



# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. Katherine M. Clark  
**Status:** Member  
**State/District:** MA05

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2020  
**Filing Date:** 08/11/2021

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

| Asset   | Owner | Value of Asset      | Income Type(s) | Income | Tx. > \$1,000?                      |
|---|-------|---------------------|----------------|--------|-------------------------------------|
| Ameriprise SEP IRA ⇒<br>ABB Ltd (ABB) [ST]  | SP    | \$1,001 - \$15,000  | Tax-Deferred   |        | <input type="checkbox"/>            |
| Ameriprise SEP IRA ⇒<br>Alphabet Inc. - Class A (GOOGL) [ST]                          | SP    | \$1,001 - \$15,000  | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>American Beacon ARK Transformational Innovation<br>CL Y [MF]  | SP    | \$15,001 - \$50,000 | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>BlackRock, Inc. (BLK) [ST]                                    | SP    | \$1,001 - \$15,000  | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Coca-Cola European Partners plc Ordinary Shares<br>(CCE) [ST] | SP    | \$1,001 - \$15,000  | Tax-Deferred   |        | <input type="checkbox"/>            |
| Ameriprise SEP IRA ⇒<br>Edwards Lifesciences Corporation (EW) [ST]                    | SP    | \$1,001 - \$15,000  | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>First Solar, Inc. (FSLR) [ST]                                 | SP    | \$1,001 - \$15,000  | Tax-Deferred   |        | <input checked="" type="checkbox"/> |

| <b>Asset</b>   | <b>Owner</b> | <b>Value of Asset</b> | <b>Income Type(s)</b> | <b>Income</b> | <b>Tx. &gt; \$1,000?</b>            |
|--|--------------|-----------------------|-----------------------|---------------|-------------------------------------|
| Ameriprise SEP IRA ⇒<br>GlaxoSmithKline PLC (GSK) [ST]                         | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input checked="" type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Guggenheim Total Return Bond Instl CL [MF]             | SP           | \$15,001 - \$50,000   | Tax-Deferred          |               | <input type="checkbox"/>            |
| Ameriprise SEP IRA ⇒<br>Home Depot, Inc. (HD) [ST]                             | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input type="checkbox"/>            |
| Ameriprise SEP IRA ⇒<br>Intel Corporation (INTC) [ST]                          | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input type="checkbox"/>            |
| Ameriprise SEP IRA ⇒<br>Invesco Exchange S&P Midcap Low Volatility ETF [EF]    | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input checked="" type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Invesco Solar ETF [EF]                                 | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input checked="" type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Iron Mountain Incorporated (IRM) [ST]                  | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input checked="" type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Janus Henderson Enterprise CL I [MF]                   | SP           | \$15,001 - \$50,000   | Tax-Deferred          |               | <input type="checkbox"/>            |
| Ameriprise SEP IRA ⇒<br>Koninklijke Philips N.V. NY Registry Shares (PHG) [ST] | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input checked="" type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Lord Abbett Short Duration Income CL F [MF]            | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input type="checkbox"/>            |
| Ameriprise SEP IRA ⇒<br>Mainstay Mackay Short Duration High Yield CL I [MF]    | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input type="checkbox"/>            |
| Ameriprise SEP IRA ⇒<br>Mastercard Incorporated (MA) [ST]                      | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input checked="" type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Novo Nordisk A/S (NVO) [ST]                            | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input checked="" type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Oracle Corporation (ORCL) [ST]                         | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input type="checkbox"/>            |

| <b>Asset</b>   | <b>Owner</b> | <b>Value of Asset</b> | <b>Income Type(s)</b> | <b>Income</b> | <b>Tx. &gt; \$1,000?</b>            |
|--|--------------|-----------------------|-----------------------|---------------|-------------------------------------|
| Ameriprise SEP IRA ⇒ Orange (ORAN) [ST]  | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input checked="" type="checkbox"/> |
| Ameriprise SEP IRA ⇒ Pepsico, Inc. (PEP) [ST]  | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input checked="" type="checkbox"/> |
| Ameriprise SEP IRA ⇒ Putnam Income CL Y [MF]   | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input checked="" type="checkbox"/> |
| Ameriprise SEP IRA ⇒ S&P Global Inc. (SPGI) [ST]                                       | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input checked="" type="checkbox"/> |
| Ameriprise SEP IRA ⇒ SAP SE ADS (SAP) [ST]   | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input checked="" type="checkbox"/> |
| Ameriprise SEP IRA ⇒ Starbucks Corporation (SBUX) [ST]                                 | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input checked="" type="checkbox"/> |
| Ameriprise SEP IRA ⇒ State Street Corporation (STT) [ST]                               | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input checked="" type="checkbox"/> |
| Ameriprise SEP IRA ⇒ Taiwan Semiconductor Manufacturing Company Ltd. (TSM) [ST]        | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input type="checkbox"/>            |
| Ameriprise SEP IRA ⇒ WCM Focused Intl Growth Instl CL [MF]                             | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input checked="" type="checkbox"/> |
| Ameriprise SEP IRA ⇒ Xylem Inc. Common Stock New (XYL) [ST]                            | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒ ABB Ltd (ABB) [ST]  | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input type="checkbox"/>            |
| Ameriprise Traditional IRA ⇒ Alphabet Inc. - Class A (GOOGL) [ST]                      | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒ American Beacon ARK Transformational Innovation CL Y [MF] | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒ BlackRock, Inc. (BLK) [ST]                                | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒   | SP           | \$1,001 - \$15,000    | Tax-Deferred          |               | <input type="checkbox"/>            |

| Asset  | Owner | Value of Asset     | Income Type(s) | Income | Tx. > \$1,000?                      |
|--|-------|--------------------|----------------|--------|-------------------------------------|
| Coca-Cola European Partners plc Ordinary Shares (CCE) [ST]                             |       |                    |                |        |                                     |
| Ameriprise Traditional IRA ⇒<br>Edwards Lifesciences Corporation (EW) [ST]             | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>First Solar, Inc. (FSLR) [ST]                          | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>GlaxoSmithKline PLC (GSK) [ST]                         | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Guggenheim Total Return Bond Instl Cl [MF]             | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input type="checkbox"/>            |
| Ameriprise Traditional IRA ⇒<br>Home Depot, Inc. (HD) [ST]                             | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input type="checkbox"/>            |
| Ameriprise Traditional IRA ⇒<br>Intel Corporation (INTC) [ST]                          | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input type="checkbox"/>            |
| Ameriprise Traditional IRA ⇒<br>Invesco Exchange S&P Midcap Low Volatility ETF [EF]    | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Invesco Solar ETF [EF]                                 | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Iron Mountain Incorporated (IRM) [ST]                  | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Janus Henderson Enterprise CL I [MF]                   | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input type="checkbox"/>            |
| Ameriprise Traditional IRA ⇒<br>JPMorgan Strategic Income Opptys CL I [MF]             | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input type="checkbox"/>            |
| Ameriprise Traditional IRA ⇒<br>Koninklijke Philips N.V. NY Registry Shares (PHG) [ST] | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Lord Abbett Short Duration Income CL F [MF]            | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input type="checkbox"/>            |
| Ameriprise Traditional IRA ⇒   | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input type="checkbox"/>            |

