



# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

**Name:** Hon. Kathy Castor  
**Status:** Member  
**State/District:** FL14

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2020  
**Filing Date:** 08/12/2021

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

| Asset   | Owner | Value of Asset        | Income Type(s) | Income          | Tx. > \$1,000?                      |
|---|-------|-----------------------|----------------|-----------------|-------------------------------------|
| Bank of America Checking [BA]                               | JT    | \$50,001 - \$100,000  | Interest       | \$1 - \$200     | <input type="checkbox"/>            |
| Bank of America Savings [BA]                                | JT    | \$250,001 - \$500,000 | Interest       | \$1 - \$200     | <input type="checkbox"/>            |
| Bank of America Savings [BA]                                | DC    | \$1,001 - \$15,000    | Interest       | \$1 - \$200     | <input type="checkbox"/>            |
| CL 529 ⇒<br>Vanguard 500 Index 529 [5P]<br>LOCATION: FL     | DC    | \$100,001 - \$250,000 | Tax-Deferred   |                 | <input checked="" type="checkbox"/> |
| CL 529 ⇒<br>Vanguard Small Cap Index [5P]<br>LOCATION: FL   | DC    | \$15,001 - \$50,000   | Tax-Deferred   |                 | <input checked="" type="checkbox"/> |
| CL 529 ⇒<br>Vanguard Total Inter Stock [5P]<br>LOCATION: FL | DC    | \$15,001 - \$50,000   | Tax-Deferred   |                 | <input checked="" type="checkbox"/> |
| CL Retirement ⇒<br>Vanguard 500 Index Investor [MF]         | DC    | \$15,001 - \$50,000   | Dividends      | \$201 - \$1,000 | <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>            |
|--|--------------|-----------------------|-----------------------|-----------------|-------------------------------------|
| CL Retirement ⇒<br>Vanguard Dividend Growth Investor [MF]                    | DC           | \$15,001 - \$50,000   | Tax-Deferred          |                 | <input checked="" type="checkbox"/> |
| CL Retirement ⇒<br>Vanguard Equity Income Investor [MF]                      | DC           | \$15,001 - \$50,000   | Tax-Deferred          |                 | <input checked="" type="checkbox"/> |
| CL Retirement ⇒<br>Vanguard ESG U S Stock ETF [EF]                           | DC           | \$15,001 - \$50,000   | Tax-Deferred          |                 | <input checked="" type="checkbox"/> |
| CL Retirement ⇒<br>Vanguard Federal Money Market Fund [BA]                   | DC           | \$1 - \$1,000         | None                  |                 | <input checked="" type="checkbox"/> |
| CL Retirement ⇒<br>Vanguard US Value Investor [MF]                           | DC           | \$15,001 - \$50,000   | Tax-Deferred          |                 | <input checked="" type="checkbox"/> |
| CL Retirement ⇒<br>Vanguard Windsor II Investor [MF]                         | DC           | \$15,001 - \$50,000   | Tax-Deferred          |                 | <input checked="" type="checkbox"/> |
| E*Trade Brokerage Account ⇒<br>ALPS Sector Dividend DOGS ETF [EF]            | JT           | \$15,001 - \$50,000   | Dividends             | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| E*Trade Brokerage Account ⇒<br>Bank of America Corporation (BAC) [ST]        | JT           | None                  | Dividends             | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| E*Trade Brokerage Account ⇒<br>Berkshire Hathaway Inc. New (BRK.B) [ST]      | JT           | None                  | None                  |                 | <input checked="" type="checkbox"/> |
| E*Trade Brokerage Account ⇒<br>Boulder Growth & Income Fund, Inc. (BIF) [ST] | JT           | None                  | Dividends             | \$1 - \$200     | <input checked="" type="checkbox"/> |
| E*Trade Brokerage Account ⇒<br>E*Trade Savings [BA]                          | JT           | None                  | Interest              | \$1 - \$200     | <input type="checkbox"/>            |
| E*Trade Brokerage Account ⇒<br>Franklin Genomic Advancements ETF [EF]        | JT           | \$15,001 - \$50,000   | Dividends             | \$1 - \$200     | <input checked="" type="checkbox"/> |
| E*Trade Brokerage Account ⇒<br>Franklin Intelligent Machines ETF [EF]        | JT           | \$15,001 - \$50,000   | Dividends             | \$1 - \$200     | <input checked="" type="checkbox"/> |
| E*Trade Brokerage Account ⇒<br>Franklin Liberty US Low Volatility ETF [EF]   | JT           | \$15,001 - \$50,000   | Dividends             | \$201 - \$1,000 | <input checked="" type="checkbox"/> |
| E*Trade Brokerage Account ⇒<br>Franklin Resources, Inc. (BEN) [ST]           | JT           | None                  | Dividends             | \$1 - \$200     | <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>            |
|---|--------------|---------------------------|-----------------------------|----------------------|-------------------------------------|
| E*Trade Brokerage Account ⇒<br>Invesco QQQ TR [EF]  | JT           | \$50,001 - \$100,000      | Dividends                   | \$201 - \$1,000      | <input checked="" type="checkbox"/> |
| E*Trade Brokerage Account ⇒<br>LibertyQ US Mid Cap EQI ETF [EF]   | JT           | \$15,001 - \$50,000       | Dividends                   | \$1 - \$200          | <input checked="" type="checkbox"/> |
| E*Trade Brokerage Account ⇒<br>SPDR Dow Jones Industrial Average ETF (DIA) [ST]   | JT           | \$50,001 - \$100,000      | Dividends                   | \$201 - \$1,000      | <input checked="" type="checkbox"/> |
| E*Trade Brokerage Account ⇒<br>The Blackstone Group L.P. Common Units Representing<br>Limited Partnership Interests (BX) [ST] | JT           | None                      | Dividends                   | \$1 - \$200          | <input checked="" type="checkbox"/> |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Equity Income Fund - Advisor Class [MF]                                     | JT           | \$500,001 - \$1,000,000   | Capital Gains,<br>Dividends | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Growth Fund - Advisor Class [MF]  | JT           | \$250,001 - \$500,000     | Capital Gains,<br>Dividends | \$15,001 - \$50,000  | <input checked="" type="checkbox"/> |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Income Fund - A [MF]  | JT           | \$1,000,001 - \$5,000,000 | Dividends                   | \$50,001 - \$100,000 | <input checked="" type="checkbox"/> |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Mutual U.S. Value Fund - Advisor Class [MF]                                 | JT           | \$100,001 - \$250,000     | Dividends                   | \$5,001 - \$15,000   | <input checked="" type="checkbox"/> |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Rising Dividends [MF]   | JT           | \$15,001 - \$50,000       | Dividends                   | \$1 - \$200          | <input checked="" type="checkbox"/> |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Small-Mid Cap Growth Fund [MF]  | JT           | \$15,001 - \$50,000       | Capital Gains               | \$201 - \$1,000      | <input checked="" type="checkbox"/> |
| Franklin Templeton Joint Retirement ⇒<br>Franklin US Government Money Fund [MF]   | JT           | None                      | Dividends                   | \$1 - \$200          | <input checked="" type="checkbox"/> |
| Franklin Templeton Joint Retirement ⇒<br>Mutual Global Discovery Fund - Class Z [MF]  | JT           | \$100,001 - \$250,000     | Capital Gains,<br>Dividends | \$2,501 - \$5,000    | <input checked="" type="checkbox"/> |
| Franklin Templeton Joint Retirement ⇒<br>Mutual Shares - Z [MF]   | JT           | \$100,001 - \$250,000     | Capital Gains,<br>Dividends | \$2,501 - \$5,000    | <input checked="" type="checkbox"/> |
| IRA ⇒<br>T Rowe Global Growth Stock Fund [MF]   |              | \$15,001 - \$50,000       | Capital Gains               | \$201 - \$1,000      | <input checked="" type="checkbox"/> |
| IRA ⇒   |              | \$250,001 -               | Capital Gains               | \$2,501 -            | <input checked="" type="checkbox"/> |

