

# Executive Branch Personnel

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

### Filer's Information

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Hutchison III, Malcolm Clark

Director DCR, Commodity Futures Trading Commission

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/ Hutchison III, Malcolm Clark [electronically signed on 05/14/2021 by Hutchison III, Malcolm Clark 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/ LoPresti, Heather J, Certifying Official [electronically signed on 07/29/2021 by LoPresti, Heather J in Integrity.gov]

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Other review conducted by

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U.S. Office of Government Ethics Certification

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Data Revised 07/29/2021

Data Revised 07/23/2021

Data Revised 07/22/2021

Data Revised 06/29/2021

Data Revised 06/25/2021

Data Revised 06/23/2021

Data Revised 06/08/2021

Data Revised 06/02/2021

Data Revised 06/01/2021

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Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(07/23/2021, LoPresti, Heather J): Several bonds matured and are deleted from this report: 1. muni bond old bridge twp, 7/15/2020 2. Invesco BulletShares 2020 High Yield Corporate Bond ETF (BSJK), 12-17-2020 3. EMC Corp., Corporate Note, 6/1/2020 4. Sysco Corporation (SYY), Corporate Note, 10/1/2020 5. mt laurel twp nj muni, 10/1/2020 6. stafford twp nj muni, 2/3/2020
N/A	N/A	General	(07/29/2021, LoPresti, Heather J): Deutsch Bank 401K Plan: DWS High Income Fund (KHYAX) has been deleted off of the report. This may have been a prior reporting error. Filer does not hold this fund.

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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	U.S. brokerage – IRA #1	No			
1.1	Berkshire Hathaway Inc. Class b	N/A	\$15,001 - \$50,000		None (or less than \$201)
1.2	DoubleLine Income Solutions Fund (DSL)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3	Eaton Vance Limited Duration Income Fund (EVV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.4	Eaton Vance Tax Managed Global Diversified Equity Income Fund (EXG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.5	First Eagle Global Fund Class I (SGIIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.6	Goldman Sachs Income Builder Fund	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.7	iShares MSCI EAFE Min Vol Factor ETF (EFAV)	Yes	\$1,001 - \$15,000		None (or less than \$201)
1.8	T. Rowe Price International Discovery Fund (PRIDX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.9	iShares 1-5 Year Investment Grade Corporate Bond ETF (IGSB)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2	Morgan Stanley (401K Plan)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
2.1	State Street Target Retirement 2025 Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.2	Blackrock Bond Index Fund	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.3	Pimco Core Fixed Income Fund	See Endnote	Yes	\$1,001 - \$15,000	None (or less than \$201)
2.4	Pimco Real Return Portfolio	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.5	iShares S&P 500 Index Fund (Blackrock) (BSPPIX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.6	Blackrock S&P 400 Midcap (iShares S&P Mid-Cap 400 Value ETF - IJJ)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.7	Blackrock Russell 2000 Index	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.8	Global Real Estate Portfolio Fund - REIT - MSIF, Inc.	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.9	Shenkman Captial High Yield Bond	Yes	\$1,001 - \$15,000		None (or less than \$201)
3	Deutsche Bank (401K Plan)	No			
3.1	MFS Value Fund Class R4 (MEIJX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3.2	DWS Real Estate Fund	See Endnote	Yes	\$15,001 - \$50,000	None (or less than \$201)
3.3	State Street Russell Small/Midcap Index II (fund name on statement - state street rsl smmdcp idx II cussip 857480552)	Yes	\$50,001 - \$100,000		None (or less than \$201)
3.4	State Street Target Retirement 2025 Fund iv	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4	Deutsche Bank, deferred compensation, cash receivable	N/A	\$100,001 - \$250,000		None (or less than \$201)
5	U.S. brokerage - IRA #3	No			
5.1	Vanguard Short-Term Corporate Bond Index Fund ETF Class Shares (VCSH)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.2	Ground Lease REIT (GLRD)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.3	Goldman Sachs BDC, Inc (gsbd-r)	N/A	\$50,001 - \$100,000		None (or less than \$201)
5.4	Fidelity Investments Money Market Government Portfolio - Institutional Class (FRGXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
5.5	U.S. brokerage - IRA #3 (cash)	N/A	\$250,001 - \$500,000		None (or less than \$201)
6	U.S. brokerage - IRA #3A	No			
6.1	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.2	ETFMG Prime Cyber Security ETF (HACK)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.3	T Rowe Price Capital Appreciation Fund (PRWCX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
6.4	U.S. brokerage - IRA #3A (cash)	N/A	\$100,001 - \$250,000		None (or less than \$201)

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

#	EMPLOYER OR PARTY	CITY, STATE	STATUS AND TERMS	DATE
1	Deutsche Bank	New York, New York	I have deferred compensation earned for pay periods up and until 2017. I did not receive an award of deferred compensation for 2018. My deferred compensation is in cash, restricted stock (unvested), and restricted stock options (unvested). Regarding the restricted stock and restricted stock options, I have forfeited all except \$15,000. From Sep 2019 until Sep 2022 I will receive cash payments each year in March and September.	11/2013
2	Deutsche Bank	New York, New York	Future bonus payments represent deferred compensation over and above the salary I received. These payments were annual year-end performance bonus payments. These payments are part of a standard company policy.	11/2013
3	Morgan Stanley	New York, New York	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	8/2009
4	Deutsche Bank	New York, New York	I will continue to participate in this defined contribution plan, but the plan sponsor no longer makes contributions.	11/2013

#### 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	U.S. brokerage – IRA #2	No			
1.1	U.S. brokerage - IRA #2 (cash)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1.2	Fidelity® Investments Money Market Government Portfolio - Institutional Class (FRGXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
1.3	Kayne Anderson MLP Midstream Investment Co (KYN) (closed-end fund)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2	U.S. brokerage – IRA #4	No			
2.1	Fidelity Government Cash Reserves (FDRXX)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.2	Costco Corp	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.3	Enbridge Inc (ENB)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.4	Mid America Apartment Communities Inc. - REIT (MAA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.5	Philip Morris International Inc. (PM)	N/A	\$15,001 - \$50,000		None (or less than \$201)
2.6	Vanguard Mid-cap Value Index Fund	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.7	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$15,001 - \$50,000		None (or less than \$201)
2.8	Invesco BulletShares 2021 High Yield Corporate Bond ETF (BSJL)	Yes	\$1,001 - \$15,000		None (or less than \$201)
2.9	Walgreens Boots Alliance, Inc. (WBA)	N/A	\$1,001 - \$15,000		None (or less than \$201)
2.10	Vanguard Dividend Growth Fund Investor Shares (VDIGX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
2.11	Invesco BulletShares 2022 Corporate Bond ETF (BSCM)	Yes	\$15,001 - \$50,000		None (or less than \$201)
3	U.S. brokerage - IRA #5	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.1	Vanguard Dividend Growth Fund Investor Shares (VDIGX)	Yes	\$50,001 - \$100,000		None (or less than \$201)