| Asset   | Owner | Value of Asset     | Income Type(s) | Income | Tx. > \$1,000?                      |
|---|-------|--------------------|----------------|--------|-------------------------------------|
| Mainstay Mackay Short Duration High Yield CL I [MF]                                     |       |                    |                |        |                                     |
| Ameriprise Traditional IRA ⇒ Mastercard Incorporated (MA) [ST]                          | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒ Novo Nordisk A/S (NVO) [ST]                                | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒ Oracle Corporation (ORCL) [ST]                             | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input type="checkbox"/>            |
| Ameriprise Traditional IRA ⇒ Orange (ORAN) [ST]   | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒ Pepsico, Inc. (PEP) [ST]                                   | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒ Putnam Income CL Y [MF]                                    | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒ S&P Global Inc. (SPGI) [ST]                                | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒ SAP SE ADS (SAP) [ST]                                      | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒ Starbucks Corporation (SBUX) [ST]                          | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒ State Street Corporation (STT) [ST]                        | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒ Taiwan Semiconductor Manufacturing Company Ltd. (TSM) [ST] | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input type="checkbox"/>            |
| Ameriprise Traditional IRA ⇒ Vanguard Small Cap ETF [EF]                                | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input type="checkbox"/>            |
| Ameriprise Traditional IRA ⇒ WCM Focused Emerging Markets Instl CL [MF]                 | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input checked="" type="checkbox"/> |
| Ameriprise Traditional IRA ⇒ WCM Focused Intl Growth Instl CL [MF]                      | SP    | \$1,001 - \$15,000 | Tax-Deferred   |        | <input checked="" type="checkbox"/> |

| Asset   | Owner | Value of Asset            | Income Type(s) | Income              | Tx. > \$1,000?                      |
|---|-------|---------------------------|----------------|---------------------|-------------------------------------|
| Ameriprise Traditional IRA ⇒<br>Xylem Inc. Common Stock New (XYL) [ST]  | SP    | \$1,001 - \$15,000        | Tax-Deferred   |                     | <input checked="" type="checkbox"/> |
| Bank of America Account [BA]  | JT    | \$15,001 - \$50,000       | Interest       | \$1 - \$200         | <input type="checkbox"/>            |
| Capital One Savings Account [BA]  | JT    | \$50,001 - \$100,000      | Interest       | \$1 - \$200         | <input type="checkbox"/>            |
| COPERA 401(K) Plan ⇒<br>PERAdvantage 2030 Fund [MF]   |       | \$1,001 - \$15,000        | Tax-Deferred   |                     | <input type="checkbox"/>            |
| COPERA 401(K) Plan ⇒<br>PERAdvantage US Large Cap Stock [MF]  |       | \$15,001 - \$50,000       | Tax-Deferred   |                     | <input type="checkbox"/>            |
| D3 Irrevocable Trust ⇒<br>John Hancock 529 Enrollment Portfolio A [5P]<br><br>LOCATION: AK<br>COMMENTS: name changed from College Portfolio to Enrollment Portfolio | DC    | \$250,001 - \$500,000     | Tax-Deferred   |                     | <input type="checkbox"/>            |
| D3 Irrevocable Trust ⇒<br>John Hancock 529 Fixed Income Portfolio A [5P]<br><br>LOCATION: AK  | DC    | \$15,001 - \$50,000       | Tax-Deferred   |                     | <input type="checkbox"/>            |
| D3 Irrevocable Trust ⇒<br>Sequoia Fund [MF]   | DC    | \$15,001 - \$50,000       | Capital Gains  | \$201 - \$1,000     | <input type="checkbox"/>            |
| Eastern Bank Account [BA]   | JT    | \$250,001 - \$500,000     | Interest       | \$201 - \$1,000     | <input type="checkbox"/>            |
| Family Home (non-primary) [RP]<br><br>LOCATION: Truro, MA, US   | JT    | \$1,000,001 - \$5,000,000 | Rent           | \$15,001 - \$50,000 | <input type="checkbox"/>            |
| Judith S. Clark Irrevocable Trust ⇒<br>Apple Inc. (AAPL) [ST]   |       | \$250,001 - \$500,000     | Dividends      | \$1,001 - \$2,500   | <input type="checkbox"/>            |
| Judith S. Clark Irrevocable Trust ⇒<br>AT&T Inc. (T) [ST]   |       | \$1,001 - \$15,000        | Dividends      | \$201 - \$1,000     | <input type="checkbox"/>            |
| Judith S. Clark Irrevocable Trust ⇒<br>Berkshire Hathaway Inc. New (BRK.B) [ST]   |       | \$100,001 - \$250,000     | None           |                     | <input type="checkbox"/>            |
| Judith S. Clark Irrevocable Trust ⇒<br>Cisco Systems, Inc. (CSCO) [ST]  |       | \$15,001 - \$50,000       | Dividends      | \$1,001 - \$2,500   | <input type="checkbox"/>            |

| Asset  | Owner | Value of Asset             | Income Type(s)              | Income                | Tx. > \$1,000?           |
|--|-------|----------------------------|-----------------------------|-----------------------|--------------------------|
| Judith S. Clark Irrevocable Trust ⇒<br>Fidelity Government Money Market [BA]                               |       | \$500,001 -<br>\$1,000,000 | Interest                    | \$1,001 -<br>\$2,500  | <input type="checkbox"/> |
| DESCRIPTION: Cash holdings   |       |                            |                             |                       |                          |
| Judith S. Clark Irrevocable Trust ⇒<br>Ford Motor Company (F) [ST]   |       | \$1,001 - \$15,000         | Dividends                   | \$1 - \$200           | <input type="checkbox"/> |
| Judith S. Clark Irrevocable Trust ⇒<br>FS Energy and Power Fund [MF]                                       |       | \$15,001 - \$50,000        | Capital Gains,<br>Dividends | \$1,001 -<br>\$2,500  | <input type="checkbox"/> |
| Judith S. Clark Irrevocable Trust ⇒<br>GDB Debt Recovery Auth of Commonwealth of Puerto Rico [GS]          |       | \$1,001 - \$15,000         | Interest                    | \$1 - \$200           | <input type="checkbox"/> |
| DESCRIPTION: 5.2%, 8/1/26  |       |                            |                             |                       |                          |
| Judith S. Clark Irrevocable Trust ⇒<br>JP Morgan Chase & Co. (JPM) [ST]                                    |       | \$15,001 - \$50,000        | Capital Gains,<br>Dividends | \$1,001 -<br>\$2,500  | <input type="checkbox"/> |
| Judith S. Clark Irrevocable Trust ⇒<br>JP Morgan Chase & Co. SR NT [AB]                                    |       | \$1,001 - \$15,000         | Interest                    | \$1 - \$200           | <input type="checkbox"/> |
| DESCRIPTION: 3.25%; 9/23   |       |                            |                             |                       |                          |
| Judith S. Clark Irrevocable Trust ⇒<br>KB HOME SR NT 7.500% [AB]   |       | \$1,001 - \$15,000         | Interest                    | \$1 - \$200           | <input type="checkbox"/> |
| DESCRIPTION: 7.500% 9/15/22  |       |                            |                             |                       |                          |
| Judith S. Clark Irrevocable Trust ⇒<br>Microsoft Corporation (MSFT) [ST]                                   |       | \$50,001 -<br>\$100,000    | Dividends                   | \$201 - \$1,000       | <input type="checkbox"/> |
| Judith S. Clark Irrevocable Trust ⇒<br>NETAPP INC SR NT [AB]   |       | \$1,001 - \$15,000         | Interest                    | \$1 - \$200           | <input type="checkbox"/> |
| DESCRIPTION: 3.250% 12/15/22   |       |                            |                             |                       |                          |
| Judith S. Clark Irrevocable Trust ⇒<br>New York Community Bancorp, Inc. (NYCB) [ST]                        |       | \$1,001 - \$15,000         | Dividends                   | \$201 - \$1,000       | <input type="checkbox"/> |
| Judith S. Clark Irrevocable Trust ⇒<br>ROYAL BK SCOTLAND GROUP PLC SUB NT TIER 2<br>ISIN#US780097AZ42 [AB] |       | \$1,001 - \$15,000         | Interest                    | \$1 - \$200           | <input type="checkbox"/> |
| DESCRIPTION: 6.000% 12/19/23   |       |                            |                             |                       |                          |
| Judith S. Clark Irrevocable Trust ⇒<br>SPDR S&P 500 ETF [EF]   |       | \$500,001 -<br>\$1,000,000 | Dividends                   | \$5,001 -<br>\$15,000 | <input type="checkbox"/> |

