



March 17, 2022

Chairman Christopher A. Coons  
Vice Chairman James Lankford  
U.S. Senate Select Committee on Ethics  
220 Hart Building  
United States Senate  
Washington, DC 20510

*Submitted via mailbox\_office@ethics.senate.gov*

Dear Chairman Coons and Vice Chairman Lankford:

Campaign Legal Center ("CLC") respectfully requests that the U.S. Senate Select Committee on Ethics ("Ethics Committee") disclose whether it authorized the stock holdings of senior staff who appear to violate the committee-staff stock ban.

This ban prohibits committee staff from owning "any substantial holdings which may be directly affected by the actions of the committee" for which they work, unless given *written* permission by the Ethics Committee.<sup>1</sup> Despite this ban, senior staff own stock that conflicts with their committees. Without transparency from the Ethics Committee on whether written waivers were issued, these staff members appear to violate Senate rules.

For over forty years, the committee-staff stock ban has existed due to the influence and sensitive information held by senior staff. The ban attempts to prevent insider trading and conflicts of interest, but the Ethics Committee can waive this ban behind closed doors. The Ethics Committee must be transparent about waivers of the ban because the public has a right

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<sup>1</sup> Rule XXXVII,7: Conflict of Interest, *The Senate Code of Official Conduct* (114th Cong.), <https://www.ethics.senate.gov/public/cache/files/efa7bf74-4a50-46a5-bb6f-b8d26b9755bf/2015---red-book---the-senate-code-of-official-conduct.pdf#page=22> ("Rule 37.7").

to know whether senior staff are acting in the public's interest or in their own financial interests.

## **I. Senate Rules Ban Committee Staff from Owning Substantial Stocks Related to Their Committees**

Senate Rule 37.7 is the conflict-of-interest rule governing committee staff. The rule states:

“An employee on the staff of a committee who is compensated at a rate in excess of \$25,000 per annum and employed for more than ninety days in a calendar year shall divest himself of any substantial holdings which may be directly affected by the actions of the committee for which he works, unless the [Ethics] Committee, after consultation with the employee's supervisor, grants permission in writing to retain such holdings or the employee makes other arrangements acceptable to the [Ethics] Committee and the employee's supervisor to avoid participation in committee actions where there is a conflict of interest, or the appearance thereof.”<sup>2</sup>

The requirement in Rule 37.7 does not define “substantial holding” or explain how the Ethics Committee determines when a holding qualifies for an exception to the divestiture requirement.

The most recent public guidance from the Ethics Committee interpreting this rule is from 1978, when the Committee issued Interpretive Ruling 147.<sup>3</sup> The committee was specifically asked to define “substantial holdings” and “holdings which may be directly affected by actions of the Committee,” as well as to provide procedures to gain an exception to the rule for certain holdings.<sup>4</sup>

In Interpretive Ruling 147, the Ethics Committee declined to provide detailed guidance, stating that the Ethics Committee “does not believe that the issuance of specific guidelines to be applied uniformly to all staff is practical due to the diversity of circumstances and jurisdictions of committees.”<sup>5</sup> Instead, the Ethics Committee surrendered to a system of self-policing, where the chairman of the each committee would “initiate appropriate steps to ascertain the extent, if any, of the possibility of the

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<sup>2</sup> *Id.*

<sup>3</sup> Interpretative Ruling No. 147, *The Senate Ethics Manual*, at 219-220 (108th Cong.), <https://www.ethics.senate.gov/downloads/pdf/manual.pdf>.

<sup>4</sup> *Id.*

<sup>5</sup> *Id.*

appearance of a conflict of interest due to the holdings of committee staff persons” and “suggest a course of action [the chairman] deems to be an acceptable solution.”<sup>6</sup>

## II. Committee Staff Own Stock In Conflict with Their Committees

In 5 Senate committees, 5 staff members own stock in at least 11 companies that appear to conflict with jurisdiction of the staff’s respective committees.

### COMMITTEE STAFF STOCK CONFLICTS

SENATE COMMITTEE	COMMITTEE JURISDICTION <sup>7</sup>	STOCK HOLDINGS OF SENIOR STAFF MEMBER
<b>Agriculture, Nutrition, and Forestry</b>	“Agricultural commodities... Animal industry and diseases...Inspection of livestock, meat, and agricultural products”	<ul style="list-style-type: none"> <li>• Nutrien, LTD</li> <li>• Sanderson Farms</li> <li>• Zoetis Inc.</li> </ul>
<b>Armed Services</b>	“Aeronautical and space activities peculiar to or primarily associated with the development of weapons systems or military operations”	<ul style="list-style-type: none"> <li>• General Dynamics</li> <li>• Lockheed Martin</li> </ul>
<b>Banking, Housing, and Urban Affairs</b>	“Banks, banking, and financial institutions”	<ul style="list-style-type: none"> <li>• Bank of America</li> <li>• MBIA Inc.</li> <li>• Wells Fargo &amp; Company</li> </ul>
<b>Commerce, Science, and Transportation</b>	“[C]onsumer privacy and data security protection”	<ul style="list-style-type: none"> <li>• Cisco Systems</li> <li>• Palo Alto Networks</li> </ul>
<b>Finance</b>	“Medicare, Medicaid .... Centers for Medicare and Medicaid Services”	<ul style="list-style-type: none"> <li>• Centene Corporation</li> </ul>

### A. Senate Committee on Agriculture, Nutrition, and Forestry

The Senate Committee on Agriculture, Nutrition, and Forestry (“Agriculture Committee”) has jurisdiction over, among other things: agriculture and agricultural commodities; animal industry and diseases; and inspection of livestock, meat, and agricultural products.<sup>8</sup>

A senior staff member for the Agriculture Committee owns stock in the following companies that appear to conflict with the committee’s jurisdiction:

- Nutrien, LTD - one of the world’s largest crop fertilizer producers (\$4,004 - \$60,000; purchased 2/12/21, 2/18/21, 2/19/21, 3/1/21)<sup>9</sup>

<sup>6</sup> *Id.*

<sup>7</sup> The quoted jurisdiction is according to description included on website of each respective committee.

<sup>8</sup> Standing Rules of The Senate, S. Res. 285, 113th Cong. Rule XXV, 1(a)(1) (2013), <https://www.agriculture.senate.gov/about/jurisdiction>.

<sup>9</sup> Exhibit A.

- Sanderson Farms - one of the country's largest poultry producers (\$15,001 - \$50,000)<sup>10</sup>
- Zoetis - the world's largest producer of medicine for livestock (\$1,001 - \$15,000; partially sold on 6/22/2021)<sup>11</sup>

## **B. Senate Committee on Armed Services**

The Senate Committee on Armed Services ("Armed Services Committee") has jurisdiction over, among other things, "aeronautical and space activities peculiar to or primarily associated with the development of weapons systems or military operations," and the affairs of the Pentagon.<sup>12</sup>

An individual on its staff owns stock in two of the largest U.S. defense contractors:

- General Dynamics (\$1,001 - \$15,000)
- Lockheed Martin (\$1,001 - \$15,000)<sup>13</sup>

The Armed Services Committee has jurisdiction over the annual defense authorization bill that determines the Pentagon's defense budget, which directly affects the contracting capabilities for companies like Lockheed Martin and General Dynamics.<sup>14</sup>

## **C. Senate Committee on Banking, Housing, and Urban Affairs**

The Senate Committee on Banking, Housing, and Urban Affairs ("Banking Committee") has jurisdiction over "banks, banking, and financial institutions."<sup>15</sup>

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<sup>10</sup> Exhibit B.

<sup>11</sup> *Id.*, Exhibit C.

<sup>12</sup> Standing Rules of The Senate, S. Res. 285, 113th Cong. Rule XXV, 1(c)(1) (2013), <https://www.armed-services.senate.gov/about/history>.

<sup>13</sup> Exhibit D; *The Top 10 Defense Contractors*, BLOOMBERG GOVERNMENT (June 10, 2021), <https://about.bgov.com/top-defense-contractors/>.

<sup>14</sup> See, e.g., John M. Donnelly, *Senate committee proposes big Pentagon funding boost*, (July 22, 2021), <https://rollcall.com/2021/07/22/senate-committee-proposes-big-pentagon-funding-boost/>; *Summary of the Fiscal Year 2022 National Defense Authorization Act*, U.S. SENATE COMM. ON ARMED SERVICES, <https://www.armed-services.senate.gov/imo/media/doc/FY22%20NDAA%20Agreement%20Summary.pdf>; Press Release, Jack Reed, Senate Armed Services Comm. Chairman, and Jim Inhofe, Ranking Member, Reed and Inhofe File Fiscal Year 2022 National Defense Authorization Act (Sept. 22, 2021), <https://www.armed-services.senate.gov/press-releases/reed-and-ihofe-file-fiscal-year-2022-national-defense-authorization-act>.

<sup>15</sup> Standing Rules of The Senate, S. Res. 285, 113th Cong. Rule XXV, 1(d)(1) (2013), <https://www.banking.senate.gov/about/jurisdiction>.



A senior staff member for the committee owns stock in the following financial institutions:

- Bank of America (\$16,002 - \$65,000)
- MBIA Inc. (\$15,001 - \$50,000)
- Wells Fargo (\$65,002 - \$150,000)<sup>16</sup>

Representatives from these financial institutions are not only regulated by the Banking Committee; their leaders regularly testify before the committee as it conducts oversight and weighs laws. For example, the heads of Bank of America and Wells Fargo testified before the Banking Committee in a hearing on oversight of U.S. banks on May 26, 2021.<sup>17</sup>

#### **D. Senate Committee on Commerce, Science, and Transportation**

The Senate Committee on Commerce, Science, and Transportation (“Commerce Committee”) has broad jurisdiction over a range of issues, and therefore is composed of 7 subcommittees.<sup>18</sup> One of those subcommittees is the Consumer Protection, Product Safety, and Data Security Subcommittee. That subcommittee, among other things, has jurisdiction over “consumer privacy and data security protection, and international data transfer issues.”<sup>19</sup>

A senior staff member on the Consumer Protection Subcommittee owns stock in the following cybersecurity companies:

- Cisco Systems (\$15,001 - \$50,000)
- Palo Alto Networks (\$1,001 - \$15,000).<sup>20</sup>

Both companies are overseen by the committee under its “consumer privacy and data security protection” jurisdiction.

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<sup>16</sup> Exhibit E.

<sup>17</sup> *Senate Hearing on Oversight of U.S. Banks*, C-SPAN (May 26, 2021), <https://www.c-span.org/video/?512039-1/us-bank-ceos-testify-senate-banking-committee>.

<sup>18</sup> Committee Information, U.S. SENATE COMM. ON COMMERCE, SCIENCE, & TRANSPORTATION, <https://www.commerce.senate.gov/about>.

<sup>19</sup> Consumer Protection, Product Safety, and Data Security, U.S. SENATE COMM. ON COMMERCE, SCIENCE, & TRANSPORTATION, <https://www.commerce.senate.gov/consumer-protection-product-safety-and-data-security-subcommittee>.

<sup>20</sup> Although this staff member notes in the financial disclosures that the stocks are in a brokerage account where the staff member does not make trade decisions, this is not an exception Rule 37.7. The stock is not in a qualified blind trust and potential conflicts of interest exist because the staff member knows the assets and can take official actions to influence the value of the assets. Exhibit F.

## E. Senate Committee on Finance

The Senate Committee on Finance (“Finance Committee”) has jurisdiction over “health programs under the Social Security Act, including Medicare, Medicaid .... Centers for Medicare and Medicaid Services.”<sup>21</sup>

One of the Finance Committee’s senior staff members has owned stocks in Centene Corporation (\$1,001 - \$15,000; sold 9/14/2021),<sup>22</sup> the nation’s largest Medicaid managed care organization, which appears to conflict with the committee’s jurisdiction over Medicaid.

## III. The Ethics Committee Has Not Disclosed Whether the Senate Rules Were Waived to Allow Committee Staff Stock Holdings

The stock ownership by these committee staff members raises serious questions about conflicts of interest with committee jurisdiction and oversight. The relationship between the companies in which the staff members own stock and the jurisdiction of the committees on which they serve implicate Senate Rule 37.7.

However, the Ethics Committee’s enforcement of Senate Rule 37.7 is not transparent. Specifically, the rule only requires divestiture of “any **substantial** holdings which may be directly affected by the actions of the committee for which he works.”<sup>23</sup> Yet, the Ethics Committee fails to publicly explain what constitutes a “substantial holding.”

More importantly, the rule also allows for exceptions to the divestiture requirement if a staff member receives written permission from the Ethics Committee.<sup>24</sup> While it makes sense, and is indeed advisable, to provide staff with a mechanism to seek guidance and clarity on whether their holdings pose a conflict of interest, this process is not transparent to the public. The public does not have a record of these permissions. Even though the public can with some effort view the financial disclosures of senior committee staff,

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<sup>21</sup> Standing Rules of The Senate, S. Res. 285, 113th Cong. Rule XXV, 1(i) (2013), <https://www.finance.senate.gov/about/jurisdiction>; Chairman Ron Wyden, *Principles for Drug Pricing Reform*, U.S. SENATE COMM. ON FINANCE (June 22, 2021), <https://www.finance.senate.gov/imo/media/doc/062221%20SFC%20Drug%20Pricing%20Principles.pdf>; *Drug Pricing in America Witnesses*, U.S. Senate Comm. On Finance (Feb. 26, 2019), <https://www.finance.senate.gov/hearings/drug-pricing-in-america-a-prescription-for-change-part-ii> (witness list includes CEO of Bristol-Meyers Squibb).

<sup>22</sup> Exhibit G; Exhibit H.

<sup>23</sup> Rule 37.7, emphasis added.

<sup>24</sup> Rule 37.7.

they are unable to see whether their clear conflicts of interest have been reviewed and waived by the Ethics Committee.

#### **IV. Conclusion**

Based on CLC's review of Senate committee staff financial disclosures, there is reason to believe that multiple staff members own stock that conflicts with the jurisdiction of their committees. Owning these stocks violates Senate Rule 37.7, absent any guidance or written permission from the Ethics Committee.

CLC respectfully requests that the Ethics Committee publicly disclose whether the staff members' holdings described herein are in compliance with Rule 37.7, and if so, provide further clarification on how the rule is applied and enforced.

Sincerely,

\_\_\_\_\_/s/\_\_\_\_

Kedric L. Payne  
Vice President, General Counsel and  
Senior Director, Ethics

\_\_\_\_\_/s/\_\_\_\_

Delaney N. Marsco  
Senior Legal Counsel, Ethics

\_\_\_\_\_/s/\_\_\_\_

Danielle Caputo  
Legal Counsel, Ethics

\_\_\_\_\_/s/\_\_\_\_

Sophia Gonsalves-Brown  
Researcher

# EXHIBIT A

United States Senate

## Financial Disclosures

### Periodic Transaction Report for 03/07/2021

██████████ (Agriculture, Nutrition & Forestry)

■ Filed 03/07/2021 @ 2:26 PM

The following statements were checked before filing:

- ☒ I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- ☒ I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.

☰ Transactions (55 transactions total) 0 Self 55 Joint 0 Spouse 0 Dependent Child

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
55	02/18/2021	Joint	<u>RY</u>	Royal Bank of Canada	Stock	Sale (Partial)	\$1,001 - \$15,000	--
54	02/16/2021	Joint	<u>RY</u>	Royal Bank of Canada	Stock	Sale (Partial)	\$1,001 - \$15,000	--
53	02/16/2021	Joint	<u>MRK</u>	Merck & Co., Inc.	Stock	Sale (Full)	\$1,001 - \$15,000	--
52	02/16/2021	Joint	<u>AVGO</u>	Broadcom Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
51	02/16/2021	Joint	<u>APD</u>	Air Products and Chemicals, Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
50	02/12/2021	Joint	<u>RY</u>	Royal Bank of Canada	Stock	Sale (Partial)	\$1,001 - \$15,000	--
49	02/12/2021	Joint	<u>PG</u>	The Procter & Gamble Company	Stock	Sale (Partial)	\$1,001 - \$15,000	--
48	02/12/2021	Joint	<u>MRK</u>	Merck & Co., Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
47	02/12/2021	Joint	<u>AVGO</u>	Broadcom Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
46	02/12/2021	Joint	<u>I</u>	AT&T Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
45	02/12/2021	Joint	<u>APD</u>	Air Products and Chemicals, Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
44	02/02/2021	Joint	<u>AAPL</u>	Apple Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
43	01/26/2021	Joint	<u>COST</u>	Costco Wholesale Corporation	Stock	Sale (Partial)	\$1,001 - \$15,000	--
42	01/22/2021	Joint	<u>KO</u>	The Coca-Cola Company	Stock	Sale (Full)	\$1,001 - \$15,000	--
41	01/21/2021	Joint	<u>TGT</u>	Target Corporation	Stock	Sale (Partial)	\$1,001 - \$15,000	--
40	01/21/2021	Joint	<u>KO</u>	The Coca-Cola Company	Stock	Sale (Partial)	\$1,001 - \$15,000	--
39	01/13/2021	Joint	<u>TFC</u>	Truist Financial Corporation	Stock	Sale (Partial)	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
38	01/13/2021	Joint	<u>FITB</u>	Fifth Third Bancorp	Stock	Sale (Partial)	\$1,001 - \$15,000	--
37	01/13/2021	Joint	<u>DLR</u>	Digital Realty Trust, Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
36	01/12/2021	Joint	<u>MRK</u>	Merck & Co., Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
35	01/12/2021	Joint	<u>LLY</u>	Eli Lilly and Company	Stock	Sale (Partial)	\$1,001 - \$15,000	--
34	01/12/2021	Joint	<u>LMT</u>	Lockheed Martin Corporation	Stock	Sale (Partial)	\$1,001 - \$15,000	--
33	01/12/2021	Joint	<u>DLR</u>	Digital Realty Trust, Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
32	01/12/2021	Joint	<u>C</u>	Citigroup Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
31	01/12/2021	Joint	<u>I</u>	AT&T Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
30	02/25/2021	Joint	<u>HPO</u>	HP Inc.	Stock	Purchase	\$1,001 - \$15,000	--
29	02/19/2021	Joint	<u>NTR</u>	Nutrien Ltd.	Stock	Purchase	\$1,001 - \$15,000	--
28	02/18/2021	Joint	<u>NTR</u>	Nutrien Ltd.	Stock	Purchase	\$1,001 - \$15,000	--
27	02/18/2021	Joint	<u>HPO</u>	HP Inc.	Stock	Purchase	\$1,001 - \$15,000	--
26	02/18/2021	Joint	<u>ETN</u>	Eaton Corporation plc	Stock	Purchase	\$1,001 - \$15,000	--
25	02/18/2021	Joint	<u>ETR</u>	Entergy Corporation	Stock	Purchase	\$1,001 - \$15,000	--
24	02/17/2021	Joint	<u>FB</u>	Facebook, Inc.	Stock	Purchase	\$1,001 - \$15,000	--
23	02/17/2021	Joint	<u>ETN</u>	Eaton Corporation plc	Stock	Purchase	\$1,001 - \$15,000	--
22	02/16/2021	Joint	<u>ETN</u>	Eaton Corporation plc	Stock	Purchase	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
21	02/16/2021	Joint	<u>ETR</u>	Entergy Corporation	Stock	Purchase	\$1,001 - \$15,000	--
20	02/12/2021	Joint	<u>NTR</u>	Nutrien Ltd.	Stock	Purchase	\$1,001 - \$15,000	--
19	02/12/2021	Joint	<u>HPQ</u>	HP Inc.	Stock	Purchase	\$1,001 - \$15,000	--
18	02/12/2021	Joint	<u>HD</u>	The Home Depot, Inc.	Stock	Purchase	\$1,001 - \$15,000	--
17	02/12/2021	Joint	<u>ETN</u>	Eaton Corporation plc	Stock	Purchase	\$1,001 - \$15,000	--
16	01/27/2021	Joint	<u>VICI</u>	VICI Properties Inc.	Stock	Purchase	\$1,001 - \$15,000	--
15	01/26/2021	Joint	<u>HD</u>	The Home Depot, Inc.	Stock	Purchase	\$1,001 - \$15,000	--
14	01/25/2021	Joint	<u>PEP</u>	PepsiCo, Inc.	Stock	Purchase	\$1,001 - \$15,000	--
13	01/22/2021	Joint	<u>PEP</u>	PepsiCo, Inc.	Stock	Purchase	\$1,001 - \$15,000	--
12	01/21/2021	Joint	<u>PEP</u>	PepsiCo, Inc.	Stock	Purchase	\$1,001 - \$15,000	--
11	01/14/2021	Joint	<u>VICI</u>	VICI Properties Inc.	Stock	Purchase	\$1,001 - \$15,000	--
10	01/14/2021	Joint	<u>O</u>	Realty Income Corporation	Stock	Purchase	\$1,001 - \$15,000	--
9	01/14/2021	Joint	<u>GE</u>	General Electric Company	Stock	Purchase	\$1,001 - \$15,000	--
8	01/14/2021	Joint	<u>CMCSA</u>	Comcast Corporation	Stock	Purchase	\$1,001 - \$15,000	--
7	01/13/2021	Joint	<u>VICI</u>	VICI Properties Inc.	Stock	Purchase	\$1,001 - \$15,000	--
6	01/13/2021	Joint	<u>GE</u>	General Electric Company	Stock	Purchase	\$1,001 - \$15,000	--
5	01/13/2021	Joint	<u>CMCSA</u>	Comcast Corporation	Stock	Purchase	\$1,001 - \$15,000	--





#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
4	01/12/2021	Joint	<u>VICI</u>	VICI Properties Inc.	Stock	Purchase	\$1,001 - \$15,000	--
3	01/12/2021	Joint	<u>GE</u>	General Electric Company	Stock	Purchase	\$1,001 - \$15,000	--
2	01/12/2021	Joint	<u>CVX</u>	Chevron Corporation	Stock	Purchase	\$1,001 - \$15,000	--
1	01/12/2021	Joint	<u>CMCSA</u>	Comcast Corporation	Stock	Purchase	\$1,001 - \$15,000	--

United States Senate

Financial Disclosures


Periodic Transaction Report for 05/09/2021

 (Agriculture, Nutrition & Forestry)

 Filed 05/09/2021 @ 7:09 PM

The following statements were checked before filing:

- ☒ I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- ☒ I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.