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	U.S. brokerage account - #1 (account liquidated in July 2020)	No			
2	U.S. brokerage account - #2	No			
2.1	Fidelity Investments Money Market Government Portfolio - Institutional Class (FRGXX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3	U.S. brokerage account - #3	No			
3.1	BTAS, Inc. (privately held - Federal and commercial customers with business and technological solutions for program management, engineering, information technology, security, communications, and marketing) (ibtas4)	N/A	\$100,001 - \$250,000		None (or less than \$201)
3.2	First Trust Morningstar Dividend Leaders Index Fund (FDL)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
3.3	Goldman Sachs Middle Market Lending Corp (closed-end fund) (MMLC)	Yes	\$100,001 - \$250,000		None (or less than \$201)
3.4	Invesco High Yield Equity Dividend Achievers ETF (PEY)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
3.5	Paloma Partners/Palamo Resources (privately held - oil and gas acreage acquisition and development)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
3.6	Fidelity Investments Money Market Government Portfolio - Institutional Class (FRGXX)	Yes	\$250,001 - \$500,000		None (or less than \$201)
3.7	Lyft, Inc. (LYFT)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.8	PagSeguro Digital Ltd. (PAGS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.9	Dave & Buster's Entertainment, Inc. (PLAY)	N/A	\$15,001 - \$50,000		None (or less than \$201)
3.10	U.S. brokerage account - #3 (cash)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
4	U.S. brokerage account - #4	No			
4.1	Berkshire Hathaway B BRK.B	N/A	\$100,001 - \$250,000	Dividends	None (or less than \$201)
4.2	Crestwood Equity Partners LP (CEQP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.3	DoubleLine Total Return Bond Fund Class I (DBLTX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
4.4	iShares Core MSCI Emerging Markets ETF (IEMG)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.5	iShares MSCI EAFE Min Vol Factor ETF (EFAV)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
4.6	MPLX LP (MPLX)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
4.7	Putnam Ultra Short Duration Income Fund Class Y (PSDYX)	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
4.8	T. Rowe Price International Discovery Fund (PRIDX)	Yes	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
4.9	Vanguard Short-Term Bond Index Fund ETF Shares (BSV)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
4.10	Williams Companies Inc. (WMB)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
5	U.S. brokerage account - #5	No			
5.1	Alphabet Inc. (GOOG)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.2	Amazon.com, Inc. (AMZN)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.3	Comcast Corp (CMCSA)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.4	Conagra Brands, Inc. (CAG)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.5	Lowe's Companies, Inc. (LOW)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.6	Microsoft Corp (MSFT)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.7	Mondelez International Inc (MDLZ)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.8	Oracle Corp (ORCL)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.9	Philip Morris International (PM)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
5.10	Texas Instruments Inc (TXN)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
5.11	Visa Inc (V)	N/A	\$1,001 - \$15,000	Dividends	None (or less than \$201)
6	U.S. brokerage account - #6	No			
6.1	Broadcom Inc. (AVGO)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.2	Home Depot Inc (HD)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.3	United Parcel Service Inc B (UPS)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.4	Cummins Inc (CMI)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.5	LyondellBasell Industries N.V. (LYB)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.6	International Business Machines Corporation (IBM)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
6.7	Cisco Systems Inc (CSCO)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.8	Hewlett-Packard Co (HPQ)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.9	Travelers Companies Inc (TRV)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.10	Verizon Communications Inc (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.11	Comcast Corp (CMCSA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.12	Metlife Inc (MET)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.13	AT&T Inc (T)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
6.14	Procter & Gamble (PG)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.15	Public Service Enterprise Group Inc. (PEG)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.16	McDonald's Corp (MCD)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.17	Gilead Sciences Inc (GILD)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.18	Lockheed Martin (LMT)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.19	Sonoco Products Co. (SON)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.20	American Electric Power Company Inc (AEP)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.21	Pfizer Inc (PFE)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.22	PepsiCo Inc (PEP)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.23	Quest Diagnostics (DGX)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.24	Mid-America Apartment Communities Inc (MAA)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.25	AbbVie Inc. (ABBV)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.26	Merck & Co Inc (MRK)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.27	Amgen Inc (AMGN)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.28	Johnson & Johnson (JNJ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.29	Schwab Value Advantage Money Fund (SWVXX)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.30	Kroger Co (KR)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.31	Medical Properties Trust Inc. (MPW)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
6.32	Bristol-Myers Squibb (BMY)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.33	CVS Health Corp. (CVS)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.34	Dick's Sporting Goods, Inc. (DKS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.35	Genuine Parts Co. (GPC)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.36	Life Storage, Inc. (LSI)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.37	MSC Industrial Direct Co., Inc. (MSM)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.38	NetApp, Inc. (NTAP)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
6.39	Paychex, Inc. (PAYX)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.40	Portland General Electric Co. (POR)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.41	QUALCOMM, Inc. (QCOM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
6.42	Truist Financial Corporation (TFC)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.43	Verizon Communications, Inc. (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
6.44	ViacomCBS, Inc. (CBS)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
6.45	W.P. Carey, Inc. (WPC)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
7	U.S. brokerage account - #7	No			
7.1	Broadcom Inc. (AVGO)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
7.2	Anthem Inc (ANTM)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.3	Ross Stores Inc (ROST)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
7.4	Cigna Corporation (CI)	N/A	\$50,001 - \$100,000		None (or less than \$201)
7.5	Apple Inc. (AAPL)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
7.6	Celanese Corporation (CE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.7	Microchip Technology Inc (MCHP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.8	Honeywell Intl Inc (HON)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.9	Assurant Inc (AIZ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.10	T-Mobile US, Inc. (TMUS)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.11	Facebook, Inc. - Class A Common Stock (FB)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.12	Ingredion Inc (INGR)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.13	Cisco Systems Inc (CSCO)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
7.14	LKQ Corporation - Common Stock (LKQ)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.15	Microsoft Corp (MSFT)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.16	Vistra Energy Corp. (VST)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.17	Evergy, Inc. (EVRG)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7.18	SS&C Technologies Holdings, Inc. - Common Stock (SSNC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.19	Verizon Communications Inc (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.20	The Progressive Corporation (PGR)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.21	Accenture plc (ACN)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
7.22	Lab Corp of America Hldgs (LH)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.23	Oracle Corp (ORCL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.24	CVS Caremark Corp. (CVS)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.25	Pfizer Inc (PFE)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.26	AmerisourceBergen Corp (ABC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.27	Schwab Value Advantage Money Fund Investor (SWVXX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
7.28	Amgen Inc (AMGN)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.29	Comcast Corp (CMCSA)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.30	Johnson & Johnson (JNJ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7.31	Lockheed Martin (LMT)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7.32	Advance Auto Parts, Inc. (AAP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.33	CACI International, Inc. (CACI)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.34	Ciena Corp. (CIEN)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.35	Dollar General Corp. (DG)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.36	eBay Inc. (EBAY)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
7.37	EMCOR Group, Inc. (EME)	N/A	\$15,001 - \$50,000		None (or less than \$201)
7.38	Hubbell, Inc. (HUBB)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7.39	Newmont Corp. (NEM)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
7.40	National Fuel Gas Co. (NFG)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500