| Asset  | Owner | Value of Asset          | Income Type(s)           | Income            | Tx. > \$1,000?                      |
|--|-------|-------------------------|--------------------------|-------------------|-------------------------------------|
| T Rowe Price Blue Chip Growth [MF]                                 |       | \$500,000               |                          | \$5,000           |                                     |
| IRA ⇒<br>T Rowe Price Dividend Growth [MF]                         |       | \$100,001 - \$250,000   | Dividends                | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| IRA ⇒<br>T Rowe Price Equity Index 500 [MF]                        |       | None                    | None                     |                   | <input checked="" type="checkbox"/> |
| IRA ⇒<br>T Rowe Price Growth & Income [MF]                         |       | None                    | None                     |                   | <input checked="" type="checkbox"/> |
| IRA ⇒<br>T Rowe Price U.S. Bond Index [MF]                         |       | None                    | Dividends                | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| IRA ⇒<br>T Rowe Price Value [MF]                                   |       | \$50,001 - \$100,000    | Capital Gains, Dividends | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| IRA ⇒<br>US Treasury Money Fund [BA]                               |       | \$1 - \$1,000           | Interest                 | \$1 - \$200       | <input checked="" type="checkbox"/> |
| Spouse 401K ⇒<br>BlackRock Inflation Protected Bond Inst Fund [MF] | SP    | None                    | Tax-Deferred             |                   | <input checked="" type="checkbox"/> |
| Spouse 401K ⇒<br>Invesco Developing Markets Y Fund [MF]            | SP    | \$15,001 - \$50,000     | Tax-Deferred             |                   | <input checked="" type="checkbox"/> |
| Spouse 401K ⇒<br>JP Morgan Mid Cap Value A Fund [MF]               | SP    | None                    | None                     |                   | <input checked="" type="checkbox"/> |
| Spouse 401K ⇒<br>JP Morgan Mid Cap Value I Fund [MF]               | SP    | \$250,001 - \$500,000   | Tax-Deferred             |                   | <input checked="" type="checkbox"/> |
| Spouse 401K ⇒<br>Lord Abbett Short Duration Income R5 Fund [MF]    | SP    | None                    | Tax-Deferred             |                   | <input checked="" type="checkbox"/> |
| Spouse 401K ⇒<br>MFS Value R3Fund [MF]                             | SP    | \$500,001 - \$1,000,000 | Tax-Deferred             |                   | <input checked="" type="checkbox"/> |
| Spouse 401K ⇒<br>Morley Stable Value V Fund [MF]                   | SP    | None                    | None                     |                   | <input type="checkbox"/>            |
| Spouse 401K ⇒<br>Oppenheimer Developing Markets A Fund [MF]        | SP    | None                    | None                     |                   | <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>            |
|---|--------------|-------------------------|-----------------------|-------------------|-------------------------------------|
| Spouse 401K ⇒<br>Principal Global Investors LargeCap S&P 500 Index [MF] | SP           | \$15,001 - \$50,000     | Tax-Deferred          |                   | <input checked="" type="checkbox"/> |
| Spouse 401K ⇒<br>Principal International Equity Index Sep Acct [MF]     | SP           | None                    | None                  |                   | <input checked="" type="checkbox"/> |
| Spouse 401K ⇒<br>Principal MidCap Separate Account [MF]                 | SP           | \$15,001 - \$50,000     | Tax-Deferred          |                   | <input checked="" type="checkbox"/> |
| Spouse 401K ⇒<br>Principal SmallCap S&P 600 Index Separate Account [MF] | SP           | \$15,001 - \$50,000     | Tax-Deferred          |                   | <input checked="" type="checkbox"/> |
| Spouse 401K ⇒<br>Principal US Property Sep Acct [MF]                    | SP           | \$500,001 - \$1,000,000 | Tax-Deferred          |                   | <input checked="" type="checkbox"/> |
| Spouse 401K ⇒<br>T Rowe Price Blue Chip Growth Fund [MF]                | SP           | \$15,001 - \$50,000     | Tax-Deferred          |                   | <input checked="" type="checkbox"/> |
| Spouse 401K ⇒<br>T Rowe Price International Discovery Fund [MF]         | SP           | \$15,001 - \$50,000     | Tax-Deferred          |                   | <input checked="" type="checkbox"/> |
| Vanguard Joint Retirement ⇒<br>American Airlines Group, Inc. (AAL) [ST] | JT           | None                    | None                  |                   | <input checked="" type="checkbox"/> |
| Vanguard Joint Retirement ⇒<br>Berkshire Hathaway Inc. New (BRK.B) [ST] | JT           | \$100,001 - \$250,000   | None                  |                   | <input checked="" type="checkbox"/> |
| Vanguard Joint Retirement ⇒<br>Southwest Airlines Company (LUV) [ST]    | JT           | None                    | None                  |                   | <input checked="" type="checkbox"/> |
| Vanguard Joint Retirement ⇒<br>Vanguard 500 Index Admiral CL [MF]       | JT           | None                    | Dividends             | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Vanguard Joint Retirement ⇒<br>Vanguard Balanced Index Admiral [MF]     | JT           | None                    | None                  |                   | <input checked="" type="checkbox"/> |
| Vanguard Joint Retirement ⇒<br>Vanguard Balanced Index Fund [MF]        | JT           | None                    | None                  |                   | <input checked="" type="checkbox"/> |
| Vanguard Joint Retirement ⇒<br>Vanguard Dividend Appreciation ETF [EF]  | JT           | \$100,001 - \$250,000   | Dividends             | \$2,501 - \$5,000 | <input checked="" type="checkbox"/> |
| Vanguard Joint Retirement ⇒<br>Vanguard ESG U S Stock ETF [EF]          | JT           | \$250,001 - \$500,000   | Dividends             | \$2,501 - \$5,000 | <input checked="" type="checkbox"/> |

| Asset  | Owner | Value of Asset        | Income Type(s) | Income            | Tx. > \$1,000?                      |
|--|-------|-----------------------|----------------|-------------------|-------------------------------------|
| Vanguard Joint Retirement ⇒<br>Vanguard Financials ETF [EF]            | JT    | \$15,001 - \$50,000   | Dividends      | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Vanguard Joint Retirement ⇒<br>Vanguard High Dividend Yield ETF [EF]   | JT    | \$50,001 - \$100,000  | Dividends      | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Vanguard Joint Retirement ⇒<br>Vanguard Index 500 [MF]                 | JT    | None                  | Dividends      | \$1 - \$200       | <input checked="" type="checkbox"/> |
| Vanguard Joint Retirement ⇒<br>Vanguard Inter-Term Invest-Gr [MF]      | JT    | None                  | Dividends      | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Vanguard Joint Retirement ⇒<br>Vanguard Large Cap ETF [EF]             | JT    | \$100,001 - \$250,000 | Dividends      | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| Vanguard Joint Retirement ⇒<br>Vanguard Mid Cap Index Admiral CL [MF]  | JT    | None                  | Dividends      | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Vanguard Joint Retirement ⇒<br>Vanguard Mid-Cap Index Fund [MF]        | JT    | None                  | None           |                   | <input checked="" type="checkbox"/> |
| Vanguard Joint Retirement ⇒<br>Vanguard S&P 500 Index ETF [EF]         | JT    | \$15,001 - \$50,000   | Dividends      | \$201 - \$1,000   | <input checked="" type="checkbox"/> |
| Vanguard Joint Retirement ⇒<br>Vanguard S&P Mid Cap 400 Index ETF [EF] | JT    | \$100,001 - \$250,000 | Dividends      | \$1,001 - \$2,500 | <input checked="" type="checkbox"/> |
| Vanguard Joint Retirement ⇒<br>Vanguard US Value Fund [MF]             | JT    | None                  | None           |                   | <input checked="" type="checkbox"/> |
| Vanguard Joint Retirement ⇒<br>Vanguard Wellesley Income Fund [MF]     | JT    | None                  | None           |                   | <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 B: TRANSACTIONS