 Transactions (32 transactions total) 0 Self 32 Joint 0 Spouse 0 Dependent Child

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
32	03/24/2021	Joint	<u>COST</u>	Costco Wholesale Corporation	Stock	Sale (Full)	\$1,001 - \$15,000	--
31	03/17/2021	Joint	<u>DLR</u>	Digital Realty Trust, Inc.	Stock	Sale (Full)	\$1,001 - \$15,000	--
30	03/18/2021	Joint	<u>DLR</u>	Digital Realty Trust, Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
29	03/17/2021	Joint	<u>LMT</u>	Lockheed Martin Corporation	Stock	Sale (Full)	\$1,001 - \$15,000	--
28	03/17/2021	Joint	<u>DLR</u>	Digital Realty Trust, Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
27	03/16/2021	Joint	<u>LMT</u>	Lockheed Martin Corporation	Stock	Sale (Partial)	\$1,001 - \$15,000	--
26	03/16/2021	Joint	<u>DLR</u>	Digital Realty Trust, Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
25	03/11/2021	Joint	<u>ALXN</u>	Alexion Pharmaceuticals, Inc.	Stock	Sale (Full)	\$1,001 - \$15,000	--
24	03/08/2021	Joint	<u>BLK</u>	BlackRock, Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
23	03/05/2021	Joint	<u>WMT</u>	Walmart Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
22	03/05/2021	Joint	<u>VZ</u>	Verizon Communications Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
21	03/05/2021	Joint	<u>TFC</u>	Truist Financial Corporation	Stock	Sale (Partial)	\$1,001 - \$15,000	--
20	03/05/2021	Joint	<u>RY</u>	Royal Bank of Canada	Stock	Sale (Partial)	\$1,001 - \$15,000	--
19	03/05/2021	Joint	<u>FITB</u>	Fifth Third Bancorp	Stock	Sale (Partial)	\$1,001 - \$15,000	--
18	03/05/2021	Joint	<u>BMJ</u>	Bristol-Myers Squibb Company	Stock	Sale (Partial)	\$1,001 - \$15,000	--
17	03/05/2021	Joint	--	BlackRock, Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--
16	03/05/2021	Joint	<u>T</u>	AT&T Inc.	Stock	Sale (Partial)	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
15	03/19/2021	Joint	<u>DE</u>	Deere & Company	Stock	Purchase	\$1,001 - \$15,000	--
14	03/18/2021	Joint	<u>DE</u>	Deere & Company	Stock	Purchase	\$1,001 - \$15,000	--
13	03/17/2021	Joint	<u>DE</u>	Deere & Company	Stock	Purchase	\$1,001 - \$15,000	--
12	03/16/2021	Joint	<u>DE</u>	Deere & Company	Stock	Purchase	\$1,001 - \$15,000	--
11	03/15/2021	Joint	<u>SE</u>	Sea Limited	Stock	Purchase	\$1,001 - \$15,000	--
10	03/10/2021	Joint	<u>STX</u>	Seagate Technology plc	Stock	Purchase	\$1,001 - \$15,000	--
9	03/09/2021	Joint	<u>STX</u>	Seagate Technology plc	Stock	Purchase	\$1,001 - \$15,000	--
8	03/08/2021	Joint	<u>STX</u>	Seagate Technology plc	Stock	Purchase	\$1,001 - \$15,000	--
7	03/08/2021	Joint	<u>BHP</u>	BHP Group	Stock	Purchase	\$1,001 - \$15,000	--
6	03/05/2021	Joint	<u>STX</u>	Seagate Technology plc	Stock	Purchase	\$1,001 - \$15,000	--
5	03/05/2021	Joint	<u>GE</u>	General Electric Company	Stock	Purchase	\$1,001 - \$15,000	--
4	03/05/2021	Joint	<u>BHP</u>	BHP Group	Stock	Purchase	\$1,001 - \$15,000	--
3	03/02/2021	Joint	<u>HPE</u>	Hewlett Packard Enterprise Company	Stock	Purchase	\$1,001 - \$15,000	--
2	03/01/2021	Joint	<u>NTR</u>	Nutrien Ltd.	Stock	Purchase	\$1,001 - \$15,000	--
1	03/01/2021	Joint	<u>HPE</u>	Hewlett Packard Enterprise Company	Stock	Purchase	\$1,001 - \$15,000	--

# EXHIBIT B

United States Senate

## Financial Disclosures

## Annual Report for Calendar 2020

[REDACTED] (Agriculture, Nutrition &amp; Forestry)

Filed 05/14/2021 @ 11:26 AM

The following statements were checked before filing:

- ☒ I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- ☒ I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.
- ☐ I omitted assets because they meet the three-part test for exemption.

## Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria

Did any individual or organization pay you or your spouse more than \$200, or donate any amount to a charity on your or your spouse's behalf, for an article, speech, or appearance? **No**

## Part 2. Earned and Non-Investment Income

Did you or your spouse have reportable earned income or non-investment income? **Yes**

#	Who Was Paid	Type	Who Paid	Amount Paid	Comments
1	Spouse	Salary	[REDACTED]	> \$1,000	n/a

## Part 3. Assets

Did you, your spouse, or dependent child own any asset that had a value of more than \$1,000 or generated income of more than \$200? **Yes**

	Asset	Asset Type	Owner	Value	Income Type	Income
1	[REDACTED] <i>Description: Food Industry Consulting</i>	Business Entity Limited Liability Company (LLC)	Spouse	\$500,001 - \$1,000,000	Other, (Monthly Retainer)	Other \$733,912.00
2	<b>American General</b> <i>Provider: American General</i>	Life Insurance Whole	Spouse	\$1,000,001 - \$5,000,000	None,	\$15,001 - \$50,000
3	<b>Banner Life Insurance</b> <i>Provider: Banner Life Insurance</i>	Life Insurance Whole	Self	\$1,000,001 - \$5,000,000	None,	\$201 - \$1,000
4	<b>Root River Livestock</b> <i>Description: Root River Livestock (Fountain, MN)</i>	Farm	Joint	\$50,001 - \$100,000	Other, (Livestock Sales)	\$15,001 - \$50,000 Other \$15,945.00
5	<b>[REDACTED] Child 1 College Savings</b> <i>Institution: Finance Authority of Maine</i>	Education Savings Plans 529 College Savings Plan	Joint			
5.1	<b>MFS Age 8-9 Years A</b>	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
5.2	<b>IShares 8-11 Years Port A</b>	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
5.3	<b>MFS Age 8-9 Years C</b>	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
5.4	<b>IShares 8-11 Years Port C</b>	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
6	<b>[REDACTED] Child 2 College Savings</b> <i>Institution: Finance Authority of Maine</i>	Education Savings Plans 529 College Savings Plan	Joint			
6.1	<b>MFS Age 6-7 Years Port A</b>	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
6.2	<b>IShares 5-7 Years A</b>	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
6.3	<b>MFS Age 6-7 Years Port C</b>	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
6.4	<b>IShares 5-7 Years C</b>	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
7	<b>[REDACTED] Child 3</b> <i>Institution:</i> Finance Authority of Maine	Education Savings Plans 529 College Savings Plan	Joint			
7.1	<b>MFS Age 3-5 Years</b>	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
7.2	<b>IShares 2-4 Years</b>	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
8	<b>Dome Compass Inc</b> <i>Company:</i> Dome Compass Inc (Washington, DC) <i>Description:</i> Internet Based Professional Network Startup	Business Entity Limited Liability Company (LLC)	Joint	\$1,000,001 -\$5,000,000	None,	None (or less than \$201)
9	<b>National Pork Producers Council 401k (former employer)</b>	Retirement Plans Defined Contribution Pension Plan	Self			
9.1	<b>EAASX - Eaton Vance Atlanta Capital SMID-Cap A</b>	Mutual Funds Mutual Fund	Self	\$100,001 - \$250,000	None,	None (or less than \$201)
9.2	<b>PLFIX - Principal Large Cap S&amp;P 500 Index Separate Account</b>	Mutual Funds Mutual Fund	Self	None (or less than \$1,001)	None,	None (or less than \$201)
9.3	<b>Principal Global Investors MidCap S&amp;P 400 Index Inst</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	None,	None (or less than \$201)
9.4	<b>Principal MidCap Separate Account</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	None,	None (or less than \$201)
9.5	<b>PSSIX - Principal SmallCap S&amp;P 600 Index Inst</b>	Mutual Funds Mutual Fund	Self	None (or less than \$1,001)	None,	None (or less than \$201)



	Asset	Asset Type	Owner	Value	Income Type	Income
10	<b>Merrill Lynch</b> <i>Filer comment: This account and underlying assets was previously reported as "spouse owned". In 2018 this account came under joint ownership.</i>	Brokerage/Managed Account	Joint			
10.1	<b>ADBE - Adobe Systems Incorporated</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.2	<b>AKAM - Akamai Technologies, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.3	<b>ALXN - Alexion Pharmaceuticals, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.4	<b>AMZN - Amazon.com, Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
10.5	<b>BUD - Anheuser-Busch InBev SA/NV</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.6	<b>AAPL - Apple Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.7	<b>T-AT&amp;T Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
10.8	<b>BBT - BB&amp;T Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.9	<b>BLK - BlackRock, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.10	<b>CMCSA - Comcast Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.11	<b>KO - The Coca-Cola Company</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.12	<b>COST - Costco Wholesale Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.13	<b>DLR - Digital Realty Trust, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
10.14	<b><u>DIS</u> - The Walt Disney Company</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.15	<b><u>ECL</u> - Ecolab Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.16	<b><u>XOM</u> - Exxon Mobil Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.17	<b><u>FB</u> - Facebook, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.18	<b><u>HD</u> - The Home Depot, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.19	<b><u>JNJ</u> - Johnson &amp; Johnson</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.20	<b><u>JPM</u> - JPMorgan Chase &amp; Co.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
10.21	<b><u>LMT</u> - Lockheed Martin Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.22	<b><u>MCD</u> - McDonald's Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.23	<b><u>MSFT</u> - Microsoft Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.24	<b><u>PANW</u> - Palo Alto Networks, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.25	<b><u>PFE</u> - Pfizer Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.26	<b><u>PXD</u> - Pioneer Natural Resources Company</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.27	<b><u>PX</u> - Praxair, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.28	<b><u>QCOM</u> - QUALCOMM Incorporated</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.29	<b><u>SCHW</u> - The Charles Schwab Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
10.30	<b><u>SPLK</u> - Splunk Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.31	<b><u>TXN</u>-Texas Instruments Incorporated</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
10.32	<b><u>TMO</u>-Thermo Fisher Scientific Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.33	<b><u>UPS</u> - United Parcel Service, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.34	<b><u>UTX</u> - United Technologies Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.35	<b><u>UNH</u> - UnitedHealth Group Incorporated</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.36	<b><u>VZ</u> - Verizon Communications Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.37	<b><u>V</u> - Visa Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.38	<b><u>VMW</u> - VMware, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.39	<b><u>GWW</u> - W.W. Grainger, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.40	<b><u>ZTS</u>-Zoetis Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.41	<b><u>DBLTX</u> - DoubleLine Total Return Bond I</b>	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	None,	None (or less than \$201)
10.42	<b><u>CPBYX</u> - Invesco Core Plus Bond Y</b>	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	None,	None (or less than \$201)
10.43	<b><u>STZ</u> - Constellation Brands, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.44	<b><u>QUIK</u> - QuickLogic Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.45	<b><u>CG</u> - The Carlyle Group L.P.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
10.46	<b>SASR - Sandy Spring Bancorp, Inc.</b>	Corporate Securities Stock	Joint	\$100,001 - \$250,000	None,	None (or less than \$201)
10.47	<b>WACPX-Western Asset Core Plus Bond I</b>	Mutual Funds Mutual Fund	Joint	\$50,001 - \$100,000	None,	None (or less than \$201)
10.48	<b>APD - Air Products and Chemicals, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.49	<b>AMGN - Amgen Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.50	<b>AVGO - Broadcom Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.51	<b>CVX - Chevron Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.52	<b>CCI - Crown Castle International Corp. (REIT)</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.53	<b>EQIX - Equinix, Inc. (REIT)</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.54	<b>MRK - Merck &amp; Co., Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.55	<b>NVDA - NVIDIA Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.56	<b>PEP - PepsiCo, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.57	<b>TGT - Target Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.58	<b>WMT - Walmart Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.59	<b>AAP - Advance Auto Parts, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.60	<b>BMRN - BioMarin Pharmaceutical Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.61	<b>BMJ - Bristol-Myers Squibb Company</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
10.62	<b><u>C</u> - Citigroup Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.63	<b><u>FIS</u> - Fidelity National Information Services, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.64	<b><u>FITB</u> - Fifth Third Bancorp</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.65	<b><u>INFO</u> - IHS Markit Ltd.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.66	<b><u>KMI</u> - Kinder Morgan, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.67	<b><u>MDT</u> - Medtronic plc</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.68	<b><u>NTNX</u> - Nutanix, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.69	<b><u>PG</u> - The Procter &amp; Gamble Company</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.70	<b><u>RY</u> - Royal Bank of Canada</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.71	<b><u>UBER</u> - Uber Technologies, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.72	<b><u>PRU</u> - Prudential Financial, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.73	<b><u>ETR</u> - Entergy Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.74	<b><u>LLY</u> - Eli Lilly and Company</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.75	<b><u>O</u> - Realty Income Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.76	<b><u>TFC</u> - Truist Financial Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.77	<b><u>OTIS</u> - Otis Worldwide Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
10.78	<b><u>RTX</u> - Raytheon Technologies Corporation</b>	Corporate Securities Stock	Joint	None (or less than \$1,001)	None,	None (or less than \$201)
10.79	<b><u>CSX</u> - CSX Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.80	<b><u>ULTA</u> - Ulta Beauty, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.81	<b><u>EMR</u> - Emerson Electric Co.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.82	<b><u>NXPI</u> - NXP Semiconductors N.V.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.83	<b><u>CMCSA</u> - Comcast Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.84	<b><u>ASML</u> - ASML Holding N.V.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.85	<b><u>TEAM</u> - Atlassian Corporation Plc</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
10.86	<b><u>ETN</u> - Eaton Corporation plc</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
11	<b>Merrill SEP IRA</b> <i>Filer comment: This account and underlying assets was previously reported as "spouse owned". In 2018 this account came under joint ownership.</i>	Retirement Plans IRA	Joint			
11.1	<b><u>BABA</u> - Alibaba Group Holding Limited</b>	Corporate Securities Stock	Joint	\$50,001 - \$100,000	None,	None (or less than \$201)
11.2	<b><u>AMZN</u> - Amazon.com, Inc.</b>	Corporate Securities Stock	Joint	\$100,001 - \$250,000	None,	None (or less than \$201)
11.3	<b><u>STZ</u> - Constellation Brands, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
11.4	<b><u>COST</u> - Costco Wholesale Corporation</b>	Corporate Securities Stock	Joint	\$50,001 - \$100,000	None,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
11.5	<b>SAFM - Sanderson Farms, Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
11.6	<b>SBUX - Starbucks Corporation</b>	Corporate Securities Stock	Joint	\$50,001 - \$100,000	None,	None (or less than \$201)
12	<b>National Pork Producers Council (former employer) Principal MidCap Separate Account</b> <i>Filer comment: MidCap Value 1 Separate Account and International Small Cap Separate Account incl. in past reports are separate accounts but all underlying assets are &lt;\$1000.</i>	Brokerage/Managed Account	Self			
12.1	<b>BAM - Brookfield Asset Management Inc.</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
12.2	<b>TDG - TransDigm Group Incorporated</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
12.3	<b>O'Reilly Automotive Inc</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
12.4	<b>SBAC - SBA Communications Corporation</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
12.5	<b>MKL - Markel Corporation</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
12.6	<b>KMX-CarMax, Inc.</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
12.7	<b>IT - Gartner, Inc.</b> <i>Filer comment: &gt;1,000 value</i>	Corporate Securities Stock	Self	None (or less than \$1,001)	None,	None (or less than \$201)
12.8	<b>BKI - Black Knight, Inc.</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)

#### Part 4a. Periodic Transaction Report Summary

In this section, electronically filed periodic transaction report (PTR) transactions are displayed for you. Have you filed any paper-based PTRs in this period? **No**



