)
5	Cash Account - US bank	N/A	\$1,001 - \$15,000		None (or less than \$201)
6	Pioneer Service Corporation (holding company)	See Endnote	No		
6.1	BP Plc (BP)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6.2	Commerce Bancshares (CBSH)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.3	Tower Properties Company (TOWP)	N/A	\$1,001 - \$15,000		None (or less than \$201)
6.4	UMB Financial Corporation (UMBF)	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
6.5	Federated Treasury Obligations Fund #68 (TOIXX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
6.6	Commercial real estate, Kansas City, MO	N/A	\$1,001 - \$15,000	Rent or Royalties	\$1,001 - \$2,500
6.7	Commercial real estate, Kansas City, MO	N/A	\$1,001 - \$15,000	Rent or Royalties	\$1,001 - \$2,500
7	Kemper Realty Company (holding company)				
7.1	Pioneer Service Corp (holding company)	No			
7.1.1	BP Plc (BP)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)
7.1.2	Commerce Bancshares (CBSH)	N/A	None (or less than \$1,001)	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.1.3	Tower Properties Company (TOWP)	N/A	None (or less than \$1,001)		None (or less than \$201)
7.1.4	UMB Financial Corporation (UMBF)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.1.5	Federated Treasury Obligations Fund #68 (TOIXX)	Yes	None (or less than \$1,001)		None (or less than \$201)
7.1.6	Commercial real estate, Kansas City, MO	N/A	None (or less than \$1,001)	Rent or Royalties	None (or less than \$201)
7.1.7	Commercial real estate, Kansas City, MO	N/A	None (or less than \$1,001)	Rent or Royalties	None (or less than \$201)
7.2	UMB Financial Corporation (UMBF)	N/A	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000
7.3	Williams Companies Inc (WMB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
7.4	Tortoise Energy Infrastructure Corp. (TYG)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.5	Federated Treasury Obligation Fund #68 (TOIXX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8	Family Trust #1:				
8.1	Abbott Laboratories (ABT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.2	Accenture plc (ACN)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
8.3	Alphabet Inc Class A (GOOGL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.4	Amazon Com Inc (AMZN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.5	Appl Inc (AAPL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.6	Bank of America Corp (BAC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.7	BlackRock Inc (BLK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.8	Brown Forman Corporation (BF/B)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.9	Chevron Corp (CVX)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.10	CME Group Inc (CME)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
8.11	Costco Wholesale Corp (COST)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	None (or less than \$201)
8.12	Walt Disney Co (DIS)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.13	Eaton Corp plc (ETN)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
8.14	Ecolab Inc (ECL)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
8.15	Facebook, Inc. - Class A (FB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.16	Home Depot Inc (HD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.17	Honeywell Intl Inc (HON)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.18	Intuit Inc (INTU)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	None (or less than \$201)
8.19	Johnson & Johnson (JNJ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.20	JP Morgan Chase & Co (JPM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.21	Linde Public Limited Co (LIN)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
8.22	Mastercard Inc A (MA)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	None (or less than \$201)
8.23	Merck & Co Inc (MRK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.24	Microsoft Corp (MSFT)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.25	Morgan Stanley (MS)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
8.26	NextEra Energy Inc (NEE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.27	PepsiCo Inc (PEP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.28	Pfizer Inc (PFE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.29	Procter & Gamble (PG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.30	Salesforce.com (CRM)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