| Asset  | Owner | Value of Asset        | Income Type(s)  | Income               | Tx. > \$1,000?           |
|--|-------|-----------------------|---|----------------------|--------------------------|
| Judith S. Clark Irrevocable Trust ⇒<br>STATE STR CORP SR SUB NT [AB]<br><br>DESCRIPTION: 3.100% 05/15/23   |       | \$1,001 - \$15,000    | Interest  | \$1 - \$200          | <input type="checkbox"/> |
| Judith S. Clark Irrevocable Trust ⇒<br>TEVA PHARMACEUTICAL FIN IV B V SR NT [AB]<br><br>DESCRIPTION: 3.650% 11/10/21   |       | \$1,001 - \$15,000    | Interest  | \$1 - \$200          | <input type="checkbox"/> |
| Judith S. Clark Irrevocable Trust ⇒<br>United Parcel Service, Inc. (UPS) [ST]  |       | \$15,001 - \$50,000   | Dividends   | \$201 - \$1,000      | <input type="checkbox"/> |
| Judith S. Clark Irrevocable Trust ⇒<br>Verizon Communications Inc. (VZ) [ST]   |       | \$15,001 - \$50,000   | Dividends   | \$201 - \$1,000      | <input type="checkbox"/> |
| Judith S. Clark Irrevocable Trust ⇒<br>Walt Disney Company (DIS) [ST]  |       | \$15,001 - \$50,000   | Dividends   | \$201 - \$1,000      | <input type="checkbox"/> |
| Judith S. Clark Irrevocable Trust ⇒<br>WELLS FARGO & CO NEWMEDIUM TERM SR NTS<br>FXD RT SER M [CS]<br><br>DESCRIPTION: 4.125%; 08/15/23  |       | \$1,001 - \$15,000    | Interest  | \$201 - \$1,000      | <input type="checkbox"/> |
| Katherine Clark Traditional IRA ⇒<br>Fidelity Government Cash Reserves [BA]  |       | \$250,001 - \$500,000 | Interest  | \$1 - \$200          | <input type="checkbox"/> |
| Katherine M. Clark Exempt Trust ⇒<br>Acacia Partners LP [HE]<br><br>DESCRIPTION: Asset inherited in January 2020   |       | \$1,001 - \$15,000    | Capital Gains,<br>Dividends,<br>Interest, Ordinary<br>business income | None                 | <input type="checkbox"/> |
| Katherine M. Clark Exempt Trust ⇒<br>Fidelity Government Cash Reserves [MF]  |       | \$100,001 - \$250,000 | Interest  | \$1 - \$200          | <input type="checkbox"/> |
| Katherine M. Clark Exempt Trust ⇒<br>Ruane, Cunniff, & Goldfarb Inc. [PS]<br><br>DESCRIPTION: investment adviser.<br>COMMENTS: This inherited asset is subject to mandatory buyback outside the control and/or consent of Katherine Clark or her agents. |       | \$100,001 - \$250,000 | Capital Gains,<br>Dividends,<br>Interest, Ordinary<br>business income | \$50,001 - \$100,000 | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>Acacia Partners LP [HE]<br><br>DESCRIPTION: Asset inherited in January 2020   |       | \$1,001 - \$15,000    | Capital Gains,<br>Dividends,<br>Interest, Ordinary<br>business income | None                 | <input type="checkbox"/> |



| <b>Asset</b>   | <b>Owner</b> | <b>Value of Asset</b>   | <b>Income Type(s)</b>       | <b>Income</b>     | <b>Tx. &gt; \$1,000?</b> |
|--|--------------|-------------------------|-----------------------------|-------------------|--------------------------|
| Katherine M. Clark Separate Share Trust ⇒<br>Alphabet Inc. - Class C Capital Stock (GOOG) [ST]         |              | \$15,001 - \$50,000     | Capital Gains               | None              | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>Annaly Capital Management Inc (NLY) [ST]                  |              | \$15,001 - \$50,000     | Dividends                   | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>Apple Inc. (AAPL) [ST]                                    |              | \$100,001 - \$250,000   | Dividends                   | \$201 - \$1,000   | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>AT&T Inc. (T) [ST]  |              | \$1,001 - \$15,000      | Dividends                   | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>Bank of America Corporation (BAC) [ST]                    |              | \$15,001 - \$50,000     | Dividends                   | \$201 - \$1,000   | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>Berkshire Hathaway Inc. New (BRK.B) [ST]                  |              | \$50,001 - \$100,000    | None                        |                   | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>Cisco Systems, Inc. (CSCO) [ST]                           |              | \$15,001 - \$50,000     | Dividends                   | \$201 - \$1,000   | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>Coca-Cola Company (KO) [ST]                               |              | \$15,001 - \$50,000     | Dividends                   | \$201 - \$1,000   | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>FCASH [BA]  |              | \$500,001 - \$1,000,000 | Interest                    | \$201 - \$1,000   | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>Financial Select Sector SPDR ETF [EF]                     |              | \$1,001 - \$15,000      | Capital Gains,<br>Dividends | \$1 - \$200       | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>International Business Machines Corporation (IBM)<br>[ST] |              | \$15,001 - \$50,000     | Dividends                   | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>Microsoft Corporation (MSFT) [ST]                         |              | \$15,001 - \$50,000     | Dividends                   | \$1 - \$200       | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>New York Community Bancorp, Inc. (NYCB) [ST]              |              | \$1,001 - \$15,000      | Dividends                   | \$1,001 - \$2,500 | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>Oakmark Investor [MF]                                     |              | \$15,001 - \$50,000     | Capital Gains,<br>Dividends | \$1 - \$200       | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>Pfizer, Inc. (PFE) [ST]                                   |              | \$15,001 - \$50,000     | Dividends                   | \$201 - \$1,000   | <input type="checkbox"/> |

