



# FINANCIAL DISCLOSURE REPORT

Clerk of the House of Representatives • Legislative Resource Center • 135 Cannon Building • Washington, DC 20515

## FILER INFORMATION

**Name:** Hon. Joe Courtney  
**Status:** Member  
**State/District:** CT02

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2020  
**Filing Date:** 07/30/2021

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Commonwealth Annuity and Life Insurance Co. "Exceptional Life Policy" [WU]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Inherited Brokerage Account ⇒ Alibaba Group Holding Limited American Depositary Shares each representing eight Ordinary share (BABA) [ST]	SP	None	Dividends	None	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Blackrock Advantage Large Cap - MALRX [MF]	SP	\$1,001 - \$15,000	Dividends	None	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ BlackRock Credit Allocation Income Trust (BTZ) [ST]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Blackrock Debt Strategies Fund, Inc. (DSU) [ST]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Blackrock Emerging Markets Fund - MADCX [MF]	SP	\$1,001 - \$15,000	Dividends	None	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Blackrock High Yield Municipal Fund - MAYHX [MF]	SP	\$1,001 - \$15,000	Dividends	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>
Inherited Brokerage Account ⇒ Blackrock National Municipal Fund - MANLX [MF]	SP	\$1,001 - \$15,000	Dividends	None	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Blackrock Technologies Opportunity Fund - BGSIX [MF]	SP	\$1,001 - \$15,000	Dividends	None	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ DFA Int'l Core Equity [MF]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Eaton Vance Limited Duration Income Fund Common Shares of Beneficial Interest (EVV) [ST]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Energy Transfer LP Common Units (ET) [ST]	SP	None	Partnership Distribution	\$201 - \$1,000	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Federated Investors Tax-Free Obligations [MF]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Ford Motor Company (F) [ST]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Global X Funds SUPDV US [EF]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Goldman Sachs Funds Dynamic Muni Income [MF]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Hartford Core Equity Fund - HGIIX [MF]	SP	\$15,001 - \$50,000	Dividends	None	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ iShares 7-10 Year Treasury Bond - IEF [MF]	SP	\$1,001 - \$15,000	Dividends	None	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ iShares Core S&P 500 - IVV [MF]	SP	\$15,001 - \$50,000	Dividends	None	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ iShares Core S&P Small Cap - IJR [MF]	SP	\$1,001 - \$15,000	Dividends	None	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ iShares Edge MSCI - USMV [MF]	SP	\$1,001 - \$15,000	Dividends	None	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ iShares Edge MSCI USA Value - VLUE [MF]	SP	\$1,001 - \$15,000	Dividends	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>
Inherited Brokerage Account ⇒ iShares TR Core MSCI - IEFA [MF]	SP	\$1,001 - \$15,000	Dividends	None	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ iShares TR MSCI EAFE - EFG [MF]	SP	\$1,001 - \$15,000	Dividends	None	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ iShares Trust Int's Select [EF]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ iShares Trust ISHRS - ESGU [MF]	SP	\$15,001 - \$50,000	Dividends	None	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ iShares US Medical Devices - IHI [MF]	SP	\$1,001 - \$15,000	Dividends	None	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Natixis Funds LS SR Floating Rate & Fixed [MF]	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ NexPoint Strategic Opportunities Fund (NHF) [ST]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Nintendo Co Ltd ADR (NTDOY) [ST]	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Northern Funds Ultra Short Fixed [MF]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Pimco Investments Income Inst'l [MF]	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Pimco Municipal Bond Fund - PMUPX [MF]	SP	\$1,001 - \$15,000	Dividends	None	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ RBB Orinda Income Opportunities [MF]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Rivernorth Funds Doubleline Strategic Income [MF]	SP	None	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ SSGA Active [EF]	SP	None	Dividends	None	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Sweep Account [BA]	SP	\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Inherited Brokerage Account ⇒ United Technologies Corporation (UTX) [ST]	SP	None	Dividends	\$1 - \$200	<input type="checkbox"/>
DESCRIPTION: Asset was liquidated as a result of 4/3/20 merger, but was below the threshold for reportable transactions.					
