



# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. Mikie Sherrill  
**Status:** Member  
**State/District:** NJ11

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2020  
**Filing Date:** 08/13/2021

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Abbott Laboratories (ABT) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Accenture plc Class A Ordinary Shares (ACN) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Air Products and Chemicals, Inc. (APD) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Alexandria Real Estate Equities, Inc. (ARE) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Alibaba Group Holding Limited American Depositary Shares each representing eight Ordinary share (BABA) [ST]	JT	None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Alphabet Inc. - Class A (GOOGL) [ST]	JT	None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	JT	None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Amazon.com, Inc. (AMZN) [ST]	JT	None	Capital Gains	\$5,001 -	<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>
				\$15,000	
Amgen Inc. (AMGN) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Analog Devices, Inc. (ADI) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Apple Inc. (AAPL) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Arthur J. Gallagher & Co. (AJG) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Autodesk, Inc. (ADSK) [ST]	JT	None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Automatic Data Processing, Inc. (ADP) [ST]	JT	None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
AvalonBay Communities, Inc. (AVB) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Bank of America Corporation (BAC) [ST]	JT	None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Becton, Dickinson and Company (BDX) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
BlackRock, Inc. (BLK) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Boston Properties, Inc. (BXP) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Bristol-Myers Squibb Company (BMY) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Capital One Financial Corporation (COF) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Cerner Corporation (CERN) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<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>
Chubb Limited (CB) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Cincinnati Financial Corporation (CINF) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Cisco Systems, Inc. (CSCO) [ST]	JT	None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
CME Group Inc. - Class A (CME) [ST]	JT	None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
CMS Energy Corporation (CMS) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Coca-Cola Company (KO) [ST]	JT	None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Colgate-Palmolive Company (CL) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Comcast Corporation - Class A (CMCSA) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
ConocoPhillips (COP) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Danone Sponsored ADR (DANOY) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Deere & Company (DE) [ST]	JT	None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Discover Financial Services (DFS) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Dover Corporation (DOV) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Eli Lilly and Company (LLY) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Expeditors International of Washington, Inc. (EXPD) [ST]	JT	None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income Tx. &gt; \$1,000?</b>
Facebook, Inc. - Class A (FB) [ST]	JT	None	Capital Gains	\$5,001 - \$15,000 <input checked="" type="checkbox"/>
FactSet Research Systems Inc. (FDS) [ST]	JT	None	Capital Gains	\$2,501 - \$5,000 <input checked="" type="checkbox"/>
Fidelity 529 1 ⇒ Fidelity Diversified International A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 1 ⇒ Fidelity Diversified International I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 1 ⇒ Fidelity Dividend & Income A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 1 ⇒ Fidelity New Insights A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 1 ⇒ Fidelity New Insights I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 1 ⇒ Fidelity Strategic Dividend & Income I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 2 ⇒ Fidelity Diversified International A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 2 ⇒ Fidelity Diversified International I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 2 ⇒ Fidelity Dividend & Income A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 2 ⇒ Fidelity New Insights A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 2 ⇒ Fidelity New Insights I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 2 ⇒ Fidelity Strategic Dividend & Income I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 3 ⇒ Fidelity Diversified International A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred	<input type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income Tx. &gt; \$1,000?</b>