| Asset  | Owner | Value of Asset          | Income Type(s)  | Income                  | Tx. > \$1,000?           |
|--|-------|-------------------------|---|-------------------------|--------------------------|
| Katherine M. Clark Separate Share Trust ⇒<br>Procter & Gamble Company (PG) [ST]  |       | \$15,001 - \$50,000     | Dividends   | \$201 - \$1,000         | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>Ruane, Cunniff, & Goldfarb Inc. [PS]  |       | \$250,001 - \$500,000   | Capital Gains,<br>Dividends,<br>Interest, Ordinary<br>business income | \$100,001 - \$1,000,000 | <input type="checkbox"/> |
| DESCRIPTION: investment adviser<br>COMMENTS: This inherited asset is subject to mandatory buyback outside the control and/or consent of Katherine Clark or her agents. |       |                         |   |                         |                          |
| Katherine M. Clark Separate Share Trust ⇒<br>Schwab International Equity ETF [EF]  |       | \$15,001 - \$50,000     | Dividends   | \$201 - \$1,000         | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>Schwab US Dividend Equity ETF [EF]  |       | \$1,001 - \$15,000      | Dividends   | \$201 - \$1,000         | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>SPDR S&P 500 ETF Trust [EF]   |       | \$100,001 - \$250,000   | Dividends   | \$2,501 - \$5,000       | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>Sprint Nextel Corp SR DEB [AB]  |       | \$1,001 - \$15,000      | Interest  | \$201 - \$1,000         | <input type="checkbox"/> |
| DESCRIPTION: 9.25%, 4/15/22  |       |                         |   |                         |                          |
| Katherine M. Clark Separate Share Trust ⇒<br>Vanguard Russell 2000 ETF [EF]  |       | \$15,001 - \$50,000     | Dividends   | \$1 - \$200             | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>Walt Disney Company (DIS) [ST]  |       | \$15,001 - \$50,000     | Dividends   | \$1 - \$200             | <input type="checkbox"/> |
| Law Management Innovation LLC, 100% Interest [OL]  | SP    | Undetermined            | None  |                         | <input type="checkbox"/> |
| LOCATION: Melrose, MA, US<br>DESCRIPTION: Consultancy  |       |                         |   |                         |                          |
| Massachusetts state pension [PE]   |       | Undetermined            | None  |                         | <input type="checkbox"/> |
| Sequoia Fund [MF]  |       | \$500,001 - \$1,000,000 | Capital Gains,<br>Dividends   | \$50,001 - \$100,000    | <input type="checkbox"/> |

\* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

## SCHEDULE B: TRANSACTIONS

| Asset   | Owner | Date       | Tx. Type       | Amount             | Cap. Gains > \$200?      |
|---|-------|------------|----------------|--------------------|--------------------------|
| Ameriprise SEP IRA ⇒<br>ABB Ltd (ABB) [ST]  | SP    | 04/3/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>ABB Ltd (ABB) [ST]  | SP    | 11/10/2020 | P              | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Abbott Laboratories (ABT) [ST]                            | SP    | 10/22/2020 | P              | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Abbott Laboratories (ABT) [ST]                            | SP    | 11/10/2020 | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Alphabet Inc. - Class A (GOOGL) [ST]                      | SP    | 04/3/2020  | P              | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Alphabet Inc. - Class A (GOOGL) [ST]                      | SP    | 10/22/2020 | S<br>(partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Alphabet Inc. - Class A (GOOGL) [ST]                      | SP    | 11/10/2020 | S<br>(partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>AMC Networks Inc. - Class A (AMCX) [ST]                   | SP    | 04/3/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>American Beacon ARK Transformational Innovation CL Y [MF] | SP    | 10/22/2020 | P              | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>American Beacon SIM High Yield Opptys CL Y [MF]           | SP    | 11/5/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Apple Inc. (AAPL) [ST]                                    | SP    | 04/3/2020  | P              | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Apple Inc. (AAPL) [ST]                                    | SP    | 10/22/2020 | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Apple Inc. (AAPL) [ST]                                    | SP    | 11/10/2020 | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>BlackRock, Inc. (BLK) [ST]                                | SP    | 11/5/2020  | P              | \$1,001 - \$15,000 |                          |

| Asset   | Owner | Date       | Tx. Type | Amount             | Cap. Gains > \$200?      |
|---|-------|------------|----------|--------------------|--------------------------|
| Ameriprise SEP IRA ⇒<br>BNY Mellon Global Real Return CL I [MF]                     | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>BNY Mellon Small Mid Cap Growth CL I [MF]                   | SP    | 10/22/2020 | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>BNY Mellon Small Mid Cap Growth CL I [MF]                   | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Bristol-Myers Squibb Company (BMY) [ST]                     | SP    | 04/3/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Bristol-Myers Squibb Company (BMY) [ST]                     | SP    | 10/22/2020 | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Coca-Cola European Partners plc Ordinary Shares (CCEP) [ST] | SP    | 10/22/2020 | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Coca-Cola European Partners plc Ordinary Shares (CCEP) [ST] | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Costco Wholesale Corporation (COST) [ST]                    | SP    | 10/22/2020 | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Costco Wholesale Corporation (COST) [ST]                    | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Edwards Lifesciences Corporation (EW) [ST]                  | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Elanco Animal Health Incorporated (ELAN) [ST]               | SP    | 10/22/2020 | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Elanco Animal Health Incorporated (ELAN) [ST]               | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Emerson Electric Company (EMR) [ST]                         | SP    | 04/3/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Fidelity National Information Services, Inc. (FIS) [ST]     | SP    | 10/22/2020 | P        | \$1,001 - \$15,000 |                          |

| Asset   | Owner | Date       | Tx. Type       | Amount             | Cap. Gains > \$200?      |
|---|-------|------------|----------------|--------------------|--------------------------|
| Ameriprise SEP IRA ⇒<br>Fidelity National Information Services, Inc. (FIS) [ST]   | SP    | 11/5/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>First Solar, Inc. (FSLR) [ST]   | SP    | 11/5/2020  | P              | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>FLIR Systems, Inc. (FLIR) [ST]  | SP    | 10/22/2020 | P              | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>FLIR Systems, Inc. (FLIR) [ST]  | SP    | 11/5/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>GlaxoSmithKline PLC (GSK) [ST]  | SP    | 03/2/2020  | P              | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>GlaxoSmithKline PLC (GSK) [ST]  | SP    | 10/22/2020 | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>GlaxoSmithKline PLC (GSK) [ST]  | SP    | 11/5/2020  | P              | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Guggenheim Total Return Bond Instl CL [MF]  | SP    | 10/22/2020 | P              | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Guggenheim Total Return Bond Instl CL [MF]  | SP    | 03/2/2020  | S<br>(partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Guggenheim Total Return Bond Instl CL [MF]  | SP    | 04/3/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Hasbro, Inc. (HAS) [ST]   | SP    | 03/2/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| COMMENTS: Previous PTR mistakenly showed that (SP) Hasbro stock was sold from the Traditional IRA only; it was sold from both the Traditional and SEP IRAs. Amount of transaction remains the same. |       |            |                |                    |                          |
| Ameriprise SEP IRA ⇒<br>Hologic, Inc. (HOLX) [ST]   | SP    | 10/22/2020 | P              | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Hologic, Inc. (HOLX) [ST]   | SP    | 11/5/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Home Depot, Inc. (HD) [ST]  | SP    | 10/22/2020 | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |

| Asset  | Owner | Date       | Tx. Type       | Amount             | Cap. Gains > \$200?      |
|--|-------|------------|----------------|--------------------|--------------------------|
| Ameriprise SEP IRA ⇒<br>HSBC Holdings, plc. (HSBC) [ST]                  | SP    | 10/22/2020 | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Intel Corporation (INTC) [ST]                    | SP    | 10/22/2020 | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Intel Corporation (INTC) [ST]                    | SP    | 11/5/2020  | P              | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Invesco Emerging Markets Sovereign Debt ETF [EF] | SP    | 11/5/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Invesco Solar ETF [EF]                           | SP    | 11/5/2020  | P              | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Invitation Homes Inc. (INVH) [ST]                | SP    | 10/22/2020 | S<br>(partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Invitation Homes Inc. (INVH) [ST]                | SP    | 11/5/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Iron Mountain Incorporated (IRM) [ST]            | SP    | 11/5/2020  | P              | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Ishares Russell 2000 ETF [EF]                    | SP    | 10/22/2020 | P              | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Ishares Russell 2000 ETF [EF]                    | SP    | 11/5/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Janus Henderson Enterprise CL I [MF]             | SP    | 11/5/2020  | P              | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Janus Henderson Enterprise CL I [MF]             | SP    | 12/18/2020 | P              | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Janus Henderson Enterprise CL I [MF]             | SP    | 03/2/2020  | S<br>(partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Janus Henderson Enterprise CL I [MF]             | SP    | 10/22/2020 | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>JP Morgan Chase & Co. (JPM) [ST]                 | SP    | 10/22/2020 | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |

| Asset  | Owner | Date       | Tx. Type    | Amount             | Cap. Gains > \$200?      |
|--|-------|------------|-------------|--------------------|--------------------------|
| Ameriprise SEP IRA ⇒<br>JP Morgan Chase & Co. (JPM) [ST]                       | SP    | 11/5/2020  | S           | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>JPMorgan Hedged Equity CL I [MF]                       | SP    | 11/5/2020  | S           | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>JPMorgan Strategic Income Opptys CL I [MF]             | SP    | 10/22/2020 | P           | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>JPMorgan Strategic Income Opptys CL I [MF]             | SP    | 04/3/2020  | S           | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>JPMorgan Strategic Income Opptys CL I [MF]             | SP    | 11/5/2020  | S           | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Kimberly-Clark Corporation (KMB) [ST]                  | SP    | 10/22/2020 | S           | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Kloninklijke Philips N V New 2000 Spon ADR [MF]        | SP    | 11/5/2020  | P           | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Koninklijke Philips N.V. NY Registry Shares (PHG) [ST] | SP    | 11/5/2020  | P           | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>L3Harris Technologies, Inc. (LHX) [ST]                 | SP    | 04/3/2020  | P           | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>L3Harris Technologies, Inc. (LHX) [ST]                 | SP    | 11/5/2020  | S           | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Ligand Pharmaceuticals Incorporated (LGND) [ST]        | SP    | 04/3/2020  | P           | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Ligand Pharmaceuticals Incorporated (LGND) [ST]        | SP    | 10/22/2020 | S           | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Lord Abbett Short Duration Income CL F [MF]            | SP    | 04/3/2020  | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Mainstay McKay Short Duration High Yield CL I [MF]     | SP    | 11/5/2020  | P           | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒   | SP    | 03/20/2020 | S           | \$1,001 - \$15,000 | <input type="checkbox"/> |

| Asset   | Owner | Date       | Tx. Type | Amount             | Cap. Gains > \$200?      |
|---|-------|------------|----------|--------------------|--------------------------|
| Marathon Petroleum Corporation (MPC) [ST]                                       |       |            |          |                    |                          |
| Ameriprise SEP IRA ⇒<br>Marathon Petroleum Corporation (MPC) [ST]               | SP    | 03/2/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Mastercard Incorporated (MA) [ST]                       | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Medtronic plc. Ordinary Shares (MDT) [ST]               | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Mosaic Company (MOS) [ST]                               | SP    | 04/3/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Mosaic Company (MOS) [ST]                               | SP    | 10/22/2020 | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>National Grid Transco, PLC National Grid PLC (NGG) [ST] | SP    | 10/22/2020 | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>National Grid Transco, PLC National Grid PLC (NGG) [ST] | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Novo Nordisk A/S (NVO) [ST]                             | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Oracle Corporation (ORCL) [ST]                          | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Orange (ORAN) [ST]                                      | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Pepsico, Inc. (PEP) [ST]                                | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Putnam Income CL Y [MF]                                 | SP    | 04/3/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Putnam Income CL Y [MF]                                 | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Ritchie Bros. Auctioneers Incorporated (RBA) [ST]       | SP    | 03/2/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |



| Asset   | Owner | Date       | Tx. Type | Amount             | Cap. Gains > \$200?      |
|---|-------|------------|----------|--------------------|--------------------------|
| Ameriprise SEP IRA ⇒ S&P Global Inc. (SPGI) [ST]                                | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒ SAP SE ADS (SAP) [ST]                                      | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒ Skechers U.S.A., Inc. (SKX) [ST]                           | SP    | 03/2/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒ Skechers U.S.A., Inc. (SKX) [ST]                           | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒ Sony Corporation (SNE) [ST]                                | SP    | 10/22/2020 | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒ Sony Corporation (SNE) [ST]                                | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒ Starbucks Corporation (SBUX) [ST]                          | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒ State Street Corporation (STT) [ST]                        | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒ Taiwan Semiconductor Manufacturing Company Ltd. (TSM) [ST] | SP    | 10/22/2020 | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒ UBS Group AG Registered Ordinary Shares (UBS) [ST]         | SP    | 10/22/2020 | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒ UBS Group AG Registered Ordinary Shares (UBS) [ST]         | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒ Union Pacific Corporation (UNP) [ST]                       | SP    | 10/22/2020 | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒ Union Pacific Corporation (UNP) [ST]                       | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒ UnitedHealth Group Incorporated Common Stock (UNH) [ST]    | SP    | 10/22/2020 | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |

| Asset  | Owner | Date       | Tx. Type | Amount             | Cap. Gains > \$200?      |
|--|-------|------------|----------|--------------------|--------------------------|
| Ameriprise SEP IRA ⇒<br>Vanguard Materials ETF (VAW) [ST]            | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Vanguard Materials ETF [EF]                  | SP    | 10/22/2020 | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Vanguard Materials ETF [EF]                  | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Vanguard Small Cap ETF [EF]                  | SP    | 04/3/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Vanguard Small Cap ETF [EF]                  | SP    | 10/22/2020 | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>Visa Inc. (V) [ST]                           | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise SEP IRA ⇒<br>WCM Focused Emerging Markets Instl CL [MF]   | SP    | 03/2/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>WCM Focused Intl Growth Instl CL [MF]        | SP    | 03/2/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>WCM Focused Intl Growth Instl CL [MF]        | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise SEP IRA ⇒<br>Xylem Inc. Common Stock New (XYL) [ST]       | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>ABB Ltd (ABB) [ST]                   | SP    | 04/3/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>ABB Ltd (ABB) [ST]                   | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Abbott Laboratories (ABT) [ST]       | SP    | 10/22/2020 | P        | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Abbott Laboratories (ABT) [ST]       | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Alphabet Inc. - Class A (GOOGL) [ST] | SP    | 04/3/2020  | P        | \$1,001 - \$15,000 |                          |