#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
7.41	iShares Russell 1000 Growth ETF (IWF)	Yes	\$15,001 - \$50,000		None (or less than \$201)
7.42	Starwood Property Trust, Inc. (STWD)	N/A	\$15,001 - \$50,000	Dividends	\$2,501 - \$5,000
8	U.S. brokerage account - #8	No			
8.1	Fidelity Treasury Money Market Fund (FZFX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.2	AbbVie Inc. (ABBV)	N/A	\$50,001 - \$100,000	Dividends	\$2,501 - \$5,000
8.3	Google Inc (GOOG)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.4	Google Inc. - Class A Common Stock (GOOGL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.5	AT&T Inc (T)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.6	The Boeing Company (BA)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.7	Canadian Pacific Railway Limited (CP)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.8	Check Point Software Technologies Ltd. - Ordinary Shares (CHKP)	N/A	\$15,001 - \$50,000	Dividends	None (or less than \$201)
8.9	Chubb Corp (CB)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.10	Costco Wholesale Corp (COST)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.11	Exxon Mobil Corp (XOM)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.12	FedEx Corp (FDX)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.13	First American Financial Corporation (FAF)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.14	First Trust NASDAQ-100- Technology Sector Index Fund (QTEC)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
8.15	Home Depot Inc (HD)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.16	Intel Corp (INTC)	N/A	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
8.17	Invesco BulletShares 2021 High Yield Corporate Bond ETF (BSJL)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.18	Invesco BulletShares 2022 High Yield Corporate Bond ETF (BSJM)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
8.19	iShares Core S&P Small-Cap ETF (IJR)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.20	iShares Expanded Tech Sector ETF (IGM)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
8.21	JPMorgan Chase & Co. (JPM)	N/A	None (or less than \$1,001)	Dividends	\$1,001 - \$2,500
8.22	New Jersey Resources Corp (NJR)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.23	Novartis (nvs)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.24	Southern Co (SO)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.25	Unilever PLC (UL)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.26	Verizon Communications Inc (VZ)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.27	Visa Inc (V)	N/A	\$100,001 - \$250,000	Dividends	\$201 - \$1,000
8.28	Waste Connections, Inc. (WCN)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.29	Wisconsin Energy Corp (WEC)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.30	Zoetis Inc (ZTS)	N/A	\$50,001 - \$100,000	Dividends	\$201 - \$1,000
8.31	Harding Loevner Institutional Emerging Markets Portfolio Class I (HLMEX)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
8.32	Invesco Developing Markets Fund Class Y (ODVYX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.33	Loomis Sayles Senior Floating Rate and Fixed Income Fund Class Y (LSFYX)	Yes	\$15,001 - \$50,000		\$1,001 - \$2,500
8.34	Matthews Pacific Tiger Fund Investor Class (MAPTX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.35	PRIMECAP Odyssey Growth Fund (POGRX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
8.36	T. Rowe Price Global Technology Fund I Class (PGTIX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
8.37	T. Rowe Price Health Sciences Fund I Class (THISX)	Yes	\$100,001 - \$250,000		None (or less than \$201)
8.38	T. Rowe Price Mid-Cap Growth Fund I Class (RPTIX)	Yes	\$100,001 - \$250,000		\$201 - \$1,000
8.39	Vanguard International Growth Fund Admiral Shares (VWILX)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
8.40	William Blair Small Cap Growth Fund Class I (WBSIX)	Yes	\$100,001 - \$250,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.41	Cisco Systems, Inc. (CSCO) corporate note	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.42	Oracle Corporation, corporate note	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.43	Philip Morris International Inc. (PM) corporate note	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.44	Toyota Motor Corporation (TM) corporate note	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.45	scotch plains twp nj muni	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.46	s brunswick twp nj muni	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.47	Crown Castle International Corp. (REIT) (CCI)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.48	Gaming and Leisure Properties, Inc. - Common Stock (GLPI)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.49	Realty Income, The Monthly Dividend Company (O) (REIT)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.50	STAG Industrial, Inc. (STAG)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.51	Iron Mountain Inc (IRM)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.52	Metlife Inc., corporate note	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.53	Invesco BulletShares 2022 High Yield Corporate Bond ETF (BSJM)	Yes	\$50,001 - \$100,000		\$2,501 - \$5,000
8.54	Berkshire Hathaway Inc. (BRKB)	N/A	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
8.55	CarMax, Inc. (KMX)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.56	Carrier Global Corporation (CARR)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.57	Duke Energy Corp. (DUK)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.58	Essential Utilities, Inc. (WTRG) (formerly Aqua America Inc.)	N/A	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500
8.59	Otis Worldwide Corporation (OTIS)	N/A	\$1,001 - \$15,000		None (or less than \$201)
8.60	Raytheon Co. (RTN) (formerly United Technologies Inc.)	N/A	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
8.61	Caterpillar Financial Services Corp. - bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.62	BP Capital Markets P.L.C. - bond	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.63	Amgen Inc - note	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000
8.64	Walgreens Boots Alliance, Inc. (WBA)	N/A	\$15,001 - \$50,000		None (or less than \$201)
8.65	ACADIA Pharmaceuticals Inc. (ACAD)	N/A	\$15,001 - \$50,000		None (or less than \$201)
9	U.S. brokerage account - #9	No			
9.1	Vanguard Treasury Money Market Fund Investor Shares (VUSXX)	Yes	\$50,001 - \$100,000		\$201 - \$1,000
10	U.S. brokerage account - #10 (no reportable underlying assets)	No			
11	U.S. bank account - #1 (cash)	N/A	\$15,001 - \$50,000	Interest	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
12	Northwestern Mutual (whole life insurance policy)	N/A	\$50,001 - \$100,000		None (or less than \$201)
13	Northwestern Mutual (whole life insurance policy)	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
14	Northwestern Mutual (whole life insurance policy)	N/A	\$250,001 - \$500,000		None (or less than \$201)
15	U.S. brokerage account - # 11	No			
15.1	Invesco DWA Momentum ETF (PDP)	Yes	\$15,001 - \$50,000		None (or less than \$201)
15.2	Global X NASDAQ 100 Covered Call ETF (QYLD)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
15.3	Invesco S&P 500 Low Volatility ETF (SPLV)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
15.4	iShares Russell 2000 ETF (IWM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
16	U.S. brokerage account - # 12	No			
16.1	Invesco DWA Momentum ETF (PDP)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
16.2	Global X NASDAQ 100 Covered Call ETF (QYLD)	Yes	\$100,001 - \$250,000		\$5,001 - \$15,000
16.3	Invesco S&P 500 Low Volatility ETF (SPLV)	Yes	\$250,001 - \$500,000		\$5,001 - \$15,000
17	U.S. brokerage account - # 13	No			
17.1	Global X NASDAQ 100 Covered Call ETF (QYLD)	Yes	\$15,001 - \$50,000		\$2,501 - \$5,000
17.2	Invesco S&P 500 Low Volatility ETF (SPLV)	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
17.3	iShares Russell 2000 ETF (IWM)	Yes	\$15,001 - \$50,000		\$201 - \$1,000
17.4	Invesco DWA Momentum ETF (PDP)	Yes	\$15,001 - \$50,000		None (or less than \$201)
18	U.S. brokerage account - # 14	No			
18.1	Global X NASDAQ 100 Covered Call ETF (QYLD)	Yes	\$50,001 - \$100,000		\$5,001 - \$15,000
18.2	Invesco S&P 500 Low Volatility ETF (SPLV)	Yes	\$100,001 - \$250,000		\$1,001 - \$2,500
18.3	Invesco DWA Momentum ETF (PDP)	Yes	\$50,001 - \$100,000		None (or less than \$201)
19	U.S. brokerage account - # 15	No			
19.1	QUALCOMM, Inc. (QCOM)	N/A	\$1,001 - \$15,000		None (or less than \$201)
19.2	Roche Holding AG (RHHBY)	N/A	\$1,001 - \$15,000		None (or less than \$201)
19.3	LyondellBasell Industries NV (LYB)	N/A	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
19.4	Medtronic Plc (MDT)	N/A	\$1,001 - \$15,000		None (or less than \$201)
19.5	Loomis Sayles Growth Fund Class Y (LSGRX)	Yes	\$50,001 - \$100,000		None (or less than \$201)
19.6	Enable Midstream Partners LP (ENBL)	N/A	\$15,001 - \$50,000		None (or less than \$201)
19.7	U.S. brokerage account - # 15 (cash)	N/A	\$250,001 - \$500,000		None (or less than \$201)