Inherited Brokerage Account ⇒ Vanguard Dividend ETF [EF]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Vanguard Total Stock Market [EF]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Virtus Funds SEIX Floating [MF]	SP	None	Dividends	\$1 - \$200	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ WCM Focused Int'l Growth [MF]	SP	None	Dividends	None	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Wisdomtree Emerging Markets - XSOE [MF]	SP	\$1,001 - \$15,000	Dividends	None	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Wisdomtree Trust CBOE S&P 500 [EF]	SP	None	Dividends	None	<input checked="" type="checkbox"/>
Inherited Brokerage Account ⇒ Wisdomtree Trust Dynamic [EF]	SP	None	Dividends	None	<input checked="" type="checkbox"/>
Inherited IRA ⇒ Apple Inc. (AAPL) [ST]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Inherited IRA ⇒ Deposit Sweep Account [BA]	SP	\$1 - \$1,000	Tax-Deferred		<input type="checkbox"/>
Inherited IRA ⇒ DFA Int'l Core Equity [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Inherited IRA ⇒ DFA US Core Equity (DFEOX) [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Inherited IRA ⇒ Federated MDT Small Cap [MF]	SP	None	Tax-Deferred		<input checked="" type="checkbox"/>
Inherited IRA ⇒ Franklin Growth Fund Advantage [EF]	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>
Inherited IRA ⇒ Franklin International Growth Advisor Class [EF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Inherited IRA ⇒ Franklin Liberty IG Corp [MF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Inherited IRA ⇒ Franklin Liberty US Core [MF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Inherited IRA ⇒ Franklin Small Cap Growth Fund [EF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Inherited IRA ⇒ Franklin Small Cap Value Fund [EF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Inherited IRA ⇒ Franklin Templeton ETF [EF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Inherited IRA ⇒ Goldman Sachs International Equity Insights [EF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Inherited IRA ⇒ iShares US Treasury Bond [EF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Inherited IRA ⇒ JP Morgan Mortgage Backed Securities [EF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Inherited IRA ⇒ Natixis LS Senior Flat Rate (LSFYX) [MF]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Inherited IRA ⇒ PIMCO FDS Income Instl (PIMIX) [MF]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Inherited IRA ⇒ SPDR Series Trust Portfolio (SPTM) [EF]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Inherited IRA ⇒ T Rowe Price Blue Chip Growth [MF]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Inherited IRA ⇒ T Rowe Price Health Sciences [MF]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Inherited IRA ⇒ Templeton Developing Markets Trust [EF]	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>
Inherited IRA ⇒ Vanguard 500 Index Fund [EF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Inherited IRA ⇒ Vanguard FTSE Developed Markets [EF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Inherited IRA ⇒ Vanguard FTSE Emerging Markets ETF [EF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Inherited IRA ⇒ WCM Focust Int Growth Inst (WCMIX) [MF]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Inherited IRA ⇒ Wisdomtree CBOE S&P 500 [EF]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Inherited IRA ⇒ Wisdomtree Dynamic (DYLS) [EF]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
IRA ⇒ Blackrock Liquidity Fund [MF]		None	Tax-Deferred	<input checked="" type="checkbox"/>
IRA ⇒ Brown Advantage Sustainable [MF]		\$50,001 - \$100,000	Tax-Deferred	<input checked="" type="checkbox"/>
IRA ⇒ Calvert Equity Fund (CEYIX) [EF]		\$50,001 - \$100,000	Tax-Deferred	<input checked="" type="checkbox"/>
IRA ⇒ Calvert Small Cap [MF]		\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
IRA ⇒ Calvert US Large Cap Value (CFJIX) [EF]		\$50,001 - \$100,000	Tax-Deferred	<input checked="" type="checkbox"/>
IRA ⇒ CRA Qualified Investment Fund (CRANX) [EF]		\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
IRA ⇒ Delaware Corporate Bond Fund (DGCIX) [EF]		\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
IRA ⇒ Delaware Small Cap Core (DCCIX) [EF]		None	Tax-Deferred	<input checked="" type="checkbox"/>
IRA ⇒ ISH USD High Yield [MF]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
IRA ⇒ iShares MSCI EM ESG Optimized (ESGE) [EF]		\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
IRA ⇒ iShares MSCI USA ESG Select (SUSA) [EF]		None	Tax-Deferred	<input checked="" type="checkbox"/>
IRA ⇒ iShares Trust ISHRS [MF]		\$50,001 - \$100,000	Tax-Deferred	<input checked="" type="checkbox"/>
IRA ⇒ iShares US Treasury Bond (GOVT) [EF]		\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
IRA ⇒ Merrill Cash/Money Accounts [BA]		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
IRA ⇒ Nuveen ESG Large Cap [MF]		\$50,001 - \$100,000	Tax-Deferred	<input checked="" type="checkbox"/>
IRA ⇒ Schwab US Large Cap (SCHV) [EF]		None	Tax-Deferred	<input checked="" type="checkbox"/>
IRA ⇒ SPDR Bloomberg Barclays [MF]		\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
IRA ⇒ TIAA CREF Social Choice [EF]		\$50,001 - \$100,000	Tax-Deferred	<input checked="" type="checkbox"/>
IRA ⇒ Vanguard Total International Equity Fund (BNDX) [EF]		\$1,001 - \$15,000	Tax-Deferred	<input type="checkbox"/>