| Asset   | Owner | Date       | Tx. Type       | Amount             | Cap. Gains > \$200?      |
|---|-------|------------|----------------|--------------------|--------------------------|
| Ameriprise Traditional IRA ⇒<br>Alphabet Inc. - Class A (GOOGL) [ST]                        | SP    | 10/22/2020 | S<br>(partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>AMC Networks Inc. - Class A (AMCX) [ST]                     | SP    | 04/3/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>American Beacon ARK Transformational Innovation CL Y [MF]   | SP    | 10/22/2020 | P              | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>American Beacon SIM High Yield Opptys CL Y [MF]             | SP    | 11/5/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Apple Inc. (AAPL) [ST]                                      | SP    | 04/3/2020  | P              | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Apple Inc. (AAPL) [ST]                                      | SP    | 10/22/2020 | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Apple Inc. (AAPL) [ST]                                      | SP    | 11/5/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>BlackRock, Inc. (BLK) [ST]                                  | SP    | 11/5/2020  | P              | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>BNY Mellon Global Real Return CL I [MF]                     | SP    | 11/5/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>BNY Mellon Small Mid Cap Growth CL I [MF]                   | SP    | 10/22/2020 | P              | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>BNY Mellon Small Mid Cap Growth CL I [MF]                   | SP    | 11/5/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Bristol-Myers Squibb Company (BMY) [ST]                     | SP    | 04/3/2020  | P              | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Bristol-Myers Squibb Company (BMY) [ST]                     | SP    | 10/22/2020 | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Coca-Cola European Partners plc Ordinary Shares (CCEP) [ST] | SP    | 10/22/2020 | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |

| <b>Asset</b>  | <b>Owner</b> | <b>Date</b> | <b>Tx. Type</b> | <b>Amount</b>      | <b>Cap. Gains &gt; \$200?</b> |
|---|--------------|-------------|-----------------|--------------------|-------------------------------|
| Ameriprise Traditional IRA ⇒<br>Coca-Cola European Partners plc Ordinary Shares (CCEP) [ST] | SP           | 11/5/2020   | P               | \$1,001 - \$15,000 |                               |
| Ameriprise Traditional IRA ⇒<br>Costco Wholesale Corporation (COST) [ST]                    | SP           | 10/22/2020  | P               | \$1,001 - \$15,000 |                               |
| Ameriprise Traditional IRA ⇒<br>Costco Wholesale Corporation (COST) [ST]                    | SP           | 11/5/2020   | S               | \$1,001 - \$15,000 | <input type="checkbox"/>      |
| Ameriprise Traditional IRA ⇒<br>Edwards Lifesciences Corporation (EW) [ST]                  | SP           | 11/5/2020   | P               | \$1,001 - \$15,000 |                               |
| Ameriprise Traditional IRA ⇒<br>Elanco Animal Health Incorporated (ELAN) [ST]               | SP           | 10/22/2020  | P               | \$1,001 - \$15,000 |                               |
| Ameriprise Traditional IRA ⇒<br>Elanco Animal Health Incorporated (ELAN) [ST]               | SP           | 11/5/2020   | S               | \$1,001 - \$15,000 | <input type="checkbox"/>      |
| Ameriprise Traditional IRA ⇒<br>Emerson Electric Company (EMR) [ST]                         | SP           | 04/3/2020   | S               | \$1,001 - \$15,000 | <input type="checkbox"/>      |
| Ameriprise Traditional IRA ⇒<br>Fidelity National Information Services, Inc. (FIS) [ST]     | SP           | 10/22/2020  | P               | \$1,001 - \$15,000 |                               |
| Ameriprise Traditional IRA ⇒<br>Fidelity National Information Services, Inc. (FIS) [ST]     | SP           | 11/5/2020   | S               | \$1,001 - \$15,000 | <input type="checkbox"/>      |
| Ameriprise Traditional IRA ⇒<br>First Solar, Inc. (FSLR) [ST]                               | SP           | 11/5/2020   | P               | \$1,001 - \$15,000 |                               |
| Ameriprise Traditional IRA ⇒<br>FLIR Systems, Inc. (FLIR) [ST]                              | SP           | 10/22/2020  | P               | \$1,001 - \$15,000 |                               |
| Ameriprise Traditional IRA ⇒<br>FLIR Systems, Inc. (FLIR) [ST]                              | SP           | 11/5/2020   | S               | \$1,001 - \$15,000 | <input type="checkbox"/>      |
| Ameriprise Traditional IRA ⇒<br>GlaxoSmithKline PLC (GSK) [ST]                              | SP           | 03/2/2020   | P               | \$1,001 - \$15,000 |                               |
| Ameriprise Traditional IRA ⇒<br>GlaxoSmithKline PLC (GSK) [ST]                              | SP           | 10/22/2020  | S               | \$1,001 - \$15,000 | <input type="checkbox"/>      |

| Asset   | Owner | Date       | Tx. Type | Amount             | Cap. Gains > \$200?      |
|---|-------|------------|----------|--------------------|--------------------------|
| Ameriprise Traditional IRA ⇒<br>GlaxoSmithKline PLC (GSK) [ST]                      | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Guggenheim Total Return Bond Instl CL [MF]          | SP    | 10/22/2020 | P        | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Guggenheim Total Return Bond Instl CL [MF]          | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Guggenheim Total Return Bond Instl CL [MF]          | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Guggenheim Total Return Bond Instl CL [MF]          | SP    | 04/3/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Hasbro, Inc. (HAS) [ST]                             | SP    | 03/2/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Hologic, Inc. (HOLX) [ST]                           | SP    | 10/22/2020 | P        | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Hologic, Inc. (HOLX) [ST]                           | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Home Depot, Inc. (HD) [ST]                          | SP    | 10/22/2020 | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>HSBC Holdings, plc. (HSBC) [ST]                     | SP    | 10/22/2020 | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Intel Corporation (INTC) [ST]                       | SP    | 10/22/2020 | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Intel Corporation (INTC) [ST]                       | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Invesco Emerging Markets Sovereign Debt ETF [EF]    | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Invesco Exchange S&P Midcap Low Volatility ETF [EF] | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Invesco Exchange S&P Midcap Low Volatility ETF [EF] | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |

| Asset  | Owner | Date       | Tx. Type       | Amount             | Cap. Gains > \$200?      |
|--|-------|------------|----------------|--------------------|--------------------------|
| Ameriprise Traditional IRA ⇒<br>Invesco Solar ETF [EF]                     | SP    | 11/5/2020  | P              | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Invitation Homes Inc. (INVH) [ST]          | SP    | 10/22/2020 | S<br>(partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Invitation Homes Inc. (INVH) [ST]          | SP    | 11/5/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Iron Mountain Incorporated (IRM) [ST]      | SP    | 11/5/2020  | P              | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Ishares Russell 2000 ETF [EF]              | SP    | 10/22/2020 | P              | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Ishares Russell 2000 ETF [EF]              | SP    | 11/5/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Janus Henderson Enterprise CL I [MF]       | SP    | 11/5/2020  | P              | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Janus Henderson Enterprise CL I [MF]       | SP    | 03/2/2020  | S<br>(partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Janus Henderson Enterprise CL I [MF]       | SP    | 10/22/2020 | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>JP Morgan Chase & Co. (JPM) [ST]           | SP    | 11/5/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>JPMorgan Hedged Equity CL I [MF]           | SP    | 11/5/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>JPMorgan Strategic Income Opptys CL I [MF] | SP    | 10/22/2020 | P              | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>JPMorgan Strategic Income Opptys CL I [MF] | SP    | 04/3/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>JPMorgan Strategic Income Opptys CL I [MF] | SP    | 11/5/2020  | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒   | SP    | 10/22/2020 | S              | \$1,001 - \$15,000 | <input type="checkbox"/> |