## 7. Transactions

#	DESCRIPTION	TYPE	DATE	AMOUNT
1	Schwab U.S. Broad Market ETF (SCHB)	Sale	01/27/2020	\$1,001 - \$15,000
2	Schwab US REIT ETF (SCHH)	Purchase	03/30/2020	\$1,001 - \$15,000
3	Schwab US REIT ETF (SCHH)	Sale	05/04/2020	\$1,001 - \$15,000
4	Vanguard Real Estate Index Fund (VGSIX)	Sale	03/30/2020	\$1,001 - \$15,000
5	Vanguard Total International Stock Index Fund ETF Shares (VXUS)	Sale	05/04/2020	\$1,001 - \$15,000
6	Lord Abbett Ultra Short Bond Fund Class A (LUBAX)	Sale	03/23/2020	\$15,001 - \$50,000
7	Vanguard Total International Stock Index Fund ETF Shares (VXUS)	Purchase	03/30/2020	\$1,001 - \$15,000
8	Lord Abbett Ultra Short Bond Fund Class A (LUBAX)	Sale	03/23/2020	\$250,001 - \$500,000
9	Lord Abbett Ultra Short Bond Fund Class A (LUBAX)	Sale	03/23/2020	\$250,001 - \$500,000
10	Lord Abbett Ultra Short Bond Fund Class A (LUBAX)	Sale	03/23/2020	\$15,001 - \$50,000
11	Vanguard High Dividend Yield Index Fund ETF Shares (VYM)	Purchase	02/28/2020	\$15,001 - \$50,000
12	General Electric Co (GE)	Purchase	01/29/2020	\$1,001 - \$15,000
13	Roche Holding AG (RHHBY)	Purchase	04/22/2020	\$1,001 - \$15,000
14	Booking Holdings Inc. (BKNG)	Sale	04/27/2020	\$1,001 - \$15,000
15	eBay Inc. - Common Stock (EBAY)	Purchase	04/23/2020	\$1,001 - \$15,000
16	eBay Inc. - Common Stock (EBAY)	Purchase	04/22/2020	\$1,001 - \$15,000
17	Willis Towers Watson PLC (WLTW)	Sale	04/21/2020	\$15,001 - \$50,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
18	Willis Towers Watson PLC (WLTW)	Sale	04/21/2020	\$1,001 - \$15,000
19	AmerisourceBergen Corp (ABC)	Sale	03/27/2020	\$1,001 - \$15,000
20	Hubbell Incorporated (HUBB)	Purchase	04/01/2020	\$15,001 - \$50,000
21	Oracle Corp (ORCL)	Sale	03/27/2020	\$1,001 - \$15,000
22	Wal-Mart Stores (WMT)	Sale	03/27/2020	\$1,001 - \$15,000
23	Progressive Corp (PGR)	Sale	03/27/2020	\$1,001 - \$15,000
24	Assurant Inc (AIZ)	Sale	03/27/2020	\$1,001 - \$15,000
25	n arlington nj muni bond	Sale	03/26/2020	\$1,001 - \$15,000
26	US Foods Holding Corp. (USFD)	Sale	03/25/2020	\$1,001 - \$15,000
27	Spirit AeroSystems Holdings, Inc. (SPR)	Purchase	03/25/2020	\$1,001 - \$15,000
28	Spirit AeroSystems Holdings, Inc. (SPR)	Purchase	03/25/2020	\$1,001 - \$15,000
29	US Foods Holding Corp. (USFD)	Sale	03/24/2020	\$1,001 - \$15,000
30	Facebook, Inc. - Class A Common Stock (FB)	Purchase	03/19/2020	\$1,001 - \$15,000
31	SS&C Technologies Holdings, Inc. - Common Stock (SSNC)	Purchase	03/17/2020	\$1,001 - \$15,000
32	T Rowe Price Group Inc (TROW)	Purchase	03/12/2020	\$1,001 - \$15,000
33	M&T Bank Corp (MTB)	Purchase	03/03/2020	\$1,001 - \$15,000
34	Wells Fargo & Co (WFC)	Sale	02/27/2020	\$15,001 - \$50,000
35	M&T Bank Corp (MTB)	Purchase	02/28/2020	\$1,001 - \$15,000
36	Carter's, Inc. (CRI)	Purchase	02/24/2020	\$1,001 - \$15,000
37	US Foods Holding Corp. (USFD)	Purchase	01/31/2020	\$1,001 - \$15,000
38	US Foods Holding Corp. (USFD)	Purchase	01/30/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
39	US Foods Holding Corp. (USFD)	Purchase	01/29/2020	\$1,001 - \$15,000
40	US Foods Holding Corp. (USFD)	Purchase	01/28/2020	\$1,001 - \$15,000
41	Exxon Mobil Corp (XOM)	Purchase	01/24/2020	\$1,001 - \$15,000
42	Omnicom Group (OMC)	Purchase	01/10/2020	\$1,001 - \$15,000
43	Cisco Systems Inc (CSCO)	Purchase	01/10/2020	\$1,001 - \$15,000
44	AmerisourceBergen Corp (ABC)	Purchase	01/07/2020	\$1,001 - \$15,000
45	Aptiv PLC (APTV)	Sale	01/02/2020	\$15,001 - \$50,000
46	General Motors Company (GM)	Sale	04/27/2020	\$15,001 - \$50,000
47	LSI Industries Inc. - Common Stock (LYTS)	Purchase	04/03/2020	\$15,001 - \$50,000
48	EPR Properties (EPR) (REIT)	Sale	04/03/2020	\$1,001 - \$15,000
49	NetApp, Inc. - Common Stock (NTAP)	Purchase	04/02/2020	\$15,001 - \$50,000
50	NetApp, Inc. - Common Stock (NTAP)	Purchase	04/01/2020	\$15,001 - \$50,000
51	Bristol-Myers Squibb (BMY)	Purchase	03/23/2020	\$15,001 - \$50,000
52	Sabre Corporation - Common Stock (SABR)	Sale	03/23/2020	\$1,001 - \$15,000
53	Valero Energy Corp (VLO)	Sale	03/23/2020	\$15,001 - \$50,000
54	Bank of America Corp (BAC)	Purchase	03/23/2020	\$15,001 - \$50,000
55	Cullen/Frost Bankers, Inc. (CFR)	Sale	03/16/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
56	T Rowe Price Group Inc (TROW)	Purchase	03/12/2020	\$15,001 - \$50,000
57	T Rowe Price Group Inc (TROW)	Sale	03/04/2020	\$15,001 - \$50,000
58	Intl Business Machines Corp (IBM)	Purchase	02/27/2020	\$15,001 - \$50,000
59	Sabre Corporation - Common Stock (SABR)	Purchase	02/26/2020	\$1,001 - \$15,000
60	MSC Industrial Direct Co., Inc. (MSM) class a	Purchase	02/25/2020	\$15,001 - \$50,000
61	MSC Industrial Direct Co., Inc. (MSM) class a	Purchase	02/21/2020	\$15,001 - \$50,000
62	Emerson Electric Co (EMR)	Sale	02/19/2020	\$50,001 - \$100,000
63	Amgen Inc. - Common Stock (AMGN)	Sale	02/10/2020	\$1,001 - \$15,000
64	Avago Technologies Limited - Ordinary Shares (AVGO)	Sale	02/10/2020	\$1,001 - \$15,000
65	Lockheed Martin (LMT)	Sale	02/10/2020	\$1,001 - \$15,000
66	T Rowe Price Group Inc (TROW)	Sale	02/10/2020	\$1,001 - \$15,000
67	American Electric Power (AEP)	Sale	02/10/2020	\$1,001 - \$15,000
68	LyondellBasell Industries N.V. (LYB)	Purchase	01/31/2020	\$1,001 - \$15,000
69	Cullen/Frost Bankers, Inc. (CFR)	Purchase	01/31/2020	\$1,001 - \$15,000
70	PPL Corp (PPL)	Purchase	01/16/2020	\$15,001 - \$50,000
71	PPL Corp (PPL)	Purchase	01/17/2020	\$15,001 - \$50,000
72	Walgreens Boots Alliance, Inc. (WBA)	Purchase	01/09/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
73	Kohl's Corp (KSS)	Sale	01/09/2020	\$15,001 - \$50,000
74	Kohl's Corp (KSS)	Purchase	01/02/2020	\$1,001 - \$15,000
75	Berkshire Hathaway Inc. (brkb)	Purchase	03/24/2020	\$15,001 - \$50,000
76	Carmax Inc (KMX)	Purchase	01/08/2020	\$15,001 - \$50,000
77	JPMorgan Equity Income Fund Class I (HLIEX)	Purchase	02/28/2020	\$15,001 - \$50,000
78	Vanguard High Dividend Yield Index Admiral Shares (VHYAX)	Purchase	02/28/2020	\$15,001 - \$50,000
79	Vanguard Admiral Funds - Vanguard S&P Mid-Cap 400 ETF (IVOO)	Purchase	04/30/2020	\$15,001 - \$50,000
80	Vanguard Dividend Growth Fund	Purchase	04/30/2020	\$15,001 - \$50,000
81	Invesco Index BulletShares 2022	Purchase	04/30/2020	\$15,001 - \$50,000
82	Vanguard Mid-Cap Value Index Admiral (VMVAX)	Sale	04/30/2020	\$15,001 - \$50,000
83	Baron Discovery Fund (BDFFX)	Sale	04/30/2020	\$15,001 - \$50,000
84	Goldman Sachs Group Inc (GS)	Sale	05/06/2020	\$250,001 - \$500,000
85	Enterprise Products Partners L.P. (EPD)	Sale	05/06/2020	\$15,001 - \$50,000
86	Sempra Energy (SRE)	Sale	05/06/2020	\$1,001 - \$15,000
87	Global X NASDAQ 100 Covered Call ETF (QYLD)	Purchase	05/06/2020	\$100,001 - \$250,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
88	Invesco S&P 500 Low Volatility ETF (SPLV)	Purchase	05/06/2020	\$250,001 - \$500,000
89	Invesco DWA Momentum ETF (PDP)	Purchase	05/06/2020	\$100,001 - \$250,000
90	Morgan Stanley (MS)	Sale	05/06/2020	\$100,001 - \$250,000
91	JP Morgan Chase & Co (JPM)	Sale	05/06/2020	\$15,001 - \$50,000
92	Chevron Corp (CVX)	Sale	05/06/2020	\$50,001 - \$100,000
93	Dominion Energy - d	Sale	05/06/2020	\$50,001 - \$100,000
94	Enbridge Inc. (ENB)	Sale	05/06/2020	\$15,001 - \$50,000
95	Invesco S&P 500 Low Volatility ETF (SPLV)	Purchase	05/06/2020	\$50,001 - \$100,000
96	Global X NASDAQ 100 Covered Call ETF (QYLD)	Purchase	05/06/2020	\$50,001 - \$100,000
97	Plains GP Holdings, L.P. (PAGP)	Sale	05/06/2020	\$1,001 - \$15,000
98	Invesco DWA Momentum ETF (PDP)	Purchase	05/06/2020	\$15,001 - \$50,000
99	Plains All American Pipeline, L.P. (PAA)	Sale	05/06/2020	\$1,001 - \$15,000
100	Goldman Sachs Preferred	Sale	05/06/2020	\$15,001 - \$50,000
101	Shell Midstream Partners, L.P. (SHLX)	Sale	05/06/2020	\$1,001 - \$15,000
102	Schwab Charles Corp (SCHW)	Sale	05/06/2020	\$1,001 - \$15,000
103	Phillips 66 Partners LP (PSXP)	Sale	05/06/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
104	Chevron Corp (CVX)	Sale	05/06/2020	\$1,001 - \$15,000
105	ConocoPhillips (COP)	Sale	05/06/2020	\$1,001 - \$15,000
106	Bank of America Corp (BAC)	Sale	05/06/2020	\$1,001 - \$15,000
107	JPMorgan Alerian MLP Index ETN (AMJ)	Sale	05/06/2020	\$15,001 - \$50,000
108	Invesco S&P 500 Low Volatility ETF (SPLV)	Purchase	05/08/2020	\$1,001 - \$15,000
109	Enbridge Inc. (ENB)	Sale	05/06/2020	\$1,001 - \$15,000
110	Invesco DWA Momentum ETF (PDP)	Purchase	05/06/2020	\$15,001 - \$50,000
111	Invesco S&P 500 Low Volatility ETF (SPLV)	Purchase	05/06/2020	\$50,001 - \$100,000
112	iShares Russell 2000 Index (IWM)	Purchase	05/06/2020	\$15,001 - \$50,000
113	Vanguard Financials Index Fund ETF Shares (VFH)	Sale	05/06/2020	\$50,001 - \$100,000
114	Royal Dutch Shell (RDS)	Sale	05/06/2020	\$1,001 - \$15,000
115	The Bank of New York Mellon Corp (BK)	Sale	05/06/2020	\$15,001 - \$50,000
116	Alerian MLP ETF (AMLP)	Sale	05/06/2020	\$15,001 - \$50,000
117	ConocoPhillips (COP)	Sale	05/06/2020	\$1,001 - \$15,000
118	Invesco S&P 500 Low Volatility ETF (SPLV)	Purchase	05/08/2020	\$1,001 - \$15,000
119	Invesco DWA Momentum ETF (PDP)	Purchase	05/06/2020	\$15,001 - \$50,000
120	iShares Russell 2000 Index (IWM)	Purchase	05/06/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
121	Global X NASDAQ 100 Covered Call ETF (QYLD)	Purchase	05/06/2020	\$15,001 - \$50,000
122	Invesco S&P 500 Low Volatility ETF (SPLV)	Purchase	05/06/2020	\$15,001 - \$50,000
123	Global X NASDAQ 100 Covered Call ETF (QYLD)	Purchase	05/06/2020	\$15,001 - \$50,000
124	ConocoPhillips (COP)	Purchase	05/06/2020	\$1,001 - \$15,000
125	General Electric Co. (GE)	Sale	05/06/2020	\$1,001 - \$15,000
126	Microsoft Corp. (MSFT)	Sale	05/06/2020	\$1,001 - \$15,000
127	Intercontinental Exchange, Inc. (ICE)	Purchase	05/08/2020	\$1,001 - \$15,000
128	Medtronic Plc (MDT)	Purchase	06/26/2020	\$1,001 - \$15,000
129	Alcon Inc (ALC)	Sale	06/30/2020	\$1,001 - \$15,000
130	LyondellBasell Industries NV (LYB)	Purchase	06/26/2020	\$1,001 - \$15,000
131	Air Products and Chemicals, Inc. (APD)	Purchase	06/26/2020	\$1,001 - \$15,000
132	Alphabet, Inc. (GOOG)	Purchase	06/26/2020	\$1,001 - \$15,000
133	Baker Hughes Co (BKR)	Sale	06/30/2020	\$1,001 - \$15,000
134	Berkshire Hathaway Inc. (BRKB)	Purchase	06/26/2020	\$1,001 - \$15,000
135	Capital One Financial Corp. (COF)	Sale	06/26/2020	\$1,001 - \$15,000
136	Carrier Global Corporation (CARR)	Sale	06/26/2020	\$1,001 - \$15,000
137	Citigroup, Inc. (C)	Sale	06/26/2020	\$1,001 - \$15,000
138	Cisco Systems, Inc. (CSCO)	Purchase	06/26/2020	\$1,001 - \$15,000
139	Conagra Brands, Inc. (CAG)	Purchase	06/26/2020	\$1,001 - \$15,000
140	Citizens Financial Group, Inc. (Rhode Island) (CFG)	Sale	06/26/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
141	ConocoPhillips (COP)	Sale	06/26/2020	\$1,001 - \$15,000
142	Corteva, Inc. (CTVA)	Sale	06/26/2020	\$1,001 - \$15,000
143	Fortive Corp. (FTV)	Purchase	06/26/2020	\$1,001 - \$15,000
144	Intercontinental Exchange, Inc. (ICE)	Sale	06/26/2020	\$1,001 - \$15,000
145	Northrop Grumman Corp. (NOC)	Sale	06/26/2020	\$1,001 - \$15,000
146	Otis Worldwide Corporation (OTIS)	Sale	06/26/2020	\$1,001 - \$15,000
147	QUALCOMM, Inc. (QCOM)	Purchase	06/26/2020	\$1,001 - \$15,000
148	Raytheon Co. (RTN)	Purchase	06/26/2020	\$1,001 - \$15,000
149	Truist Financial Corporation (TFC)	Sale	06/26/2020	\$1,001 - \$15,000
150	Visa, Inc. (V)	Purchase	06/26/2020	\$1,001 - \$15,000
151	Dollar Tree, Inc. (DLTR)	Purchase	08/17/2020	\$1,001 - \$15,000