Fidelity 529 3 ⇒ Fidelity Diversified International I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 3 ⇒ Fidelity New Insights A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 3 ⇒ Fidelity New Insights A [MF]	DC	\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 3 ⇒ Fidelity New Insights I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 3 ⇒ Fidelity Strategic Dividend & Income I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 4 ⇒ Fidelity Diversified International A [MF]	DC	\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 4 ⇒ Fidelity Diversified International I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 4 ⇒ Fidelity Dividend & Income A [MF]	DC	\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 4 ⇒ Fidelity New Insights A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 4 ⇒ Fidelity New Insights I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 4 ⇒ Fidelity Strategic Dividend & Income I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Fidelity National Information Services, Inc. (FIS) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500 <input checked="" type="checkbox"/>
General Dynamics Corporation (GD) [ST]	JT	None	Capital Gains	\$201 - \$1,000 <input checked="" type="checkbox"/>
Hartford Financial Services Group, Inc. (HIG) [ST]	JT	None	Capital Gains	\$201 - \$1,000 <input checked="" type="checkbox"/>
Home Depot, Inc. (HD) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500 <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>
Honeywell International Inc. (HON) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Illinois Tool Works Inc. (ITW) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
iShares Core High Dividend ETF (HDV) [ST]	JT	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
iShares Core S&P 500 ETF (IVV) [ST]	JT	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
iShares MSCI ACWI ex US Index Fund (ACWX) [ST]	JT	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
iShares MSCI EAFE ETF (EFA) [ST]	JT	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
iShares Russell 1000 Growth ETF (IWF) [ST]	JT	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
iShares Russell 1000 Value ETF (IWD) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
iShares S&P 500 Growth ETF (IVW) [ST]	JT	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Johnson & Johnson (JNJ) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
JPMorgan Diversified Return Global Equity ETF (JPGE) [ST]	JT	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Las Vegas Sands Corp. (LVS) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
M&T Bank Corporation (MTB) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Marsh & McLennan Companies, Inc. (MMC) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Mass Mutual ⇒ Mass Mutual Whole Life Legacy 100 [WU]		\$50,001 - \$100,000	Tax-Deferred		<input checked="" type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income Tx. &gt; \$1,000?</b>
Mass Mutual ⇒ Mass Mutual Whole Life Legacy 100 [WU]		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Mass Mutual ⇒ Mass Mutual Whole Life Legacy 100 [WU]	SP	\$100,001 - \$250,000	Tax-Deferred	<input checked="" type="checkbox"/>
Mass Mutual ⇒ Mass Mutual Whole Life Legacy 100 [WU]	SP	\$100,001 - \$250,000	Tax-Deferred	<input checked="" type="checkbox"/>
McDonald's Corporation (MCD) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500 <input checked="" type="checkbox"/>
Medtronic plc. Ordinary Shares (MDT) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500 <input checked="" type="checkbox"/>
Merck & Company, Inc. Common Stock (MRK) [ST]	JT	None	Capital Gains	\$2,501 - \$5,000 <input checked="" type="checkbox"/>
MetLife, Inc. (MET) [ST]	JT	None	Capital Gains	\$201 - \$1,000 <input checked="" type="checkbox"/>
Microsoft Corporation (MSFT) [ST]	JT	None	Capital Gains	\$15,001 - \$50,000 <input checked="" type="checkbox"/>
Mondelez International, Inc. - Class A (MDLZ) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500 <input checked="" type="checkbox"/>
Monster Beverage Corporation (MNST) [ST]	JT	None	Capital Gains	\$2,501 - \$5,000 <input checked="" type="checkbox"/>
NextEra Energy, Inc. (NEE) [ST]	JT	None	Capital Gains	\$2,501 - \$5,000 <input checked="" type="checkbox"/>
Norfolk Southern Corporation (NSC) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500 <input checked="" type="checkbox"/>
Northern Trust Corporation (NTRS) [ST]	JT	None	Capital Gains	\$201 - \$1,000 <input checked="" type="checkbox"/>
Novartis AG (NVS) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500 <input checked="" type="checkbox"/>
Novo Nordisk A/S (NVO) [ST]	JT	None	Capital Gains	\$2,501 - \$5,000 <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>
NVIDIA Corporation (NVDA) [ST]	JT	None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
NY Saves 529 1 ⇒ NY Saves 529 [MF]	DC	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
NY Saves 529 2 ⇒ NY Saves 529 [MF]	DC	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Oracle Corporation (ORCL) [ST]	JT	None	Capital Gains	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Parker-Hannifin Corporation (PH) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Pepsico, Inc. (PEP) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Philip Morris International Inc (PM) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
PNC Financial Services Group, Inc. (PNC) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
PPG Industries, Inc. (PPG) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Procter & Gamble Company (PG) [ST]	JT	None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Progressive Corporation (PGR) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Public Service Enterprise Group Incorporated (PEG) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
QUALCOMM Incorporated (QCOM) [ST]	JT	None	Capital Gains	\$5,001 - \$15,000	<input checked="" type="checkbox"/>
Regeneron Pharmaceuticals, Inc. (REGN) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Republic Services, Inc. (RSG) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>



Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
Roche Holdings AG Basel American Depository Shares (RHHBY) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500 <input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ iShares Core MSCI EAFE ETF (IEFA) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ iShares Core MSCI Europe ETF (IEUR) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ iShares Core S&P Small-Cap ETF (IJR) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ iShares MSCI Eurozone ETF (EZU) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ iShares MSCI India ETF (INDA) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ iShares MSCI Japan Index Fund (EWJ) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ iShares MSCI United Kingdom ETF (EWU) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ JPMorgan BetaBuilders Developed Asia-ex Japan ETF (BBAX) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ Materials Select Sector SPDR (XLB) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ Real Estate Select Sector SPDR Fund (XLRE) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Consumer Discretionary (XLY) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Consumer Staples (XLP) [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 Tx. &gt; \$1,000?</b>
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Energy Select Sector (XLE) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Financial (XLF) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Health Care (XLV) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Industrial (XLI) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Utilities (XLU) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ The Communication Services Select Sector SPDR Fund (XLC) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ Vanguard Growth ETF (VUG) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ Vanguard Information Tech ETF (VGT) [ST]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ Vanguard Mid-Cap ETF (VO) [ST]	SP	\$50,001 - \$100,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ Vanguard Value ETF (VTV) [ST]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ iShares Core MSCI EAFE ETF (IEFA) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ iShares Core MSCI Europe ETF (IEUR) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ iShares Core S&P Small-Cap ETF (IJR) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ iShares MSCI Eurozone ETF (EZU) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
Rollover IRA 95031 ⇒ iShares MSCI India ETF (INDA) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ iShares MSCI Japan Index Fund (EWJ) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ iShares MSCI United Kingdom ETF (EWU) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ JPMorgan BetaBuilders Developed Asia-ex Japan ETF (BBAX) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ Materials Select Sector SPDR (XLB) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ Real Estate Select Sector SPDR Fund (XLRE) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ SPDR Select Sector Fund - Consumer Discretionary (XLY) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Rollover IRA 95031 ⇒ SPDR Select Sector Fund - Consumer Staples (XLP) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Rollover IRA 95031 ⇒ SPDR Select Sector Fund - Energy Select Sector (XLE) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ SPDR Select Sector Fund - Financial (XLF) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ SPDR Select Sector Fund - Industrial (XLI) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ SPDR Select Sector Fund - Utilities (XLU) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ The Communication Services Select Sector SPDR Fund (XLC) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Rollover IRA 95031 ⇒ Vanguard Growth ETF (VUG) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
Rollover IRA 95031 ⇒ Vanguard Information Tech ETF (VGT) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ Vanguard Mid-Cap ETF (VO) [ST]		\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ Vanguard Value ETF (VTV) [ST]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
RPM International Inc. (RPM) [ST]	JT	None	Capital Gains	\$201 - \$1,000 <input checked="" type="checkbox"/>
SEI Investments Company (SEIC) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500 <input checked="" type="checkbox"/>
SPDR Gold Trust (GLD) [ST]	JT	\$15,001 - \$50,000	None	<input checked="" type="checkbox"/>
SPDR S&P 500 (SPY) [ST]	JT	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000 <input type="checkbox"/>
SPDR Select Sector Fund - Technology (XLK) [ST]	JT	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500 <input type="checkbox"/>
Stanley Black & Decker, Inc. (SWK) [ST]	JT	None	Capital Gains	\$201 - \$1,000 <input checked="" type="checkbox"/>
Starbucks Corporation (SBUX) [ST]	JT	None	Capital Gains	\$2,501 - \$5,000 <input checked="" type="checkbox"/>
T. Rowe Price Group, Inc. (TROW) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500 <input checked="" type="checkbox"/>
Texas Instruments Incorporated (TXN) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500 <input checked="" type="checkbox"/>
Tiffany & Co. (TIF) [ST]	JT	None	Capital Gains	\$201 - \$1,000 <input checked="" type="checkbox"/>
Truist Financial Corporation (TFC) [ST]	JT	None	Capital Gains	\$201 - \$1,000 <input checked="" type="checkbox"/>
U.S. Bancorp (USB) [ST]	JT	None	Capital Gains	\$201 - \$1,000 <input checked="" type="checkbox"/>