| Asset  | Owner | Date       | Tx. Type    | Amount             | Cap. Gains > \$200?      |
|--|-------|------------|-------------|--------------------|--------------------------|
| Kimberly-Clark Corporation (KMB) [ST]  |       |            |             |                    |                          |
| Ameriprise Traditional IRA ⇒<br>Kloninklijke Philips N V New 2000 Spon ADR [MF]        | SP    | 11/5/2020  | P           | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Koninklijke Philips N.V. NY Registry Shares (PHG) [ST] | SP    | 11/5/2020  | P           | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>L3Harris Technologies, Inc. (LHX) [ST]                 | SP    | 04/3/2020  | P           | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>L3Harris Technologies, Inc. (LHX) [ST]                 | SP    | 11/5/2020  | S           | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Ligand Pharmaceuticals Incorporated (LGND) [ST]        | SP    | 04/3/2020  | P           | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Ligand Pharmaceuticals Incorporated (LGND) [ST]        | SP    | 10/22/2020 | S           | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Lord Abbett Short Duration Income CL F [MF]            | SP    | 11/5/2020  | P           | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Lord Abbett Short Duration Income CL F [MF]            | SP    | 11/5/2020  | P           | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Lord Abbett Short Duration Income CL F [MF]            | SP    | 04/3/2020  | S (partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Mainstay McKay Short Duration High Yield CL I [MF]     | SP    | 11/5/2020  | P           | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Marathon Petroleum Corporation (MPC) [ST]              | SP    | 03/20/2020 | S           | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Mastercard Incorporated (MA) [ST]                      | SP    | 11/5/2020  | P           | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Medtronic plc. Ordinary Shares (MDT) [ST]              | SP    | 11/5/2020  | S           | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Mosaic Company (MOS) [ST]                              | SP    | 10/22/2020 | S           | \$1,001 - \$15,000 | <input type="checkbox"/> |

| <b>Asset</b>  | <b>Owner</b> | <b>Date</b> | <b>Tx. Type</b> | <b>Amount</b>      | <b>Cap. Gains &gt; \$200?</b> |
|---|--------------|-------------|-----------------|--------------------|-------------------------------|
| Ameriprise Traditional IRA ⇒<br>National Grid Transco, PLC National Grid PLC (NGG) [ST] | SP           | 10/22/2020  | P               | \$1,001 - \$15,000 |                               |
| Ameriprise Traditional IRA ⇒<br>National Grid Transco, PLC National Grid PLC (NGG) [ST] | SP           | 11/5/2020   | S               | \$1,001 - \$15,000 | <input type="checkbox"/>      |
| Ameriprise Traditional IRA ⇒<br>Novo Nordisk A/S (NVO) [ST]                             | SP           | 11/5/2020   | P               | \$1,001 - \$15,000 |                               |
| Ameriprise Traditional IRA ⇒<br>Oracle Corporation (ORCL) [ST]                          | SP           | 10/22/2020  | S               | \$1,001 - \$15,000 | <input type="checkbox"/>      |
| Ameriprise Traditional IRA ⇒<br>Oracle Corporation (ORCL) [ST]                          | SP           | 11/5/2020   | P               | \$1,001 - \$15,000 |                               |
| Ameriprise Traditional IRA ⇒<br>Orange (ORAN) [ST]                                      | SP           | 11/5/2020   | P               | \$1,001 - \$15,000 |                               |
| Ameriprise Traditional IRA ⇒<br>Pepsico, Inc. (PEP) [ST]                                | SP           | 11/5/2020   | P               | \$1,001 - \$15,000 |                               |
| Ameriprise Traditional IRA ⇒<br>Putnam Income CL Y [MF]                                 | SP           | 04/3/2020   | P               | \$1,001 - \$15,000 |                               |
| Ameriprise Traditional IRA ⇒<br>Putnam Income CL Y [MF]                                 | SP           | 11/5/2020   | P               | \$1,001 - \$15,000 |                               |
| Ameriprise Traditional IRA ⇒<br>Ritchie Bros. Auctioneers Incorporated (RBA) [ST]       | SP           | 03/2/2020   | S               | \$1,001 - \$15,000 | <input type="checkbox"/>      |
| Ameriprise Traditional IRA ⇒<br>S&P Global Inc. (SPGI) [ST]                             | SP           | 11/5/2020   | P               | \$1,001 - \$15,000 |                               |
| Ameriprise Traditional IRA ⇒<br>SAP SE ADS (SAP) [ST]                                   | SP           | 11/5/2020   | P               | \$1,001 - \$15,000 |                               |
| Ameriprise Traditional IRA ⇒<br>Skechers U.S.A., Inc. (SKX) [ST]                        | SP           | 03/2/2020   | P               | \$1,001 - \$15,000 |                               |
| Ameriprise Traditional IRA ⇒<br>Skechers U.S.A., Inc. (SKX) [ST]                        | SP           | 10/22/2020  | S               | \$1,001 - \$15,000 | <input type="checkbox"/>      |
| Ameriprise Traditional IRA ⇒<br>Skechers U.S.A., Inc. (SKX) [ST]                        | SP           | 11/5/2020   | S               | \$1,001 - \$15,000 | <input type="checkbox"/>      |



| Asset   | Owner | Date       | Tx. Type | Amount             | Cap. Gains > \$200?      |
|---|-------|------------|----------|--------------------|--------------------------|
| Ameriprise Traditional IRA ⇒<br>Sony Corporation (SNE) [ST]                                   | SP    | 10/22/2020 | P        | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Sony Corporation (SNE) [ST]                                   | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Starbucks Corporation (SBUX) [ST]                             | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>State Street Corporation (STT) [ST]                           | SP    | 11/5/2020  | P        | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Taiwan Semiconductor Manufacturing Company Ltd.<br>(TSM) [ST] | SP    | 10/22/2020 | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Taiwan Semiconductor Manufacturing Company Ltd.<br>(TSM) [ST] | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>UBS Group AG Registered Ordinary Shares (UBS) [ST]            | SP    | 10/22/2020 | P        | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>UBS Group AG Registered Ordinary Shares (UBS) [ST]            | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Union Pacific Corporation (UNP) [ST]                          | SP    | 10/22/2020 | P        | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒<br>Union Pacific Corporation (UNP) [ST]                          | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>UnitedHealth Group Incorporated Common Stock (UNH)<br>[ST]    | SP    | 10/22/2020 | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Vanguard Materials ETF (VAW) [ST]                             | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒<br>Vanguard Materials ETF [EF]                                   | SP    | 10/22/2020 | P        | \$1,001 - \$15,000 |                          |
| Ameriprise Traditional IRA ⇒  | SP    | 11/5/2020  | S        | \$1,001 - \$15,000 | <input type="checkbox"/> |