8.31	Target Corp (TGT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.32	Texas Instruments Inc (TXN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.33	Union Pacific Corp (UNP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.34	United Parcel Service Inc B (UPS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.35	UnitedHealth Group (UHG)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
8.36	Verizon Communication (VZ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.37	Walmart Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.38	Carillon Scout Mid Cap Fd CL I (UMBMX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.39	Champlain Mid Cap - I (CIPIX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
8.40	Dodge & Cox Fund (DODFX)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
8.41	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.42	iShares Core Small-Cap ETF (IJR)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.43	iShares MSCI EAFE Index (EFA)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
8.44	Clayton Missouri Sch Dist, bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
8.45	Jefferson City Missouri Sch Dist, bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.46	Kearney Missouri, bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
8.47	Missouri St Envrnmntl Inpt & Energy, bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
8.48	North Kansas City MO Sch Dist #74, bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
8.49	St. Louis Cnty MO Pattonville USD #R-3, bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
8.50	St Peters Missouri Wtrwks & Sew Rev, bonds	N/A	\$15,001 - \$50,000	Interest	\$1,001 - \$2,500
8.51	Federated Hermes Govt Obligations Fund #5 (GOIXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.52	Amgen Inc (AMGN)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
8.53	Citigroup Inc (C)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.54	CVS Health Corporation (CVS)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.55	Duke Energy Corp (DUK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.56	FedEx Corp (FDX)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.57	Halliburton Co (HAL)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.58	HP Inc (HPQ)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.59	Lockheed Martin (LMT)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
8.60	Marriott Intl A (MAR)	N/A	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
8.61	Occidental Petroleum (OXY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.62	Praxair Inc (PX)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
8.63	Total S A (TOT)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
8.64	Realty Income Corp (O)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.65	Weyerhaeuser Co (WY)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.66	3M Co (MMM)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
8.67	AbbVie Inc. (ABBV)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.68	Carnival Corp (CCL)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.69	Cummins Inc (CMI)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
8.70	DowDuPont (DWDP)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$2,501 - \$5,000
8.71	Gilead Sciences Inc (GILD)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.72	Metro St. Louis MO Swr Dist Wastewtr Rev, bonds	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.73	Oracle Corp (ORCL)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
8.74	Phillips 66 (PSX)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.75	Principal Financial Group (PFG)	N/A	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500
8.76	Schlumberger Ltd (SLB)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.77	Simon Property Group (SPG)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.78	Starbucks Corp (SBUX)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	\$5,001 - \$15,000
8.79	American Tower Corporation (REIT) (AMT)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.80	American Water Works Co., Inc. (AWK)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.81	Broadcom, Inc. (AVGO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.82	Caterpillar, Inc. (CAT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.83	Danaher Corp. (DHR)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.84	Duke Energy Corp. (DUK)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.85	Duke Realty Corp. (DRE)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.86	Edwards Lifesciences Corp. (EW)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