#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
1	01/02/2020	Joint	VFC	V.F. Corporation	Purchase	\$1,001 - \$15,000	--
2	01/06/2020	Joint	VFC	V.F. Corporation	Purchase	\$1,001 - \$15,000	--
3	01/08/2020	Joint	CVX	Chevron Corporation	Sale (Partial)	\$1,001 - \$15,000	--
4	01/09/2020	Joint	CVX	Chevron Corporation	Sale (Full)	\$1,001 - \$15,000	--
5	01/10/2020	Joint	BLK	BlackRock, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
6	01/13/2020	Joint	BLK	BlackRock, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
7	01/14/2020	Joint	ORCL	Oracle Corporation	Sale (Partial)	\$1,001 - \$15,000	--
8	01/17/2020	Joint	ORCL	Oracle Corporation	Sale (Full)	\$1,001 - \$15,000	--
9	01/23/2020	Joint	RDS-B	Royal Dutch Shell plc	Sale (Partial)	\$1,001 - \$15,000	--
10	01/24/2020	Joint	BMJ	Bristol-Myers Squibb Company	Purchase	\$1,001 - \$15,000	--
11	01/24/2020	Joint	PG	The Procter & Gamble Company	Purchase	\$1,001 - \$15,000	--
12	01/27/2020	Joint	PG	The Procter & Gamble Company	Purchase	\$1,001 - \$15,000	--
13	01/30/2020	Joint	O	Realty Income Corporation	Purchase	\$1,001 - \$15,000	--
14	01/31/2020	Joint	RDS-B	Royal Dutch Shell plc	Sale (Partial)	\$1,001 - \$15,000	--
15	01/31/2020	Joint	O	Realty Income Corporation	Purchase	\$1,001 - \$15,000	--
16	02/04/2020	Joint	O	Realty Income Corporation	Purchase	\$1,001 - \$15,000	--
17	02/05/2020	Joint	PANW	Palo Alto Networks, Inc.	Sale (Partial)	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
18	02/10/2020	Joint	ADBE	Adobe Inc.	Sale (Partial)	\$1,001 - \$15,000	--
19	02/24/2020	Joint	LLY	Eli Lilly and Company	Purchase	\$1,001 - \$15,000	--
20	02/24/2020	Joint	DLR	Digital Realty Trust, Inc.	Purchase	\$1,001 - \$15,000	--
21	02/24/2020	Joint	KMI	Kinder Morgan, Inc.	Purchase	\$1,001 - \$15,000	--
22	02/24/2020	Joint	O	Realty Income Corporation	Purchase	\$1,001 - \$15,000	--
23	02/25/2020	Joint	RDS-B	Royal Dutch Shell plc	Sale (Partial)	\$1,001 - \$15,000	--
24	02/25/2020	Joint	PFE	Pfizer Inc.	Sale (Partial)	\$1,001 - \$15,000	--
25	02/26/2020	Joint	PFE	Pfizer Inc.	Sale (Full)	\$1,001 - \$15,000	--
26	02/26/2020	Joint	DLR	Digital Realty Trust, Inc.	Purchase	\$1,001 - \$15,000	--
27	02/26/2020	Joint	KMI	Kinder Morgan, Inc.	Purchase	\$1,001 - \$15,000	--
28	02/26/2020	Joint	LLY	Eli Lilly and Company	Purchase	\$1,001 - \$15,000	--
29	02/26/2020	Joint	O	Realty Income Corporation	Purchase	\$1,001 - \$15,000	--
30	02/26/2020	Joint	RDS-B	Royal Dutch Shell plc	Sale (Full)	\$1,001 - \$15,000	--
31	02/27/2020	Joint	O	Realty Income Corporation	Purchase	\$1,001 - \$15,000	--
32	02/28/2020	Joint	UTX	United Technologies Corporation	Purchase	\$1,001 - \$15,000	--
33	03/02/2020	Joint	AAPL	Apple Inc.	Purchase	\$1,001 - \$15,000	--
34	03/05/2020	Joint	UTX	United Technologies Corporation	Purchase	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
35	03/10/2020	Joint	T	AT&T Inc.	Purchase	\$1,001 - \$15,000	--
36	03/10/2020	Joint	BX	The Blackstone Group Inc.	Sale (Partial)	\$1,001 - \$15,000	--
37	03/10/2020	Joint	LIN	Linde plc	Sale (Full)	\$1,001 - \$15,000	--
38	03/10/2020	Joint	TFC	Truist Financial Corporation	Sale (Partial)	\$1,001 - \$15,000	--
39	03/11/2020	Joint	TFC	Truist Financial Corporation	Sale (Partial)	\$1,001 - \$15,000	--
40	03/11/2020	Joint	GWG	W.W. Grainger, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
41	03/17/2020	Joint	JNJ	Johnson & Johnson	Sale (Partial)	\$1,001 - \$15,000	--
42	03/18/2020	Joint	BX	The Blackstone Group Inc.	Purchase	\$1,001 - \$15,000	--
43	03/19/2020	Joint	BX	The Blackstone Group Inc.	Sale (Full)	\$1,001 - \$15,000	--
44	03/19/2020	Joint	VZ	Verizon Communications Inc.	Purchase	\$1,001 - \$15,000	--
45	03/20/2020	Joint	XOM	Exxon Mobil Corporation	Purchase	\$1,001 - \$15,000	--
46	03/20/2020	Joint	ORCL	Oracle Corporation	Purchase	\$1,001 - \$15,000	developing my CY2020 financial disclosure and noticed this purchase was inadvertently omitted last year.
47	03/20/2020	Joint	BLK	BlackRock, Inc.	Purchase	\$1,001 - \$15,000	--
48	03/23/2020	Joint	CLX	The Clorox Company	Purchase	\$1,001 - \$15,000	--
49	03/23/2020	Joint	AMGN	Amgen Inc.	Purchase	\$1,001 - \$15,000	--
50	03/23/2020	Joint	BLK	BlackRock, Inc.	Purchase	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
51	03/23/2020	Joint	VFC	V.F. Corporation	Sale (Partial)	\$1,001 - \$15,000	--
52	03/23/2020	Joint	MKC	McCormick & Company, Incorporated	Sale (Full)	\$1,001 - \$15,000	--
53	03/23/2020	Joint	JNJ	Johnson & Johnson	Sale (Partial)	\$1,001 - \$15,000	--
54	03/24/2020	Joint	LLY	Eli Lilly and Company	Purchase	\$1,001 - \$15,000	--
55	03/24/2020	Joint	XOM	Exxon Mobil Corporation	Sale (Partial)	\$1,001 - \$15,000	--
56	03/25/2020	Joint	APD	Air Products and Chemicals, Inc.	Purchase	\$1,001 - \$15,000	--
57	03/25/2020	Joint	XOM	Exxon Mobil Corporation	Sale (Full)	\$1,001 - \$15,000	--
58	03/26/2020	Joint	JNJ	Johnson & Johnson	Sale (Full)	\$1,001 - \$15,000	--
59	03/27/2020	Joint	AVGO	Broadcom Inc.	Purchase	\$1,001 - \$15,000	--
60	03/27/2020	Joint	BLK	BlackRock, Inc.	Purchase	\$1,001 - \$15,000	--
61	03/30/2020	Joint	AVGO	Broadcom Inc.	Purchase	\$1,001 - \$15,000	--
62	03/30/2020	Joint	BLK	BlackRock, Inc.	Purchase	\$1,001 - \$15,000	--
63	03/31/2020	Joint	BLK	BlackRock, Inc.	Purchase	\$1,001 - \$15,000	--
64	04/02/2020	Joint	BLK	BlackRock, Inc.	Purchase	\$1,001 - \$15,000	--
65	04/14/2020	Joint	DIS	The Walt Disney Company	Sale (Partial)	\$1,001 - \$15,000	--
66	04/14/2020	Joint	OTIS	Otis Worldwide Corporation	Purchase	\$1,001 - \$15,000	--
67	04/16/2020	Joint	CARR	Carrier Global Corporation	Sale (Full)	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
68	04/16/2020	Joint	KO	The Coca-Cola Company	Sale (Partial)	\$1,001 - \$15,000	--
69	04/16/2020	Joint	ORCL	Oracle Corporation	Sale (Full)	\$1,001 - \$15,000	--
70	04/16/2020	Joint	TFC	Truist Financial Corporation	Purchase	\$1,001 - \$15,000	--
71	04/16/2020	Joint	CVX	Chevron Corporation	Purchase	\$1,001 - \$15,000	--
72	04/16/2020	Joint	C	Citigroup Inc.	Purchase	\$1,001 - \$15,000	--
73	04/16/2020	Joint	LMT	Lockheed Martin Corporation	Purchase	\$1,001 - \$15,000	--
74	04/16/2020	Joint	UTX	Raytheon Technologies Corporation	Sale (Partial)	\$1,001 - \$15,000	--
75	04/16/2020	Joint	OTIS	Otis Worldwide Corporation	Sale (Partial)	\$1,001 - \$15,000	--
76	04/16/2020	Joint	CAT	Caterpillar Inc.	Sale (Full)	\$1,001 - \$15,000	--
77	04/17/2020	Joint	CVX	Chevron Corporation	Purchase	\$1,001 - \$15,000	--
78	04/23/2020	Joint	MRK	Merck & Co., Inc.	Sale (Partial)	\$1,001 - \$15,000	--
79	04/23/2020	Joint	WMT	Walmart Inc.	Sale (Partial)	\$1,001 - \$15,000	--
80	04/23/2020	Joint	YUM	Yum! Brands, Inc.	Sale (Full)	\$1,001 - \$15,000	--
81	04/24/2020	Joint	CRM	salesforce.com, inc.	Purchase	\$1,001 - \$15,000	--
82	04/24/2020	Joint	MRK	Merck & Co., Inc.	Sale (Partial)	\$1,001 - \$15,000	--
83	04/24/2020	Joint	JNJ	Johnson & Johnson	Purchase	\$1,001 - \$15,000	--
84	04/29/2020	Joint	BMJ	Bristol-Myers Squibb Company	Sale (Partial)	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
85	04/29/2020	Joint	DLR	Digital Realty Trust, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
86	04/29/2020	Joint	CSX	CSX Corporation	Purchase	\$1,001 - \$15,000	--
87	04/29/2020	Joint	CB	Chubb Limited	Sale (Partial)	\$1,001 - \$15,000	--
88	05/04/2020	Joint	CSX	CSX Corporation	Purchase	\$1,001 - \$15,000	--
89	05/04/2020	Joint	CB	Chubb Limited	Sale (Full)	\$1,001 - \$15,000	--
90	05/21/2020	Joint	HON	Honeywell International Inc.	Sale (Full)	\$1,001 - \$15,000	--
91	05/21/2020	Joint	CSCO	Cisco Systems, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
92	05/21/2020	Joint	INTC	Intel Corporation	Purchase	\$1,001 - \$15,000	--
93	05/21/2020	Joint	CB	Chubb Limited	Purchase	\$1,001 - \$15,000	developing my CY 2020 financial disclosure and noticed this purchase was inadvertently omitted last year.
94	05/21/2020	Joint	PG	The Procter & Gamble Company	Sale (Partial)	\$1,001 - \$15,000	--
95	05/21/2020	Joint	PEP	PepsiCo, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
96	05/21/2020	Joint	T	AT&T Inc.	Purchase	\$1,001 - \$15,000	--
97	05/22/2020	Joint	INTC	Intel Corporation	Purchase	\$1,001 - \$15,000	--
98	05/22/2020	Joint	PEP	PepsiCo, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
99	05/22/2020	Joint	PG	The Procter & Gamble Company	Sale (Partial)	\$1,001 - \$15,000	--
100	05/22/2020	Joint	CSX	CSX Corporation	Purchase	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
101	05/26/2020	Joint	AAPL	Apple Inc.	Sale (Partial)	\$1,001 - \$15,000	--
102	05/26/2020	Joint	INTC	Intel Corporation	Purchase	\$1,001 - \$15,000	--
103	05/26/2020	Joint	ULTA	Ulta Beauty, Inc.	Purchase	\$1,001 - \$15,000	--
104	05/26/2020	Joint	GOOG	Alphabet Inc.	Sale (Partial)	\$1,001 - \$15,000	--
105	05/26/2020	Joint	ADBE	Adobe Inc.	Sale (Partial)	\$1,001 - \$15,000	--
106	05/26/2020	Joint	HON	Honeywell International Inc.	Purchase	\$1,001 - \$15,000	developing my CY 2020 financial disclosure and noticed this purchase was inadvertently omitted last year.
107	05/26/2020	Joint	NVDA	NVIDIA Corporation	Sale (Partial)	\$1,001 - \$15,000	--
108	05/26/2020	Joint	MSFT	Microsoft Corporation	Sale (Partial)	\$1,001 - \$15,000	--
109	05/26/2020	Joint	FB	Facebook, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
110	05/26/2020	Joint	AMZN	Amazon.com, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
111	06/03/2020	Joint	PRU	Prudential Financial, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
112	06/04/2020	Joint	CB	Chubb Limited	Sale (Partial)	\$1,001 - \$15,000	--
113	06/04/2020	Joint	PRU	Prudential Financial, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
114	06/05/2020	Joint	CB	Chubb Limited	Sale (Full)	\$1,001 - \$15,000	--
115	06/09/2020	Joint	PRU	Prudential Financial, Inc.	Sale (Full)	\$1,001 - \$15,000	--
116	06/10/2020	Joint	FITB	Fifth Third Bancorp	Purchase	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
117	06/10/2020	Joint	MSFT	Microsoft Corporation	Sale (Partial)	\$1,001 - \$15,000	--
118	06/10/2020	Joint	WMT	Walmart Inc.	Sale (Partial)	\$1,001 - \$15,000	--
119	06/10/2020	Joint	EMR	Emerson Electric Co.	Purchase	\$1,001 - \$15,000	--
120	06/10/2020	Joint	TFC	Truist Financial Corporation	Purchase	\$1,001 - \$15,000	--
121	06/10/2020	Joint	KMI	Kinder Morgan, Inc.	Purchase	\$1,001 - \$15,000	--
122	06/11/2020	Joint	KMI	Kinder Morgan, Inc.	Purchase	\$1,001 - \$15,000	--
123	06/11/2020	Joint	TFC	Truist Financial Corporation	Purchase	\$1,001 - \$15,000	--
124	06/12/2020	Joint	TFC	Truist Financial Corporation	Purchase	\$1,001 - \$15,000	--
125	06/12/2020	Joint	EMR	Emerson Electric Co.	Purchase	\$1,001 - \$15,000	--
126	06/12/2020	Joint	FITB	Fifth Third Bancorp	Purchase	\$1,001 - \$15,000	--
127	06/12/2020	Joint	KMI	Kinder Morgan, Inc.	Purchase	\$1,001 - \$15,000	--
128	06/15/2020	Joint	EMR	Emerson Electric Co.	Purchase	\$1,001 - \$15,000	--
129	06/15/2020	Joint	KMI	Kinder Morgan, Inc.	Purchase	\$1,001 - \$15,000	--
130	06/18/2020	Joint	HON	Honeywell International Inc.	Sale (Full)	\$1,001 - \$15,000	--
131	06/22/2020	Joint	GOOG	Alphabet Inc.	Sale (Partial)	\$1,001 - \$15,000	--
132	06/22/2020	Joint	CRM	salesforce.com, inc.	Purchase	\$1,001 - \$15,000	--
133	06/22/2020	Joint	FB	Facebook, Inc.	Purchase	\$1,001 - \$15,000	--



#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
134	06/29/2020	Joint	AAPL	Apple Inc.	Purchase	\$1,001 - \$15,000	--
135	07/31/2020	Joint	NXPI	NXP Semiconductors N.V.	Purchase	\$1,001 - \$15,000	--
136	07/31/2020	Joint	CRM	salesforce.com, inc.	Purchase	\$1,001 - \$15,000	--
137	07/31/2020	Joint	GOOG	Alphabet Inc.	Sale (Full)	\$1,001 - \$15,000	--
138	08/06/2020	Joint	UPS	United Parcel Service, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
139	08/06/2020	Joint	AMZN	Amazon.com, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
140	08/06/2020	Joint	AAPL	Apple Inc.	Sale (Partial)	\$1,001 - \$15,000	--
141	08/06/2020	Joint	MSFT	Microsoft Corporation	Sale (Partial)	\$1,001 - \$15,000	--
142	08/06/2020	Joint	QCOM	QUALCOMM Incorporated	Sale (Partial)	\$1,001 - \$15,000	--
143	08/06/2020	Joint	SPLK	Splunk Inc.	Sale (Partial)	\$1,001 - \$15,000	--
144	08/06/2020	Joint	TMO	Thermo Fisher Scientific Inc.	Sale (Partial)	\$1,001 - \$15,000	--
145	08/13/2020	Joint	TGT	Target Corporation	Sale (Partial)	\$1,001 - \$15,000	--
146	08/13/2020	Joint	EMR	Emerson Electric Co.	Purchase	\$1,001 - \$15,000	--
147	08/13/2020	Joint	TFC	Truist Financial Corporation	Purchase	\$1,001 - \$15,000	--
148	08/14/2020	Joint	EMR	Emerson Electric Co.	Purchase	\$1,001 - \$15,000	--
149	08/14/2020	Joint	INTC	Intel Corporation	Sale (Full)	\$1,001 - \$15,000	--
150	08/14/2020	Joint	TGT	Target Corporation	Sale (Partial)	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
151	08/14/2020	Joint	TFC	Truist Financial Corporation	Purchase	\$1,001 - \$15,000	--
152	08/21/2020	Joint	DBLTX	DoubleLine Total Return Bond Fund Class I	Purchase	\$1,001 - \$15,000	--
153	08/21/2020	Joint	WACPX	Western Asset Core Plus Bond Fund Class I	Purchase	\$1,001 - \$15,000	--
154	08/21/2020	Joint	BLK	BlackRock, Inc.	Purchase	\$1,001 - \$15,000	--
155	08/24/2020	Joint	V	Visa Inc.	Sale (Partial)	\$1,001 - \$15,000	--
156	08/24/2020	Joint	ZTS	Zoetis Inc.	Sale (Partial)	\$1,001 - \$15,000	--
157	08/24/2020	Joint	GOOGL	Alphabet Inc.	Sale (Full)	\$1,001 - \$15,000	--
158	08/24/2020	Joint	AMZN	Amazon.com, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
159	08/24/2020	Joint	AAPL	Apple Inc.	Sale (Partial)	\$1,001 - \$15,000	--
160	08/24/2020	Joint	FB	Facebook, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
161	08/24/2020	Joint	APD	Air Products and Chemicals, Inc.	Purchase	\$1,001 - \$15,000	--
162	08/24/2020	Joint	T	AT&T Inc.	Purchase	\$1,001 - \$15,000	--
163	08/24/2020	Joint	AVGO	Broadcom Inc.	Purchase	\$1,001 - \$15,000	--
164	08/24/2020	Joint	BMJ	Bristol-Myers Squibb Company	Purchase	\$1,001 - \$15,000	--
165	08/24/2020	Joint	C	Citigroup Inc.	Purchase	\$1,001 - \$15,000	--
166	08/24/2020	Joint	JPM	JPMorgan Chase & Co.	Purchase	\$1,001 - \$15,000	--
167	08/24/2020	Joint	JNJ	Johnson & Johnson	Purchase	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
168	08/24/2020	Joint	UPS	United Parcel Service, Inc.	Purchase	\$1,001 - \$15,000	--
169	08/24/2020	Joint	VZ	Verizon Communications Inc.	Purchase	\$1,001 - \$15,000	--
170	08/24/2020	Joint	MNST	Monster Beverage Corporation	Sale (Partial)	\$1,001 - \$15,000	--
171	09/14/2020	Joint	CMCSA	Comcast Corporation	Sale (Partial)	\$1,001 - \$15,000	--
172	09/14/2020	Joint	GWW	W.W. Grainger, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
173	09/18/2020	Joint	CSX	CSX Corporation	Purchase	\$1,001 - \$15,000	--
174	09/18/2020	Joint	AMZN	Amazon.com, Inc.	Purchase	\$1,001 - \$15,000	--
175	09/18/2020	Joint	AAPL	Apple Inc.	Purchase	\$1,001 - \$15,000	--
176	09/18/2020	Joint	BMRN	BioMarin Pharmaceutical Inc.	Purchase	\$1,001 - \$15,000	--
177	09/18/2020	Joint	CCI	Crown Castle International Corp. (REIT)	Purchase	\$1,001 - \$15,000	--
178	09/18/2020	Joint	DLR	Digital Realty Trust, Inc.	Purchase	\$1,001 - \$15,000	--
179	09/18/2020	Joint	ETR	Entergy Corporation	Purchase	\$1,001 - \$15,000	--
180	09/18/2020	Joint	HD	The Home Depot, Inc.	Purchase	\$1,001 - \$15,000	--
181	09/18/2020	Joint	PG	The Procter & Gamble Company	Purchase	\$1,001 - \$15,000	--
182	09/18/2020	Joint	O	Realty Income Corporation	Purchase	\$1,001 - \$15,000	--
183	09/24/2020	Joint	BMRN	BioMarin Pharmaceutical Inc.	Sale (Partial)	\$1,001 - \$15,000	--
184	10/08/2020	Joint	TD	The Toronto-Dominion Bank	Sale (Partial)	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
185	10/09/2020	Joint	RY	Royal Bank of Canada	Purchase	\$1,001 - \$15,000	--
186	10/13/2020	Joint	TD	The Toronto-Dominion Bank	Sale (Full)	\$1,001 - \$15,000	--
187	10/16/2020	Joint	RY	Royal Bank of Canada	Purchase	\$1,001 - \$15,000	--
188	10/19/2020	Joint	V	Visa Inc.	Purchase	\$1,001 - \$15,000	--
189	10/22/2020	Joint	VFC	V.F. Corporation	Sale (Partial)	\$1,001 - \$15,000	--
190	10/26/2020	Joint	SPLK	Splunk Inc.	Purchase	\$1,001 - \$15,000	--
191	10/26/2020	Joint	VFC	V.F. Corporation	Sale (Full)	\$1,001 - \$15,000	--
192	10/29/2020	Joint	TXN	Texas Instruments Incorporated	Purchase	\$1,001 - \$15,000	--
193	10/29/2020	Joint	HD	The Home Depot, Inc.	Purchase	\$1,001 - \$15,000	--
194	10/29/2020	Joint	CSCO	Cisco Systems, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
195	10/30/2020	Joint	CSCO	Cisco Systems, Inc.	Sale (Full)	\$1,001 - \$15,000	--
196	10/30/2020	Joint	TXN	Texas Instruments Incorporated	Purchase	\$1,001 - \$15,000	--
197	11/05/2020	Joint	ASML	ASML Holding N.V.	Purchase	\$1,001 - \$15,000	--
198	11/09/2020	Joint	TEAM	Atlassian Corporation Plc	Purchase	\$1,001 - \$15,000	--
199	11/10/2020	Joint	AXP	American Express Company	Sale (Partial)	\$1,001 - \$15,000	--
200	11/23/2020	Joint	JNJ	Johnson & Johnson	Purchase	\$1,001 - \$15,000	--
201	11/23/2020	Joint	KMI	Kinder Morgan, Inc.	Purchase	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
202	11/23/2020	Joint	MDT	Medtronic plc	Purchase	\$1,001 - \$15,000	--
203	11/23/2020	Joint	KO	The Coca-Cola Company	Purchase	\$1,001 - \$15,000	--
204	11/23/2020	Joint	AEP	American Electric Power Company, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
205	11/23/2020	Joint	T	AT&T Inc.	Sale (Partial)	\$1,001 - \$15,000	--
206	11/23/2020	Joint	UPS	United Parcel Service, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
207	11/23/2020	Joint	CLX	The Clorox Company	Sale (Partial)	\$1,001 - \$15,000	--
208	11/23/2020	Joint	CSX	CSX Corporation	Sale (Partial)	\$1,001 - \$15,000	--
209	11/23/2020	Joint	AVGO	Broadcom Inc.	Sale (Partial)	\$1,001 - \$15,000	--
210	11/24/2020	Joint	CLX	The Clorox Company	Sale (Full)	\$1,001 - \$15,000	--
211	11/24/2020	Joint	KO	The Coca-Cola Company	Purchase	\$1,001 - \$15,000	--
212	11/24/2020	Joint	MDT	Medtronic plc	Purchase	\$1,001 - \$15,000	--
213	11/24/2020	Joint	AEP	American Electric Power Company, Inc.	Sale (Partial)	\$1,001 - \$15,000	--
214	11/25/2020	Joint	ETN	Eaton Corporation plc	Purchase	\$1,001 - \$15,000	--
215	11/25/2020	Joint	MDT	Medtronic plc	Purchase	\$1,001 - \$15,000	--
216	11/25/2020	Joint	KMI	Kinder Morgan, Inc.	Purchase	\$1,001 - \$15,000	--
217	11/25/2020	Joint	AEP	American Electric Power Company, Inc.	Sale (Full)	\$1,001 - \$15,000	--
218	11/25/2020	Joint	UPS	United Parcel Service, Inc.	Sale (Partial)	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
219	11/27/2020	Joint	ETN	Eaton Corporation plc	Purchase	\$1,001 - \$15,000	--
220	11/30/2020	Joint	ETN	Eaton Corporation plc	Purchase	\$1,001 - \$15,000	--
221	12/01/2020	Joint	ETN	Eaton Corporation plc	Purchase	\$1,001 - \$15,000	--
222	12/02/2020	Joint	ETN	Eaton Corporation plc	Purchase	\$1,001 - \$15,000	--
223	12/07/2020	Joint	SPLK	Splunk Inc.	Purchase	\$1,001 - \$15,000	--
224	12/16/2020	Joint	AXP	American Express Company	Sale (Full)	\$1,001 - \$15,000	--