| Asset                                   | Owner | Date       | Tx. Type       | Amount             | Cap. Gains > \$200?      |
|---|-------|------------|----------------|--------------------|--------------------------|
| CL 529 ⇒<br>Vanguard 500 Index 529 [MF] | DC    | 02/21/2020 | S<br>(partial) | \$1,001 - \$15,000 | <input type="checkbox"/> |

| Asset  | Owner | Date       | Tx. Type       | Amount              | Cap. Gains > \$200?      |
|--|-------|------------|----------------|---------------------|--------------------------|
| CL 529 ⇒<br>Vanguard Small Cap Index [MF]                  | DC    | 02/21/2020 | S<br>(partial) | \$1,001 - \$15,000  | <input type="checkbox"/> |
| CL 529 ⇒<br>Vanguard Total Inter Stock [MF]                | DC    | 02/21/2020 | S<br>(partial) | \$1,001 - \$15,000  | <input type="checkbox"/> |
| CL Retirement ⇒<br>Vanguard 500 Index Investor [MF]        | DC    | 02/25/2020 | P              | \$1,001 - \$15,000  |                          |
| CL Retirement ⇒<br>Vanguard 500 Index Investor [MF]        | DC    | 03/11/2020 | S              | \$15,001 - \$50,000 | <input type="checkbox"/> |
| CL Retirement ⇒<br>Vanguard Dividend Growth Investor [MF]  | DC    | 03/25/2020 | P              | \$1,001 - \$15,000  |                          |
| CL Retirement ⇒<br>Vanguard Dividend Growth Investor [MF]  | DC    | 03/26/2020 | P              | \$1,001 - \$15,000  |                          |
| CL Retirement ⇒<br>Vanguard Equity Income Investor [MF]    | DC    | 03/26/2020 | P              | \$1,001 - \$15,000  |                          |
| CL Retirement ⇒<br>Vanguard Equity Income Investor [MF]    | DC    | 04/13/2020 | P              | \$1,001 - \$15,000  |                          |
| CL Retirement ⇒<br>Vanguard ESG U S Stock ETF [EF]         | DC    | 11/16/2020 | P              | \$1,001 - \$15,000  |                          |
| CL Retirement ⇒<br>Vanguard ESG U S Stock ETF [EF]         | DC    | 11/30/2020 | P              | \$1,001 - \$15,000  |                          |
| CL Retirement ⇒<br>Vanguard Federal Money Market Fund [BA] | DC    | 01/28/2020 | P              | \$15,001 - \$50,000 |                          |
| CL Retirement ⇒<br>Vanguard Federal Money Market Fund [BA] | DC    | 02/25/2020 | S<br>(partial) | \$1,001 - \$15,000  | <input type="checkbox"/> |
| CL Retirement ⇒<br>Vanguard Federal Money Market Fund [BA] | DC    | 03/11/2020 | P              | \$15,001 - \$50,000 |                          |
| CL Retirement ⇒<br>Vanguard Federal Money Market Fund [BA] | DC    | 03/25/2020 | S<br>(partial) | \$1,001 - \$15,000  | <input type="checkbox"/> |
| CL Retirement ⇒<br>Vanguard Federal Money Market Fund [BA] | DC    | 03/26/2020 | S<br>(partial) | \$1,001 - \$15,000  | <input type="checkbox"/> |

| Asset   | Owner | Date       | Tx. Type       | Amount              | Cap. Gains > \$200?      |
|---|-------|------------|----------------|---------------------|--------------------------|
| CL Retirement ⇒<br>Vanguard Federal Money Market Fund [BA]        | DC    | 03/27/2020 | S<br>(partial) | \$15,001 - \$50,000 | <input type="checkbox"/> |
| CL Retirement ⇒<br>Vanguard Federal Money Market Fund [BA]        | DC    | 04/14/2020 | S<br>(partial) | \$1,001 - \$15,000  | <input type="checkbox"/> |
| CL Retirement ⇒<br>Vanguard Federal Money Market Fund [BA]        | DC    | 11/17/2020 | P              | \$1,001 - \$15,000  |                          |
| CL Retirement ⇒<br>Vanguard Federal Money Market Fund [BA]        | DC    | 11/18/2020 | S<br>(partial) | \$1,001 - \$15,000  | <input type="checkbox"/> |
| CL Retirement ⇒<br>Vanguard Federal Money Market Fund [BA]        | DC    | 12/1/2020  | P              | \$1,001 - \$15,000  |                          |
| CL Retirement ⇒<br>Vanguard Federal Money Market Fund [BA]        | DC    | 12/2/2020  | S<br>(partial) | \$1,001 - \$15,000  | <input type="checkbox"/> |
| CL Retirement ⇒<br>Vanguard US Value Investor [MF]                | DC    | 03/24/2020 | P              | \$1,001 - \$15,000  |                          |
| CL Retirement ⇒<br>Vanguard US Value Investor [MF]                | DC    | 03/26/2020 | P              | \$1,001 - \$15,000  |                          |
| CL Retirement ⇒<br>Vanguard US Value Investor [MF]                | DC    | 12/21/2020 | P              | \$1,001 - \$15,000  |                          |
| CL Retirement ⇒<br>Vanguard Windsor II Investor [MF]              | DC    | 03/26/2020 | P              | \$1,001 - \$15,000  |                          |
| CL Retirement ⇒<br>Vanguard Windsor II Investor [MF]              | DC    | 12/21/2020 | P              | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>ALPS Sector Dividend DOGS ETF [EF] | JT    | 04/20/2020 | P              | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>ALPS Sector Dividend DOGS ETF [EF] | JT    | 04/29/2020 | P              | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>ALPS Sector Dividend DOGS ETF [EF] | JT    | 05/5/2020  | P              | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒                                       | JT    | 05/18/2020 | P              | \$1,001 - \$15,000  |                          |



| Asset  | Owner | Date       | Tx. Type       | Amount              | Cap. Gains > \$200?      |
|--|-------|------------|----------------|---------------------|--------------------------|
| ALPS Sector Dividend DOGS ETF [EF]   |       |            |                |                     |                          |
| E*Trade Brokerage Account ⇒<br>ALPS Sector Dividend DOGS ETF [EF]            | JT    | 08/3/2020  | P              | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>ALPS Sector Dividend DOGS ETF [EF]            | JT    | 08/24/2020 | P              | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>ALPS Sector Dividend DOGS ETF [EF]            | JT    | 11/17/2020 | P              | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>ALPS Sector Dividend DOGS ETF [EF]            | JT    | 11/30/2020 | P              | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>Bank of America Corporation (BAC) [ST]        | JT    | 03/10/2020 | S              | \$15,001 - \$50,000 | <input type="checkbox"/> |
| E*Trade Brokerage Account ⇒<br>Berkshire Hathaway Inc. New (BRK.B) [ST]      | JT    | 03/10/2020 | S              | \$15,001 - \$50,000 | <input type="checkbox"/> |
| E*Trade Brokerage Account ⇒<br>Boulder Growth & Income Fund, Inc. (BIF) [ST] | JT    | 01/3/2020  | S<br>(partial) | \$1,001 - \$15,000  | <input type="checkbox"/> |
| E*Trade Brokerage Account ⇒<br>Boulder Growth & Income Fund, Inc. (BIF) [ST] | JT    | 03/10/2020 | S              | \$1,001 - \$15,000  | <input type="checkbox"/> |
| E*Trade Brokerage Account ⇒<br>Franklin Genomic Advancements ETF [EF]        | JT    | 06/2/2020  | P              | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>Franklin Genomic Advancements ETF [EF]        | JT    | 06/5/2020  | P              | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>Franklin Genomic Advancements ETF [EF]        | JT    | 07/10/2020 | P              | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>Franklin Genomic Advancements ETF [EF]        | JT    | 07/16/2020 | P              | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>Franklin Genomic Advancements ETF [EF]        | JT    | 09/29/2020 | P              | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>Franklin Genomic Advancements ETF [EF]        | JT    | 11/17/2020 | P              | \$1,001 - \$15,000  |                          |