8.87	McDonald's Corp. (MCD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.88	Medtronic Plc (MDT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.89	Realty Income Corp. (O)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.90	Rockwell Automation, Inc. (ROK)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
8.91	The Travelers Cos., Inc. (TRV)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.92	Walgreens Boots Alliance, Inc. (WBA)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
8.93	Dodge & Cox International Stock Fund (DODFX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.94	Tributary Small Company Fund Institutional Plus Class Shares (FOSBX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
8.95	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
9	Investment Account #3:	See Endnote			
10	Family Trust #2:				
10.1	Abbott Laboratories (ABT)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.2	Alphabet Inc Class A (GOOGL)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.3	Apple Inc. (AAPL)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.4	CME Group Inc (CME)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.5	Costco Wholesale Corp (COST)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.6	Walt Disney Co (DIS)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.7	Home Depot Inc (HD)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.8	Honeywell Intl Inc (HON)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.9	Intuit Inc (INTU)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.10	Johnson & Johnson (JNJ)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.11	JP Morgan Chase & Co (JPM)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.12	Mastercard Inc A (MA)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.13	Merck & Co Inc (MRK)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.14	Microsoft Corp (MSFT)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.15	NextEra Energy Inc (NEE)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.16	Nike	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.17	PepsiCo Inc (PEP)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.18	Procter & Gamble (PG)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.19	Starbucks Corp (SBUX)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.20	Texas Instruments Inc (TXN)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.21	Unitedhealth Group Inc (UNH)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.22	Verizon Communications Inc (VZ)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.23	Walmart Inc (WMT)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.24	Carillon Scout Mid Cap Fd CL I (UMBMX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.25	Champlain Mid Cap I (CIPIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
10.26	Dodge & Cox Funds (DODFX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.27	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.28	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.29	iShares MSCI EAFE (EFA)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
10.30	Lindbergh MO Sch Dist (Bond)	N/A	\$1,001 - \$15,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.31	Norfolk Virginia (Bond)	N/A	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
10.32	St Louis Cnty MO Pattonville USD #R-3 (Bond)	N/A	\$1,001 - \$15,000	Interest	\$1,001 - \$2,500
10.33	Federated Gov't Obligations Fund #5 (GOIXX)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
10.34	Amgen Inc (AMGN)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
10.35	Carnival Corp (CCL)	N/A	\$1,001 - \$15,000	Dividends Capital Gains	None (or less than \$201)
10.36	EOG Resources (EOG)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.37	Paychex Inc (PAYX)	N/A	\$1,001 - \$15,000	Capital Gains Dividends	\$201 - \$1,000
10.38	Southwest Airlines Co (LUV)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.39	Bank of America Corp (BAC)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.40	Corteva Inc	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.41	Jackson Cnty MO Reorg S/D, bonds	N/A	\$1,001 - \$15,000	Interest	None (or less than \$201)
10.42	AbbVie, Inc. (ABBV)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
10.43	Accenture Plc (ACN)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.44	American Tower Corporation (REIT) (AMT)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.45	American Water Works Co., Inc. (AWK)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.46	Broadcom, Inc. (AVGO)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT	