#### Part 4b. Transactions

Did you, your spouse, or dependent child buy, sell, or exchange an asset where the transaction exceeded \$1,000 and was not reported on Part 4a? **Yes**

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comments
1	Joint	--	MFS Age 6-7 Years A	Purchase	01/20/2020	\$1,001 - \$15,000	n/a
2	Joint	--	MFS Age 6-7 Years C	Purchase	01/20/2020	\$1,001 - \$15,000	n/a
3	Joint	--	MFS Age 3-5 Years	Sale (Full)	01/20/2020	\$1,001 - \$15,000	n/a
4	Joint	--	IShares 0-7 Years	Sale (Full)	01/20/2020	\$1,001 - \$15,000	n/a
5	Joint	--	IShares 5-7 Years Port C	Purchase	01/20/2020	\$1,001 - \$15,000	n/a
6	Joint	--	IShares 5-7 Years Port A	Purchase	01/20/2020	\$1,001 - \$15,000	n/a
7	Joint	--	IShares 0-7 YRS	Sale (Full)	02/03/2020	\$1,001 - \$15,000	n/a
8	Joint	--	IShares 8-11 Years Port A	Purchase	02/03/2020	\$1,001 - \$15,000	n/a
9	Joint	--	IShares 8-11 Years Port C	Purchase	02/03/2020	\$1,001 - \$15,000	n/a
10	Joint	--	MFS Age 6 to 10 Years	Sale (Full)	02/03/2020	\$1,001 - \$15,000	n/a
11	Joint	--	MFS Age 8-9 Years A	Purchase	02/03/2020	\$1,001 - \$15,000	n/a
12	Joint	--	MFS Age 8-9 Years C	Purchase	02/03/2020	\$1,001 - \$15,000	n/a

#### Part 5. Gifts

Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **No**

#### Part 6. Travel

Did you, your spouse, or dependent child receive any **reportable travel**? **No**

## Part 7. Liabilities

Did you, your spouse, or dependent child have a reportable, non-revolving charge account liability worth more than \$10,000 at any time or a revolving charge account whose value exceeded \$10,000 as of the last day of the reporting period? **Yes**

#	Incurred	Debtor	Type	Points	Rate (Term)	Amount	Creditor	Comments
1	2014	Joint	Home Equity Line of Credit	-	3.5% (20)	\$100,001 - \$250,000	BB&t Edgewater, MD	HELC was rolled into refinanced mortgage in 2020. Added the mortgage to the EFD liabilities.
2	2020	Joint	Mortgage	None	3% (15 years)	\$500,001 - \$1,000,000	BB&T Edgewater, MD	We refinanced our primary home mortgage in 2020. The HELC was rolled into the refinance.

## Part 8. Positions

Did you hold any reportable outside positions during the reporting period? **No**

## Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **Yes**

#	Date	Parties Involved	Type	Status and Terms	Comments
1	Jan 2015	National Pork Producers Council [REDACTED] Des Moines, IA	Continuing participation in an employee benefit plan	Principal financial group continues to manage my employee IRA. No new contributions are being made by former employer or self upon my resignation.	n/a



## Part 10. Compensation

*Only required if you are a candidate or this is your first report.* Did any person or entity pay more than \$5,000 to you or for services provided by you? **This is not my first report.**

## Attachments & Comments

*No attachments added.*

*No comments added.*

# EXHIBIT C

United States Senate

## Financial Disclosures

### Periodic Transaction Report for 08/02/2021

██████████ (Agriculture, Nutrition & Forestry)

■ Filed 08/02/2021 @ 12:14 PM

The following statements were checked before filing:

- ☒ I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- ☒ I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.

☰ Transactions (31 transactions total) 0 Self 31 Joint 0 Spouse 0 Dependent Child

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
31	06/23/2021	Joint	<u>LLY</u>	Eli Lilly and Company Common Stock	Stock	Sale (Partial)	\$1,001 - \$15,000	--
30	06/23/2021	Joint	<u>JPM</u>	JP Morgan Chase & Co. Common Stock	Stock	Sale (Partial)	\$1,001 - \$15,000	--
29	06/23/2021	Joint	<u>FITB</u>	Fifth Third Bancorp - Common Stock	Stock	Sale (Partial)	\$1,001 - \$15,000	--
28	06/23/2021	Joint	<u>C</u>	Citigroup, Inc. Common Stock	Stock	Sale (Partial)	\$1,001 - \$15,000	--
27	06/22/2021	Joint	<u>ZTS</u>	Zoetis Inc. Class A Common Stock	Stock	Sale (Partial)	\$1,001 - \$15,000	--
26	06/22/2021	Joint	<u>VMW</u>	Vmware, Inc. Common stock, Class A	Stock	Sale (Partial)	\$1,001 - \$15,000	--
25	06/15/2021	Joint	<u>APD</u>	Air Products and Chemicals, Inc. Common Stock	Stock	Sale (Partial)	\$1,001 - \$15,000	--
24	06/11/2021	Joint	<u>CSX</u>	CSX Corporation - Common Stock	Stock	Sale (Partial)	\$1,001 - \$15,000	--
23	06/11/2021	Joint	<u>BMJ</u>	Bristol-Myers Squibb Company Common Stock	Stock	Sale (Partial)	\$1,001 - \$15,000	--
22	06/11/2021	Joint	<u>APD</u>	Air Products and Chemicals, Inc. Common Stock	Stock	Sale (Partial)	\$1,001 - \$15,000	--
21	06/10/2021	Joint	<u>UPS</u>	United Parcel Service, Inc. Common Stock	Stock	Sale (Partial)	\$1,001 - \$15,000	--
20	06/10/2021	Joint	<u>PEP</u>	PepsiCo, Inc. - Common Stock	Stock	Sale (Partial)	\$1,001 - \$15,000	--
19	06/10/2021	Joint	<u>KMI</u>	Kinder Morgan, Inc. Common Stock	Stock	Sale (Partial)	\$1,001 - \$15,000	--
18	06/10/2021	Joint	<u>JNJ</u>	Johnson & Johnson Common Stock	Stock	Sale (Partial)	\$1,001 - \$15,000	--
17	06/10/2021	Joint	<u>CCI</u>	Crown Castle International Corp. (REIT) Common Sto	Stock	Sale (Partial)	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
16	06/10/2021	Joint	<u>CMCSA</u>	Comcast Corporation - Class A Common Stock	Stock	Sale (Partial)	\$1,001 - \$15,000	--
15	06/10/2021	Joint	<u>BMJ</u>	Bristol-Myers Squibb Company Common Stock	Stock	Sale (Partial)	\$1,001 - \$15,000	--
14	06/10/2021	Joint	<u>CSX</u>	CSX Corporation - Common Stock	Stock	Sale (Partial)	\$1,001 - \$15,000	--
13	06/10/2021	Joint	<u>I</u>	AT&T Inc.	Stock	Sale (Full)	\$1,001 - \$15,000	--
12	06/10/2021	Joint	<u>APD</u>	Air Products and Chemicals, Inc. Common Stock	Stock	Sale (Partial)	\$1,001 - \$15,000	--
11	06/29/2021	Joint	<u>SYF</u>	Synchrony Financial Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
10	06/24/2021	Joint	<u>EVV</u>	Eaton Vance Ltd Duration	Stock	Purchase	\$1,001 - \$15,000	--
9	06/24/2021	Joint	<u>SYF</u>	Synchrony Financial Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
8	06/23/2021	Joint	<u>UNH</u>	UnitedHealth Group Incorporated Common Stock (DE)	Stock	Purchase	\$1,001 - \$15,000	--
7	06/23/2021	Joint	<u>AVGO</u>	Broadcom Inc. - Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
6	06/22/2021	Joint	<u>BABA</u>	Alibaba Group Holding Limited American Depositary	Stock	Purchase	\$1,001 - \$15,000	--
5	06/17/2021	Joint	<u>BHPMOV</u>	BHP GROUP LIMITED	Stock	Purchase	\$1,001 - \$15,000	--
4	06/11/2021	Joint	<u>XOM</u>	Exxon Mobil Corporation Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
3	06/10/2021	Joint	<u>O</u>	Realty Income Corporation Common Stock	Stock	Purchase	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
2	06/10/2021	Joint	<u>XOM</u>	Exxon Mobil Corporation Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
1	06/10/2021	Joint	<u>DE</u>	Deere & Company Common Stock	Stock	Purchase	\$1,001 - \$15,000	--


# EXHIBIT D

United States Senate

# Financial Disclosures

## New Filer Report for 01/25/2021

[REDACTED] (Armed Services)

 **Filed 03/26/2021 @ 1:20 PM**

The following statements were checked before filing:

- ☒ I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- ☒ I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.

☐ I *omitted* assets because they meet the three-part test for exemption.

### Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria

Did any individual or organization pay you or your spouse more than \$200, or donate any amount to a charity on your or your spouse's behalf, for an article, speech, or appearance? **No**

### Part 2. Earned and Non-Investment Income

Did you or your spouse have reportable earned income or non-investment income? **No**

### Part 3. Assets

Did you, your spouse, or dependent child own any asset that had a value of more than \$1,000 or generated income of more than \$200? **Yes**



	Asset	Asset Type	Owner	Value	Income Type	Income
1	<b>USAA</b> (San Antonio, TX) Type: Checking,	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
2	<b>USAA</b> (San Antonio, TX) Type: Checking,	Bank Deposit	Child	None (or less than \$1,001)	Interest,	None (or less than \$201)
3	<b>USAA</b> (San Antonio, TX) Type: Checking,	Bank Deposit	Child	None (or less than \$1,001)	Interest,	None (or less than \$201)
4	<b>USAA</b> (San Antonio, TX) Type: Savings,	Bank Deposit	Child	\$1,001 - \$15,000	Interest,	None (or less than \$201)
5	<b>USAA</b> (San Antonio, TX) Type: Savings,	Bank Deposit	Child	\$1,001 - \$15,000	Interest,	None (or less than \$201)
6	<b>Bank of America (Merrill)</b> (Carlsbad, CA) Type: Checking,	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
7	<b>NWL Rental</b> Description: Single Family Home (DuPont, WA)	Real Estate Residential	Joint	\$250,001 - \$500,000	Rent/Royalties,	\$15,001 - \$50,000
8	<b>Savings Bonds</b> Rate/Coupon: None Matures: None	Government Securities US Treasury/Agency Security	Self	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9	[REDACTED] <b>IRA</b>	Retirement Plans IRA	Self			
9.1	<b>AGOZX - Alger Small Cap Focus Fund Class Z</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
9.2	<b>AMBFX - American Funds American Balanced Fund Class F-2</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Dividends, Capital Gains,	\$201 - \$1,000

	Asset	Asset Type	Owner	Value	Income Type	Income
9.3	<b>ANWFX - American Funds New Perspective Fund Class F-2</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Dividends, Capital Gains,	\$201 - \$1,000
9.4	<b>BME - BlackRock Health Sciences Trust</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
9.5	<b>MBXIX - Catalyst/Millburn Hedge Strategy Fund Class I</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
9.6	<b>JATIX - Janus Henderson Global Technology and Innovation F</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Dividends, Capital Gains,	None (or less than \$201)
9.7	<b>PONPX - PIMCO Income Fund Class I-2</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
9.8	<b>WACPX - Western Asset Core Plus Bond Fund Class I</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Capital Gains,	None (or less than \$201)
9.9	<b>Bank of America (Merrill) (Carlsbad, CA) Type: IRA Cash Accounts,</b>	Bank Deposit	Self	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.10	<b>DGRO - iShares Core Dividend Growth ETF</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
9.11	<b>USMV - iShares MSCI USA Min Vol Factor ETF</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
10	<b>[REDACTED] ROTH IRA</b>	Retirement Plans IRA	Self			
10.1	<b>Bank of America (Merrill) (Carlsbad, CA) Type: IRA Cash Accounts,</b>	Bank Deposit	Self	\$1,001 - \$15,000	Interest,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
10.2	<b>DGRO - iShares Core Dividend Growth ETF</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
10.3	<b>USMV - iShares MSCI USA Min Vol Factor ETF</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
10.4	<b>PFF - iShares Preferred and Income Securities ETF</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
10.5	<b>AGOZX - Alger Small Cap Focus Fund Class Z</b>	Mutual Funds Mutual Fund	Self	None (or less than \$1,001)	Dividends, Capital Gains,	None (or less than \$201)
10.6	<b>ASMZX - Alger Weatherbie Specialized Growth Fund Class Z</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Dividends, Capital Gains,	None (or less than \$201)
10.7	<b>ANWFX - American Funds New Perspective Fund Class F-2</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Dividends, Capital Gains,	None (or less than \$201)
10.8	<b>MBXIX - Catalyst/Millburn Hedge Strategy Fund Class I</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Dividends, Capital Gains,	None (or less than \$201)
10.9	<b>PONPX - PIMCO Income Fund Class I-2</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Dividends, Capital Gains,	None (or less than \$201)
10.10	<b>PRWCX - T. Rowe Price Capital Appreciation Fund</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Dividends, Capital Gains,	None (or less than \$201)
11	<b>[REDACTED] IRA</b>	Retirement Plans IRA	Spouse			
11.1	<b>Bank of America (Merrill) (Carlsbad, CA) Type: IRA Cash Accounts,</b>	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
11.2	<b>DGRO - iShares Core Dividend Growth ETF</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
11.3	<b>USMV - iShares MSCI USA Min Vol Factor ETF</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
11.4	<b>AGOZX - Alger Small Cap Focus Fund Class Z</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Dividends, Capital Gains,	None (or less than \$201)
11.5	<b>AMBFX - American Funds American Balanced Fund Class F-2</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Dividends, Capital Gains,	None (or less than \$201)
11.6	<b>ANWFX - American Funds New Perspective Fund Class F-2</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Dividends, Capital Gains,	None (or less than \$201)
11.7	<b>BME - BlackRock Health Sciences Trust</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Dividends, Capital Gains,	None (or less than \$201)
11.8	<b>MBXIX - Catalyst/Millburn Hedge Strategy Fund Class I</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Dividends, Capital Gains,	None (or less than \$201)
11.9	<b>JATIX - Janus Henderson Global Technology and Innovation F</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Dividends, Capital Gains,	None (or less than \$201)
11.10	<b>PONPX - PIMCO Income Fund Class I-2</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Dividends, Capital Gains,	None (or less than \$201)
11.11	<b>WACPX - Western Asset Core Plus Bond Fund Class I</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Dividends, Capital Gains,	None (or less than \$201)
12	<b>Grant ROTH IRA</b>	Retirement Plans IRA	Spouse			