152	Zimmer Biomet Holdings, Inc. (ZBH)	Purchase	06/26/2020	\$1,001 - \$15,000
153	Lowe's Companies, Inc. (LOW)	Sale	08/17/2020	\$1,001 - \$15,000
154	The PNC Financial Services Group, Inc. (PNC)	Sale	05/22/2020	\$1,001 - \$15,000
155	Amgen Inc. (AMGN)	Sale	05/19/2020	\$1,001 - \$15,000
156	Broadcom, Inc. (AVGO)	Sale	05/19/2020	\$1,001 - \$15,000
157	Cummins, Inc. (CMI)	Sale	05/19/2020	\$1,001 - \$15,000
158	Gilead Sciences, Inc. (GILD)	Sale	05/19/2020	\$1,001 - \$15,000
159	The Home Depot, Inc. (HD)	Sale	05/19/2020	\$1,001 - \$15,000
160	QUALCOMM, Inc. (QCOM)	Purchase	05/19/2020	\$15,001 - \$50,000
161	Quest Diagnostics, Inc. (DGX)	Sale	05/19/2020	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
162	Newmont Corp. (NEM)	Purchase	06/02/2020	\$1,001 - \$15,000
163	T-Mobile US, Inc. (TMUS)	Sale	06/02/2020	\$1,001 - \$15,000
164	Exxon Mobil Corp. (XOM)	Sale	06/25/2020	\$15,001 - \$50,000
165	Reinsurance Group of America, Inc. (RGA)	Sale	06/25/2020	\$1,001 - \$15,000
166	T. Rowe Price Group, Inc. (TROW)	Sale	06/09/2020	\$15,001 - \$50,000
167	AbbVie, Inc. (ABBV)	Sale	06/25/2020	\$1,001 - \$15,000
168	Spirit AeroSystems Holdings, Inc. (SPR)	Sale	06/25/2020	\$1,001 - \$15,000
169	The Home Depot, Inc. (HD)	Sale	06/25/2020	\$1,001 - \$15,000
170	Omnicom Group, Inc. (OMC)	Sale	06/29/2020	\$1,001 - \$15,000
171	Maxim Integrated Products, Inc. (MXIM)	Sale	06/23/2020	\$1,001 - \$15,000
172	CDW Corp. (CDW)	Sale	07/24/2020	\$1,001 - \$15,000
173	Ciena Corp. (CIEN)	Purchase	07/24/2020	\$15,001 - \$50,000
174	Omnicom Group, Inc. (OMC)	Sale	07/01/2020	\$1,001 - \$15,000
175	Walgreens Boots Alliance, Inc. (WBA)	Sale	07/13/2020	\$15,001 - \$50,000
176	Maxim Integrated Products, Inc. (MXIM)	Sale	07/15/2020	\$50,001 - \$100,000
177	Paychex, Inc. (PAYX)	Purchase	07/20/2020	\$15,001 - \$50,000
178	Portland General Electric Co. (POR)	Purchase	07/22/2020	\$15,001 - \$50,000
179	Carter's, Inc. (CRI)	Purchase	08/04/2020	\$1,001 - \$15,000
180	Cigna Corp. (CI)	Purchase	08/04/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
181	CVS Health Corp. (CVS)	Purchase	08/07/2020	\$1,001 - \$15,000
182	Exxon Mobil Corp. (XOM)	Sale	08/26/2020	\$15,001 - \$50,000
183	AT&T Inc. (T)	Purchase	08/27/2020	\$1,001 - \$15,000
184	American Electric Power Co., Inc. (AEP)	Purchase	08/27/2020	\$1,001 - \$15,000
185	Gilead Sciences, Inc. (GILD)	Purchase	08/27/2020	\$1,001 - \$15,000
186	MetLife, Inc. (MET)	Purchase	08/27/2020	\$15,001 - \$50,000
187	International Business Machines Corp. (IBM)	Purchase	08/27/2020	\$1,001 - \$15,000
188	Portland General Electric Co. (POR)	Purchase	08/27/2020	\$1,001 - \$15,000
189	Walmart, Inc. (WMT)	Sale	09/01/2020	\$15,001 - \$50,000
190	Dollar General Corp. (DG)	Purchase	09/02/2020	\$15,001 - \$50,000
191	Cisco Systems, Inc. (CSCO)	Purchase	09/15/2020	\$1,001 - \$15,000
192	CVS Health Corp. (CVS)	Purchase	09/15/2020	\$1,001 - \$15,000
193	Evergy, Inc. (EVERG)	Purchase	09/15/2020	\$1,001 - \$15,000
194	Omnicom Group, Inc. (OMC)	Purchase	09/15/2020	\$1,001 - \$15,000
195	Ciena Corp. (CIEN)	Purchase	09/22/2020	\$15,001 - \$50,000
196	Vistra Energy Corp. (VST)	Purchase	09/22/2020	\$1,001 - \$15,000
197	Advance Auto Parts, Inc. (AAP)	Purchase	09/28/2020	\$15,001 - \$50,000
198	Carter's, Inc. (CRI)	Sale	09/28/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
199	CVS Health Corp. (CVS)	Purchase	09/01/2020	\$15,001 - \$50,000
200	Walmart, Inc. (WMT)	Sale	09/01/2020	\$50,001 - \$100,000
201	Genuine Parts Co. (GPC)	Purchase	09/23/2020	\$50,001 - \$100,000
202	Delta Air Lines, Inc. (DAL)	Sale	06/10/2020	\$15,001 - \$50,000
203	ACADIA Pharmaceuticals, Inc. (ACAD)	Purchase	07/30/2020	\$15,001 - \$50,000
204	PagSeguro Digital Ltd. (PAGS)	Purchase	08/20/2020	\$15,001 - \$50,000
205	Victory Sycamore Established Value Fund Class I Shares (VEVIX)	Sale	12/15/2020	\$50,001 - \$100,000
206	JPMorgan Equity Income Fund Class I Shares (HLIEX)	Sale	12/15/2020	\$50,001 - \$100,000
207	iShares Core High Dividend ETF (HDV)	Sale	12/23/2020	\$100,001 - \$250,000
208	Merck & Co., Inc. (MRK)	Sale	12/23/2020	\$1,001 - \$15,000
209	Air Products and Chemicals, Inc. (APD)	Sale	12/23/2020	\$1,001 - \$15,000
210	JPMorgan Strategic Income Opportunities Fund Class I Shares (JSOSX)	Sale	12/15/2020	\$15,001 - \$50,000
211	Janus Henderson Enterprise Fund Class I Shares (JMGRX)	Sale	12/15/2020	\$50,001 - \$100,000
212	AllianzGI Dividend, Interest & Premium Strategy Fund (NFJ)	Sale	12/16/2020	\$15,001 - \$50,000
213	Eaton VanceTax-Managed Diversified Equity Income Fund (ETY)	Sale	12/16/2020	\$15,001 - \$50,000
214	Corteva, Inc. (CTVA)	Sale	12/16/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
215	Raytheon Co. (RTN)	Sale	12/23/2020	\$1,001 - \$15,000
216	iShares Select Dividend ETF (DVY)	Sale	12/23/2020	\$50,001 - \$100,000
217	Novartis AG (NVS)	Sale	12/23/2020	\$1,001 - \$15,000
218	Vanguard International High Dividend Yield Index Fund ETF Shares (VYMI)	Sale	12/23/2020	\$50,001 - \$100,000
219	UnitedHealth Group, Inc. (UNH)	Sale	12/23/2020	\$1,001 - \$15,000
220	Facebook, Inc. (FB)	Sale	12/23/2020	\$1,001 - \$15,000
221	Glenmede Quantitative US Large Cap Growth Equity Portfolio Advisor Class Shares (GTLLX)	Sale	12/24/2020	\$100,001 - \$250,000
222	Energy Transfer LP (ET)	Sale	12/30/2020	\$15,001 - \$50,000
223	Kayne Anderson MLP/Midstream Investment Company (KYN)	Sale	12/23/2020	\$15,001 - \$50,000
224	Alerian MLP ETF (AMLP)	Sale	12/23/2020	\$15,001 - \$50,000
225	Vanguard International High Dividend Yield Index Fund ETF Shares (VYMI)	Sale	12/23/2020	\$50,001 - \$100,000
226	Enterprise Products Partners L.P. (EPD)	Sale	12/23/2020	\$15,001 - \$50,000
227	DoubleLine Total Return Bond Fund Class I Shares (DBLTX)	Sale	12/24/2020	\$15,001 - \$50,000
228	Kayne Anderson Midstream/Energy Fund, Inc (KMF)	Sale	12/30/2020	\$15,001 - \$50,000
229	Victory Sycamore Established Value Fund Class I Shares (VEVIX)	Sale	12/15/2020	\$50,001 - \$100,000
230	Dave & Buster's Entertainment, Inc. (PLAY)	Purchase	12/01/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
231	Victory Sycamore Small Company Opportunity Fund Class I Shares (VSOIX)	Sale	12/15/2020	\$50,001 - \$100,000
232	Janus Henderson Enterprise Fund Class I Shares (JMGRX)	Sale	12/15/2020	\$50,001 - \$100,000
233	JPMorgan Equity Income Fund Class I Shares (HLIEX)	Sale	12/15/2020	\$50,001 - \$100,000
234	USGlobal Jets ETF (JETS)	Sale	12/16/2020	\$15,001 - \$50,000
235	Invesco Dynamic Leisure & Entertainment ETF (PEJ)	Sale	12/16/2020	\$15,001 - \$50,000
236	Crown Castle International Corp. (CCI)	Sale	12/16/2020	\$1,001 - \$15,000
237	Cisco Systems, Inc. (CSCO)	Sale	12/16/2020	\$1,001 - \$15,000
238	Dollar Tree, Inc. (DLTR)	Sale	12/16/2020	\$1,001 - \$15,000
239	Eaton Vance Tax-Managed Global Diversified Equity Income Fund (EXG)	Sale	12/16/2020	\$50,001 - \$100,000
240	Fortive Corp. (FTV)	Sale	12/16/2020	\$1,001 - \$15,000
241	iShares Russell 1000 Growth ETF (IWF)	Sale	12/16/2020	\$50,001 - \$100,000
242	Vontier Corporation (VNT)	Sale	12/16/2020	\$1,001 - \$15,000
243	WisdomTree Japan Hedged SmallCap Equity Fund (DXJS)	Sale	12/16/2020	\$1,001 - \$15,000
244	Zimmer Biomet Holdings, Inc. (ZBH)	Sale	12/16/2020	\$1,001 - \$15,000
245	Dave & Buster's Entertainment, Inc. (PLAY)	Purchase	11/30/2020	\$15,001 - \$50,000
246	Philip Morris International, Inc. (PM)	Sale	10/30/2020	\$15,001 - \$50,000
247	Iron Mountain, Inc. (IRM)	Purchase	11/30/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
248	Bank of America Corp. (BAC)	Sale	10/14/2020	\$50,001 - \$100,000
249	Duke Energy Corp. (DUK)	Purchase	11/20/2020	\$15,001 - \$50,000
250	Walgreens Boots Alliance, Inc. (WBA)	Purchase	10/30/2020	\$1,001 - \$15,000
251	Walgreens Boots Alliance, Inc. (WBA)	Purchase	10/30/2020	\$15,001 - \$50,000
252	CVS Health Corp. (CVS)	Purchase	10/05/2020	\$15,001 - \$50,000
253	First Horizon National Corp. (Tennessee) (FHN)	Sale	10/14/2020	\$15,001 - \$50,000
254	ViacomCBS, Inc. (CBS)	Purchase	10/14/2020	\$15,001 - \$50,000
255	AT&T Inc. (T)	Sale	10/14/2020	\$1,001 - \$15,000
256	American Electric Power Co., Inc. (AEP)	Sale	10/14/2020	\$1,001 - \$15,000
257	Cummins, Inc. (CMI)	Sale	10/14/2020	\$15,001 - \$50,000
258	Gilead Sciences, Inc. (GILD)	Sale	10/14/2020	\$1,001 - \$15,000
259	International Business Machines Corporation (IBM)	Sale	10/14/2020	\$1,001 - \$15,000
260	The Kroger Co. (KR)	Sale	10/14/2020	\$15,001 - \$50,000
261	LyondellBasell Industries NV (LYB)	Sale	10/14/2020	\$1,001 - \$15,000
262	Portland General Electric Co. (POR)	Sale	10/14/2020	\$1,001 - \$15,000
263	PPL Corp. (PPL)	Sale	10/14/2020	\$15,001 - \$50,000
264	Prudential Financial, Inc. (PRU)	Sale	10/14/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
265	Public Service Enterprise Group, Inc. (PEG)	Sale	10/14/2020	\$1,001 - \$15,000
266	QUALCOMM, Inc. (QCOM)	Sale	10/14/2020	\$15,001 - \$50,000
267	Procter & Gamble Co. (PG)	Sale	10/21/2020	\$1,001 - \$15,000
268	United Parcel Service, Inc. (UPS)	Sale	10/21/2020	\$1,001 - \$15,000
269	Bristol-Myers Squibb (BMY)	Sale	10/26/2020	\$1,001 - \$15,000
270	Broadcom, Inc. (AVGO)	Sale	10/26/2020	\$1,001 - \$15,000
271	The Home Depot, Inc. (HD)	Sale	10/26/2020	\$1,001 - \$15,000
272	MSC Industrial Direct Co., Inc. (MSM)	Sale	10/26/2020	\$1,001 - \$15,000
273	Quest Diagnostics, Inc. (DGX)	Sale	10/26/2020	\$1,001 - \$15,000
274	Verizon Communications, Inc. (VZ)	Sale	10/30/2020	\$1,001 - \$15,000
275	Genuine Parts Co. (GPC)	Sale	11/13/2020	\$1,001 - \$15,000
276	MetLife, Inc. (MET)	Sale	11/13/2020	\$1,001 - \$15,000
277	Truist Financial Corporation (TFC)	Sale	11/17/2020	\$1,001 - \$15,000
278	Viatis Inc. (VTRS)	Sale	11/24/2020	\$1,001 - \$15,000
279	Omnicom Group, Inc. (OMC)	Sale	12/02/2020	\$1,001 - \$15,000
280	Dick's Sporting Goods, Inc. (DKS)	Purchase	12/14/2020	\$15,001 - \$50,000
281	HP, Inc. (HPQ)	Sale	12/14/2020	\$1,001 - \$15,000
282	NetApp, Inc. (NTAP)	Sale	12/14/2020	\$1,001 - \$15,000
283	Sonoco Products Co. (SON)	Sale	12/14/2020	\$1,001 - \$15,000
284	Verizon Communications, Inc. (VZ)	Sale	12/14/2020	\$1,001 - \$15,000
285	clinton township bond	Sale	10/15/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
286	glen rock nj bond	Sale	10/15/2020	\$1,001 - \$15,000
287	harrison twp nj bond	Sale	10/15/2020	\$15,001 - \$50,000
288	haworth nj bond	Sale	10/15/2020	\$15,001 - \$50,000
289	kearny nj bond	Sale	10/15/2020	\$1,001 - \$15,000
290	medford lakes nj bond	Sale	10/15/2020	\$1,001 - \$15,000
291	montville nj bond	Sale	10/15/2020	\$1,001 - \$15,000
292	new jersey water bond	Sale	10/15/2020	\$1,001 - \$15,000
293	piscataway nj bond	Sale	10/15/2020	\$1,001 - \$15,000
294	sparta nj bond	Sale	10/15/2020	\$1,001 - \$15,000
295	sussex nj bond	Sale	10/15/2020	\$1,001 - \$15,000
296	toms river nj bond	Sale	10/15/2020	\$15,001 - \$50,000
297	union nj bond	Sale	10/15/2020	\$1,001 - \$15,000
298	verona nj bond	Sale	10/15/2020	\$1,001 - \$15,000
299	Advance Auto Parts, Inc. (AAP)	Purchase	10/19/2020	\$15,001 - \$50,000
300	Cigna Corp. (CI)	Purchase	10/21/2020	\$15,001 - \$50,000
301	Cisco Systems, Inc. (CSCO)	Purchase	10/21/2020	\$1,001 - \$15,000
302	Comcast Corp. (CMCSA)	Purchase	10/21/2020	\$1,001 - \$15,000
303	CVS Health Corp. (CVS)	Purchase	10/21/2020	\$1,001 - \$15,000
304	Dollar General Corp. (DG)	Purchase	10/21/2020	\$1,001 - \$15,000