10.47	Brown-Forman Corp B (BF.B)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)	
10.48	Caterpillar, Inc. (CAT)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)	
10.49	Danaher Corp. (DHR)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)	
10.50	Duke Energy Corp. (DUK)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	
10.51	Duke Realty Corp. (DRE)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)	
10.52	Eaton Corp. Plc (ETN)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)	
10.53	Ecolab, Inc. (ECL)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.54	Edwards Lifesciences Corp. (EW)	N/A	\$1,001 - \$15,000		None (or less than \$201)	
10.55	Linde Plc (LIN)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.56	McDonald's Corp. (MCD)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)	
10.57	Medtronic Plc (MDT)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)	
10.58	Morgan Stanley Co	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)	
10.59	Pfizer Inc. (PFE)	See Endnote	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.60	Realty Income Corp. (O)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)	
10.61	Rockwell Automation, Inc. (ROK)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)	

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
10.62	salesforce.com, inc. (CRM) See Endnote	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.63	The Travelers Cos., Inc. (TRV)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.64	Union Pacific Corp. (UNP)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.65	United Parcel Service, Inc. (UPS)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
10.66	Tributary Small Company Fund Institutional Plus Class Shares (FOSBX)	Yes			None (or less than \$201)
10.67	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Yes			\$1,001 - \$2,500
10.68	Federated Government Obligations Fund Institutional Shares (GOIXX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
11	Family Trust #3:				
11.1	ConocoPhillips (COP)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
11.2	Exxon Mobil Corp (XOM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
11.3	Carillon Eagle Small Cap Growth Fund I (HSIIX)	Yes	\$1,001 - \$15,000		\$1,001 - \$2,500
11.4	Champlain Mid Cap - I (CIPIX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
11.5	iShares Core S&P 500 ETF (IVV)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
11.6	iShares Core S&P Mid-Cap ETF (IJH)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
11.7	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$1,001 - \$15,000		\$201 - \$1,000
11.8	Primecap Odyssey Growth Fund (POGRX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
11.9	Fidelity Treasury Only Fund #680 (FSIXX)	Yes	\$1,001 - \$15,000		None (or less than \$201)
12	Family Trust #4:				
12.1	Evergy Inc (EVRG)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
12.2	UMB Financial Corp (UMBF)	N/A	\$500,001 - \$1,000,000	Dividends	\$5,001 - \$15,000
12.3	Federated Govt Obligations Fund #5 (GOIXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Realty Income Corp	Purchase	05/06/2020	\$1,001 - \$15,000
2	NextEra Energy Inc	Purchase	05/06/2020	\$1,001 - \$15,000
3	Duke Realty Corp	Purchase	05/06/2020	\$1,001 - \$15,000
4	Valero Energy Corp New	Purchase	05/06/2020	\$1,001 - \$15,000
5	American Water Works Co Inc	Purchase	05/06/2020	\$1,001 - \$15,000
6	American Tower Corp	Purchase	05/06/2020	\$1,001 - \$15,000
7	Blackrock Inc	Sale	05/06/2020	\$1,001 - \$15,000
8	Chevron Corp	Sale	05/06/2020	\$1,001 - \$15,000
9	Intuit	Sale	05/06/2020	\$1,001 - \$15,000
10	Duke Energy Hldg Corp	Sale	05/06/2020	\$1,001 - \$15,000
11	ExxonMobil Corp	Sale	05/06/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
12	Genuine Parts Co	Sale	05/06/2020	\$1,001 - \$15,000
13	Comcast Corp New	Sale	05/06/2020	\$1,001 - \$15,000
14	CME Group Inc	Sale	05/06/2020	\$1,001 - \$15,000
15	Comcast Corp New	Sale	05/06/2020	\$1,001 - \$15,000
16	Valero Energy Corp New	Purchase	05/06/2020	\$1,001 - \$15,000
17	American Tower Corp	Purchase	05/06/2020	\$1,001 - \$15,000
18	American Water Works Co Inc	Purchase	05/06/2020	\$1,001 - \$15,000
19	Phillips 66	Sale	05/06/2020	\$1,001 - \$15,000
20	CME Group Inc	Sale	05/06/2020	\$1,001 - \$15,000
21	Realty Income Corp	Purchase	05/06/2020	\$1,001 - \$15,000
22	Abbott Laboratories	Sale	05/06/2020	\$1,001 - \$15,000