	Asset	Asset Type	Owner	Value	Income Type	Income
12.1	<b>Bank of America (Merrill)</b> (Carlsbad, CA) Type: IRA Cash Accounts,	Bank Deposit	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
12.2	<b>DGRO - iShares Core Dividend Growth ETF</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
12.3	<b>USMV - iShares MSCI USA Min Vol Factor ETF</b>	Corporate Securities Stock	Spouse	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
12.4	<b>PFF - iShares Preferred and Income Securities ETF</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
12.5	<b>AGOZX - Alger Small Cap Focus Fund Class Z</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Dividends, Capital Gains,	None (or less than \$201)
12.6	<b>ANWFX - American Funds New Perspective Fund Class F-2</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Dividends, Capital Gains,	None (or less than \$201)
12.7	<b>MBXIX - Catalyst/Millburn Hedge Strategy Fund Class I</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Dividends, Capital Gains,	None (or less than \$201)
12.8	<b>JVMIX - John Hancock Funds Disciplined Value Mid Cap Fund</b>	Mutual Funds Mutual Fund	Spouse	\$1,001 - \$15,000	Dividends, Capital Gains,	None (or less than \$201)
12.9	<b>PONPX - PIMCO Income Fund Class I-2</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Dividends, Capital Gains,	None (or less than \$201)
13	<b>[REDACTED] 529</b> Institution: Merrill Bank of America	Education Savings Plans 529 College Savings Plan	Child			
13.1	<b>Blackrock fixed inc port A</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	None,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
13.2	<b>Franklin Templeton Balanced A</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	None,	None (or less than \$201)
13.3	<b>Franklin Templeton sm mid cap gr A</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	None,	None (or less than \$201)
13.4	<b>Lord Abbett Total Retn A</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	None,	None (or less than \$201)
13.5	<b>CSHCX - MainStay Wins lg cp gr A</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	None,	None (or less than \$201)
13.6	<b>MFS fixed portfolio cl A</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	None,	None (or less than \$201)
13.7	<b>MFS research intl A</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	None,	None (or less than \$201)
13.8	<b>MFS value portfolio A</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	None,	None (or less than \$201)
13.9	<b>NEXTGEN savings port A</b>	Mutual Funds Mutual Fund	Child	\$15,001 - \$50,000	None,	None (or less than \$201)
14	<b>529</b> <i>Institution: Merrill Bank of America</i>	Education Savings Plans 529 College Savings Plan	Child			
14.1	<b>Franklin Templeton balanced A</b>	Mutual Funds Mutual Fund	Child	\$15,001 - \$50,000	None,	None (or less than \$201)
14.2	<b>iShares core mod alloc A</b>	Mutual Funds Mutual Fund	Child	\$15,001 - \$50,000	None,	None (or less than \$201)
14.3	<b>NEXTGEN savings port A</b>	Mutual Funds Mutual Fund	Child	\$15,001 - \$50,000	None,	None (or less than \$201)
15	<b>529 UTMA</b> <i>Institution: Merrill Bank of America</i>	Education Savings Plans 529 College Savings Plan	Child			
15.1	<b>Black Rock fixed inc port A</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	None,	None (or less than \$201)
15.2	<b>Franklin Templeton balanced A</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	None,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
15.3	<b>Franklin Templeton sm cap value A</b>	Mutual Funds Mutual Fund	Child	None (or less than \$1,001)	None,	None (or less than \$201)
15.4	<b>Franklin Templeton sm mid cap gr A</b>	Mutual Funds Mutual Fund	Child	None (or less than \$1,001)	None,	None (or less than \$201)
15.5	<b>Lord Abbett total retn A</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	None,	None (or less than \$201)
15.6	<b>MainStay wins lg gr A</b>	Mutual Funds Mutual Fund	Child	None (or less than \$1,001)	None,	None (or less than \$201)
15.7	<b>MFS fixed portfolio cl A</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	None,	None (or less than \$201)
15.8	<b>MFS research intl A</b>	Mutual Funds Mutual Fund	Child	None (or less than \$1,001)	None,	None (or less than \$201)
15.9	<b>MFS value portfolio A</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	None,	None (or less than \$201)
15.10	<b>Neuberger ber intl eq A</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	None,	None (or less than \$201)
16	<b>AZN - AstraZeneca PLC</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
17	<b>I - AT&amp;T Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
18	<b>HPE - Hewlett Packard Enterprise Company</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
19	<b>DGRO - iShares Core Dividend Growth ETF</b>	Corporate Securities Stock	Joint	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
20	<b>USMV - iShares MSCI USA Min Vol Factor ETF</b>	Corporate Securities Stock	Joint	\$100,001 - \$250,000	Dividends,	\$1,001 - \$2,500
21	<b>LMT - Lockheed Martin Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
22	<b>GLD - SPDR Gold Shares</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
23	<b>UPS - United Parcel Service, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends, Capital Gains,	None (or less than \$201)
24	<b>VLO - Valero Energy Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
25	<b>VIAC - ViacomCBS Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
26	<b>AGOZX - Alger Small Cap Focus Fund Class Z</b>	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Dividends, Capital Gains,	None (or less than \$201)
27	<b>ASMZX - Alger Weatherbie Specialized Growth Fund Class Z</b>	Mutual Funds Mutual Fund	Joint	\$1,001 - \$15,000	Dividends, Capital Gains,	None (or less than \$201)
28	<b>ANWFX - American Funds New Perspective Fund Class F-2</b>	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Dividends, Capital Gains,	\$201 - \$1,000
29	<b>BME - BlackRock Health Sciences Trust</b>	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Dividends, Capital Gains,	\$201 - \$1,000
30	<b>MBXIX - Catalyst/Millburn Hedge Strategy Fund Class I</b>	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Dividends, Capital Gains,	\$1,001 - \$2,500
31	<b>PONPX - PIMCO Income Fund Class I-2</b>	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Dividends, Capital Gains,	\$2,501 - \$5,000
32	<b>HIMYX - Pioneer High Income Municipal Fund Class Y</b>	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
33	<b>PRWCX - T. Rowe Price Capital Appreciation Fund</b>	Mutual Funds Mutual Fund	Joint	\$100,001 - \$250,000	Dividends, Capital Gains,	\$1,001 - \$2,500



	Asset	Asset Type	Owner	Value	Income Type	Income
34	<b>WACPX - Western Asset Core Plus Bond Fund Class I</b>	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Dividends, Capital Gains,	\$201 - \$1,000
35	<b>High Quality Div</b>	Brokerage/Managed Account	Joint			
35.1	<b>CHRW - C.H. Robinson Worldwide, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
35.2	<b>CTAS - Cintas Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
35.3	<b>EMR - Emerson Electric Co.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
35.4	<b>GRMN - Garmin Ltd.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
35.5	<b>GD - General Dynamics Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
35.6	<b>JNJ - Johnson &amp; Johnson</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
35.7	<b>PKG - Packaging Corporation of America</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
35.8	<b>PPG - PPG Industries, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
35.9	<b>PSA - Public Storage</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
35.10	<b>DGX - Quest Diagnostics Incorporated</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
35.11	<b>RHI - Robert Half International Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
35.12	<b>SNA - Snap-on Incorporated</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
35.13	<b>TXN - Texas Instruments Incorporated</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
35.14	<b>TSN - Tyson Foods, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)

Part 4a. Periodic Transaction Report Summary

**Not required**

Part 4b. Transactions

**Not required**

Part 5. Gifts

**Not required**

Part 6. Travel

**Not required**

Part 7. Liabilities

Did you, your spouse, or dependent child have a reportable, non-revolving charge account liability worth more than \$10,000 at any time or a revolving charge account whose value exceeded \$10,000 as of the last day of the reporting period? **No**

#### Part 8. Positions

Did you hold any reportable outside positions during the reporting period? **No**

#### Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **No**

#### Part 10. Compensation

*Only required if you are a candidate or this is your first report.* Did any person or entity pay more than \$5,000 to you or for services provided by you? **No**

#### Attachments & Comments

*No attachments added.*


*No comments added.*

# EXHIBIT E

United States Senate  
**Financial Disclosures**

**Annual Report for Calendar 2020**

[REDACTED] (Banking, Housing & Urban Affairs)

 **Filed 08/15/2021 @ 10:22 PM**

The following statements were checked before filing:

- ☒ I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- ☒ I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.

☐ I *omitted* assets because they meet the three-part test for exemption.

**Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria**

Did any individual or organization pay you or your spouse more than \$200, or donate any amount to a charity on your or your spouse's behalf, for an article, speech, or appearance? **No**

**Part 2. Earned and Non-Investment Income**

Did you or your spouse have reportable earned income or non-investment income? **Yes**

#	Who Was Paid	Type	Who Paid	Amount Paid	Comments
1	Self	Salary	U.S. Senate Washington, District of Columbia (DC)	\$137,500.00	n/a
2	Spouse	Salary	St. James Catholic School Falls Church, Virginia (VA)	> \$1,000	n/a

### Part 3. Assets

Did you, your spouse, or dependent child own any asset that had a value of more than \$1,000 or generated income of more than \$200? **Yes**

	Asset	Asset Type	Owner	Value	Income Type	Income
1	<b>Schwab Coverdell Education Savings Account (Child #1)</b>	Education Savings Plans Coverdell Education Savings Accounts	Child			
1.1	<b>Charles Schwab</b> (San Francisco, CA) Type: Brokerage Sweep Account,	Bank Deposit	Child	\$1,001 - \$15,000	Interest,	None (or less than \$201)
1.2	<b>XOM - Exxon Mobil Corporation Common Stock</b>	Corporate Securities Stock	Child	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
2	<b>Schwab Coverdell Education Savings Account (Child #2)</b> Filer comment: Child #2	Education Savings Plans Coverdell Education Savings Accounts	Child			
2.1	<b>XOM - Exxon Mobil Corporation Common Stock</b>	Corporate Securities Stock	Child	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
2.2	<b>Charles Schwab</b> (San Francisco, CA) Type: Brokerage Sweep Account,	Bank Deposit	Child	\$1,001 - \$15,000	Interest,	None (or less than \$201)
3	<b>Schwab Coverdell Education Savings Account (Child #3)</b> Filer comment: Child #3	Education Savings Plans Coverdell Education Savings Accounts	Child			
3.1	<b>Charles Schwab</b> (San Francisco, CA) Type: Brokerage Sweep Account,	Bank Deposit	Child	\$1,001 - \$15,000	Interest,	None (or less than \$201)
4	<b>Schwab Brokerage Account (Self)</b>	Brokerage/Managed Account	Self			
4.1	<b>BAC-M - Bank of America 5.375% Preferred Stock</b>	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500

	Asset	Asset Type	Owner	Value	Income Type	Income
4.2	<b>MBI - MBIA Inc. Common Stock</b>	Corporate Securities Stock	Self	\$15,001 - \$50,000	None,	None (or less than \$201)
4.3	<b>WFC - Wells Fargo &amp; Company Common Stock</b>	Corporate Securities Stock	Self	\$50,001 - \$100,000	Dividends,	\$201 - \$1,000
4.4	<b>SWTSX - Schwab Total Stock Market Index Fd Select Shs A</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Dividends, Excepted Investment Fund,	None (or less than \$201)
4.5	<b>BAC - Bank of America Corporation Common Stock</b> <i>Filer comment: Asset sold in full in 2020.</i>	Corporate Securities Stock	Self	None (or less than \$1,001)	Dividends,	\$201 - \$1,000
5	<b>Schwab Roth IRA (Self)</b>	Brokerage/Managed Account	Self			
5.1	<b>Charles Schwab</b> (San Francisco, CA) <i>Type: Brokerage Sweep Account,</i>	Bank Deposit	Self	\$15,001 - \$50,000	Interest,	None (or less than \$201)
5.2	<b>BAC-M - Bank of America 5.375% Preferred Stock</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
5.3	<b>DAL - Delta Air Lines, Inc. Common Stock</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
5.4	<b>XOM - Exxon Mobil Corporation Common Stock</b>	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
5.5	<b>HOV - Hovnanian Enterprises, Inc. Class A Common Stock</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)



	Asset	Asset Type	Owner	Value	Income Type	Income
5.6	<b>WFC - Wells Fargo &amp; Company Common Stock</b>	Corporate Securities Stock	Self	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
5.7	<b>SWPPX - Schwab S&amp;P 500 Index Fund- Select Shares</b>	Mutual Funds Mutual Fund	Self	\$50,001 - \$100,000	Dividends, Excepted Investment Fund,	None (or less than \$201)
6	<b>Schwab Rollover IRA (Self)</b>	Brokerage/Managed Account	Self			
6.1	<b>SWPPX - Schwab S&amp;P 500 Index Fund- Select Shares</b>	Mutual Funds Mutual Fund	Self	\$15,001 - \$50,000	Dividends, Excepted Investment Fund,	None (or less than \$201)
7	<b>Schwab Roth IRA (Spouse)</b>	Brokerage/Managed Account	Spouse			
7.1	<b>SWPPX - Schwab S&amp;P 500 Index Fund- Select Shares</b>	Mutual Funds Mutual Fund	Spouse	\$100,001 - \$250,000	Dividends, Excepted Investment Fund,	None (or less than \$201)
7.2	<b>SNSXX- Schwab U.S. Treasury Money Fund</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
8	<b>Schwab Brokerage Account (Spouse)</b>	Brokerage/Managed Account	Spouse			
8.1	<b>SWPPX - Schwab S&amp;P 500 Index Fund- Select Shares</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Dividends, Excepted Investment Fund,	\$201 - \$1,000
9	<b>Vanguard 529 Account (Child #1)</b> <i>Institution: Vanguard</i> <i>Filer comment: Child #1</i>	Education Savings Plans 529 College Savings Plan	Child			
9.1	<b>Vanguard Total Bond Market Index Portfolio</b>	Mutual Funds Mutual Fund	Child	\$15,001 - \$50,000	Dividends, Excepted Investment Fund,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
10	<b>Vanguard 529 Account (Child #2)</b> <i>Institution: Vanguard</i> <i>Filer comment: Child #2</i>	Education Savings Plans 529 College Savings Plan	Child			
10.1	<b>Vanguard Total Bond Market Index Portfolio</b>	Mutual Funds Mutual Fund	Child	\$15,001 - \$50,000	Dividends, Excepted Investment Fund,	None (or less than \$201)
11	<b>PNC Bank</b> (Pittsburgh, PA) <i>Type: Checking,</i>	Bank Deposit	Self	None (or less than \$1,001)	Interest,	\$201 - \$1,000
12	<b>M&amp;T Bank</b> (Buffalo, NY) <i>Type: Checking,</i>	Bank Deposit	Self	\$1,001 - \$15,000	Interest,	\$201 - \$1,000
13	<b>BBVA USA</b> (Birmingham, AL) <i>Type: Checking,</i>	Bank Deposit	Self	\$1,001 - \$15,000	Interest,	\$201 - \$1,000
14	<b>CIT Bank</b> (Pasadena, CA) <i>Type: Checking,</i>	Bank Deposit	Self	None (or less than \$1,001)	Interest,	\$201 - \$1,000
15	<b>USAA</b> (San Antonio, TX) <i>Type: Checking,</i>	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
16	<b>Goldman Sachs</b> (Salt Lake City, UT) <i>Type: Savings,</i>	Bank Deposit	Self	\$15,001 - \$50,000	Interest,	\$201 - \$1,000
17	<b>Citibank</b> (New York, NY) <i>Type: Checking,</i>	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
18	<b>Northwest Federal Credit Union</b> (Arlington, VA) <i>Type: Checking,</i>	Bank Deposit	Self	None (or less than \$1,001)	Interest,	\$201 - \$1,000
19	<b>American Express</b> (Salt Lake City, UT) <i>Type: Savings,</i>	Bank Deposit	Self	\$15,001 - \$50,000	Interest,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
20	<b>Virginia 529 Account (Child #1)</b> <i>Institution: Virginia</i> <i>Filer comment: Child #1</i>	Education Savings Plans 529 College Savings Plan	Child			
20.1	<b>Total Stock Market Index</b>	Mutual Funds Mutual Fund	Child	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
20.2	<b>Total Bond Market Index</b>	Mutual Funds Mutual Fund	Child	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
20.3	<b>Real Estate Investment Trust Index</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
20.4	<b>International Stock Index</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
20.5	<b>FDIC-Insured Portfolio</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
21	<b>Virginia 529 Account (Child #2)</b> <i>Institution: Virginia</i> <i>Filer comment: Child #2</i>	Education Savings Plans 529 College Savings Plan	Child			
21.1	<b>Total Stock Market Index</b>	Mutual Funds Mutual Fund	Child	\$50,001 - \$100,000	Excepted Investment Fund,	None (or less than \$201)
21.2	<b>Total Bond Market Index</b>	Mutual Funds Mutual Fund	Child	\$15,001 - \$50,000	Excepted Investment Fund,	None (or less than \$201)
21.3	<b>International Stock Index</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
21.4	<b>FDIC-Insured Portfolio</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
22	<b>Virginia 529 Account (Child #3)</b> <i>Institution: Virginia</i> <i>Filer comment: Child #3</i>	Education Savings Plans 529 College Savings Plan	Child			
22.1	<b>Total Stock Market Index</b>	Mutual Funds Mutual Fund	Child	\$1,001 - \$15,000	Excepted Investment Fund,	None (or less than \$201)
22.2	<b>Total Bond Market Index</b>	Mutual Funds Mutual Fund	Child	None (or less than \$1,001)	Excepted Investment Fund,	None (or less than \$201)

Part 4a. Periodic Transaction Report Summary

In this section, electronically filed periodic transaction report (PTR) transactions are displayed for you. Have you filed any paper-based PTRs in this period? **No**

Part 4b. Transactions

Did you, your spouse, or dependent child buy, sell, or exchange an asset where the transaction exceeded \$1,000 and was not reported on Part 4a? **Yes**

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comments
1	Self	--	SNSXX - Schwab U.S. Treasury Money Fund	Sale (Full)	02/19/2020	\$50,001 - \$100,000	n/a
2	Self	<u>BAC</u>	Bank of America Corporation Common Stock	Purchase	02/28/2020	\$1,001 - \$15,000	n/a
3	Self	<u>XOM</u>	Exxon Mobil Corporation Common Stock	Purchase	03/03/2020	\$15,001 - \$50,000	n/a
4	Self	<u>BAC</u>	Bank of America Corporation Common Stock	Purchase	03/05/2020	\$1,001 - \$15,000	n/a
5	Self	<u>DAL</u>	Delta Air Lines, Inc. Common Stock	Purchase	03/05/2020	\$15,001 - \$50,000	n/a
6	Self	<u>DAL</u>	Delta Air Lines, Inc. Common Stock	Sale (Partial)	03/05/2020	\$1,001 - \$15,000	n/a
7	Self	<u>XOM</u>	Exxon Mobil Corporation Common Stock	Purchase	03/05/2020	\$1,001 - \$15,000	n/a
8	Self	<u>WFC</u>	Wells Fargo & Company Common Stock	Purchase	03/05/2020	\$1,001 - \$15,000	n/a
9	Self	<u>CLBK</u>	Columbia Financial, Inc. - Common Stock	Purchase	03/06/2020	\$1,001 - \$15,000	n/a
10	Self	<u>MBI</u>	MBIA Inc. Common Stock	Purchase	03/06/2020	\$1,001 - \$15,000	n/a
11	Self	--	BAC-M - Bank of America 5.375% Preferred Stock	Purchase	03/10/2020	\$1,001 - \$15,000	n/a
12	Self	--	BAC-M - Bank of America 5.375% Preferred Stock	Purchase	03/12/2020	\$1,001 - \$15,000	n/a
13	Self	--	BAC-M - Bank of America 5.375% Preferred Stock	Purchase	03/18/2020	\$1,001 - \$15,000	n/a
14	Child	<u>SWPPX</u>	Schwab S&P 500 Index Fund- Select Shares	Sale (Full)	06/22/2020	\$1,001 - \$15,000	Child #1 Coverdell Education Savings Account
15	Child	<u>SWTSX</u>	Schwab Total Stock Market Index Fd Select Shs A	Sale (Full)	06/22/2020	\$1,001 - \$15,000	Child #1 Coverdell Education Savings Account