| <b>Asset</b>   | <b>Owner</b> | <b>Date</b> | <b>Tx. Type</b> | <b>Amount</b>      | <b>Cap. Gains &gt; \$200?</b> |
|--|--------------|-------------|-----------------|--------------------|-------------------------------|
| E*Trade Brokerage Account ⇒<br>Franklin Genomic Advancements ETF [EF]      | JT           | 11/30/2020  | P               | \$1,001 - \$15,000 |                               |
| E*Trade Brokerage Account ⇒<br>Franklin Genomic Advancements ETF [EF]      | JT           | 12/21/2020  | P               | \$1,001 - \$15,000 |                               |
| E*Trade Brokerage Account ⇒<br>Franklin Intelligent Machines ETF [EF]      | JT           | 06/2/2020   | P               | \$1,001 - \$15,000 |                               |
| E*Trade Brokerage Account ⇒<br>Franklin Intelligent Machines ETF [EF]      | JT           | 06/5/2020   | P               | \$1,001 - \$15,000 |                               |
| E*Trade Brokerage Account ⇒<br>Franklin Intelligent Machines ETF [EF]      | JT           | 06/8/2020   | P               | \$1,001 - \$15,000 |                               |
| E*Trade Brokerage Account ⇒<br>Franklin Intelligent Machines ETF [EF]      | JT           | 07/2/2020   | P               | \$1,001 - \$15,000 |                               |
| E*Trade Brokerage Account ⇒<br>Franklin Intelligent Machines ETF [EF]      | JT           | 07/31/2020  | P               | \$1,001 - \$15,000 |                               |
| E*Trade Brokerage Account ⇒<br>Franklin Intelligent Machines ETF [EF]      | JT           | 11/11/2020  | P               | \$1,001 - \$15,000 |                               |
| E*Trade Brokerage Account ⇒<br>Franklin Intelligent Machines ETF [EF]      | JT           | 11/17/2020  | P               | \$1,001 - \$15,000 |                               |
| E*Trade Brokerage Account ⇒<br>Franklin Intelligent Machines ETF [EF]      | JT           | 11/30/2020  | P               | \$1,001 - \$15,000 |                               |
| E*Trade Brokerage Account ⇒<br>Franklin Intelligent Machines ETF [EF]      | JT           | 12/21/2020  | P               | \$1,001 - \$15,000 |                               |
| E*Trade Brokerage Account ⇒<br>Franklin Liberty US Low Volatility ETF [EF] | JT           | 05/5/2020   | P               | \$1,001 - \$15,000 |                               |
| E*Trade Brokerage Account ⇒<br>Franklin Liberty US Low Volatility ETF [EF] | JT           | 04/22/2020  | P               | \$1,001 - \$15,000 |                               |
| E*Trade Brokerage Account ⇒<br>Franklin Liberty US Low Volatility ETF [EF] | JT           | 04/28/2020  | P               | \$1,001 - \$15,000 |                               |
| E*Trade Brokerage Account ⇒<br>Franklin Liberty US Low Volatility ETF [EF] | JT           | 05/18/2020  | P               | \$1,001 - \$15,000 |                               |

| Asset   | Owner | Date       | Tx. Type | Amount              | Cap. Gains > \$200?      |
|---|-------|------------|----------|---------------------|--------------------------|
| E*Trade Brokerage Account ⇒<br>Franklin Liberty US Low Volatility ETF [EF]      | JT    | 08/3/2020  | P        | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>Franklin Liberty US Low Volatility ETF [EF]      | JT    | 09/11/2020 | P        | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>Franklin Liberty US Low Volatility ETF [EF]      | JT    | 11/30/2020 | P        | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>Franklin Liberty US Low Volatility ETF [EF]      | JT    | 06/1/2020  | P        | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>Franklin Liberty US Low Volatility ETF [EF]      | JT    | 06/8/2020  | P        | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>Franklin Liberty US Low Volatility ETF [EF]      | JT    | 08/3/2020  | P        | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>Franklin Resources, Inc. (BEN) [ST]              | JT    | 03/10/2020 | S        | \$1,001 - \$15,000  | <input type="checkbox"/> |
| E*Trade Brokerage Account ⇒<br>Invesco QQQ TR [EF]                              | JT    | 04/7/2020  | P        | \$15,001 - \$50,000 |                          |
| E*Trade Brokerage Account ⇒<br>Invesco QQQ TR [EF]                              | JT    | 03/25/2020 | P        | \$15,001 - \$50,000 |                          |
| E*Trade Brokerage Account ⇒<br>LibertyQ US Mid Cap EQI ETF [EF]                 | JT    | 09/11/2020 | P        | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>LibertyQ US Mid Cap EQI ETF [EF]                 | JT    | 11/17/2020 | P        | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>LibertyQ US Mid Cap EQI ETF [EF]                 | JT    | 07/10/2020 | P        | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>LibertyQ US Mid Cap EQI ETF [EF]                 | JT    | 08/3/2020  | P        | \$1,001 - \$15,000  |                          |
| E*Trade Brokerage Account ⇒<br>SPDR Dow Jones Industrial Average ETF (DIA) [ST] | JT    | 03/27/2020 | P        | \$1,001 - \$15,000  |                          |

| <b>Asset</b>  | <b>Owner</b> | <b>Date</b> | <b>Tx. Type</b> | <b>Amount</b>           | <b>Cap. Gains &gt; \$200?</b> |
|---|--------------|-------------|-----------------|-------------------------|-------------------------------|
| E*Trade Brokerage Account ⇒<br>SPDR Dow Jones Industrial Average ETF (DIA) [ST]               | JT           | 03/27/2020  | P               | \$1,001 - \$15,000      |                               |
| E*Trade Brokerage Account ⇒<br>SPDR Dow Jones Industrial Average ETF (DIA) [ST]               | JT           | 03/24/2020  | P               | \$15,001 - \$50,000     |                               |
| E*Trade Brokerage Account ⇒<br>The Blackstone Group Inc. (BX) [ST]                            | JT           | 03/10/2020  | S               | \$1,001 - \$15,000      | <input type="checkbox"/>      |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Equity Income Fund - Advisor Class [MF]     | JT           | 03/25/2020  | P               | \$250,001 - \$500,000   |                               |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Equity Income Fund - Advisor Class [MF]     | JT           | 06/15/2020  | P               | \$1,001 - \$15,000      |                               |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Equity Income Fund - Advisor Class [MF]     | JT           | 09/15/2020  | P               | \$1,001 - \$15,000      |                               |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Equity Income Fund - Advisor Class [MF]     | JT           | 12/15/2020  | P               | \$1,001 - \$15,000      |                               |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Growth Fund - Advisor Class [MF]            | JT           | 03/25/2020  | P               | \$100,001 - \$250,000   |                               |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Growth Fund - Advisor Class [MF]            | JT           | 12/1/2020   | P               | \$15,001 - \$50,000     |                               |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Income Fund - A [MF]                        | JT           | 03/10/2020  | P               | \$250,001 - \$500,000   |                               |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Income Fund - A [MF]                        | JT           | 03/18/2020  | S<br>(partial)  | \$500,001 - \$1,000,000 | <input type="checkbox"/>      |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Income Fund - A [MF]                        | JT           | Monthly     | P               | \$1,001 - \$15,000      |                               |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Mutual U.S. Value Fund - Advisor Class [MF] | JT           | 03/25/2020  | P               | \$100,001 - \$250,000   |                               |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Mutual U.S. Value Fund - Advisor Class [MF] | JT           | 12/15/2020  | P               | \$1,001 - \$15,000      |                               |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Rising Dividends [MF]                       | JT           | Bi-weekly   | P               | \$1,001 - \$15,000      |                               |