<b>Asset</b>	<b>Owner</b>	<b>Value of Asset</b>	<b>Income Type(s)</b>	<b>Income Tx. &gt; \$1,000?</b>
UBS 401K ⇒ Vanguard Target Retirement 2035 [MF]	SP	\$250,001 - \$500,000	Tax-Deferred	<input checked="" type="checkbox"/>
UBS Group AG Registered Ordinary Shares (UBS) [ST]	JT	None	Dividends	\$2,501 - \$5,000 <input checked="" type="checkbox"/>
United Technologies Corporation (UTX) [ST]	JT	None	Capital Gains	\$201 - \$1,000 <input checked="" type="checkbox"/>
UnitedHealth Group Incorporated Common Stock (UNH) [ST]	JT	None	Capital Gains	\$201 - \$1,000 <input checked="" type="checkbox"/>
USAA Checking [BA]	JT	\$50,001 - \$100,000	Interest	\$1 - \$200 <input type="checkbox"/>
USAA Savings [BA]	JT	\$1,001 - \$15,000	Interest	\$1 - \$200 <input type="checkbox"/>
V.F. Corporation (VFC) [ST]	JT	None	Capital Gains	\$201 - \$1,000 <input checked="" type="checkbox"/>
Vanguard Growth ETF (VUG) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500 <input checked="" type="checkbox"/>
Varian Medical Systems, Inc. (VAR) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500 <input checked="" type="checkbox"/>
Verizon Communications Inc. (VZ) [ST]	JT	None	Capital Gains	\$201 - \$1,000 <input checked="" type="checkbox"/>
Visa Inc. (V) [ST]	JT	None	Capital Gains	\$15,001 - \$50,000 <input checked="" type="checkbox"/>
Walmart Inc. (WMT) [ST]	JT	None	Capital Gains	\$201 - \$1,000 <input checked="" type="checkbox"/>
Xcel Energy Inc. (XEL) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500 <input checked="" type="checkbox"/>
Yum China Holdings, Inc. (YUMC) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500 <input checked="" type="checkbox"/>
Yum! Brands, Inc. (YUM) [ST]	JT	None	Capital Gains	\$2,501 - \$5,000 <input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
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\* 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?
Abbott Laboratories (ABT) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Accenture plc Class A Ordinary Shares (ACN) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Air Products and Chemicals, Inc. (APD) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Alexandria Real Estate Equities, Inc. (ARE) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Alibaba Group Holding Limited American Depositary Shares each representing eight Ordinary share (BABA) [ST]		02/20/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Alphabet Inc. - Class A (GOOGL) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Alphabet Inc. - Class C Capital Stock (GOOG) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Altria Group, Inc. (MO) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Amazon.com, Inc. (AMZN) [ST]		01/15/2020	P	\$1,001 - \$15,000	
Amazon.com, Inc. (AMZN) [ST]		02/20/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Amgen Inc. (AMGN) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Analog Devices, Inc. (ADI) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Apple Inc. (AAPL) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Arthur J. Gallagher & Co. (AJG) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Autodesk, Inc. (ADSK) [ST]		02/20/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Automatic Data Processing, Inc. (ADP) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
AvalonBay Communities, Inc. (AVB) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Bank of America Corporation (BAC) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Becton, Dickinson and Company (BDX) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
BlackRock, Inc. (BLK) [ST]	01/21/2020	P	\$1,001 - \$15,000	<input type="checkbox"/>
BlackRock, Inc. (BLK) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Boston Properties, Inc. (BXP) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Bristol-Myers Squibb Company (BMY) [ST]	01/21/2020	P	\$1,001 - \$15,000	<input type="checkbox"/>
Bristol-Myers Squibb Company (BMY) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Capital One Financial Corporation (COF) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Cerner Corporation (CERN) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Chevron Corporation (CVX) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Chubb Limited (CB) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Cisco Systems, Inc. (CSCO) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