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comments
16	Child	<u>CLBK</u>	Columbia Financial, Inc. - Common Stock	Purchase	06/26/2020	\$1,001 - \$15,000	Child #1 Coverdell Education Savings Account
17	Child	<u>SWSBX</u>	Schwab Short-Term Bond Index Fund	Purchase	08/10/2020	\$1,001 - \$15,000	Child #2 Coverdell Education Savings Account
18	Child	<u>CLBK</u>	Columbia Financial, Inc. - Common Stock	Sale (Full)	11/24/2020	\$1,001 - \$15,000	Child #1 Coverdell Education Savings Account
19	Self	<u>BAC</u>	Bank of America Corporation Common Stock	Sale (Full)	11/24/2020	\$15,001 - \$50,000	n/a
20	Child	<u>WFC</u>	Wells Fargo & Company Common Stock	Sale (Full)	11/24/2020	\$1,001 - \$15,000	Child #2 Coverdell Education Savings Account
21	Self	<u>CLBK</u>	Columbia Financial, Inc. - Common Stock	Sale (Full)	12/23/2020	\$1,001 - \$15,000	n/a
22	Child	<u>XOM</u>	Exxon Mobil Corporation Common Stock	Purchase	12/28/2020	\$1,001 - \$15,000	Child #2 Coverdell Education Savings Account
23	Child	<u>SWSBX</u>	Schwab Short-Term Bond Index Fund	Sale (Full)	12/28/2020	\$1,001 - \$15,000	Child #2 Coverdell Education Savings Account
24	Child	<u>WFC</u>	Wells Fargo & Company Common Stock	Purchase	06/24/2020	\$1,001 - \$15,000	Child #2 Coverdell Education Savings Account
25	Child	--	Vanguard S&P 500 Index Portfolio	Sale (Full)	05/27/2020	\$15,001 - \$50,000	Child #1 Vanguard 529 Account
26	Child	--	Vanguard Total Bond Market Index Portfolio	Purchase	05/27/2020	\$15,001 - \$50,000	Child #1 Vanguard 529 Account
27	Child	--	Vanguard S&P 500 Index Portfolio	Sale (Full)	05/27/2020	\$15,001 - \$50,000	Child #2 Vanguard 529 Account
28	Child	--	Vanguard Total Bond Market Index Portfolio	Purchase	05/27/2020	\$15,001 - \$50,000	Child #2 Vanguard 529 Account
29	Child	--	Total Stock Market Index	Purchase	11/03/2020	\$1,001 - \$15,000	Child #3 Virginia 529 Account
30	Child	--	Total Bond Market Index	Purchase	06/09/2020	\$1,001 - \$15,000	Child #2 Virginia 529 Account

#	Owner	Ticker	Asset Name	Transaction Type	Transaction Date	Amount	Comments
31	Child	--	FDIC-Insured Portfolio	Purchase	08/27/2020	\$1,001 - \$15,000	Child #2 Virginia 529 Account
32	Child	--	FDIC-Insured Portfolio	Purchase	08/28/2020	\$1,001 - \$15,000	Child #2 Virginia 529 Account
33	Child	--	Total Bond Market Index	Purchase	06/09/2020	\$1,001 - \$15,000	Child #3 Virginia 529 Account
34	Child	--	FDIC-Insured Portfolio	Purchase	08/28/2020	\$1,001 - \$15,000	Child #3 Virginia 529 Account
35	Child	--	FDIC-Insured Portfolio	Sale (Partial)	01/16/2020	\$1,001 - \$15,000	Child #2 Virginia 529 Account
36	Child	--	FDIC-Insured Portfolio	Sale (Partial)	06/08/2020	\$1,001 - \$15,000	Child #2 Virginia 529 Account
37	Child	--	FDIC-Insured Portfolio	Sale (Partial)	01/16/2020	\$1,001 - \$15,000	Child #1 Virginia 529 Account
38	Child	--	FDIC-Insured Portfolio	Sale (Partial)	06/08/2020	\$1,001 - \$15,000	Child #1 Virginia 529 Account

#### Part 5. Gifts

Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **No**

#### Part 6. Travel

Did you, your spouse, or dependent child receive any **reportable travel**? **No**

#### Part 7. Liabilities

Did you, your spouse, or dependent child have a reportable, non-revolving charge account liability worth more than \$10,000 at any time or a revolving charge account whose value exceeded \$10,000 as of the last day of the reporting period? **No**

### Part 8. Positions

Did you hold any reportable outside positions during the reporting period? **No**

### Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **No**

### Part 10. Compensation

*Only required if you are a candidate or this is your first report.* Did any person or entity pay more than \$5,000 to you or for services provided by you? **No**

### Attachments & Comments

*No attachments added.*

*No comments added.*



# EXHIBIT F

United States Senate

## Financial Disclosures

## New Filer Report for 03/15/2021

[REDACTED] (Commerce, Science &amp; Transportation)

Filed 05/13/2021 @ 10:14 PM

The following statements were checked before filing:

- ☒ I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- ☒ I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.
- ☐ I omitted assets because they meet the three-part test for exemption.

## Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria

Did any individual or organization pay you or your spouse more than \$200, or donate any amount to a charity on your or your spouse's behalf, for an article, speech, or appearance? **No**

## Part 2. Earned and Non-Investment Income

Did you or your spouse have reportable earned income or non-investment income? **Yes**

#	Who Was Paid	Type	Who Paid	Amount Paid	Comments
1	Self	Salary	Washington State Attorney General's Office Olympia, Washington	\$180,380.67	n/a
2	Spouse	Salary	Impinj, Inc. Seattle, WA	> \$1,000	n/a
3	Self	Other (Unemployment)	Washington State Employment Security Olympia, Washington	\$3,032.00	n/a

### Part 3. Assets

Did you, your spouse, or dependent child own any asset that had a value of more than \$1,000 or generated income of more than \$200? **Yes**

	Asset	Asset Type	Owner	Value	Income Type	Income
1	<b>Chase</b> (Seattle, Washington) Type: Checking,	Bank Deposit	Self	\$1,001 - \$15,000	Interest,	None (or less than \$201)
2	<b>Chase</b> (Seattle, Washington) Type: Savings,	Bank Deposit	Self	\$15,001 - \$50,000	Interest,	None (or less than \$201)
3	<b>Wells Fargo</b> (Seattle, Washington) Type: Checking,	Bank Deposit	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
4	<b>Wells Fargo</b> (Seattle, WA) Type: Checking,	Bank Deposit	Joint	\$100,001 - \$250,000	Interest,	None (or less than \$201)
5	<b>Wells Fargo</b> (Seattle, WA) Type: Savings,	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
6	<b>Wells Fargo</b> (Seattle, WA) Type: Savings,	Bank Deposit	Joint	None (or less than \$1,001)	Interest,	None (or less than \$201)
7	<b>Fidelity Roth IRA</b>	Retirement Plans IRA	Spouse			
7.1	<b>CORE</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Dividends, Interest,	None (or less than \$201)
7.2	<b>FXNAX - Fidelity U.S. Bond Index Fund</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	None (or less than \$1,001)	Interest,	None (or less than \$201)
7.3	<b>FXNAX - Fidelity U.S. Bond Index Fund</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$50,001 - \$100,000	Interest,	\$201 - \$1,000
7.4	<b>FDRXX - Fidelity Phillips Street Trust - Fidelity Cash Res</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$15,001 - \$50,000	Interest,	\$201 - \$1,000
7.5	<b>EFA - iShares MSCI EAFE ETF</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Interest,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
7.6	<b>IWP - iShares Russell Mid-Cap Growth ETF</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Interest,	\$201 - \$1,000
7.7	<b>IWR - iShares Russell Mid-Cap ETF</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
7.8	<b>IJH - iShares Core S&amp;P Mid-Cap ETF</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
7.9	<b>IWN - iShares Russell 2000 Value ETF</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
7.10	<b>IWO - iShares Russell 2000 Growth ETF</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
7.11	<b>ESGE - iShares ESG Aware MSCI EM ETF</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Interest,	\$201 - \$1,000
7.12	<b>VEA - Vanguard FTSE Developed Markets Index Fund ETF Sha</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$15,001 - \$50,000	Interest,	None (or less than \$201)
7.13	<b>VWO - Vanguard FTSE Emerging Markets Index Fund ETF Shar</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
7.14	<b>VB - Vanguard Small-Cap Index Fund ETF Shares</b>	Mutual Funds Mutual Fund	Spouse	\$15,001 - \$50,000	Interest,	None (or less than \$201)
7.15	<b>XSOE - WisdomTree Emerging Markets ex-State-Owned Enterpr</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
7.16	<b>Amazon.com Inc.</b> <i>Rate/Coupon: 2.5%</i> <i>Matures: 11/29/2022</i>	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
7.17	<b>Biogen Inc</b> <i>Rate/Coupon: 3.625%</i> <i>Matures: 09/15/2022</i>	Corporate Securities Corporate Bond	Spouse	\$15,001 - \$50,000	Interest,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
8	<b><u>PI</u> - Impinj, Inc.</b>	Corporate Securities Stock	Spouse	\$500,001 - \$1,000,000	None,	None (or less than \$201)
9	<b>Schwab Rollover IRA</b> <i>Filer comment: Rollover IRA is professionally managed. Neither my spouse nor I choose the investments.</i>	Retirement Plans IRA	Spouse			
9.1	<b><u>GUNR</u> - FlexShares Morningstar Global Upstream Natural Res</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
9.2	<b><u>PDBC</u> - Invesco Optimum Yield Diversified Commodity Strate</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	None,	None (or less than \$201)
9.3	<b><u>SPHQ</u> - Invesco S&amp;P 500 Quality ETF</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
9.4	<b><u>IJH</u> - iShares Core S&amp;P Mid-Cap ETF</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
9.5	<b><u>ESGE</u> - iShares ESG Aware MSCI EM ETF</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
9.6	<b><u>XT</u> - iShares Exponential Technologies ETF</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
9.7	<b><u>MBB</u> - iShares MBS ETF</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
9.8	<b><u>EFA</u> - iShares MSCI EAFE ETF</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$100,001 - \$250,000	Dividends,	\$2,501 - \$5,000
9.9	<b><u>IWO</u> - iShares Russell 2000 Growth ETF</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
9.10	<b><u>IWN</u> - iShares Russell 2000 Value ETF</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
9.11	<b><u>IWR</u> - iShares Russell Mid-Cap ETF</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
9.12	<b><u>IWP</u> - iShares Russell Mid-Cap Growth ETF</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
9.13	<b><u>JPST</u> - JPMorgan Ultra-Short Income ETF</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
9.14	<b><u>SCHP</u> - Schwab U.S. TIPS ETF</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
9.15	<b><u>SPIB</u> - SPDR Portfolio Intermediate Term Corporate Bond ET</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
9.16	<b><u>VEA</u> - Vanguard FTSE Developed Markets Index Fund ETF Sha</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$100,001 - \$250,000	Dividends,	\$1,001 - \$2,500
9.17	<b><u>VWO</u> - Vanguard FTSE Emerging Markets Index Fund ETF Shar</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
9.18	<b><u>VV</u> - Vanguard Large-Cap Index Fund ETF Shares</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
9.19	<b><u>VB</u> - Vanguard Small-Cap Index Fund ETF Shares</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
9.20	<b><u>VXUS</u> - Vanguard Total International Stock Index Fund ETF</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
9.21	<b>XSOE - WisdomTree Emerging Markets ex-State-Owned Enterpr</b>	Mutual Funds Exchange Traded Fund/Note	Spouse	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
9.22	<b>88579YAX9 - 3M</b> Rate/Coupon: 2.25% Matures: 03/15/2023	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.23	<b>00287YAP4 - ABBVIE INC.</b> Rate/Coupon: 3.2% Matures: 11/06/2022	Corporate Securities Corporate Bond	Spouse	\$15,001 - \$50,000	Interest,	None (or less than \$201)
9.24	<b>Adobe Inc.</b> Rate/Coupon: 3.25% Matures: 02/01/2021	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.25	<b>Berkshire Hathaway</b> Rate/Coupon: 3.75% Matures: 11/15/2023	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.26	<b>Blackrock Inc.</b> Rate/Coupon: 3.375% Matures: 06/01/2022	Corporate Securities Corporate Bond	Spouse	\$15,001 - \$50,000	Interest,	None (or less than \$201)
9.27	<b>Bristol-Myers Squibb</b> Rate/Coupon: 2% Matures: 08/01/2022	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.28	<b>DANAHER CORP</b> Rate/Coupon: 3.25% Matures: 09/15/2025	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.29	<b>Deere &amp; Co</b> Rate/Coupon: 2.75% Matures: 4/15/25	Corporate Securities Corporate Bond	Spouse	\$15,001 - \$50,000	Interest,	None (or less than \$201)
9.30	<b>Eco Lab Inc</b> Rate/Coupon: 2.375% Matures: 8/10/22	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.31	<b>Emerson Electric</b> Rate/Coupon: 0.875% Matures: 10/15/26	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.32	<b>Intel Corp</b> Rate/Coupon: 3.1% Matures: 7/29/22	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)



	Asset	Asset Type	Owner	Value	Income Type	Income
9.33	<b>JP Morgan Chase</b> Rate/Coupon: 3.3% Matures: 4/1/26	Corporate Securities Corporate Bond	Spouse	\$15,001 - \$50,000	Interest,	None (or less than \$201)
9.34	<b>LAM Research Corp</b> Rate/Coupon: 2.8% Matures: 6/15/2021	Corporate Securities Corporate Bond	Spouse	\$15,001 - \$50,000	Interest,	None (or less than \$201)
9.35	<b>Mastercard Inc.</b> Rate/Coupon: 2% Matures: 11/21/21	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.36	<b>Microsoft Corp</b> Rate/Coupon: 2.7% Matures: 2/12/2025	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.37	<b>Morgan Stanley</b> Rate/Coupon: 2.625 Matures: 11/17/21	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.38	<b>Nike Inc</b> Rate/Coupon: 2.4% Matures: 3/27/25	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.39	<b>NVR, Inc.</b> Rate/Coupon: 3.95% Matures: 9/15/22	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.40	<b>PayPal Holdings</b> Rate/Coupon: 2.4% Matures: 10/01/24	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.41	<b>Pepsico</b> Rate/Coupon: 2.75% Matures: 3/5/22	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.42	<b>PNC Funding</b> Rate/Coupon: 3.3% Matures: 3/8/22	Corporate Securities Corporate Bond	Spouse	\$15,001 - \$50,000	Interest,	None (or less than \$201)
9.43	<b>PRAXAIR</b> Rate/Coupon: 2.45% Matures: 2/25/22	Corporate Securities Corporate Bond	Spouse	\$15,001 - \$50,000	Interest,	None (or less than \$201)
9.44	<b>Stryker Corp</b> Rate/Coupon: 1.15% Matures: 6/15/25	Corporate Securities Corporate Bond	Spouse	\$15,001 - \$50,000	Interest,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
9.45	<b>The Home Depot</b> <i>Rate/Coupon: 2.125%</i> <i>Matures: 9/15/26</i>	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.46	<b>Proctor &amp; Gamble</b> <i>Rate/Coupon: 2.7%</i> <i>Matures: 2/2/26</i>	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.47	<b>The Walt Disney Company</b> <i>Rate/Coupon: 1.75%</i> <i>Matures: 1/13/26</i>	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.48	<b>US Bancorp</b> <i>Rate/Coupon: 2.95%</i> <i>Matures: 7/15/22</i>	Corporate Securities Corporate Bond	Spouse	\$15,001 - \$50,000	Interest,	None (or less than \$201)
9.49	<b>Union Pacific Co</b> <i>Rate/Coupon: 2.75%</i> <i>Matures: 3/1/26</i>	Corporate Securities Corporate Bond	Spouse	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
9.50	<b>UnitedHealth Group</b> <i>Rate/Coupon: 1.25%</i> <i>Matures: 1/15/26</i>	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.51	<b>VISA Inc</b> <i>Rate/Coupon: 2.8%</i> <i>Matures: 12/14/22</i>	Corporate Securities Corporate Bond	Spouse	\$15,001 - \$50,000	Interest,	None (or less than \$201)
9.52	<b>Waste Management</b> <i>Rate/Coupon: 2.4%</i> <i>Matures: 5/25/21</i>	Corporate Securities Corporate Bond	Spouse	\$1,001 - \$15,000	Interest,	None (or less than \$201)
9.53	<b>Schwab Value Advantage Money Fund</b>	Brokerage/Managed Account	Spouse			
9.53.1	<b>Schwab</b> (Seattle, Washington) <i>Type: Money Market Account,</i>	Bank Deposit	Spouse	\$100,001 - \$250,000	Interest,	\$1,001 - \$2,500
9.54	<b>Schwab</b> (Seattle, Washington) <i>Type: IRA Cash Accounts,</i>	Bank Deposit	Spouse	\$50,001 - \$100,000	Interest,	None (or less than \$201)
9.55	<b><u>VRSK</u> - Verisk Analytics, Inc.</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
10	<b>Schwab</b> (Seattle, WA) <i>Type: Brokerage Sweep Account,</i>	Bank Deposit	Spouse	\$500,001 - \$1,000,000	Interest,	\$1,001 - \$2,500
11	<b>Schwab Beneficial Joint Account</b> <i>Filer comment: This is a managed account. Neither my spouse nor I choose the underlying assets.</i>	Brokerage/Managed Account	Joint			
11.1	<b><u>ABT</u> - Abbott Laboratories</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
11.2	<b><u>ADBE</u> - Adobe Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
11.3	<b><u>ALLY</u> - Ally Financial Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
11.4	<b><u>GOOGL</u> - Alphabet Inc.</b>	Corporate Securities Stock	Joint	\$50,001 - \$100,000	Dividends,	None (or less than \$201)
11.5	<b><u>AMZN</u> - Amazon.com, Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
11.6	<b><u>AMT</u> - American Tower Corporation (REIT)</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
11.7	<b><u>AMGN</u> - Amgen Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
11.8	<b><u>AAPL</u> - Apple Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.9	<b><u>AMAT</u> - Applied Materials, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
11.10	<b><u>APTIV</u> - Aptiv PLC</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
11.11	<b><u>ADSK</u> - Autodesk, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
11.12	<b><u>BLL</u> - Ball Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
11.13	<b><u>BAC</u> - Bank of America Corporation</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.14	<b><u>BRK-B</u> - Berkshire Hathaway Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
11.15	<b><u>BA</u> - The Boeing Company</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
11.16	<b><u>BKNG</u> - Booking Holdings Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
11.17	<b><u>CAT</u> - Caterpillar Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.18	<b><u>CVX</u> - Chevron Corporation</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$1,001 - \$2,500
11.19	<b><u>CMG</u> - Chipotle Mexican Grill, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
11.20	<b><u>CSCO</u> - Cisco Systems, Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.21	<b><u>STZ</u> - Constellation Brands, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
11.22	<b><u>CSGP</u> - CoStar Group, Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
11.23	<b><u>COST</u> - Costco Wholesale Corporation</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
11.24	<b><u>DHI</u> - D.R. Horton, Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
11.25	<b><u>DHR</u> - Danaher Corporation</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
11.26	<b><u>DLR</u> - Digital Realty Trust, Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.27	<b><u>DOCU</u> - DocuSign, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
11.28	<b><u>ECL</u> - Ecolab Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
11.29	<b><u>EOG</u> - EOG Resources, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
11.30	<b><u>EQIX</u> - Equinix, Inc. (REIT)</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
11.31	<b><u>EL</u> - The Estée Lauder Companies Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
11.32	<b><u>FB</u> - Facebook, Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
11.33	<b><u>FIS</u> - Fidelity National Information Services, Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.34	<b><u>FRC</u> - First Republic Bank</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
11.35	<b><u>FTV</u> - Fortive Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
11.36	<b><u>HD</u> - The Home Depot, Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.37	<b><u>HON</u> - Honeywell International Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
11.38	<b><u>INTC</u> - Intel Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
11.39	<b><u>JNJ</u> - Johnson &amp; Johnson</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.40	<b><u>JPM</u> - JPMorgan Chase &amp; Co.</b>	Corporate Securities Stock	Joint	\$50,001 - \$100,000	Dividends,	\$1,001 - \$2,500
11.41	<b><u>LHX</u> - L3Harris Technologies, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
11.42	<b><u>LRCX</u> - Lam Research Corporation</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.43	<b><u>LLY</u> - Eli Lilly and Company</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.44	<b><u>LIN</u> - Linde plc</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
11.45	<b><u>MMC</u> - Marsh &amp; McLennan Companies, Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.46	<b><u>MCD</u> - McDonald's Corporation</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.47	<b><u>MDT</u> - Medtronic plc</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.48	<b><u>MU</u> - Micron Technology, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
11.49	<b><u>MFST</u></b>	Corporate Securities Stock	Joint	\$50,001 - \$100,000	Dividends,	\$201 - \$1,000
11.50	<b><u>MDLZ</u> - Mondelez International, Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.51	<b><u>NFLX</u> - Netflix, Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
11.52	<b><u>NEE</u> - NextEra Energy, Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.53	<b><u>NKE</u> - NIKE, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
11.54	<b><u>NVDA</u> - NVIDIA Corporation</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
11.55	<b><u>PANW</u> - Palo Alto Networks, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
11.56	<b><u>PYPL</u> - PayPal Holdings, Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
11.57	<b><u>PEP</u> - PepsiCo, Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
11.58	<b><u>PFE</u> - Pfizer Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
11.59	<b><u>PPG</u> - PPG Industries, Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
11.60	<b><u>PG</u> - The Procter &amp; Gamble Company</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000