#	DESCRIPTION	TYPE	DATE	AMOUNT
305	Evergy, Inc. (EVRG)	Purchase	10/21/2020	\$15,001 - \$50,000
306	Johnson & Johnson (JNJ)	Purchase	10/21/2020	\$1,001 - \$15,000
307	Newmont Corp. (NEM)	Purchase	10/21/2020	\$15,001 - \$50,000
308	Oracle Corp. (ORCL)	Purchase	10/21/2020	\$15,001 - \$50,000
309	Pfizer Inc. (PFE)	Purchase	10/21/2020	\$1,001 - \$15,000
310	SS&C Technologies Holdings, Inc. (SSNC)	Purchase	10/21/2020	\$1,001 - \$15,000
311	Ciena Corp. (CIEN)	Sale	10/22/2020	\$15,001 - \$50,000
312	Spirit AeroSystems Holdings, Inc. (SPR)	Sale	10/26/2020	\$1,001 - \$15,000
313	M&T Bank Corp. (MTB)	Sale	10/27/2020	\$1,001 - \$15,000
314	Accenture Plc (ACN)	Purchase	10/28/2020	\$1,001 - \$15,000
315	Advance Auto Parts, Inc. (AAP)	Purchase	10/28/2020	\$1,001 - \$15,000
316	AmerisourceBergen Corp. (ABC)	Purchase	10/28/2020	\$1,001 - \$15,000
317	Amgen Inc. (AMGN)	Purchase	10/28/2020	\$1,001 - \$15,000
318	Assurant, Inc. (AIZ)	Purchase	10/28/2020	\$1,001 - \$15,000
319	Dollar General Corp. (DG)	Purchase	10/28/2020	\$1,001 - \$15,000
320	eBay, Inc. (EBAY)	Purchase	10/28/2020	\$1,001 - \$15,000
321	Honeywell International, Inc. (HON)	Purchase	10/28/2020	\$1,001 - \$15,000
322	Hubbell, Inc. (HUBB)	Purchase	10/28/2020	\$1,001 - \$15,000
323	Ingredion, Inc. (INGR)	Purchase	10/28/2020	\$1,001 - \$15,000
324	Johnson & Johnson (JNJ)	Purchase	10/28/2020	\$1,001 - \$15,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
325	LKQ Corp. (LKQ)	Purchase	10/28/2020	\$1,001 - \$15,000
326	Lockheed Martin Corp. (LMT)	Purchase	10/28/2020	\$1,001 - \$15,000
327	Microchip Technology, Inc. (MCHP)	Purchase	10/28/2020	\$1,001 - \$15,000
328	Oracle Corp. (ORCL)	Purchase	10/28/2020	\$1,001 - \$15,000
329	Newmont Corp. (NEM)	Purchase	10/28/2020	\$1,001 - \$15,000
330	Progressive Corp. (PGR)	Purchase	10/28/2020	\$1,001 - \$15,000
331	Ross Stores, Inc. (ROST)	Purchase	10/28/2020	\$1,001 - \$15,000
332	Verizon Communications, Inc. (VZ)	Purchase	10/28/2020	\$1,001 - \$15,000
333	Celanese Corp. (CE)	Purchase	10/30/2020	\$15,001 - \$50,000
334	Accenture Plc (ACN)	Purchase	10/30/2020	\$1,001 - \$15,000
335	Cigna Corp. (CI)	Purchase	10/30/2020	\$1,001 - \$15,000
336	Cisco Systems, Inc. (CSCO)	Purchase	10/30/2020	\$1,001 - \$15,000
337	eBay, Inc. (EBAY)	Purchase	10/30/2020	\$1,001 - \$15,000
338	CVS Health Corp. (CVS)	Purchase	10/30/2020	\$1,001 - \$15,000
339	Hubbell, Inc. (HUBB)	Purchase	10/30/2020	\$1,001 - \$15,000
340	Ingredion, Inc. (INGR)	Purchase	10/30/2020	\$1,001 - \$15,000
341	Lockheed Martin Corp. (LMT)	Purchase	10/30/2020	\$1,001 - \$15,000
342	National Fuel Gas Co. (NFG)	Purchase	10/30/2020	\$15,001 - \$50,000
343	Microsoft Corp. (MSFT)	Purchase	10/30/2020	\$1,001 - \$15,000
344	Ross Stores, Inc. (ROST)	Purchase	10/30/2020	\$1,001 - \$15,000
345	National Fuel Gas Co. (NFG)	Purchase	11/02/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
346	Verizon Communications, Inc. (VZ)	Purchase	10/30/2020	\$1,001 - \$15,000
347	Tapestry, Inc. (TPR)	Purchase	11/04/2020	\$15,001 - \$50,000
348	eBay, Inc. (EBAY)	Purchase	11/13/2020	\$1,001 - \$15,000
349	Facebook, Inc. (FB)	Purchase	11/13/2020	\$1,001 - \$15,000
350	Omnicom Group, Inc. (OMC)	Sale	11/09/2020	\$15,001 - \$50,000
351	Progressive Corp. (PGR)	Purchase	11/13/2020	\$1,001 - \$15,000
352	Laboratory Corp. of America Holdings (LH)	Purchase	11/13/2020	\$1,001 - \$15,000
353	SS&C Technologies Holdings, Inc. (SSNC)	Purchase	11/13/2020	\$1,001 - \$15,000
354	EMCOR Group, Inc. (EME)	Purchase	11/23/2020	\$15,001 - \$50,000
355	Vistra Energy Corp. (VST)	Purchase	11/13/2020	\$1,001 - \$15,000
356	EMCOR Group, Inc. (EME)	Purchase	11/24/2020	\$1,001 - \$15,000
357	Ciena Corp. (CIEN)	Purchase	11/25/2020	\$15,001 - \$50,000
358	Viatis Inc. (VTRS)	Sale	11/27/2020	\$1,001 - \$15,000
359	EMCOR Group, Inc. (EME)	Purchase	11/25/2020	\$1,001 - \$15,000
360	AmerisourceBergen Corp. (ABC)	Purchase	11/30/2020	\$1,001 - \$15,000
361	Anthem, Inc. (ANTM)	Purchase	11/30/2020	\$1,001 - \$15,000
362	Starwood Property Trust, Inc. (STWD)	Sale	11/25/2020	\$15,001 - \$50,000
363	CACI International, Inc. (CACI)	Purchase	12/08/2020	\$15,001 - \$50,000
364	CACI International, Inc. (CACI)	Purchase	12/10/2020	\$1,001 - \$15,000