Manulife Financial Corporation (MFC) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000 <input type="checkbox"/>
Mass Mutual Whole Life Policy [WU]		\$15,001 - \$50,000	None	<input type="checkbox"/>
People's United Financial, Inc. (PBCT) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000 <input type="checkbox"/>
Prudential Annuities (Inherited) [WU]	SP	Undetermined	Annuity Distribution	\$201 - \$1,000 <input type="checkbox"/>
Rollover IRA ⇒ AB Global Bond [MF]	SP	None	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 ⇒ AB High Income [MF]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Abbott Laboratories (ABT) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Alphabet Inc. - Class A (GOOGL) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ American Tower Corporation (AMT) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Anthem, Inc. (ANTM) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Apple Inc. (AAPL) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ BlackRock, Inc. (BLK) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Brown Advantage Sustainable [MF]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Calvert Equity Fund [MF]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Calvert Small Cap [MF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Calvert US Large Cap Value [MF]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Capital One Financial Corporation (COF) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Chubb Limited (CB) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	None	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 ⇒ Citigroup, Inc. (C) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Constellation Brands, Inc. (STZ) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Costco Wholesale Corporation (COST) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ CRA Qualified Investment Fund [MF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Danaher Corporation (DHR) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Delaware Corporate Bond [MF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Fidelity Advantage Floating [MF]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Fidelity Advisor Total [MF]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Guggenheim Total Return [MF]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Home Depot, Inc. (HD) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Honeywell International Inc. (HON) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ ISH USD High Yield [MF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ iShares Inc iShares ESG [MF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ iShares Trust ISHRS [MF]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ iShares US Treasury Bond [MF]	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 ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Keurig Dr Pepper Inc. (KDP) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Lockheed Martin Corporation (LMT) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Microchip Technology Incorporated (MCHP) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ NextEra Energy, Inc. (NEE) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Nuveen ESG Large Cap [MF]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Pimco Income Fund [MF]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ ProLogis, Inc. (PLD) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Ross Stores, Inc. (ROST) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Sherwin-Williams Company (SHW) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ SPDR Bloomberg Barclays [MF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Sysco Corporation (SYY) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Thermo Fisher Scientific Inc (TMO) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ TIAA CREF Core Impact [MF]	SP	\$15,001 - \$50,000	Tax-Deferred	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
Rollover IRA ⇒ Total S.A. (TOT) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Truist Financial Corporation (TFC) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Union Pacific Corporation (UNP) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Vanguard Total International Bond [MF]	SP	\$1,001 - \$15,000	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Visa Inc. (V) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Walmart Inc. (WMT) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Walt Disney Company (DIS) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Rollover IRA ⇒ Zoetis Inc. Class A (ZTS) [ST]	SP	None	Tax-Deferred	<input checked="" type="checkbox"/>
Saint Francis Hospital and Medical Center Pension Plan [PE]		Undetermined	None	<input type="checkbox"/>
Templeton World Fund - Class A (TEMWX) [EF]		None	None	<input type="checkbox"/>
DESCRIPTION: Asset belongs to filer's child, who is no longer a dependent.				
TR 403(b) ⇒ T. Rowe Price Retirement 2025 [MF]		\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
United Bank Accounts [BA]		\$15,001 - \$50,000	Interest	\$1 - \$200 <input type="checkbox"/>