| Asset  | Owner | Date       | Tx. Type       | Amount                       | Cap. Gains > \$200?      |
|--|-------|------------|----------------|------------------------------|--------------------------|
| Franklin Templeton Joint Retirement ⇒<br>Franklin Rising Dividends [MF]              | JT    | 03/10/2020 | S<br>(partial) | \$250,001 -<br>\$500,000     | <input type="checkbox"/> |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Small-Mid Cap Growth Fund [MF]     | JT    | Monthly    | P              | \$1,001 - \$15,000           |                          |
| Franklin Templeton Joint Retirement ⇒<br>Franklin Small-Mid Cap Growth Fund [MF]     | JT    | 03/10/2020 | S<br>(partial) | \$50,001 -<br>\$100,000      | <input type="checkbox"/> |
| Franklin Templeton Joint Retirement ⇒<br>Franklin US Government Money Fund [MF]      | JT    | 03/18/2020 | P              | \$500,001 -<br>\$1,000,000   |                          |
| Franklin Templeton Joint Retirement ⇒<br>Franklin US Government Money Fund [MF]      | JT    | 03/25/2020 | S              | \$1,000,001 -<br>\$5,000,000 | <input type="checkbox"/> |
| Franklin Templeton Joint Retirement ⇒<br>Mutual Global Discovery Fund - Class Z [MF] | JT    | 03/25/2020 | P              | \$50,001 -<br>\$100,000      |                          |
| Franklin Templeton Joint Retirement ⇒<br>Mutual Global Discovery Fund - Class Z [MF] | JT    | 12/18/2020 | P              | \$1,001 - \$15,000           |                          |
| Franklin Templeton Joint Retirement ⇒<br>Mutual Shares - Z [MF]                      | JT    | 03/25/2020 | P              | \$50,001 -<br>\$100,000      |                          |
| Franklin Templeton Joint Retirement ⇒<br>Mutual Shares - Z [MF]                      | JT    | 10/2/2020  | P              | \$1,001 - \$15,000           |                          |
| Franklin Templeton Joint Retirement ⇒<br>Mutual Shares - Z [MF]                      | JT    | 12/18/2020 | P              | \$1,001 - \$15,000           |                          |
| IRA ⇒<br>T Rowe Global Growth Stock Fund [MF]  |       | 04/21/2020 | P              | \$1,001 - \$15,000           |                          |
| IRA ⇒<br>T Rowe Global Growth Stock Fund [MF]  |       | 04/29/2020 | P              | \$1,001 - \$15,000           |                          |
| IRA ⇒<br>T Rowe Global Growth Stock Fund [MF]  |       | 04/22/2020 | P              | \$1,001 - \$15,000           |                          |
| IRA ⇒<br>T Rowe Price Blue Chip Growth [MF]  |       | 03/26/2020 | P              | \$15,001 - \$50,000          |                          |
| IRA ⇒  |       | 03/26/2020 | P              | \$100,001 -                  |                          |

| Asset                                       | Owner | Date       | Tx. Type    | Amount                | Cap. Gains > \$200?      |
|---|-------|------------|-------------|-----------------------|--------------------------|
| T Rowe Price Blue Chip Growth [MF]          |       |            |             | \$250,000             |                          |
| IRA ⇒<br>T Rowe Price Blue Chip Growth [MF] |       | 04/21/2020 | P           | \$1,001 - \$15,000    |                          |
| IRA ⇒<br>T Rowe Price Blue Chip Growth [MF] |       | 12/15/2020 | P           | \$1,001 - \$15,000    |                          |
| IRA ⇒<br>T Rowe Price Dividend Growth [MF]  |       | 03/26/2020 | P           | \$15,001 - \$50,000   |                          |
| IRA ⇒<br>T Rowe Price Dividend Growth [MF]  |       | 03/30/2020 | P           | \$50,001 - \$100,000  |                          |
| IRA ⇒<br>T Rowe Price Dividend Growth [MF]  |       | 04/21/2020 | P           | \$1,001 - \$15,000    |                          |
| IRA ⇒<br>T Rowe Price Equity Index 500 [MF] |       | 03/11/2020 | S           | \$100,001 - \$250,000 | <input type="checkbox"/> |
| IRA ⇒<br>T Rowe Price Growth & Income [MF]  |       | 03/11/2020 | S           | \$100,001 - \$250,000 | <input type="checkbox"/> |
| IRA ⇒<br>T Rowe Price U.S. Bond Index [MF]  |       | 03/30/2020 | S           | \$50,001 - \$100,000  | <input type="checkbox"/> |
| IRA ⇒<br>T Rowe Price Value [MF]            |       | 03/26/2020 | P           | \$15,001 - \$50,000   |                          |
| IRA ⇒<br>T Rowe Price Value [MF]            |       | 04/21/2020 | P           | \$1,001 - \$15,000    |                          |
| IRA ⇒<br>T Rowe Price Value [MF]            |       | 04/29/2020 | P           | \$1,001 - \$15,000    |                          |
| IRA ⇒<br>T Rowe Price Value [MF]            |       | 12/15/2020 | P           | \$1,001 - \$15,000    |                          |
| IRA ⇒<br>US Treasury Money Fund [BA]        |       | 03/12/2020 | P           | \$250,001 - \$500,000 |                          |
| IRA ⇒<br>US Treasury Money Fund [BA]        |       | 03/25/2020 | S (partial) | \$15,001 - \$50,000   | <input type="checkbox"/> |

| Asset  | Owner | Date       | Tx. Type       | Amount                   | Cap. Gains > \$200?      |
|--|-------|------------|----------------|--------------------------|--------------------------|
| IRA ⇒<br>US Treasury Money Fund [BA]                               |       | 03/26/2020 | S<br>(partial) | \$100,001 -<br>\$250,000 | <input type="checkbox"/> |
| IRA ⇒<br>US Treasury Money Fund [BA]                               |       | 04/14/2020 | S<br>(partial) | \$1,001 - \$15,000       | <input type="checkbox"/> |
| IRA ⇒<br>US Treasury Money Fund [BA]                               |       | 04/21/2020 | S<br>(partial) | \$1,001 - \$15,000       | <input type="checkbox"/> |
| IRA ⇒<br>US Treasury Money Fund [BA]                               |       | 04/22/2020 | S<br>(partial) | \$1,001 - \$15,000       | <input type="checkbox"/> |
| IRA ⇒<br>US Treasury Money Fund [BA]                               |       | 04/29/2020 | S<br>(partial) | \$1,001 - \$15,000       | <input type="checkbox"/> |
| Spouse 401K ⇒<br>BlackRock Inflation Protected Bond Inst Fund [MF] | SP    | 03/10/2020 | P              | \$100,001 -<br>\$250,000 |                          |
| Spouse 401K ⇒<br>BlackRock Inflation Protected Bond Inst Fund [MF] | SP    | 03/24/2020 | S<br>(partial) | \$15,001 - \$50,000      | <input type="checkbox"/> |
| Spouse 401K ⇒<br>BlackRock Inflation Protected Bond Inst Fund [MF] | SP    | 03/25/2020 | S              | \$100,001 -<br>\$250,000 | <input type="checkbox"/> |
| Spouse 401K ⇒<br>Invesco Developing Markets Y Fund [MF]            | SP    | 01/2/2020  | P              | \$100,001 -<br>\$250,000 |                          |
| Spouse 401K ⇒<br>Invesco Developing Markets Y Fund [MF]            | SP    | 06/8/2020  | P              | \$1,001 - \$15,000       |                          |
| Spouse 401K ⇒<br>Invesco Developing Markets Y Fund [MF]            | SP    | 11/9/2020  | P              | \$1,001 - \$15,000       |                          |
| Spouse 401K ⇒<br>Invesco Developing Markets Y Fund [MF]            | SP    | 12/31/2020 | P              | \$1,001 - \$15,000       |                          |
| Spouse 401K ⇒<br>Invesco Developing Markets Y Fund [MF]            | SP    | 03/10/2020 | S<br>(partial) | \$50,001 -<br>\$100,000  | <input type="checkbox"/> |
| Spouse 401K ⇒<br>JP Morgan Mid Cap Value A Fund [MF]               | SP    | 01/2/2020  | S              | \$15,001 - \$50,000      | <input type="checkbox"/> |
| Spouse 401K ⇒<br>JP Morgan Mid Cap Value I Fund [MF]               | SP    | 01/2/2020  | P              | \$1,001 - \$15,000       |                          |