	Asset	Asset Type	Owner	Value	Income Type	Income
11.61	<b><u>PLD</u> - Prologis, Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.62	<b><u>RTX</u> - Raytheon Technologies Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
11.63	<b><u>CRM</u> - salesforce.com, inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
11.64	<b><u>NOW</u> - ServiceNow, Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
11.65	<b><u>SHW</u> - The Sherwin-Williams Company</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
11.66	<b><u>SYK</u> - Stryker Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
11.67	<b><u>TMO</u> - Thermo Fisher Scientific Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.68	<b><u>TMO</u> - Thermo Fisher Scientific Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	None (or less than \$201)
11.69	<b><u>TFC</u> - Truist Financial Corporation</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.70	<b><u>UNP</u> - Union Pacific Corporation</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.71	<b><u>UNH</u> - UnitedHealth Group Incorporated</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.72	<b><u>VLO</u> - Valero Energy Corporation</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.73	<b><u>VZ</u> - Verizon Communications Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.74	<b><u>VFC</u> - V.F. Corporation</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	\$201 - \$1,000
11.75	<b><u>V</u> - Visa Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
11.76	<b><u>WMT</u> - Walmart Inc.</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000

	Asset	Asset Type	Owner	Value	Income Type	Income
11.77	<b><u>DIS</u> - The Walt Disney Company</b>	Corporate Securities Stock	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
11.78	<b><u>XPER</u> - Xperi Holding Corporation</b>	Corporate Securities Stock	Joint	None (or less than \$1,001)	Dividends,	None (or less than \$201)
11.79	<b><u>ZTS</u> - Zoetis Inc.</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
11.80	<b><u>GUNR</u> - FlexShares Morningstar Global Upstream Natural Res</b>	Mutual Funds Exchange Traded Fund/Note	Joint	\$15,001 - \$50,000	Interest,	\$201 - \$1,000
11.81	<b><u>PDBC</u> - Invesco Optimum Yield Diversified Commodity Strate</b>	Mutual Funds Exchange Traded Fund/Note	Joint	\$15,001 - \$50,000	None,	None (or less than \$201)
11.82	<b><u>SPHQ</u> - Invesco S&amp;P 500 Quality ETF</b>	Mutual Funds Exchange Traded Fund/Note	Joint	\$1,001 - \$15,000	Interest,	\$201 - \$1,000
11.83	<b><u>IJH</u> - iShares Core S&amp;P Mid-Cap ETF</b>	Mutual Funds Exchange Traded Fund/Note	Joint	\$15,001 - \$50,000	Interest,	\$201 - \$1,000
11.84	<b><u>XT</u> - iShares Exponential Technologies ETF</b>	Mutual Funds Exchange Traded Fund/Note	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.85	<b><u>MBB</u> - iShares MBS ETF</b>	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Interest,	\$201 - \$1,000
11.86	<b><u>IWO</u> - iShares Russell 2000 Growth ETF</b>	Mutual Funds Exchange Traded Fund/Note	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.87	<b><u>IWN</u> - iShares Russell 2000 Value ETF</b>	Mutual Funds Mutual Fund	Joint	\$15,001 - \$50,000	Interest,	\$201 - \$1,000
11.88	<b><u>IWR</u> - iShares Russell Mid-Cap ETF</b>	Mutual Funds Exchange Traded Fund/Note	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
11.89	<b><u>IWP</u> - iShares Russell Mid-Cap Growth ETF</b>	Mutual Funds Exchange Traded Fund/Note	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)



	Asset	Asset Type	Owner	Value	Income Type	Income
11.90	<b>JPST - JPMorgan Ultra-Short Income ETF</b>	Mutual Funds Exchange Traded Fund/Note	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.91	<b>SCHP - Schwab U.S. TIPS ETF</b>	Mutual Funds Exchange Traded Fund/Note	Joint	\$15,001 - \$50,000	Interest,	\$201 - \$1,000
11.92	<b>SPIB - SPDR Portfolio Intermediate Term Corporate Bond ET</b>	Mutual Funds Exchange Traded Fund/Note	Joint	\$50,001 - \$100,000	Interest,	\$1,001 - \$2,500
11.93	<b>VV - Vanguard Large-Cap Index Fund ETF Shares</b>	Mutual Funds Exchange Traded Fund/Note	Joint	\$50,001 - \$100,000	Interest,	\$1,001 - \$2,500
11.94	<b>VB - Vanguard Small-Cap Index Fund ETF Shares</b>	Mutual Funds Exchange Traded Fund/Note	Joint	\$15,001 - \$50,000	Interest,	\$201 - \$1,000
11.95	<b>VXUS - Vanguard Total International Stock Index Fund ETF</b>	Mutual Funds Exchange Traded Fund/Note	Joint	\$15,001 - \$50,000	Interest,	\$201 - \$1,000
11.96	<b>Albuquerque NM</b> <i>Rate/Coupon: 4%</i> <i>Matures: 07/01/26</i>	Government Securities Municipal Security	Joint	\$50,001 - \$100,000	Interest,	None (or less than \$201)
11.97	<b>Appleton WI</b> <i>Rate/Coupon: 4%</i> <i>Matures: 04/01/2023</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.98	<b>Arlington TX ISD</b> <i>Rate/Coupon: 5%</i> <i>Matures: 02/15/2025</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.99	<b>Aurora CO WTR</b> <i>Rate/Coupon: 4%</i> <i>Matures: 8/1/26</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
11.100	<b>Austin TX Elec.</b> <i>Rate/Coupon: 5%</i> <i>Matures: 11/15/22</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.101	<b>Bank of America</b> <i>Rate/Coupon: 4.1%</i> <i>Matures: 7/24/23</i>	Corporate Securities Corporate Bond	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.102	<b>Cedar Hill TX</b> <i>Rate/Coupon: 4%</i> <i>Matures: 2/15/30</i>	Government Securities Municipal Security	Joint	\$50,001 - \$100,000	Interest,	None (or less than \$201)
11.103	<b>Cedar Rapids IA, SWR</b> <i>Rate/Coupon: 5%</i> <i>Matures: 6/1/23</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.104	<b>Central UT WTR CONS</b> <i>Rate/Coupon: 5%</i> <i>Matures: 04/01/2022</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.105	<b>Central Puget Sound WA TR</b> <i>Rate/Coupon: 5%</i> <i>Matures: 11/01/2027</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.106	<b>Columbus OH</b> <i>Rate/Coupon: 4%</i> <i>Matures: 08/15/2024</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.107	<b>Comcast Corp</b> <i>Rate/Coupon: 3%</i> <i>Matures: 02/01/2024</i>	Corporate Securities Corporate Bond	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.108	<b>Eau Claire WIS</b> <i>Rate/Coupon: 4%</i> <i>Matures: 04/01/2027</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
11.109	<b>Farmers BRH TX</b> <i>Rate/Coupon: 4%</i> <i>Matures: 02/15/2029</i>	Government Securities Municipal Security	Joint	\$50,001 - \$100,000	Interest,	None (or less than \$201)
11.110	<b>FL ST TPK Auth</b> <i>Rate/Coupon: 5%</i> <i>Matures: 07/01/2024</i>	Government Securities Municipal Security	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
11.111	<b>FL ST Board of Education</b> <i>Rate/Coupon: 5%</i> <i>Matures: 06/01/2028</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.112	<b>Gateway Tech CLG WI</b> <i>Rate/Coupon: 3%</i> <i>Matures: 04/01/2029</i>	Government Securities Municipal Security	Joint	\$50,001 - \$100,000	Interest,	None (or less than \$201)
11.113	<b>Houston TX Util</b> <i>Rate/Coupon: 5%</i> <i>Matures: 11/15/2026</i>	Government Securities Municipal Security	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
11.114	<b>Houston TX Util Sys</b> <i>Rate/Coupon: 5%</i> <i>Matures: 05/15/2026</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.115	<b>Fargo ND</b> <i>Rate/Coupon: 3%</i> <i>Matures: 04/01/2023</i>	Government Securities Municipal Security	Joint	\$50,001 - \$100,000	Interest,	None (or less than \$201)
11.116	<b>JP Morgan Chase</b> <i>Rate/Coupon: 3.2%</i> <i>Matures: 01/25/2023</i>	Corporate Securities Corporate Bond	Joint	\$50,001 - \$100,000	Interest,	None (or less than \$201)
11.117	<b>King County WA SD414</b> <i>Rate/Coupon: 4%</i> <i>Matures: 12/01/2026</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
11.118	<b>Las Vegas County NE</b> <i>Rate/Coupon: 5%</i> <i>Matures: 06/01/2022</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.119	<b>Madison WI Area TCD</b> <i>Rate/Coupon: 4%</i> <i>Matures: 03/01/2027</i>	Government Securities Municipal Security	Joint	\$50,001 - \$100,000	Interest,	None (or less than \$201)
11.120	<b>Madison WI WTR</b> <i>Rate/Coupon: 5%</i> <i>Matures: 01/01/2023</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.121	<b>McDonalds Corp</b> <i>Rate/Coupon: 3.35%</i> <i>Matures: 04/01/2023</i>	Corporate Securities Corporate Bond	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.122	<b>Metro Water Dist Salt Lake UT</b> <i>Rate/Coupon: 5%</i> <i>Matures: 07/01/2025</i>	Government Securities Municipal Security	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
11.123	<b>Milwaukee WI ATCD</b> <i>Rate/Coupon: 2%</i> <i>Matures: 06/01/2022</i>	Government Securities Municipal Security	Joint	\$50,001 - \$100,000	Interest,	None (or less than \$201)
11.124	<b>Nebo UT</b> <i>Rate/Coupon: 4%</i> <i>Matures: 07/01/2030</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.125	<b>Nevada State</b> <i>Rate/Coupon: 4%</i> <i>Matures: 05/01/2028</i>	Government Securities Municipal Security	Joint	\$50,001 - \$100,000	Interest,	None (or less than \$201)
11.126	<b>NVR, Inc.</b> <i>Rate/Coupon: 3.95%</i> <i>Matures: 09/15/2022</i>	Corporate Securities Corporate Bond	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
11.127	<b>Oklahoma City OK</b> <i>Rate/Coupon: 4%</i> <i>Matures: 03/01/2029</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.128	<b>Orem Utah Water Storm</b> <i>Rate/Coupon: 4%</i> <i>Matures: 07/15/2026</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.129	<b>Richardson TX ISD</b> <i>Rate/Coupon: 5%</i> <i>Matures: 02/15/2027</i>	Government Securities Municipal Security	Joint	\$50,001 - \$100,000	Interest,	None (or less than \$201)
11.130	<b>Sedgwick CN KS</b> <i>Rate/Coupon: 3.5%</i> <i>Matures: 08/01/2028</i>	Government Securities Municipal Security	Joint	\$50,001 - \$100,000	Interest,	None (or less than \$201)
11.131	<b>Sun Prairie WI</b> <i>Rate/Coupon: 4%</i> <i>Matures: 04/01/2026</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.132	<b>Texas A&amp;M Univ RE</b> <i>Rate/Coupon: 5%</i> <i>Matures: 05/15/2021</i>	Government Securities Municipal Security	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
11.133	<b>Texas A&amp;M Univ RE</b> <i>Rate/Coupon: 5%</i> <i>Matures: 05/15/2021</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.134	<b>The Home Depot</b> <i>Rate/Coupon: 3%</i> <i>Matures: 04/01/2026</i>	Corporate Securities Corporate Bond	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.135	<b>Texas Trans St Hwy Fund</b> <i>Rate/Coupon: 5%</i> <i>Matures: 04/01/2025</i>	Government Securities Municipal Security	Joint	\$50,001 - \$100,000	Interest,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
11.136	<b>US Bancorp</b> <i>Rate/Coupon: 3.7%</i> <i>Matures: 1/30/2024</i>	Government Securities Municipal Security	Joint	\$1,001 - \$15,000	Interest,	None (or less than \$201)
11.137	<b>Walmart Inc</b> <i>Rate/Coupon: 2.65%</i> <i>Matures: 12/15/2024</i>	Corporate Securities Corporate Bond	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.138	<b>Westchester County NY</b> <i>Rate/Coupon: 2%</i> <i>Matures: 10/15/2031</i>	Government Securities Municipal Security	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
11.139	<b>Schwab</b> (Seattle, WA) <i>Type: IRA Cash Accounts,</i>	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	\$201 - \$1,000
12	<b>Public Employee Retirement System 2</b> <i>Filer comment: This is the amount of my contributions plus interest in the Washington State retirement system. I have not retired and have not drawn benefits.</i>	Retirement Plans Defined Benefit Pension Plan	Self	\$100,001 - \$250,000	None,	None (or less than \$201)
13	<b>Washington State Deferred Compensation</b>	Deferred Compensation Deferred Compensation - Other	Self			
13.1	<b>Emerging Market Equity Index</b>	Equity Index-Linked Note	Self	\$100,001 - \$250,000	Interest,	\$2,501 - \$5,000
13.2	<b>Global Equity Index Fund</b>	Equity Index-Linked Note	Self	\$100,001 - \$250,000	Interest,	\$5,001 - \$15,000
13.3	<b>US Large Cap Equity Index Fund</b>	Equity Index-Linked Note	Self	\$100,001 - \$250,000	Interest,	\$15,001 - \$50,000
13.4	<b>US Small Cap Value Equity Index</b>	Equity Index-Linked Note	Self	\$50,001 - \$100,000	Interest,	\$15,001 - \$50,000

	Asset	Asset Type	Owner	Value	Income Type	Income
13.5	<b>Deferred Compensation Savings Pool</b> <i>Company:</i> Washington State Deferred Compensation Program (Olympia, Washington) <i>Description:</i> Cash	Deferred Compensation - Cash	Self	\$250,001 - \$500,000	Interest,	\$2,501 - \$5,000
14	<b>Health Equity</b> (Draper, UT) <i>Type:</i> Money Market Account,	Bank Deposit	Self	\$1,001 - \$15,000	Interest,	None (or less than \$201)
15	<b>Health Savings Account Investment Portfolio</b> <i>Filer comment:</i> This is the investment portion of my HSA.	Brokerage/Managed Account	Self			
15.1	<b><u>VTWNX</u> - Vanguard Target Retirement 2020 Fund Investor Shar</b>	Mutual Funds Exchange Traded Fund/Note	Self	\$15,001 - \$50,000	Interest,	None (or less than \$201)
15.2	<b><u>VEMIX</u> - Vanguard Emerging Markets Stock Index Fund Institu</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Interest,	None (or less than \$201)
16	<b>Schwab Roth IRA</b>	Retirement Plans IRA	Self			
16.1	<b><u>IJH</u> - iShares Core S&amp;P Mid-Cap ETF</b>	Mutual Funds Exchange Traded Fund/Note	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
16.2	<b><u>ESGE</u> - iShares ESG Aware MSCI EM ETF</b>	Mutual Funds Exchange Traded Fund/Note	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
16.3	<b><u>EFA</u> - iShares MSCI EAFE ETF</b>	Mutual Funds Exchange Traded Fund/Note	Self	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000
16.4	<b><u>IWO</u> - iShares Russell 2000 Growth ETF</b>	Mutual Funds Exchange Traded Fund/Note	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
16.5	<b><u>IWR</u> - iShares Russell Mid-Cap ETF</b>	Mutual Funds Exchange Traded Fund/Note	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
16.6	<b>IWP - iShares Russell Mid-Cap Growth ETF</b>	Mutual Funds Exchange Traded Fund/Note	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
16.7	<b>VEA - Vanguard FTSE Developed Markets Index Fund ETF Sha</b>	Mutual Funds Exchange Traded Fund/Note	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
16.8	<b>VB - Vanguard Small-Cap Index Fund ETF Shares</b>	Mutual Funds Exchange Traded Fund/Note	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
16.9	<b>XSOE - WisdomTree Emerging Markets ex-State-Owned Enterpr</b>	Mutual Funds Exchange Traded Fund/Note	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
16.10	<b>Schwab</b> (Seattle, Washington) Type: IRA Cash Accounts,	Bank Deposit	Self	None (or less than \$1,001)	Interest,	None (or less than \$201)
17	<b>PI - Impinj, Inc.</b> Strike price: \$34.64   Neither Expires: 07/15/2029	Corporate Securities Stock Option	Spouse	\$1,001 - \$15,000	None,	None (or less than \$201)
18	<b>PI - Impinj, Inc.</b> Strike price: \$22.40   Neither Expires: 06/15/2028	Corporate Securities Stock Option	Spouse	\$15,001 - \$50,000	None,	None (or less than \$201)
19	<b>PI - Impinj, Inc.</b> Strike price: \$17.33   Neither Expires: 5/16/2028	Corporate Securities Stock Option	Spouse	\$1,001 - \$15,000	None,	None (or less than \$201)

## Part 4a. Periodic Transaction Report Summary

**Not required**

## Part 4b. Transactions

**Not required**



## Part 5. Gifts

**Not required**

## Part 6. Travel

**Not required**

## Part 7. Liabilities

Did you, your spouse, or dependent child have a reportable, non-revolving charge account liability worth more than \$10,000 at any time or a revolving charge account whose value exceeded \$10,000 as of the last day of the reporting period? **No**

## Part 8. Positions

Did you hold any reportable outside positions during the reporting period? **Yes**

#	Position Dates	Position Held	Entity	Entity Type	Comments
1	Jan 2019 to Mar 2021	Employee	Washington State Attorney General's Office Olympia, Washington	Other (State government agency)	n/a

## Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **No**

## Part 10. Compensation

*Only required if you are a candidate or this is your first report.* Did any person or entity pay more than \$5,000 to you or for services provided by you? **Yes**

#	Source	Duties	Comments
1	Washington State Attorney General's Office Olympia, Washington	I was employed as an Assistant Attorney General for the Washington from August 28, 1989 until March 14, 2021.	n/a
2	Pollard Entities LLC Bellevue, Washington	My spouse and I received compensation from a developer of adjacent property for a crane easement over our property.	n/a

#### Attachments & Comments

*No attachments added.*

*No comments added.*

# EXHIBIT G

United States Senate

## Financial Disclosures

## Annual Report for Calendar 2020

[REDACTED] (Finance)

Filed 03/17/2021 @ 2:39 PM

The following statements were checked before filing:

- ☒ I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- ☒ I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.
- ☐ I omitted assets because they meet the three-part test for exemption.