| Asset  | Owner | Date       | Tx. Type    | Amount                | Cap. Gains > \$200?      |
|--|-------|------------|-------------|-----------------------|--------------------------|
| Vanguard Materials ETF [EF]  |       |            |             |                       |                          |
| Ameriprise Traditional IRA ⇒ Vanguard Small Cap ETF [EF]   | SP    | 04/3/2020  | S           | \$1,001 - \$15,000    | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒ Vanguard Small Cap ETF [EF]   | SP    | 10/22/2020 | S           | \$1,001 - \$15,000    | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒ Visa Inc. (V) [ST]  | SP    | 11/5/2020  | S           | \$1,001 - \$15,000    | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒ WCM Focused Emerging Markets Instl CL [MF]  | SP    | 03/2/2020  | P           | \$1,001 - \$15,000    |                          |
| Ameriprise Traditional IRA ⇒ WCM Focused Emerging Markets Instl CL [MF]  | SP    | 11/5/2020  | P           | \$1,001 - \$15,000    |                          |
| Ameriprise Traditional IRA ⇒ WCM Focused Emerging Markets Instl CL [MF]  | SP    | 11/5/2020  | P           | \$1,001 - \$15,000    |                          |
| Ameriprise Traditional IRA ⇒ WCM Focused Emerging Markets Instl CL [MF]  | SP    | 10/22/2020 | S (partial) | \$1,001 - \$15,000    | <input type="checkbox"/> |
| Ameriprise Traditional IRA ⇒ WCM Focused Intl Growth Instl CL [MF]   | SP    | 03/2/2020  | P           | \$1,001 - \$15,000    |                          |
| Ameriprise Traditional IRA ⇒ Xylem Inc. Common Stock New (XYL) [ST]  | SP    | 11/5/2020  | P           | \$1,001 - \$15,000    |                          |
| D3 Irrevocable Trust ⇒ John Hancock 529 Enrollment Portfolio A [5P]<br>LOCATION: AK<br>DESCRIPTION: conversion from Enrollment Portfolio C2          | DC    | 06/24/2020 | P           | \$250,001 - \$500,000 |                          |
| D3 Irrevocable Trust ⇒ John Hancock 529 Enrollment Portfolio C2 [5P]<br>LOCATION: AK<br>DESCRIPTION: conversion to Enrollment Portfolio A            | DC    | 06/24/2020 | S           | \$250,001 - \$500,000 | <input type="checkbox"/> |
| D3 Irrevocable Trust ⇒ John Hancock 529 Short Term Bond Portfolio A [5P]<br>LOCATION: AK<br>DESCRIPTION: converted from Short Term Bond Portfolio C2 | DC    | 01/15/2020 | P           | \$15,001 - \$50,000   |                          |

| Asset  | Owner | Date       | Tx. Type | Amount               | Cap. Gains > \$200?      |
|--|-------|------------|----------|----------------------|--------------------------|
| D3 Irrevocable Trust ⇒<br>John Hancock 529 Short Term Bond Portfolio C2 [5P]                             | DC    | 01/15/2020 | S        | \$15,001 - \$50,000  | <input type="checkbox"/> |
| LOCATION: AK<br>DESCRIPTION: converted to John Hancock 529 Short Term Bond Portfolio A                   |       |            |          |                      |                          |
| Judith S. Clark Irrevocable Trust ⇒<br>Camden County NJ Impt Auth Rev Lease [GS]                         |       | 08/31/2020 | S        | \$1,001 - \$15,000   | <input type="checkbox"/> |
| DESCRIPTION: Redeemed Full Call Payout 6.72%, 07/01/2023   |       |            |          |                      |                          |
| Judith S. Clark Irrevocable Trust ⇒<br>Encompass Health Corp Note [CS]                                   |       | 11/2/2020  | S        | \$1,001 - \$15,000   | <input type="checkbox"/> |
| DESCRIPTION: Redeemed Call Make Whole 5.75%; 11/01/2024 NOTE: Encompass was previously named Healthsouth |       |            |          |                      |                          |
| Judith S. Clark Irrevocable Trust ⇒<br>Microsoft Corp Note [CS]  |       | 10/1/2020  | S        | \$1,001 - \$15,000   | <input type="checkbox"/> |
| DESCRIPTION: Redeemed 3.0%; 10/01/2020   |       |            |          |                      |                          |
| Judith S. Clark Irrevocable Trust ⇒<br>NEW ORLEANS LA GO LTD TAX REF BDS SER [GS]                        |       | 09/1/2020  | S        | \$1,001 - \$15,000   | <input type="checkbox"/> |
| DESCRIPTION: Redeemed 3.142%; 9/1/2020   |       |            |          |                      |                          |
| Judith S. Clark Irrevocable Trust ⇒<br>United Parcel Service, Inc. (UPS) [ST]                            |       | 01/30/2020 | S        | \$15,001 - \$50,000  | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>Blackrock Muni Yield FD Inc Com [MF]                        |       | 01/13/2020 | S        | \$1,001 - \$15,000   | <input type="checkbox"/> |
| Katherine M. Clark Separate Share Trust ⇒<br>SPDR S&P500 ETF Trust [EF]                                  |       | 01/16/2020 | P        | \$50,001 - \$100,000 |                          |
| Katherine M. Clark Separate Share Trust ⇒<br>Vanguard FTSE Emerging Markets ETF [EF]                     |       | 02/13/2020 | S        | \$1,001 - \$15,000   | <input type="checkbox"/> |

\* Asset class details available at the bottom of this form. For the complete list of asset type abbreviations, please visit <https://fd.house.gov/reference/asset-type-codes.aspx>.

### SCHEDULE C: EARNED INCOME

| Source                               | Type          | Amount |
|--------------------------------------|---------------|--------|
| Massachusetts Board of Bar Overseers | spouse salary | N/A    |

### SCHEDULE D: LIABILITIES

| Owner   | Creditor | Date Incurred | Type     | Amount of Liability   |
|---|----------|---------------|----------|-----------------------|
| JT  | CENLAR   | April 2020    | Mortgage | \$250,001 - \$500,000 |
| COMMENTS: Refinanced mortgage on primary residence. The original liability was incurred in 2003 and should have been included on previous annual disclosures. |          |               |          |                       |

## SCHEDULE E: POSITIONS

None disclosed.

## SCHEDULE F: AGREEMENTS

| Date           | Parties To   | Terms of Agreement |
|----------------|--|--------------------|
| July 1997      | Katherine M. Clark and the Commonwealth of Massachusetts | future pension     |
| September 1991 | Katherine M. Clark and the state of Colorado (OPERA)     | future pension     |

## SCHEDULE G: GIFTS

None disclosed.

## SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

None disclosed.

## SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

## SCHEDULE A AND B ASSET CLASS DETAILS

- o Ameriprise SEP IRA (Owner: SP)
- o Ameriprise Traditional IRA (Owner: SP)
- o OPERA 401(K) Plan
- o D3 Irrevocable Trust (Owner: DC)
- o Judith S. Clark Irrevocable Trust
- o Katherine Clark Traditional IRA
- o Katherine M. Clark Exempt Trust  
DESCRIPTION: inherited April 5, 2019
- o Katherine M. Clark Separate Share Trust  
DESCRIPTION: inherited April 5, 2019

## EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

**IPO:** Did you purchase any shares that were allocated as a part of an Initial Public Offering?

Yes  No

**Trusts:** Details regarding "Qualified Blind Trusts" approved by the Committee on Ethics and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?

Yes  No

**Exemption:** Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?

Yes  No

## COMMENTS

D1 and D2 no longer qualify as dependents and are therefore no longer included on this report.

## CERTIFICATION AND SIGNATURE

I CERTIFY that the statements I have made on the attached Financial Disclosure Report are true, complete, and correct to the best of my knowledge and belief.

**Digitally Signed:** Hon. Katherine M. Clark , 08/11/2021