CME Group Inc. - Class A (CME) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
CMS Energy Corporation (CMS) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Coca-Cola Company (KO) [ST]	02/20/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Colgate-Palmolive Company (CL) [ST]	01/15/2020	P	\$1,001 - \$15,000	
Colgate-Palmolive Company (CL) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Comcast Corporation - Class A (CMCSA) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
ConocoPhillips (COP) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Cullen/Frost Bankers, Inc. (CFR) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
CVS Health Corporation (CVS) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Danone Sponsored ADR (DANOY) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Deere & Company (DE) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Discover Financial Services (DFS) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Dover Corporation (DOV) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DuPont de Nemours, Inc. (DD) [ST]	01/21/2020	P	\$1,001 - \$15,000	
DuPont de Nemours, Inc. (DD) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Edison International (EIX) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Eli Lilly and Company (LLY) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Entergy Corporation (ETR) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Expeditors International of Washington, Inc. (EXPD) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Exxon Mobil Corporation (XOM) [ST]	01/21/2020	P	\$1,001 - \$15,000	
Exxon Mobil Corporation (XOM) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Facebook, Inc. - Class A (FB) [ST]		02/20/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
FactSet Research Systems Inc. (FDS) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
FIDELITY DIVID ETF RISE RATES [EF]	JT	02/27/2020	S	\$100,001 - \$250,000	<input type="checkbox"/>
Fidelity Dividend ETF for Rising Rates (FDRR) [ST]		02/21/2020	P	\$100,001 - \$250,000	
Fidelity National Information Services, Inc. (FIS) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
General Dynamics Corporation (GD) [ST]		01/21/2020	P	\$1,001 - \$15,000	
General Dynamics Corporation (GD) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Gilead Sciences, Inc. (GILD) [ST]		01/21/2020	P	\$1,001 - \$15,000	
Gilead Sciences, Inc. (GILD) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Hartford Financial Services Group, Inc. (HIG) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Hasbro, Inc. (HAS) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Home Depot, Inc. (HD) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Honeywell International Inc. (HON) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Illinois Tool Works Inc. (ITW) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
International Business Machines Corporation (IBM) [ST]		02/4/2020	P	\$1,001 - \$15,000	
International Business Machines Corporation (IBM) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
INVESCO QQQ TRUST ETF [EF]	JT	02/25/2020	P	\$15,001 - \$50,000	
INVESCO QQQ TRUST ETF [EF]	JT	02/27/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
ISHARES CORE HIGH DIVID ETF [EF]	JT	02/27/2020	P	\$100,001 - \$250,000	
ISHARES CORE HIGH DIVID ETF [EF]	JT	02/28/2020	P	\$15,001 - \$50,000	
ISHARES CORE MSCI EAFE ETF [EF]	JT	02/27/2020	S	\$100,001 - \$250,000	<input type="checkbox"/>
ISHARES CORE S&P 500 ETF [EF]	JT	02/27/2020	P	\$50,001 - \$100,000	
ISHARES CORE S&P 500 ETF [EF]	JT	03/9/2020	P	\$15,001 - \$50,000	
ISHARES CORE S&P 500 ETF [EF]	JT	03/11/2020	P	\$15,001 - \$50,000	
ISHARES EXPANDED TECH-SOFTWARE SECTOR [EF]	JT	02/27/2020	S	\$100,001 - \$250,000	<input type="checkbox"/>
iShares Expanded Tech-Software Sector ETF (IGV) [ST]		02/21/2020	P	\$100,001 - \$250,000	
ISHARES MSCI ACWI EX US ETF [EF]	JT	06/18/2020	P	\$100,001 - \$250,000	
ISHARES MSCI EAFE ETF [EF]	JT	02/27/2020	P	\$100,001 - \$250,000	
ISHARES RUSSELL 1000 GROWTH ETF [EF]	JT	02/27/2020	P	\$100,001 - \$250,000	
ISHARES RUSSELL 1000 VALUE ETF [EF]	JT	01/16/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
ISHARES S&P 500 GROWTH ETF [EF]	JT	02/27/2020	P	\$100,001 - \$250,000	
Johnson & Johnson (JNJ) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
JPM DIVERSIFIED RETURN GLOBAL EQUITY ETF [EF]	JT	02/27/2020	P	\$100,001 - \$250,000	