23	Duke Realty Corp	Purchase	05/06/2020	\$1,001 - \$15,000
24	Valero Energy Corp New	Purchase	05/06/2020	\$1,001 - \$15,000
25	American Tower Corp	Purchase	05/06/2020	\$1,001 - \$15,000
26	American Water Works Co Inc	Purchase	05/06/2020	\$1,001 - \$15,000
27	ExxonMobil Corp	Sale	05/06/2020	\$1,001 - \$15,000
28	JP Morgan Chase & Co	Sale	05/06/2020	\$1,001 - \$15,000
29	Lincoln National Corp	Sale	05/06/2020	\$1,001 - \$15,000
30	NextEra Energy Inc	Sale	05/06/2020	\$1,001 - \$15,000
31	Comcasst Corp New	Sale	05/06/2020	\$1,001 - \$15,000
32	CME Group Inc	Sale	05/06/2020	\$1,001 - \$15,000
33	Phillips 66	Sale	05/06/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
34	Abbvie Inc	Purchase	06/03/2020	\$1,001 - \$15,000
35	Rockwell Automation Inc	Purchase	06/03/2020	\$1,001 - \$15,000
36	Ecolab Inc	Sale	06/03/2020	\$1,001 - \$15,000
37	Apple Inc	Sale	06/03/2020	\$1,001 - \$15,000
38	Rockwell Automation Inc	Purchase	07/09/2020	\$1,001 - \$15,000
39	Brown Forman Corporation	Purchase	07/09/2020	\$1,001 - \$15,000
40	Abbott Laboratories	Sale	07/09/2020	\$1,001 - \$15,000
41	Walmart Inc	Sale	07/09/2020	\$1,001 - \$15,000
42	Abbvie Inc	Purchase	07/09/2020	\$1,001 - \$15,000
43	Medtronic Plc	Purchase	07/09/2020	\$1,001 - \$15,000
44	Costco Wholesale Corp	Sale	07/09/2020	\$1,001 - \$15,000
45	UnitedHealth Group Inc	Sale	07/09/2020	\$1,001 - \$15,000
46	Pepsico Inc	Sale	07/09/2020	\$1,001 - \$15,000
47	Costco Wholesale Corp	Purchase	07/09/2020	\$1,001 - \$15,000
48	Rockwell Automation Inc	Purchase	07/09/2020	\$1,001 - \$15,000
49	Abbvie Inc	Purchase	07/09/2020	\$1,001 - \$15,000
50	Medtronic Plc	Purchase	07/09/2020	\$1,001 - \$15,000
51	Walmart Inc	Sale	07/09/2020	\$1,001 - \$15,000
52	Abbott Laboratories	Sale	07/09/2020	\$1,001 - \$15,000
53	Becton Dickinson & Co	Sale	07/09/2020	\$1,001 - \$15,000
54	AT&T Inc (T)	Sale	07/31/2020	\$1,001 - \$15,000
55	Procter & Gamble Co	Sale	07/09/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
56	Pepsico Inc	Sale	07/09/2020	\$1,001 - \$15,000
57	Walgreens Boots Alliance	Purchase	08/06/2020	\$1,001 - \$15,000
58	Duke Energy Hldg Corp	Purchase	08/06/2020	\$1,001 - \$15,000
59	Apple Inc	Sale	08/06/2020	\$1,001 - \$15,000
60	Duke Energy Hldg Corp	Purchase	08/05/2020	\$1,001 - \$15,000
61	Amazon Com Inc	Sale	08/06/2020	\$1,001 - \$15,000
62	Walgreens Boots Alliance	Purchase	08/05/2020	\$1,001 - \$15,000
63	Amazon Com Inc	Sale	08/05/2020	\$1,001 - \$15,000
64	Duke Energy Hldg Corp	Purchase	08/06/2020	\$1,001 - \$15,000
65	Apple Inc	Sale	08/05/2020	\$1,001 - \$15,000
66	Walgreens Boots Alliance	Purchase	08/06/2020	\$1,001 - \$15,000
67	Ecolab Inc	Sale	08/06/2020	\$1,001 - \$15,000
68	Texas Instruments Inc	Sale	08/06/2020	\$1,001 - \$15,000
69	Accenture Plc - CI A	Sale	08/06/2020	\$1,001 - \$15,000
70	Mastercard Inc - Class A	Sale	08/06/2020	\$1,001 - \$15,000
71	Microsoft Corp	Sale	08/06/2020	\$1,001 - \$15,000
72	Linde Public Limited Co	Sale	08/06/2020	\$1,001 - \$15,000
73	Apple Inc	Sale	08/06/2020	\$1,001 - \$15,000
74	Travelers Companies Inc	Purchase	10/14/2020	\$1,001 - \$15,000
75	Danaher Corp Del	Purchase	10/07/2020	\$1,001 - \$15,000
76	Caterpillar Inc Del	Purchase	10/07/2020	\$1,001 - \$15,000
77	Chubb Ltd	Sale	10/14/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
78	Caterpillar Inc Del	Purchase	10/14/2020	\$1,001 - \$15,000
79	Valero Energy Corp New	Sale	10/14/2020	\$1,001 - \$15,000
80	Travelers Companies Inc	Purchase	10/14/2020	\$1,001 - \$15,000
81	Edwards Lifesciences Corp	Purchase	10/07/2020	\$1,001 - \$15,000
82	Chubb Ltd	Sale	10/07/2020	\$1,001 - \$15,000
83	Becton Dickinson & Co	Sale	10/07/2020	\$15,001 - \$50,000
84	Valero Energy Corp New	Sale	10/07/2020	\$1,001 - \$15,000
85	Travelers Companies Inc	Purchase	10/07/2020	\$1,001 - \$15,000
86	Caterpillar Inc Del	Purchase	10/14/2020	\$1,001 - \$15,000
87	Valero Energy Corp New	Sale	10/14/2020	\$1,001 - \$15,000
88	Chubb Ltd	Sale	10/14/2020	\$1,001 - \$15,000
89	Edwards Lifesciences Corp	Purchase	11/04/2020	\$1,001 - \$15,000
90	Eaton Corp Plc Ord	Purchase	11/04/2020	\$1,001 - \$15,000
91	Raytheon Technologies Corp	Sale	11/04/2020	\$1,001 - \$15,000
92	Morgan Stanley Co	Purchase	11/04/2020	\$1,001 - \$15,000
93	Danaher Corp Del	Purchase	11/04/2020	\$1,001 - \$15,000
94	Becton Dickinson & Co	Sale	11/04/2020	\$1,001 - \$15,000
95	Waste Mgmt Inc Del	Sale	11/04/2020	\$1,001 - \$15,000
96	Morgan Stanley Co	Purchase	11/04/2020	\$1,001 - \$15,000
97	Cisco Systems Inc	Sale	11/04/2020	\$1,001 - \$15,000
98	Edwards Lifesciences Corp	Purchase	11/04/2020	\$1,001 - \$15,000