## Part 1. Honoraria Payments or Payments to Charity in Lieu of Honoraria

Did any individual or organization pay you or your spouse more than \$200, or donate any amount to a charity on your or your spouse's behalf, for an article, speech, or appearance? **No**

## Part 2. Earned and Non-Investment Income

Did you or your spouse have reportable earned income or non-investment income? **No**

## Part 3. Assets

Did you, your spouse, or dependent child own any asset that had a value of more than \$1,000 or generated income of more than \$200? **Yes**

	Asset	Asset Type	Owner	Value	Income Type	Income
1	<b><u>MET</u> - MetLife, Inc. (NYSE)</b>	Corporate Securities Stock	Self	None (or less than \$1,001)	Dividends,	None (or less than \$201)
2	<b><u>M and T Bank</u></b> (Baltimore, MD) Type: Checking,	Bank Deposit	Joint	\$15,001 - \$50,000	Interest,	None (or less than \$201)
3	<b><u>SECU</u></b> (Baltimore, MD) Type: Certificate of Deposit,	Bank Deposit	Child	\$1,001 - \$15,000	Interest,	None (or less than \$201)
4	<b><u>BND</u> - Vanguard Total Bond Market Index Fund ETF Shares</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
5	<b><u>VTI</u> - Vanguard Total Stock Market Index Fund ETF Shares</b>	Corporate Securities Stock	Joint	\$1,001 - \$15,000	None,	None (or less than \$201)
6	<b><u>ABT</u> - Abbott Laboratories</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
7	<b><u>ALL</u> - The Allstate Corporation</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
8	<b><u>GOOGL</u> - Alphabet Inc.</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
9	<b><u>COLD</u> - Americold Realty Trust</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
10	<b><u>AMGN</u> - Amgen Inc.</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
11	<b><u>CVS</u> - CVS Health Corporation</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
12	<b><u>CNC</u> - Centene Corporation</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
13	<b>CVX - Chevron Corporation</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
14	<b>STZ - Constellation Brands, Inc.</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
15	<b>GLW - Corning Incorporated</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
16	<b>ECL - Ecolab Inc.</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
17	<b>HD - The Home Depot, Inc.</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
18	<b>INTC - Intel Corporation</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
19	<b>LHX - L3Harris Technologies, Inc.</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
20	<b>MXIM - Maxim Integrated Products, Inc.</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
21	<b>OLLI - Ollie's Bargain Outlet Holdings, Inc.</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
22	<b>VRSK - Verisk Analytics, Inc.</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
23	<b>YETI - YETI Holdings, Inc.</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)
24	<b>ZEN - Zendesk, Inc.</b>	Corporate Securities Stock	Self	\$1,001 - \$15,000	None,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
25	<b><u>VO</u> - Vanguard Mid-Cap ETF</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
26	<b><u>VB</u> - Vanguard Small-Cap ETF</b>	Mutual Funds Mutual Fund	Self	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
27	<b><u>INUTX</u> - Columbia Dividend Opportunity A</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
28	<b><u>MDT</u> - Medtronic plc</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	None,	None (or less than \$201)
29	<b><u>ABT</u> - Abbott Laboratories</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	None,	None (or less than \$201)
30	<b><u>AWK</u> - American Water Works Company, Inc.</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	None,	None (or less than \$201)
31	<b><u>AMGN</u>-Amgen Inc.</b>	Corporate Securities Stock	Spouse	None (or less than \$1,001)	Dividends,	None (or less than \$201)
32	<b><u>AAPL</u> - Apple Inc.</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	None,	None (or less than \$201)
33	<b><u>AVB</u> - AvalonBay Communities, Inc.</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
34	<b><u>BBY</u> - Best Buy Co., Inc.</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
35	<b><u>BAH</u> - Booz Allen Hamilton Holding Corporation</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
36	<b><u>BMJ</u> - Bristol-Myers Squibb Company (NYSE)</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
37	<b>AVGO - Broadcom Inc.</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
38	<b>CVS - CVS Health Corporation</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
39	<b>CSCO-Cisco Systems, Inc.</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
40	<b>CMCSA - Comcast Corporation</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
41	<b>DRE - Duke Realty Corporation</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
42	<b>EXC - Exelon Corporation</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
43	<b>FAST - Fastenal Company</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
44	<b>HD-The Home Depot, Inc.</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
45	<b>INTC-Intel Corporation</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
46	<b>JPM-JPMorgan Chase &amp; Co.</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
47	<b>KR - The Kroger Co.</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
48	<b>LMT - Lockheed Martin Corporation (NYSE)</b>	Corporate Securities Stock	Spouse	\$15,001 - \$50,000	Dividends,	\$201 - \$1,000



	Asset	Asset Type	Owner	Value	Income Type	Income
49	<b>MSFT-Microsoft Corporation</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
50	<b>NEE - NextEra Energy, Inc.</b>	Corporate Securities Stock	Spouse	None (or less than \$1,001)	Dividends,	None (or less than \$201)
51	<b>PNC - The PNC Financial Services Group, Inc.</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
52	<b>PEP - PepsiCo, Inc.</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
53	<b>PRU - Prudential Financial, Inc.</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	\$1,001 - \$2,500
54	<b>PEG - Public Service Enterprise Group Incorporated</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
55	<b>TXN - Texas Instruments Incorporated</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
56	<b>TOT - TOTAL SE</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
57	<b>TSN - Tyson Foods, Inc.</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
58	<b>UNP - Union Pacific Corporation</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)
59	<b>UPS - United Parcel Service, Inc.</b>	Corporate Securities Stock	Spouse	None (or less than \$1,001)	Dividends,	None (or less than \$201)
60	<b>V-Visa Inc.</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)

	Asset	Asset Type	Owner	Value	Income Type	Income
61	<b><u>WM</u> - Waste Management, Inc.</b>	Corporate Securities Stock	Spouse	\$1,001 - \$15,000	Dividends,	None (or less than \$201)

Part 4a. Periodic Transaction Report Summary

In this section, electronically filed periodic transaction report (PTR) transactions are displayed for you. Have you filed any paper-based PTRs in this period? **No**

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
1	09/22/2020	Self	MSFT	Microsoft Corporation	Sale (Full)	\$1,001 - \$15,000	--
2	09/22/2020	Self	OLLI	Ollie's Bargain Outlet Holdings, Inc.	Purchase	\$1,001 - \$15,000	--
3	09/22/2020	Self	VRSK	Verisk Analytics, Inc.	Purchase	\$1,001 - \$15,000	--
4	09/22/2020	Self	ABT	Abbott Laboratories	Purchase	\$1,001 - \$15,000	--
5	09/22/2020	Self	ALL	The Allstate Corporation	Purchase	\$1,001 - \$15,000	--
6	09/22/2020	Self	CVS	CVS Health Corporation	Purchase	\$1,001 - \$15,000	--
7	09/22/2020	Self	CNC	Centene Corporation	Purchase	\$1,001 - \$15,000	--
8	09/22/2020	Self	CVX	Chevron Corporation	Purchase	\$1,001 - \$15,000	--
9	09/22/2020	Self	STZ	Constellation Brands, Inc.	Purchase	\$1,001 - \$15,000	--
10	09/22/2020	Self	GLW	Corning Incorporated	Purchase	\$1,001 - \$15,000	--
11	09/22/2020	Self	ECL	Ecolab Inc.	Purchase	\$1,001 - \$15,000	--
12	09/22/2020	Self	HRS.F	L3Harris Technologies, Inc.	Purchase	\$1,001 - \$15,000	--
13	09/22/2020	Self	YETI	YETI Holdings, Inc.	Purchase	\$1,001 - \$15,000	--
14	09/22/2020	Self	ZEN	Zendesk, Inc.	Purchase	\$1,001 - \$15,000	--
15	09/22/2020	Self	GOOG	Alphabet Inc.	Sale (Full)	\$1,001 - \$15,000	--
16	09/22/2020	Self	CSCO	Cisco Systems, Inc.	Sale (Full)	\$1,001 - \$15,000	--
17	09/22/2020	Self	HAS	Hasbro, Inc.	Sale (Full)	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
18	09/22/2020	Self	TTWO	Take-Two Interactive Software, Inc.	Sale (Full)	\$1,001 - \$15,000	--
19	09/22/2020	Self	CLX	The Clorox Company	Sale (Full)	\$1,001 - \$15,000	--
20	09/22/2020	Self	HON	Honeywell International Inc.	Sale (Full)	\$1,001 - \$15,000	--
21	09/22/2020	Self	JPM	JPMorgan Chase & Co.	Sale (Full)	\$1,001 - \$15,000	--
22	09/22/2020	Self	JNJ	Johnson & Johnson	Sale (Full)	\$1,001 - \$15,000	--
23	09/22/2020	Self	RJF	Raymond James Financial, Inc.	Sale (Full)	\$1,001 - \$15,000	--
24	09/22/2020	Self	UNH	UnitedHealth Group Incorporated	Sale (Full)	\$1,001 - \$15,000	--
25	09/22/2020	Self	XYL	Xylem Inc.	Sale (Full)	\$1,001 - \$15,000	--
26	09/22/2020	Spouse	WRK	WestRock Company	Sale (Full)	\$1,001 - \$15,000	--
27	09/22/2020	Spouse	UPS	United Parcel Service, Inc.	Sale (Full)	\$1,001 - \$15,000	--
28	09/22/2020	Spouse	PSA	Public Storage	Sale (Full)	\$1,001 - \$15,000	--
29	09/22/2020	Spouse	PEG	Public Service Enterprise Group Incorporated	Purchase	\$1,001 - \$15,000	--
30	09/22/2020	Spouse	PEP	PepsiCo, Inc.	Purchase	\$1,001 - \$15,000	--
31	09/22/2020	Spouse	PNC	The PNC Financial Services Group, Inc.	Purchase	\$1,001 - \$15,000	--
32	09/22/2020	Spouse	KR	The Kroger Co.	Purchase	\$1,001 - \$15,000	--
33	09/22/2020	Spouse	FAST	Fastenal Company	Purchase	\$1,001 - \$15,000	--
34	09/22/2020	Spouse	EXC	Exelon Corporation	Purchase	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
35	09/22/2020	Spouse	DRE	Duke Realty Corporation	Purchase	\$1,001 - \$15,000	--
36	09/22/2020	Spouse	CMCSA	Comcast Corporation	Purchase	\$1,001 - \$15,000	--
37	09/22/2020	Spouse	CLX	The Clorox Company	Sale (Full)	\$1,001 - \$15,000	--
38	09/22/2020	Spouse	CVS	CVS Health Corporation	Purchase	\$1,001 - \$15,000	--
39	09/22/2020	Spouse	BMJ	Bristol-Myers Squibb Company	Purchase	\$1,001 - \$15,000	--
40	09/22/2020	Spouse	BAH	Booz Allen Hamilton Holding Corporation	Purchase	\$1,001 - \$15,000	--
41	09/22/2020	Spouse	BCE	BCE Inc.	Sale (Full)	\$1,001 - \$15,000	--
42	09/22/2020	Spouse	AVB	AvalonBay Communities, Inc.	Purchase	\$1,001 - \$15,000	--
43	09/22/2020	Spouse	ABT	Abbott Laboratories	Purchase	\$1,001 - \$15,000	--
44	09/22/2020	Spouse	ABBV	AbbVie Inc.	Sale (Partial)	\$1,001 - \$15,000	--
45	09/22/2020	Spouse	TSN	Tyson Foods, Inc.	Purchase	\$1,001 - \$15,000	--
46	09/22/2020	Spouse	TXN	Texas Instruments Incorporated	Purchase	\$1,001 - \$15,000	--
47	09/22/2020	Spouse	PSA	Public Storage	Sale (Full)	\$1,001 - \$15,000	--
48	09/22/2020	Spouse	PEG	Public Service Enterprise Group Incorporated	Purchase	\$1,001 - \$15,000	--
49	09/22/2020	Spouse	PEP	PepsiCo, Inc.	Purchase	\$1,001 - \$15,000	--
50	09/22/2020	Spouse	PNC	The PNC Financial Services Group, Inc.	Purchase	\$1,001 - \$15,000	--
51	09/22/2020	Spouse	MSFT	Microsoft Corporation	Sale (Full)	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Type	Amount	Comment
52	09/22/2020	Spouse	MXIM	Maxim Integrated Products, Inc.	Sale (Full)	\$1,001 - \$15,000	--
53	09/22/2020	Spouse	KR	The Kroger Co.	Purchase	\$1,001 - \$15,000	--
54	09/22/2020	Spouse	JNJ	Johnson & Johnson	Sale (Full)	\$1,001 - \$15,000	--
55	09/22/2020	Spouse	FAST	Fastenal Company	Purchase	\$1,001 - \$15,000	--
56	09/22/2020	Spouse	EXC	Exelon Corporation	Purchase	\$1,001 - \$15,000	--
57	09/22/2020	Spouse	DRE	Duke Realty Corporation	Purchase	\$1,001 - \$15,000	--
58	09/22/2020	Spouse	CMCSA	Comcast Corporation	Purchase	\$1,001 - \$15,000	--
59	09/22/2020	Spouse	CLX	The Clorox Company	Sale (Full)	\$1,001 - \$15,000	--
60	09/22/2020	Spouse	CVS	CVS Health Corporation	Purchase	\$1,001 - \$15,000	--
61	09/22/2020	Spouse	BMJ	Bristol-Myers Squibb Company	Purchase	\$1,001 - \$15,000	--
62	09/22/2020	Spouse	BAH	Booz Allen Hamilton Holding Corporation	Purchase	\$1,001 - \$15,000	--
63	09/22/2020	Spouse	BCE	BCE Inc.	Sale (Full)	\$1,001 - \$15,000	--
64	09/22/2020	Spouse	AVB	AvalonBay Communities, Inc.	Purchase	\$1,001 - \$15,000	--
65	09/22/2020	Spouse	AAPL	Apple Inc.	Purchase	\$1,001 - \$15,000	--
66	09/22/2020	Spouse	AWK	American Water Works Company, Inc.	Purchase	\$1,001 - \$15,000	--
67	09/22/2020	Spouse	ABT	Abbott Laboratories	Purchase	\$1,001 - \$15,000	--
68	09/22/2020	Spouse	ABBV	AbbVie Inc.	Sale (Full)	\$1,001 - \$15,000	--

#### Part 4b. Transactions

Did you, your spouse, or dependent child buy, sell, or exchange an asset where the transaction exceeded \$1,000 and was not reported on Part 4a? **No**

#### Part 5. Gifts

Did you, your spouse, or dependent child receive any reportable gift during the reporting period? **No**

#### Part 6. Travel

Did you, your spouse, or dependent child receive any **reportable travel**? **No**

#### Part 7. Liabilities

Did you, your spouse, or dependent child have a reportable, non-revolving charge account liability worth more than \$10,000 at any time or a revolving charge account whose value exceeded \$10,000 as of the last day of the reporting period? **No**

#### Part 8. Positions

Did you hold any reportable outside positions during the reporting period? **No**

#### Part 9. Agreements

Did you have any reportable agreement or arrangement with an outside entity? **No**

#### Part 10. Compensation

*Only required if you are a candidate or this is your first report:* Did any person or entity pay more than \$5,000 to you or for services provided by you? **This is not my first report.**

Attachments & Comments

*No attachments added.*  
*No comments added.*



# EXHIBIT H

United States Senate

## Financial Disclosures

### Periodic Transaction Report for 09/27/2021

██████████ (Finance)

■ Filed 09/27/2021 @ 4:44 PM

The following statements were checked before filing:

- ☒ I certify that the statements I have made on this form are true, complete and correct to the best of my knowledge and belief.
- ☒ I understand that reports cannot be edited once filed. To make corrections, I will submit an *electronic* amendment to this report.

☰ Transactions (36 transactions total) 17 Self 0 Joint 19 Spouse 0 Dependent Child

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
36	09/14/2021	Spouse	<u>AMGN</u>	Amgen Inc. - Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
35	09/14/2021	Spouse	<u>BLK</u>	BlackRock, Inc. Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
34	09/14/2021	Self	<u>AAPL</u>	Apple Inc. - Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
33	09/14/2021	Self	<u>CMCSA</u>	Comcast Corporation - Class A Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
32	09/14/2021	Self	<u>MSFT</u>	Microsoft Corporation - Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
31	09/14/2021	Self	<u>NVDA</u>	NVIDIA Corporation - Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
30	09/14/2021	Self	<u>SNPS</u>	Synopsys, Inc. - Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
29	09/14/2021	Self	<u>BLK</u>	BlackRock, Inc. Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
28	09/14/2021	Self	<u>CCI</u>	Crown Castle International Corp. (REIT) Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
27	09/14/2021	Self	<u>DIS</u>	Walt Disney Company (The) Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
26	09/14/2021	Self	<u>FTV</u>	Fortive Corporation Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
25	09/14/2021	Self	<u>SPGI</u>	S&P Global Inc. Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
24	09/14/2021	Self	<u>ADI</u>	Analog Devices, Inc. - Common Stock	Stock	Sale (Full)	\$1,001 - \$15,000	--
23	09/14/2021	Self	<u>INTC</u>	Intel Corporation - Common Stock	Stock	Sale (Full)	\$1,001 - \$15,000	--
22	09/14/2021	Self	<u>COLD</u>	Americold Realty Trust Common Shares	Stock	Sale (Full)	\$1,001 - \$15,000	--
21	09/14/2021	Self	<u>CNC</u>	Centene Corporation Common Stock	Stock	Sale (Full)	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
20	09/14/2021	Self	<u>STZ</u>	Constellation Brands, Inc. Common Stock	Stock	Sale (Full)	\$1,001 - \$15,000	--
19	09/14/2021	Self	<u>VB</u>	Vanguard Small-Cap ETF	Stock	Sale (Full)	\$1,001 - \$15,000	--
18	09/14/2021	Self	<u>YETI</u>	YETI Holdings, Inc. Common Stock	Stock	Sale (Full)	\$1,001 - \$15,000	--
17	09/14/2021	Spouse	<u>PEG</u>	Public Service Enterprise Group Incorporated Common	Stock	Sale (Full)	\$1,001 - \$15,000	--
16	09/14/2021	Spouse	<u>UNP</u>	Union Pacific Corporation Common Stock	Stock	Sale (Full)	\$1,001 - \$15,000	--
15	09/14/2021	Spouse	<u>TTE</u>	TotalEnergies SE	Stock	Sale (Full)	\$1,001 - \$15,000	--
14	09/14/2021	Spouse	<u>TJX</u>	TJX Companies, Inc. (The) Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
13	09/14/2021	Spouse	<u>PXD</u>	Pioneer Natural Resources Company Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
12	09/14/2021	Spouse	<u>PEP</u>	PepsiCo, Inc. - Common Stock	Stock	Sale (Full)	\$1,001 - \$15,000	--
11	09/14/2021	Spouse	<u>NDAQ</u>	Nasdaq, Inc. - Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
10	09/14/2021	Spouse	<u>KR</u>	Kroger Company (The) Common Stock	Stock	Sale (Full)	\$1,001 - \$15,000	--
9	09/14/2021	Spouse	<u>INTC</u>	Intel Corporation - Common Stock	Stock	Sale (Full)	\$1,001 - \$15,000	--
8	09/14/2021	Spouse	<u>HIG</u>	Hartford Financial Services Group, Inc. (The) Comm	Stock	Purchase	\$1,001 - \$15,000	--
7	09/14/2021	Spouse	<u>EXC</u>	Exelon Corporation - Common Stock	Stock	Sale (Full)	\$1,001 - \$15,000	--
6	09/14/2021	Spouse	<u>EOG</u>	EOG Resources, Inc. Common Stock	Stock	Purchase	\$1,001 - \$15,000	--

#	Transaction Date	Owner	Ticker	Asset Name	Asset Type	Type	Amount	Comment
5	09/14/2021	Spouse	<u>COST</u>	Costco Wholesale Corporation - Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
4	09/14/2021	Spouse	<u>CSCO</u>	Cisco Systems, Inc. - Common Stock	Stock	Sale (Full)	\$1,001 - \$15,000	---
3	09/14/2021	Spouse	<u>CVS</u>	CVS Health Corporation Common Stock	Stock	Sale (Full)	\$1,001 - \$15,000	--
2	09/14/2021	Spouse	<u>ADI</u>	Analog Devices, Inc. - Common Stock	Stock	Purchase	\$1,001 - \$15,000	--
1	09/14/2021	Spouse	<u>ALL</u>	Allstate Corporation (The) Common Stock	Stock	Purchase	\$1,001 - \$15,000	--