| Asset   | Owner | Date       | Tx. Type    | Amount                | Cap. Gains > \$200?      |
|---|-------|------------|-------------|-----------------------|--------------------------|
| Spouse 401K ⇒<br>JP Morgan Mid Cap Value I Fund [MF]            | SP    | 06/9/2020  | P           | \$15,001 - \$50,000   |                          |
| Spouse 401K ⇒<br>JP Morgan Mid Cap Value I Fund [MF]            | SP    | 11/9/2020  | P           | \$1,001 - \$15,000    |                          |
| Spouse 401K ⇒<br>JP Morgan Mid Cap Value I Fund [MF]            | SP    | 12/11/2020 | P           | \$15,001 - \$50,000   |                          |
| Spouse 401K ⇒<br>JP Morgan Mid Cap Value I Fund [MF]            | SP    | 12/18/2020 | P           | \$1,001 - \$15,000    |                          |
| Spouse 401K ⇒<br>JP Morgan Mid Cap Value I Fund [MF]            | SP    | 03/10/2020 | S (partial) | \$50,001 - \$100,000  | <input type="checkbox"/> |
| Spouse 401K ⇒<br>JP Morgan Mid Cap Value I Fund [MF]            | SP    | 03/25/2020 | P           | \$100,001 - \$250,000 |                          |
| Spouse 401K ⇒<br>Lord Abbett Short Duration Income R5 Fund [MF] | SP    | 03/10/2020 | P           | \$250,001 - \$500,000 |                          |
| Spouse 401K ⇒<br>Lord Abbett Short Duration Income R5 Fund [MF] | SP    | 03/24/2020 | S (partial) | \$50,001 - \$100,000  | <input type="checkbox"/> |
| Spouse 401K ⇒<br>Lord Abbett Short Duration Income R5 Fund [MF] | SP    | 03/25/2020 | S           | \$250,001 - \$500,000 | <input type="checkbox"/> |
| Spouse 401K ⇒<br>MFS Value R3Fund [MF]                          | SP    | 06/9/2020  | P           | \$15,001 - \$50,000   |                          |
| Spouse 401K ⇒<br>MFS Value R3Fund [MF]                          | SP    | 06/25/2020 | P           | \$1,001 - \$15,000    |                          |
| Spouse 401K ⇒<br>MFS Value R3Fund [MF]                          | SP    | 09/24/2020 | P           | \$1,001 - \$15,000    |                          |
| Spouse 401K ⇒<br>MFS Value R3Fund [MF]                          | SP    | 11/9/2020  | P           | \$1,001 - \$15,000    |                          |
| Spouse 401K ⇒<br>MFS Value R3Fund [MF]                          | SP    | 12/17/2020 | P           | \$1,001 - \$15,000    |                          |



| Asset   | Owner | Date       | Tx. Type    | Amount                | Cap. Gains > \$200?      |
|---|-------|------------|-------------|-----------------------|--------------------------|
| Spouse 401K ⇒<br>MFS Value R3Fund [MF]                                  | SP    | 03/24/2020 | P           | \$100,001 - \$250,000 |                          |
| Spouse 401K ⇒<br>MFS Value R3Fund [MF]                                  | SP    | 03/25/2020 | P           | \$100,001 - \$250,000 |                          |
| Spouse 401K ⇒<br>Morley Stable Value V Fund [MF]                        | SP    | 03/10/2020 | P           | \$100,001 - \$250,000 |                          |
| Spouse 401K ⇒<br>Morley Stable Value V Fund [MF]                        | SP    | 06/8/2020  | S (partial) | \$50,001 - \$100,000  | <input type="checkbox"/> |
| Spouse 401K ⇒<br>Morley Stable Value V Fund [MF]                        | SP    | 06/9/2020  | S           | \$100,001 - \$250,000 | <input type="checkbox"/> |
| Spouse 401K ⇒<br>Oppenheimer Developing Markets A Fund [MF]             | SP    | 01/2/2020  | S           | \$15,001 - \$50,000   | <input type="checkbox"/> |
| Spouse 401K ⇒<br>Principal Global Investors LargeCap S&P 500 Index [MF] | SP    | 01/31/2020 | P           | \$1,001 - \$15,000    |                          |
| Spouse 401K ⇒<br>Principal Global Investors LargeCap S&P 500 Index [MF] | SP    | 06/9/2020  | P           | \$15,001 - \$50,000   |                          |
| Spouse 401K ⇒<br>Principal Global Investors LargeCap S&P 500 Index [MF] | SP    | 11/9/2020  | P           | \$1,001 - \$15,000    |                          |
| Spouse 401K ⇒<br>Principal Global Investors LargeCap S&P 500 Index [MF] | SP    | 12/31/2020 | P           | \$1,001 - \$15,000    |                          |
| Spouse 401K ⇒<br>Principal Global Investors LargeCap S&P 500 Index [MF] | SP    | 01/31/2020 | P           | \$1,001 - \$15,000    |                          |
| Spouse 401K ⇒<br>Principal Global Investors LargeCap S&P 500 Index [MF] | SP    | 03/10/2020 | S (partial) | \$100,001 - \$250,000 | <input type="checkbox"/> |
| Spouse 401K ⇒<br>Principal International Equity Index Sep Acct [MF]     | SP    | 03/10/2020 | S           | \$50,001 - \$100,000  | <input type="checkbox"/> |
| Spouse 401K ⇒<br>Principal MidCap Separate Account [MF]                 | SP    | 06/9/2020  | P           | \$15,001 - \$50,000   |                          |
| Spouse 401K ⇒<br>Principal MidCap Separate Account [MF]                 | SP    | 11/9/2020  | P           | \$1,001 - \$15,000    |                          |

| Asset   | Owner | Date       | Tx. Type       | Amount                   | Cap. Gains > \$200?      |
|---|-------|------------|----------------|--------------------------|--------------------------|
| Spouse 401K ⇒<br>Principal MidCap Separate Account [MF]                 | SP    | 12/31/2020 | P              | \$1,001 - \$15,000       |                          |
| Spouse 401K ⇒<br>Principal MidCap Separate Account [MF]                 | SP    | 03/10/2020 | S<br>(partial) | \$50,001 -<br>\$100,000  | <input type="checkbox"/> |
| Spouse 401K ⇒<br>Principal SmallCap S&P 600 Index Separate Account [MF] | SP    | 06/9/2020  | P              | \$15,001 - \$50,000      |                          |
| Spouse 401K ⇒<br>Principal SmallCap S&P 600 Index Separate Account [MF] | SP    | 11/9/2020  | P              | \$1,001 - \$15,000       |                          |
| Spouse 401K ⇒<br>Principal SmallCap S&P 600 Index Separate Account [MF] | SP    | 12/31/2020 | P              | \$1,001 - \$15,000       |                          |
| Spouse 401K ⇒<br>Principal SmallCap S&P 600 Index Separate Account [MF] | SP    | 03/10/2020 | S<br>(partial) | \$50,001 -<br>\$100,000  | <input type="checkbox"/> |
| Spouse 401K ⇒<br>Principal US Property Sep Acct [MF]                    | SP    | 01/2/2020  | S<br>(partial) | \$100,001 -<br>\$250,000 | <input type="checkbox"/> |
| Spouse 401K ⇒<br>Principal US Property Sep Acct [MF]                    | SP    | 03/10/2020 | P              | \$1,001 - \$15,000       |                          |
| Spouse 401K ⇒<br>Principal US Property Sep Acct [MF]                    | SP    | 11/9/2020  | S<br>(partial) | \$15,001 - \$50,000      | <input type="checkbox"/> |
| Spouse 401K ⇒<br>Principal US Property Sep Acct [MF]                    | SP    | 12/31/2020 | P              | \$1,001 - \$15,000       |                          |
| Spouse 401K ⇒<br>T Rowe Price Blue Chip Growth Fund [MF]                | SP    | 06/9/2020  | P              | \$15,001 - \$50,000      |                          |
| Spouse 401K ⇒<br>T Rowe Price Blue Chip Growth Fund [MF]                | SP    | 11/9/2020  | P              | \$1,001 - \$15,000       |                          |
| Spouse 401K ⇒<br>T Rowe Price Blue Chip Growth Fund [MF]                | SP    | 12/31/2020 | P              | \$1,001 - \$15,000       |                          |
| Spouse 401K ⇒<br>T Rowe Price Blue Chip Growth Fund [MF]                | SP    | 03/10/2020 | S<br>(partial) | \$50,001 -<br>\$100,000  | <input type="checkbox"/> |
| Spouse 401K ⇒   | SP    | 03/10/2020 | S              | \$50,001 -               | <input type="checkbox"/> |