99	McDonalds Corp	Purchase	11/04/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
100	Eaton Corp Plc Ord	Purchase	11/04/2020	\$1,001 - \$15,000
101	Waste Mgmt Inc Del	Sale	11/04/2020	\$1,001 - \$15,000
102	Raytheon Technologies Corp	Sale	11/04/2020	\$1,001 - \$15,000
103	Cisco Systems Inc	Sale	11/04/2020	\$1,001 - \$15,000
104	Morgan Stanley Co	Purchase	11/04/2020	\$1,001 - \$15,000
105	Danaher Corp Del	Purchase	11/04/2020	\$1,001 - \$15,000
106	McDonalds Corp	Purchase	11/04/2020	\$1,001 - \$15,000
107	Eaton Corp Plc Ord	Purchase	11/04/2020	\$1,001 - \$15,000
108	Edwards Lifesciences Corp	Purchase	11/04/2020	\$1,001 - \$15,000
109	Home Depot Inc	Sale	11/04/2020	\$1,001 - \$15,000
110	Becton Dickinson & Co	Sale	11/04/2020	\$1,001 - \$15,000
111	Raytheon Technologies Corp	Sale	11/04/2020	\$1,001 - \$15,000
112	Waste Mgmt Inc Del	Sale	11/04/2020	\$1,001 - \$15,000
113	Cisco Systems Inc	Sale	11/04/2020	\$1,001 - \$15,000
114	Waste Mgmt Inc Del	Purchase	03/26/2020	\$1,001 - \$15,000
115	McDonalds Corp	Purchase	03/26/2020	\$1,001 - \$15,000
116	Delta Air Lines Inc	Sale	03/25/2020	\$1,001 - \$15,000
117	Boeing Co	Sale	03/25/2020	\$1,001 - \$15,000
118	Medtronic Plc	Purchase	03/04/2020	\$1,001 - \$15,000
119	Johnson & Johnson	Purchase	03/04/2020	\$1,001 - \$15,000
120	Broadcom Inc	Purchase	03/04/2020	\$1,001 - \$15,000
121	Waste Mgmt Inc Del	Purchase	03/26/2020	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
122	McDonalds Corp		Purchase	03/26/2020	\$1,001 - \$15,000
123	Blackrock Inc		Sale	03/04/2020	\$1,001 - \$15,000
124	Genuine Parts Co		Sale	03/04/2020	\$1,001 - \$15,000
125	ExxonMobil Corp		Sale	03/04/2020	\$1,001 - \$15,000
126	Truist Financial Corporation		Sale	03/25/2020	\$1,001 - \$15,000
127	Delta Air Lines Inc		Sale	03/25/2020	\$1,001 - \$15,000
128	Boeing Co		Sale	03/25/2020	\$1,001 - \$15,000
129	Waste Mgmt Inc Del		Purchase	03/26/2020	\$1,001 - \$15,000
130	McDonalds Corp		Purchase	03/26/2020	\$1,001 - \$15,000
131	Boeing Co		Sale	03/26/2020	\$1,001 - \$15,000
132	Delta Air Lines Inc		Sale	03/26/2020	\$1,001 - \$15,000
133	AT & T Inc	See Endnote	Sale	04/03/2020	\$1,001 - \$15,000
134	Raytheon Technologies Corp	See Endnote	Exchange	04/03/2020	\$1,001 - \$15,000
135	AT & T Inc	See Endnote	Sale	04/03/2020	\$1,001 - \$15,000
136	Raytheon Technologies Corp	See Endnote	Exchange	04/03/2020	\$1,001 - \$15,000
137	AT & T Inc	See Endnote	Sale	04/03/2020	\$1,001 - \$15,000
138	Raytheon Technologies Corp	See Endnote	Exchange	04/03/2020	\$1,001 - \$15,000
139	Waste Mgmt Inc Del		Purchase	03/26/2020	\$1,001 - \$15,000
140	McDonalds Corp		Purchase	03/26/2020	\$1,001 - \$15,000
141	Medtronic Plc		Purchase	03/04/2020	\$1,001 - \$15,000
142	Johnson & Johnson		Purchase	03/04/2020	\$1,001 - \$15,000
143	Delta Air Lines Inc		Sale	03/25/2020	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
144	Boeing Co		Sale	03/25/2020	\$1,001 - \$15,000
145	Waste Mgmt Inc Del		Purchase	03/26/2020	\$1,001 - \$15,000
146	Broadcom Inc		Purchase	03/04/2020	\$1,001 - \$15,000
147	Genuine Parts Co		Sale	03/04/2020	\$1,001 - \$15,000
148	Blackrock Inc		Sale	03/04/2020	\$1,001 - \$15,000
149	McDonalds Corp		Purchase	03/26/2020	\$1,001 - \$15,000
150	ExxonMobil Corp		Sale	03/04/2020	\$1,001 - \$15,000
151	Delta Air Lines Inc		Sale	03/25/2020	\$1,001 - \$15,000
152	Truist Financial Corporation		Sale	03/25/2020	\$1,001 - \$15,000
153	Boeing Co		Sale	03/25/2020	\$1,001 - \$15,000
154	AT & T Inc	See Endnote	Sale	04/03/2020	\$1,001 - \$15,000
155	Waste Mgmt Inc Del		Purchase	03/26/2020	\$1,001 - \$15,000
156	Boeing Co		Sale	03/26/2020	\$1,001 - \$15,000
157	McDonalds Corp		Purchase	03/26/2020	\$1,001 - \$15,000
158	Delta Air Lines Inc		Sale	03/26/2020	\$1,001 - \$15,000
159	Raytheon Technologies Corp	See Endnote	Exchange	04/03/2020	\$1,001 - \$15,000
160	Raytheon Technologies Corp	See Endnote	Exchange	04/03/2020	\$1,001 - \$15,000
161	Raytheon Technologies Corp	See Endnote	Exchange	04/03/2020	\$1,001 - \$15,000
162	AT & T Inc	See Endnote	Sale	04/03/2020	\$1,001 - \$15,000
163	AT & T Inc	See Endnote	Sale	04/03/2020	\$1,001 - \$15,000
164	Broadcom, Inc. (AVGO)		Purchase	01/09/2020	\$1,001 - \$15,000
165	Caterpillar, Inc. (CAT)		Purchase	01/09/2020	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
166	Comcast Corp. (CMCSA)	Purchase	01/09/2020	\$1,001 - \$15,000
167	Chubb Ltd. (CB)	Purchase	01/09/2020	\$1,001 - \$15,000
168	Eaton Corp. Plc (ETN)	Purchase	02/11/2020	\$1,001 - \$15,000
169	Delta Air Lines, Inc. (DAL)	Purchase	02/11/2020	\$1,001 - \$15,000