JPM DIVERSIFIED RETURN GLOBAL EQUITY ETF [EF]	JT	02/27/2020	S	\$100,001 -	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
				\$250,000	
JPM DIVERSIFIED RETURN GLOBAL EQUITY ETF [EF]	JT	06/18/2020	S	\$100,001 - \$250,000	<input type="checkbox"/>
Las Vegas Sands Corp. (LVS) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
M&T Bank Corporation (MTB) [ST]		01/27/2020	P	\$1,001 - \$15,000	
M&T Bank Corporation (MTB) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Marsh & McLennan Companies, Inc. (MMC) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Mass Mutual ⇒ Mass Mutual Whole Life Legacy 100 [WU]	SP	03/30/2020	P	\$15,001 - \$50,000	
Mass Mutual ⇒ Mass Mutual Whole Life Legacy 100 [WU]	SP	06/26/2020	P	\$15,001 - \$50,000	
Mass Mutual ⇒ Mass Mutual Whole Life Legacy 100 [WU]		03/30/2020	P	\$1,001 - \$15,000	
Mass Mutual ⇒ Mass Mutual Whole Life Legacy 100 [WU]		06/29/2020	P	\$1,001 - \$15,000	
McDonald's Corporation (MCD) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Medtronic plc. Ordinary Shares (MDT) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merck & Company, Inc. Common Stock (MRK) [ST]		02/6/2020	S	\$770.32	<input checked="" type="checkbox"/>
Merck & Company, Inc. Common Stock (MRK) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
MetLife, Inc. (MET) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Microsoft Corporation (MSFT) [ST]		02/20/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Mondelez International, Inc. - Class A (MDLZ) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Monster Beverage Corporation (MNST) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
NextEra Energy, Inc. (NEE) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Norfolk Southern Corporation (NSC) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Northern Trust Corporation (NTRS) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Novartis AG (NVS) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Novo Nordisk A/S (NVO) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Nuveen ESG Large-Cap Growth ETF (NULG) [ST]	02/21/2020	P	\$100,001 - \$250,000	
NVIDIA Corporation (NVDA) [ST]	02/20/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Oracle Corporation (ORCL) [ST]	02/20/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Parker-Hannifin Corporation (PH) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Pepsico, Inc. (PEP) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Pfizer, Inc. (PFE) [ST]	01/21/2020	P	\$1,001 - \$15,000	
Pfizer, Inc. (PFE) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Philip Morris International Inc (PM) [ST]	01/21/2020	P	\$1,001 - \$15,000	
Philip Morris International Inc (PM) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
PNC Financial Services Group, Inc. (PNC) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
PPG Industries, Inc. (PPG) [ST]	02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Procter & Gamble Company (PG) [ST]	02/20/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Progressive Corporation (PGR) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Prudential Financial, Inc. (PRU) [ST]		01/21/2020	P	\$1,001 - \$15,000	
Prudential Financial, Inc. (PRU) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Public Service Enterprise Group Incorporated (PEG) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
QUALCOMM Incorporated (QCOM) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Regeneron Pharmaceuticals, Inc. (REGN) [ST]		01/15/2020	P	\$1,001 - \$15,000	
Regeneron Pharmaceuticals, Inc. (REGN) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Republic Services, Inc. (RSG) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Roche Holdings AG Basel American Depositary Shares (RHHBY) [ST]		01/2/2020	P	\$1,001 - \$15,000	
Roche Holdings AG Basel American Depositary Shares (RHHBY) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ COMM SERVICES SELECT SECTOR SPDR ETF [EF]	SP	07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ CONSUMER DISCRETIONARY SELECT SECTOR SPDR FUND [EF]	SP	01/8/2020	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ CONSUMERS STAPLES SELECT SECTOR SPDR FUND ETF [EF]	SP	01/8/2020	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ HEALTH CARE SELECT SECTOR SPDR FUND ETF [EF]	SP	07/17/2020	P	\$15,001 - \$50,000	