| Asset   | Owner | Date       | Tx. Type  | Amount               | Cap. Gains > \$200?      |
|---|-------|------------|-----------|----------------------|--------------------------|
| T Rowe Price International Discovery Fund [MF]                          |       |            | (partial) | \$100,000            |                          |
| Spouse 401K ⇒<br>T Rowe Price International Discovery Fund [MF]         | SP    | 06/8/2020  | P         | \$1,001 - \$15,000   |                          |
| Spouse 401K ⇒<br>T Rowe Price International Discovery Fund [MF]         | SP    | 06/9/2020  | P         | \$15,001 - \$50,000  |                          |
| Spouse 401K ⇒<br>T Rowe Price International Discovery Fund [MF]         | SP    | 11/9/2020  | P         | \$1,001 - \$15,000   |                          |
| Spouse 401K ⇒<br>T Rowe Price International Discovery Fund [MF]         | SP    | 12/16/2020 | P         | \$1,001 - \$15,000   |                          |
| Vanguard Joint Retirement ⇒<br>American Airlines Group, Inc. (AAL) [ST] | JT    | 05/19/2020 | P         | \$1,001 - \$15,000   |                          |
| Vanguard Joint Retirement ⇒<br>American Airlines Group, Inc. (AAL) [ST] | JT    | 07/14/2020 | S         | \$1,001 - \$15,000   | <input type="checkbox"/> |
| Vanguard Joint Retirement ⇒<br>Berkshire Hathaway Inc. New (BRK.B) [ST] | JT    | 04/15/2020 | P         | \$50,001 - \$100,000 |                          |
| Vanguard Joint Retirement ⇒<br>Berkshire Hathaway Inc. New (BRK.B) [ST] | JT    | 04/21/2020 | P         | \$15,001 - \$50,000  |                          |
| Vanguard Joint Retirement ⇒<br>Berkshire Hathaway Inc. New (BRK.B) [ST] | JT    | 05/4/2020  | P         | \$1,001 - \$15,000   |                          |
| Vanguard Joint Retirement ⇒<br>Berkshire Hathaway Inc. New (BRK.B) [ST] | JT    | 05/18/2020 | P         | \$1,001 - \$15,000   |                          |
| Vanguard Joint Retirement ⇒<br>Berkshire Hathaway Inc. New (BRK.B) [ST] | JT    | 08/4/2020  | P         | \$1,001 - \$15,000   |                          |
| Vanguard Joint Retirement ⇒<br>Berkshire Hathaway Inc. New (BRK.B) [ST] | JT    | 09/21/2020 | P         | \$1,001 - \$15,000   |                          |
| Vanguard Joint Retirement ⇒<br>Berkshire Hathaway Inc. New (BRK.B) [ST] | JT    | 09/25/2020 | P         | \$1,001 - \$15,000   |                          |
| Vanguard Joint Retirement ⇒<br>Berkshire Hathaway Inc. New (BRK.B) [ST] | JT    | 10/5/2020  | P         | \$1,001 - \$15,000   |                          |

| <b>Asset</b>  | <b>Owner</b> | <b>Date</b> | <b>Tx. Type</b> | <b>Amount</b>         | <b>Cap. Gains &gt; \$200?</b> |
|---|--------------|-------------|-----------------|-----------------------|-------------------------------|
| Vanguard Joint Retirement ⇒<br>Berkshire Hathaway Inc. New (BRK.B) [ST] | JT           | 11/16/2020  | P               | \$1,001 - \$15,000    |                               |
| Vanguard Joint Retirement ⇒<br>Southwest Airlines Company (LUV) [ST]    | JT           | 05/19/2020  | P               | \$1,001 - \$15,000    |                               |
| Vanguard Joint Retirement ⇒<br>Southwest Airlines Company (LUV) [ST]    | JT           | 05/19/2020  | P               | \$1,001 - \$15,000    |                               |
| Vanguard Joint Retirement ⇒<br>Southwest Airlines Company (LUV) [ST]    | JT           | 07/10/2020  | S<br>(partial)  | \$1,001 - \$15,000    | <input type="checkbox"/>      |
| Vanguard Joint Retirement ⇒<br>Southwest Airlines Company (LUV) [ST]    | JT           | 07/14/2020  | S               | \$1,001 - \$15,000    | <input type="checkbox"/>      |
| Vanguard Joint Retirement ⇒<br>Vanguard 500 Index Admiral CL [MF]       | JT           | 02/10/2020  | P               | \$100,001 - \$250,000 |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard 500 Index Admiral CL [MF]       | JT           | 03/10/2020  | S               | \$100,001 - \$250,000 | <input type="checkbox"/>      |
| Vanguard Joint Retirement ⇒<br>Vanguard Balanced Index Admiral [MF]     | JT           | 02/10/2020  | P               | \$100,001 - \$250,000 |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard Balanced Index Admiral [MF]     | JT           | 03/10/2020  | S               | \$100,001 - \$250,000 | <input type="checkbox"/>      |
| Vanguard Joint Retirement ⇒<br>Vanguard Balanced Index Fund [MF]        | JT           | 02/10/2020  | S               | \$100,001 - \$250,000 | <input type="checkbox"/>      |
| Vanguard Joint Retirement ⇒<br>Vanguard Dividend Appreciation ETF [EF]  | JT           | 03/27/2020  | P               | \$100,001 - \$250,000 |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard ESG U S Stock ETF [EF]          | JT           | 03/24/2020  | P               | \$100,001 - \$250,000 |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard ESG U S Stock ETF [EF]          | JT           | 03/27/2020  | P               | \$100,001 - \$250,000 |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard ESG U S Stock ETF [EF]          | JT           | 03/31/2020  | P               | \$15,001 - \$50,000   |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard ESG U S Stock ETF [EF]          | JT           | 04/20/2020  | P               | \$1,001 - \$15,000    |                               |