170	Microsoft Corp. (MSFT)	Purchase	02/11/2020	\$1,001 - \$15,000
171	Comcast Corp. (CMCSA)	Purchase	02/11/2020	\$1,001 - \$15,000
172	Union Pacific Corp. (UNP)	Purchase	02/11/2020	\$1,001 - \$15,000
173	United Parcel Service, Inc. (UPS)	Purchase	02/11/2020	\$1,001 - \$15,000
174	The Walt Disney Co. (DIS)	Sale	01/09/2020	\$1,001 - \$15,000
175	Facebook, Inc. (FB)	Sale	01/09/2020	\$1,001 - \$15,000
176	Verizon Communications, Inc. (VZ)	Sale	01/09/2020	\$1,001 - \$15,000
177	VF Corp. (VFC)	Sale	01/09/2020	\$1,001 - \$15,000
178	Ventas, Inc. (VTR)	Sale	01/09/2020	\$1,001 - \$15,000
179	Simon Property Group, Inc. (SPG)	Sale	01/09/2020	\$1,001 - \$15,000
180	Mastercard, Inc. (MA)	Sale	02/11/2020	\$1,001 - \$15,000
181	Southwest Airlines Co. (LUV)	Sale	02/11/2020	\$1,001 - \$15,000
182	Raytheon Co. (RTN)	Sale	02/11/2020	\$1,001 - \$15,000
183	Intel Corp. (INTC)	Sale	02/11/2020	\$1,001 - \$15,000
184	Alphabet, Inc. (GOOG)	Sale	02/11/2020	\$1,001 - \$15,000
185	Accenture Plc (ACN)	Sale	02/11/2020	\$1,001 - \$15,000
186	Broadcom, Inc. (AVGO)	Purchase	01/08/2020	\$1,001 - \$15,000
187	Comcast Corp. (CMCSA)	Purchase	01/08/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
188	Chubb Ltd. (CB)	Purchase	01/08/2020	\$1,001 - \$15,000
189	Caterpillar, Inc. (CAT)	Purchase	01/08/2020	\$1,001 - \$15,000
190	Caterpillar, Inc. (CAT)	Purchase	01/09/2020	\$1,001 - \$15,000
191	Comcast Corp. (CMCSA)	Purchase	01/09/2020	\$1,001 - \$15,000
192	Chubb Ltd. (CB)	Purchase	01/09/2020	\$1,001 - \$15,000
193	Accenture Plc (ACN)	Purchase	02/11/2020	\$1,001 - \$15,000
194	Ventas, Inc. (VTR)	Sale	01/08/2020	\$1,001 - \$15,000
195	VF Corp. (VFC)	Sale	01/08/2020	\$1,001 - \$15,000
196	Apple, Inc. (AAPL)	Sale	01/08/2020	\$1,001 - \$15,000
197	Apple, Inc. (AAPL)	Sale	01/09/2020	\$1,001 - \$15,000
198	VF Corp. (VFC)	Sale	01/09/2020	\$1,001 - \$15,000
199	Microsoft Corp. (MSFT)	Sale	02/11/2020	\$1,001 - \$15,000
200	Texas Instruments Incorporated (TXN)	Sale	02/11/2020	\$1,001 - \$15,000
201	Mastercard, Inc. (MA)	Sale	02/11/2020	\$1,001 - \$15,000
202	Intuit, Inc. (INTU)	Sale	02/11/2020	\$1,001 - \$15,000
203	Apple, Inc. (AAPL)	Sale	02/11/2020	\$1,001 - \$15,000

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	UMB Bank	Exercised Line of Credit	\$50,001 - \$100,000	2014	prime	on demand

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
2	UMB Bank	Mortgage on Personal Residence	\$500,001 - \$1,000,000	2018	4.25	20 years
3	Delta Sky Miles/American Express	Credit Card	\$10,001 - \$15,000	2019	22.49	Revolving
4	R.C. Kemper, Jr. Marital Trust	Personal Loan	\$500,001 - \$1,000,000	2020	1.2	10

## 9. Gifts and Travel Reimbursements

None

## Endnotes

PART	#	ENDNOTE
6.	2.50	Asset moved from former Investment Account #3, asset #9.1.
6.	2.51	Asset moved from former Investment Account #3, asset #9.2.
6.	2.52	Asset move from former Investment Account #3, Asset #9.3
6.	2.53	Asset move from former Investment Account #3, Asset #9.4
6.	2.54	Asset move from former Investment Account #3, Asset #9.5
6.	2.55	Asset move from former Investment Account #3, Asset #9.6
6.	2.56	Asset move from former Investment Account #3, Asset #9.7
6.	2.57	Asset move from former Investment Account #3, Asset #9.8
6.	2.58	Asset move from former Investment Account #3, Asset #9.9

PART	#	ENDNOTE
6.	2.59	Asset move from former Investment Account #3, Asset #9.10
6.	2.60	Asset move from former Investment Account #3, Asset #9.12
6.	2.61	Asset move from former Investment Account #3, Asset #9.13 Formerly known as Federated Treasury Obligations Fund #68 (TOIXX)
6.	2.62	Asset was received from previous Investment acct #3
6.	2.63	Asset was received from previous Investment acct #3
6.	2.64	Asset was received from previous Investment acct #3
6.	2.65	Asset was received from previous Investment acct #3
6.	2.66	Asset was received from previous Investment acct #3
6.	2.67	Asset was received from previous Investment acct #3
6.	2.68	Asset was received from previous Investment acct #3
6.	2.69	Asset was received from previous Investment acct #3
6.	2.70	Asset was received from previous Investment acct #3
6.	2.71	Asset was received from previous Investment acct #3
6.	2.72	Asset was received from previous Investment acct #3
6.	2.73	Asset was received from previous Investment acct #3
6.	2.74	Asset was received from previous Investment acct #3
6.	2.75	Asset was received from previous Investment acct #3
6.	6	These assets are held individually by Filer and not part of Investment Acct #2.
6.	9	Assets moved into Investment Account #2 on 11/12/2019.