Rollover IRA 90127 ⇒ INDUSTRIAL SELECT SECTOR SPDR FUND ETF [EF]	SP	07/17/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Rollover IRA 90127 ⇒ INDUSTRIAL SELECT SECTOR SPDR FUND ETF [EF]	SP	07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ INDUSTRIAL SELECT SECTOR SPDR FUND ETF [EF]	SP	07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ INDUSTRIAL SELECT SECTOR SPDR FUND ETF [EF]	SP	07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ ISHARES CORE MSCI EAFE ETF [EF]	SP	01/8/2020	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ ISHARES CORE MSCI EAFE ETF [EF]	SP	07/17/2020	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Rollover IRA 90127 ⇒ ISHARES CORE MSCI EMERGING MARKETS ETF [EF]	SP	01/8/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ ISHARES CORE MSCI EMERGING MARKETS ETF [EF]	SP	07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ ISHARES CORE S&P SMALL-CAP ETF [EF]	SP	01/8/2020	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ ISHARES CORE S&P SMALL-CAP ETF [EF]	SP	07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ ISHARES CORE S&P SMALL-CAP ETF [EF]	SP	07/17/2020	P	\$15,001 - \$50,000	
Rollover IRA 90127 ⇒ ISHARES MSCI BRAZIL ETF [EF]	SP	07/17/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 90127 ⇒ ISHARES MSCI CHINA ETF [EF]	SP	01/8/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ ISHARES MSCI CHINA ETF [EF]	SP	07/17/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ ISHARES MSCI EAFE ETF [EF]	SP	01/8/2020	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ ISHARES MSCI EAFE ETF [EF]	SP	07/17/2020	S	\$50,001 - \$100,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Rollover IRA 90127 ⇒ ISHARES MSCI INDIA ETF [EF]	SP	07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ ISHARES MSCI JAPAN ETF [EF]	SP	01/8/2020	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ ISHARES MSCI JAPAN ETF [EF]	SP	07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ ISHARES MSCI UNTD KINGDOM ETF [EF]	SP	07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ ISHARES RUSSELL MID-CAP GROWTH ETF [EF]	SP	01/8/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ ISHARES RUSSELL MID-CAP GROWTH ETF [EF]	SP	07/17/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ ISHARES RUSSELL MID-CAP VALUE ETF [EF]	SP	01/8/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 90127 ⇒ ISHARES RUSSELL MID-CAP VALUE ETF [EF]	SP	07/17/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 90127 ⇒ JPMORGAN BETABUILDERS DEVELOPED ASIA EX-JAPAN [EF]	SP	07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ REAL ESTATE SELECT SECT SPDR ETF [EF]	SP	07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ THE ISHARES CORE MSCI EUROPE ETF [EF]	SP	07/17/2020	P	\$15,001 - \$50,000	
Rollover IRA 90127 ⇒ UTILITIES SECTOR SPDR FUND ETF [EF]	SP	07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ VANGUARD GROWTH ETF [EF]	SP	01/8/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ VANGUARD GROWTH ETF [EF]	SP	02/7/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Rollover IRA 90127 ⇒ VANGUARD GROWTH ETF [EF]	SP	07/17/2020	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ VANGUARD INFORMATION TECHNOLOGY ETF [EF]	SP	07/17/2020	P	\$15,001 - \$50,000	
Rollover IRA 90127 ⇒ VANGUARD MID-CAP ETF [EF]	SP	01/8/2020	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ VANGUARD MID-CAP ETF [EF]	SP	07/17/2020	P	\$15,001 - \$50,000	
Rollover IRA 90127 ⇒ VANGUARD VALUE ETF [EF]	SP	01/8/2020	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ VANGUARD VALUE ETF [EF]	SP	07/17/2020	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
Rollover IRA 95031 ⇒ ENERGY SELECT SECTOR SPDR FUND ETF [EF]		07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ FINANCIAL SELECT SECTOR SPDR FUND ETF [EF]		07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ HEALTH CARE SELECT SECTOR SPDR FUND ETF [EF]		07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ HEALTH CARE SELECT SECTOR SPDR FUND ETF [EF]		07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ INDUSTRIAL SELECT SECTOR SPDR FUND ETF [EF]		07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ ISHARES CORE MSCI EAFE ETF [EF]		01/8/2020	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ ISHARES CORE MSCI EAFE ETF [EF]		07/17/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 95031 ⇒ ISHARES CORE MSCI EMERGING MARKETS ETF [EF]		01/8/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 95031 ⇒ ISHARES CORE MSCI EMERGING MARKETS ETF [EF]		07/17/2020	P	\$1,001 - \$15,000	



Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
Rollover IRA 95031 ⇒ ISHARES CORE S&P SMALL-CAP ETF [EF]	01/8/2020	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ ISHARES CORE S&P SMALL-CAP ETF [EF]	07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ ISHARES MSCI BRAZIL ETF [EF]	07/17/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 95031 ⇒ ISHARES MSCI CHINA ETF [EF]	01/8/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 95031 ⇒ ISHARES MSCI CHINA ETF [EF]	07/17/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ ISHARES MSCI EAFE ETF [EF]	01/8/2020	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ ISHARES MSCI EAFE ETF [EF]	07/17/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 95031 ⇒ ISHARES MSCI EUROZONE ETF [EF]	07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ ISHARES MSCI INDIA ETF [EF]	07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ ISHARES MSCI JAPAN ETF [EF]	01/8/2020	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ ISHARES MSCI JAPAN ETF [EF]	07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ ISHARES MSCI UNTD KINGDOM ETF [EF]	07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ ISHARES RUSSELL MID-CAP GROWTH ETF [EF]	07/17/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ ISHARES RUSSELL MID-CAP VALUE ETF [EF]	07/17/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 95031 ⇒	07/17/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
JPMORGAN BETABUILDERS DEVELOPED ASIA EX-JAPAN [EF]					
Rollover IRA 95031 ⇒ MATERIALS SELECT SECTOR SPDR TRUST ETF [EF]		07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ REAL ESTATE SELECT SECT SPDR ETF [EF]		07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ REAL ESTATE SELECT SECT SPDR ETF [EF]		07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ THE ISHARES CORE MSCI EUROPE ETF [EF]		07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ VANGUARD GROWTH ETF [EF]		01/8/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 95031 ⇒ VANGUARD GROWTH ETF [EF]		07/17/2020	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ VANGUARD INFORMATION TECHNOLOGY ETF [EF]		07/17/2020	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ VANGUARD VALUE ETF [EF]		07/17/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
RPM International Inc. (RPM) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Schlumberger N.V. (SLB) [ST]		01/15/2020	P	\$1,001 - \$15,000	
Schlumberger N.V. (SLB) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Schwab US Divid Equity ETF [EF]	JT	02/27/2020	S	\$100,001 - \$250,000	<input type="checkbox"/>
Schwab US Dividend Equity ETF (SCHD) [ST]		02/21/2020	P	\$100,001 - \$250,000	
SEI Investments Company (SEIC) [ST]		01/15/2020	P	\$1,001 - \$15,000	
SEI Investments Company (SEIC) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Simon Property Group, Inc. (SPG) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
SPDR Gold Trust (GLD) [ST]	JT	07/27/2020	P	\$50,001 - \$100,000	
SPDR PORTFOLIO S&P 500 GROWTH ETF [EF]	JT	02/27/2020	S	\$100,001 - \$250,000	<input type="checkbox"/>
SPDR S&P 500 ETF TR [EF]	JT	02/25/2020	P	\$15,001 - \$50,000	
SPDR S&P 500 ETF TR [EF]	JT	02/27/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
SPDR S&P 500 ETF TR UNSOLICITED [EF]	JT	01/16/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
SPDR Series Trust SPDR Portfolio S&P 500 Growth ETF (SPYG) [ST]		02/21/2020	P	\$100,001 - \$250,000	
Stanley Black & Decker, Inc. (SWK) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Starbucks Corporation (SBUX) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
T. Rowe Price Group, Inc. (TROW) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
TECHNOLOGY SELECT SECTOR SPDR ETF [EF]	JT	02/27/2020	P	\$100,001 - \$250,000	
TECHNOLOGY SELECT SECTOR SPDR ETF [EF]	JT	02/28/2020	P	\$15,001 - \$50,000	
Texas Instruments Incorporated (TXN) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
The Travelers Companies, Inc. (TRV) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Truist Financial Corporation (TFC) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
U.S. Bancorp (USB) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
UBS 401K ⇒	SP	03/30/2020	P	\$15,001 - \$50,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Vanguard Target Retirement 2035 [MF]					
UBS Group AG Registered Ordinary Shares (UBS) [ST]	JT	04/29/2020	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
UBS Group AG Registered Ordinary Shares (UBS) [ST]	JT	06/1/2020	S	\$50,001 - \$100,000	<input type="checkbox"/>
United Technologies Corporation (UTX) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
UnitedHealth Group Incorporated Common Stock (UNH) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
V.F. Corporation (VFC) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Valero Energy Corporation (VLO) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
VANGUARD GROWTH ETF UNSOLICITED [EF]	JT	01/13/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Varian Medical Systems, Inc. (VAR) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Ventas, Inc. (VTR) [ST]		01/21/2020	P	\$1,001 - \$15,000	
Ventas, Inc. (VTR) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Verizon Communications Inc. (VZ) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Visa Inc. (V) [ST]		02/20/2020	S	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Vornado Realty Trust (VNO) [ST]		01/21/2020	P	\$1,001 - \$15,000	
Vornado Realty Trust (VNO) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Walmart Inc. (WMT) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Wells Fargo & Company (WFC) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Wyndham Hotels & Resorts, Inc. (WH) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Xcel Energy Inc. (XEL) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Yum China Holdings, Inc. (YUMC) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Yum! Brands, Inc. (YUM) [ST]		02/20/2020	S	\$1,001 - \$15,000	<input checked="" 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
UBS	spouse salary	N/A

### SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	USAA Federal Savings Bank	December 2020	Credit Card	\$15,001 - \$50,000
JT	UBS	October 2016	Home Mortgage	\$250,001 - \$500,000
JT	PennyMac	March 2012	Home Mortgage	\$1,000,001 - \$5,000,000

### SCHEDULE E: POSITIONS

None disclosed.

### SCHEDULE F: AGREEMENTS

None disclosed.

### 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

- Fidelity 529 1 (Owner: DC)  
LOCATION: NJ
- Fidelity 529 2 (Owner: DC)  
LOCATION: NJ
- Fidelity 529 3 (Owner: DC)  
LOCATION: NJ
- Fidelity 529 4 (Owner: DC)  
LOCATION: NJ
- Mass Mutual
- Mass Mutual (Owner: SP)
- NY Saves 529 1 (Owner: DC)  
LOCATION: NY
- NY Saves 529 2 (Owner: DC)  
LOCATION: NY
- Rollover IRA 90127 (Owner: SP)
- Rollover IRA 95031
- UBS 401K (Owner: SP)

## 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

## 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. Mikie Sherrill , 08/13/2021