| <b>Asset</b>   | <b>Owner</b> | <b>Date</b> | <b>Tx. Type</b> | <b>Amount</b>      | <b>Cap. Gains &gt; \$200?</b> |
|--|--------------|-------------|-----------------|--------------------|-------------------------------|
| Vanguard Joint Retirement ⇒<br>Vanguard ESG U S Stock ETF [EF] | JT           | 06/9/2020   | P               | \$1,001 - \$15,000 |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard ESG U S Stock ETF [EF] | JT           | 06/25/2020  | P               | \$1,001 - \$15,000 |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard ESG U S Stock ETF [EF] | JT           | 08/6/2020   | P               | \$1,001 - \$15,000 |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard ESG U S Stock ETF [EF] | JT           | 09/24/2020  | P               | \$1,001 - \$15,000 |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard ESG U S Stock ETF [EF] | JT           | 12/23/2020  | P               | \$1,001 - \$15,000 |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard Financials ETF [EF]    | JT           | 08/4/2020   | P               | \$1,001 - \$15,000 |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard Financials ETF [EF]    | JT           | 08/21/2020  | P               | \$1,001 - \$15,000 |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard Financials ETF [EF]    | JT           | 08/24/2020  | P               | \$1,001 - \$15,000 |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard Financials ETF [EF]    | JT           | 09/8/2020   | P               | \$1,001 - \$15,000 |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard Financials ETF [EF]    | JT           | 09/16/2020  | P               | \$1,001 - \$15,000 |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard Financials ETF [EF]    | JT           | 09/25/2020  | P               | \$1,001 - \$15,000 |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard Financials ETF [EF]    | JT           | 09/29/2020  | P               | \$1,001 - \$15,000 |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard Financials ETF [EF]    | JT           | 11/11/2020  | P               | \$1,001 - \$15,000 |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard Financials ETF [EF]    | JT           | 11/16/2020  | P               | \$1,001 - \$15,000 |                               |

| <b>Asset</b>  | <b>Owner</b> | <b>Date</b> | <b>Tx. Type</b> | <b>Amount</b>         | <b>Cap. Gains &gt; \$200?</b> |
|---|--------------|-------------|-----------------|-----------------------|-------------------------------|
| Vanguard Joint Retirement ⇒<br>Vanguard Financials ETF [EF]           | JT           | 11/24/2020  | P               | \$1,001 - \$15,000    |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard Financials ETF [EF]           | JT           | 11/30/2020  | P               | \$1,001 - \$15,000    |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard Financials ETF [EF]           | JT           | 12/21/2020  | P               | \$1,001 - \$15,000    |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard High Dividend Yield ETF [EF]  | JT           | 03/27/2020  | P               | \$50,001 - \$100,000  |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard Index 500 [MF]                | JT           | 01/10/2020  | P               | \$1,001 - \$15,000    |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard Index 500 [MF]                | JT           | 02/10/2020  | S               | \$100,001 - \$250,000 | <input type="checkbox"/>      |
| Vanguard Joint Retirement ⇒<br>Vanguard Inter-Term Invest-Gr [MF]     | JT           | 02/10/2020  | S               | \$50,001 - \$100,000  | <input type="checkbox"/>      |
| Vanguard Joint Retirement ⇒<br>Vanguard Large Cap ETF [EF]            | JT           | 03/27/2020  | P               | \$100,001 - \$250,000 |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard Mid Cap Index Admiral CL [MF] | JT           | 02/10/2020  | P               | \$50,001 - \$100,000  |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard Mid Cap Index Admiral CL [MF] | JT           | 03/10/2020  | S               | \$50,001 - \$100,000  | <input type="checkbox"/>      |
| Vanguard Joint Retirement ⇒<br>Vanguard Mid-Cap Index Fund [MF]       | JT           | 02/10/2020  | S               | \$100,001 - \$250,000 | <input type="checkbox"/>      |
| Vanguard Joint Retirement ⇒<br>Vanguard S&P 500 Index ETF [EF]        | JT           | 07/13/2020  | P               | \$1,001 - \$15,000    |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard S&P 500 Index ETF [EF]        | JT           | 07/14/2020  | P               | \$1,001 - \$15,000    |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard S&P 500 Index ETF [EF]        | JT           | 07/30/2020  | P               | \$1,001 - \$15,000    |                               |
| Vanguard Joint Retirement ⇒<br>Vanguard S&P 500 Index ETF [EF]        | JT           | 08/3/2020   | P               | \$1,001 - \$15,000    |                               |

| Asset  | Owner | Date       | Tx. Type | Amount                | Cap. Gains > \$200?      |
|--|-------|------------|----------|-----------------------|--------------------------|
| Vanguard Joint Retirement ⇒<br>Vanguard S&P 500 Index ETF [EF]         | JT    | 08/4/2020  | P        | \$1,001 - \$15,000    |                          |
| Vanguard Joint Retirement ⇒<br>Vanguard S&P 500 Index ETF [EF]         | JT    | 08/10/2020 | P        | \$1,001 - \$15,000    |                          |
| Vanguard Joint Retirement ⇒<br>Vanguard S&P 500 Index ETF [EF]         | JT    | 08/21/2020 | P        | \$1,001 - \$15,000    |                          |
| Vanguard Joint Retirement ⇒<br>Vanguard S&P 500 Index ETF [EF]         | JT    | 08/24/2020 | P        | \$1,001 - \$15,000    |                          |
| Vanguard Joint Retirement ⇒<br>Vanguard S&P 500 Index ETF [EF]         | JT    | 09/8/2020  | P        | \$1,001 - \$15,000    |                          |
| Vanguard Joint Retirement ⇒<br>Vanguard S&P 500 Index ETF [EF]         | JT    | 09/14/2020 | P        | \$1,001 - \$15,000    |                          |
| Vanguard Joint Retirement ⇒<br>Vanguard S&P 500 Index ETF [EF]         | JT    | 09/25/2020 | P        | \$1,001 - \$15,000    |                          |
| Vanguard Joint Retirement ⇒<br>Vanguard S&P 500 Index ETF [EF]         | JT    | 11/11/2020 | P        | \$1,001 - \$15,000    |                          |
| Vanguard Joint Retirement ⇒<br>Vanguard S&P 500 Index ETF [EF]         | JT    | 11/16/2020 | P        | \$1,001 - \$15,000    |                          |
| Vanguard Joint Retirement ⇒<br>Vanguard S&P 500 Index ETF [EF]         | JT    | 11/24/2020 | P        | \$1,001 - \$15,000    |                          |
| Vanguard Joint Retirement ⇒<br>Vanguard S&P 500 Index ETF [EF]         | JT    | 11/30/2020 | P        | \$1,001 - \$15,000    |                          |
| Vanguard Joint Retirement ⇒<br>Vanguard S&P Mid Cap 400 Index ETF [EF] | JT    | 03/27/2020 | P        | \$15,001 - \$50,000   |                          |
| Vanguard Joint Retirement ⇒<br>Vanguard S&P Mid Cap 400 Index ETF [EF] | JT    | 03/31/2020 | P        | \$15,001 - \$50,000   |                          |
| Vanguard Joint Retirement ⇒<br>Vanguard US Value Fund [MF]             | JT    | 02/10/2020 | S        | \$100,001 - \$250,000 | <input type="checkbox"/> |
| Vanguard Joint Retirement ⇒  | JT    | 02/10/2020 | S        | \$100,001 -           | <input type="checkbox"/> |

| Asset                               | Owner | Date | Tx. Type | Amount    | Cap. Gains > \$200? |
|-------------------------------------|-------|------|----------|-----------|---------------------|
| Vanguard Wellesley Income Fund [MF] |       |      |          | \$250,000 |                     |

\* 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 |
|------------------------------|---------------|--------|
| Butler Weihmuller Katz Craig | Spouse Income | N/A    |

### SCHEDULE D: LIABILITIES

None disclosed.

### SCHEDULE E: POSITIONS

| Position                | Name of Organization                                |
|-------------------------|---|
| Vice President/Director | Castor-Bell-Lewis Family Foundation (uncompensated) |

### 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

- o CL 529 (Owner: DC)  
LOCATION: FL
- o CL Retirement (Owner: DC)
- o E\*Trade Brokerage Account (Owner: JT)  
LOCATION: US
- o Franklin Templeton Joint Retirement (Owner: JT)



- o IRA
- o Spouse 401K (Owner: SP)
- o Vanguard Joint Retirement (Owner: JT)

## **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. Kathy Castor , 08/12/2021