#	DESCRIPTION		TYPE	DATE	AMOUNT
365	CACI International, Inc. (CACI)		Purchase	12/09/2020	\$15,001 - \$50,000
366	CVS Health Corp. (CVS)		Sale	12/15/2020	\$1,001 - \$15,000
367	Vistra Energy Corp. (VST)		Sale	12/16/2020	\$1,001 - \$15,000
368	Hood River Small Cap Growth Fund		Sale	10/15/2020	\$15,001 - \$50,000
369	Templeton Global Bond Fund		Sale	05/19/2020	\$15,001 - \$50,000
370	ETFMG Prime Cyber Security ETF (HACK)		Purchase	10/13/2020	\$15,001 - \$50,000
371	T Rowe Price Capital Appreciation Fund (PRWCX)		Purchase	05/19/2020	\$15,001 - \$50,000
372	State Street Small/Mid Cap Equity Index Fund	See Endnote	Purchase		\$50,001 - \$100,000
373	iShares 1-5 Year Investment Grade Corporate Bond ETF (IGSB)		Purchase	11/16/2020	\$15,001 - \$50,000
374	Ground Lease REIT (GLRD)		Purchase	02/28/2020	\$50,001 - \$100,000
375	Goldman Sachs BDC, Inc (gsbd-r)		Purchase	10/27/2020	\$50,001 - \$100,000
376	Goldman Sachs Middle Market Lending Corp (closed-end fund) became Goldman Sachs BDC		Exchange	10/12/2020	\$15,001 - \$50,000
377	Kayne Anderson Midstream Energy Fund (closed-end fund) changed name to Kayne Anderson NextGen Energy & Infrastructure, Inc., but kept the same ticker symbol ("KMF")		Exchange	09/28/2020	\$15,001 - \$50,000
378	Kayne Anderson Midstream Energy Fund (closed-end fund) changed name to Kayne Anderson NextGen Energy & Infrastructure, Inc., but kept the same ticker symbol ("KMF")		Sale	12/28/2020	\$15,001 - \$50,000