PART	#	ENDNOTE																																				
6.	10.53	<p>The following transactions were erroneously omitted from the periodic transaction report filed on April 7, 2020:</p> <table border="1"> <tbody> <tr> <td>Ecolab Inc.</td> <td>Purchase</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Linde Public Ltd Co.,</td> <td>Purchase</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Pfizer Inc.</td> <td>Purchase</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Cerner Corp.</td> <td>Sale</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>CVS Health Corp.</td> <td>Sale</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Lilly Eli &amp; Co.</td> <td>Sale</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Dow Inc.</td> <td>Sale</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Dupont de Nemours</td> <td>Sale</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Simon Property Grp Inc.</td> <td>Sale</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> </tbody> </table>	Ecolab Inc.	Purchase	10/7/2019	\$1,000-15,000	Linde Public Ltd Co.,	Purchase	10/7/2019	\$1,000-15,000	Pfizer Inc.	Purchase	10/7/2019	\$1,000-15,000	Cerner Corp.	Sale	10/7/2019	\$1,000-15,000	CVS Health Corp.	Sale	10/7/2019	\$1,000-15,000	Lilly Eli & Co.	Sale	10/7/2019	\$1,000-15,000	Dow Inc.	Sale	10/7/2019	\$1,000-15,000	Dupont de Nemours	Sale	10/7/2019	\$1,000-15,000	Simon Property Grp Inc.	Sale	10/7/2019	\$1,000-15,000
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Lilly Eli & Co.	Sale	10/7/2019	\$1,000-15,000																																			
Dow Inc.	Sale	10/7/2019	\$1,000-15,000																																			
Dupont de Nemours	Sale	10/7/2019	\$1,000-15,000																																			
Simon Property Grp Inc.	Sale	10/7/2019	\$1,000-15,000																																			
6.	10.55	<p>The following transactions were erroneously omitted from the periodic transaction report filed on April 7, 2020:</p> <table border="1"> <tbody> <tr> <td>Ecolab Inc.</td> <td>Purchase</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Linde Public Ltd Co.,</td> <td>Purchase</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Pfizer Inc.</td> <td>Purchase</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Cerner Corp.</td> <td>Sale</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>CVS Health Corp.</td> <td>Sale</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Lilly Eli &amp; Co.</td> <td>Sale</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Dow Inc.</td> <td>Sale</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Dupont de Nemours</td> <td>Sale</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Simon Property Grp Inc.</td> <td>Sale</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> </tbody> </table>	Ecolab Inc.	Purchase	10/7/2019	\$1,000-15,000	Linde Public Ltd Co.,	Purchase	10/7/2019	\$1,000-15,000	Pfizer Inc.	Purchase	10/7/2019	\$1,000-15,000	Cerner Corp.	Sale	10/7/2019	\$1,000-15,000	CVS Health Corp.	Sale	10/7/2019	\$1,000-15,000	Lilly Eli & Co.	Sale	10/7/2019	\$1,000-15,000	Dow Inc.	Sale	10/7/2019	\$1,000-15,000	Dupont de Nemours	Sale	10/7/2019	\$1,000-15,000	Simon Property Grp Inc.	Sale	10/7/2019	\$1,000-15,000
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Dupont de Nemours	Sale	10/7/2019	\$1,000-15,000																																			
Simon Property Grp Inc.	Sale	10/7/2019	\$1,000-15,000																																			
6.	10.59	<p>The following transactions were erroneously omitted from the periodic transaction report filed on April 7, 2020:</p> <table border="1"> <tbody> <tr> <td>Ecolab Inc.</td> <td>Purchase</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Linde Public Ltd Co.,</td> <td>Purchase</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Pfizer Inc.</td> <td>Purchase</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Cerner Corp.</td> <td>Sale</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>CVS Health Corp.</td> <td>Sale</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Lilly Eli &amp; Co.</td> <td>Sale</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Dow Inc.</td> <td>Sale</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Dupont de Nemours</td> <td>Sale</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> <tr> <td>Simon Property Grp Inc.</td> <td>Sale</td> <td>10/7/2019</td> <td>\$1,000-15,000</td> </tr> </tbody> </table>	Ecolab Inc.	Purchase	10/7/2019	\$1,000-15,000	Linde Public Ltd Co.,	Purchase	10/7/2019	\$1,000-15,000	Pfizer Inc.	Purchase	10/7/2019	\$1,000-15,000	Cerner Corp.	Sale	10/7/2019	\$1,000-15,000	CVS Health Corp.	Sale	10/7/2019	\$1,000-15,000	Lilly Eli & Co.	Sale	10/7/2019	\$1,000-15,000	Dow Inc.	Sale	10/7/2019	\$1,000-15,000	Dupont de Nemours	Sale	10/7/2019	\$1,000-15,000	Simon Property Grp Inc.	Sale	10/7/2019	\$1,000-15,000
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Dupont de Nemours	Sale	10/7/2019	\$1,000-15,000																																			
Simon Property Grp Inc.	Sale	10/7/2019	\$1,000-15,000																																			
6.	10.62	This asset was purchased prior to filer's nomination, and was erroneously omitted from the nominee report filed on November 20, 2019.																																				
7.	133	Requested Divestiture																																				

PART	#	ENDNOTE
7.	134	Merger shares received
7.	135	Requested Divestiture
7.	136	Merger shares received
7.	137	Requested Divestiture
7.	138	Merger shares received
7.	154	Requested Divestiture
7.	159	Merger shares received
7.	160	Merger shares received
7.	161	Merger shares received
7.	162	Requested Divestiture
7.	163	Requested Divestiture

# 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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