#	DESCRIPTION	TYPE	DATE	AMOUNT
379	Dodge & Cox International Stock Fund (DODFX)	Sale	05/13/2020	\$15,001 - \$50,000
380	Tallgrass Energy, LP (TGE) (NOTE: Stock was taken private by Blackstone and Delisted. Filer did not engage in a transaction, but the asset is deleted off of the report))		04/17/2020	
381	BB&T Corp. (BBT)	Sale	11/13/2020	\$50,001 - \$100,000
382	National Retail Properties, Inc. (REIT) (NNN)	Sale	11/02/2020	\$50,001 - \$100,000
383	muni bond brick twp	Sale	10/13/2020	\$15,001 - \$50,000
384	muni bond jackson twp	Sale	10/13/2020	\$15,001 - \$50,000
385	Life Storage, Inc. (LSI)	Purchase	04/30/2020	\$50,001 - \$100,000
386	Truist Financial Corporation (TFC)	Purchase	06/26/2020	\$15,001 - \$50,000
387	W.P. Carey, Inc. (WPC)	Purchase	11/12/2020	\$15,001 - \$50,000
388	Starwood Property Trust, Inc. (STWD)	Purchase	10/26/2020	\$15,001 - \$50,000

## 8. Liabilities

None

## 9. Gifts and Travel Reimbursements

None

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## Endnotes

PART	#	ENDNOTE
2.	2.3	No ticker symbol associated with this asset under a Morgan Stanley 401(k) plan.
2.	3.2	Name reported is exactly as provided in the account statement and no ticker symbol was provided.
7.	372	Filer could not locate the record showing the date of the transaction.

# 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.

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