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

## SCHEDULE B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Inherited Brokerage Account ⇒ Alibaba Group Holding Limited American Depositary Shares each representing eight Ordinary share (BABA) [ST]	SP	10/9/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒ Blackrock Advantage Large Cap - MALRX [OT]  LOCATION: US DESCRIPTION: MALRX	SP	10/9/2020	P	\$1,001 - \$15,000	
Inherited Brokerage Account ⇒ BlackRock Credit Allocation Income Trust (BTZ) [ST]	SP	10/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒ Blackrock Debt Strategies Fund, Inc. (DSU) [ST]	SP	10/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒ Blackrock Emerging Markets Fund - MADCX [OT]  LOCATION: US DESCRIPTION: MADCX	SP	10/9/2020	P	\$1,001 - \$15,000	
Inherited Brokerage Account ⇒ Blackrock High Yield Municipal Fund - MAYHX [OT]  LOCATION: US DESCRIPTION: MAYHX	SP	10/9/2020	P	\$1,001 - \$15,000	
Inherited Brokerage Account ⇒ Blackrock National Municipal Fund - MANLX [OT]  LOCATION: US DESCRIPTION: MANLX	SP	10/9/2020	P	\$1,001 - \$15,000	
Inherited Brokerage Account ⇒ Blackrock Technologies Opportunity Fund - BGSIX [OT]  LOCATION: US DESCRIPTION: BGSIX	SP	10/9/2020	P	\$1,001 - \$15,000	
Inherited Brokerage Account ⇒ DFA Int'l Core Equity [MF]	SP	09/18/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒ Eaton Vance Limited Duration Income Fund Common Shares of Beneficial Interest (EVV) [ST]	SP	10/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒ Energy Transfer LP Common Units (ET) [ST]	SP	10/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Inherited Brokerage Account ⇒ Federated Investors Tax-Free Obligations [MF]	SP	09/18/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒ Ford Motor Company (F) [ST]	SP	10/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒ Global X Super Dividend ETF (DIV) [ST]	SP	10/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒ Goldman Sachs Dynamic Muni Income Fund [OT]	SP	10/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
LOCATION: US DESCRIPTION: GSMTX					
Inherited Brokerage Account ⇒ Hartford Core Equity Fund - HGIIX [OT]	SP	10/9/2020	P	\$15,001 - \$50,000	
LOCATION: US DESCRIPTION: HGIIX					
Inherited Brokerage Account ⇒ iShares 20+ Year Treasury Bond [MF]	SP	12/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒ iShares 20+ Year Treasury Bond ETF (TLT) [ST]	SP	10/9/2020	P	\$1,001 - \$15,000	
Inherited Brokerage Account ⇒ iShares 7-10 Year Treasury Bond ETF (IEF) [ST]	SP	10/9/2020	P	\$1,001 - \$15,000	
Inherited Brokerage Account ⇒ iShares Core MSCI EAFE ETF (IEFA) [ST]	SP	10/9/2020	P	\$1,001 - \$15,000	
Inherited Brokerage Account ⇒ iShares Core S&P 500 ETF (IVV) [ST]	SP	10/9/2020	P	\$15,001 - \$50,000	
Inherited Brokerage Account ⇒ iShares Core S&P Small-Cap ETF (IJR) [ST]	SP	10/9/2020	P	\$1,001 - \$15,000	
Inherited Brokerage Account ⇒ iShares ESG Aware MSCI USA ETF (ESGU) [ST]	SP	10/9/2020	P	\$1,001 - \$15,000	
Inherited Brokerage Account ⇒ iShares International Select Dividend ETF (IDV) [ST]	SP	10/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒	SP	10/9/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
iShares MSCI EAFE Growth ETF (EFG) [ST]					
Inherited Brokerage Account ⇒ iShares MSCI USA Min Vol Factor ETF (USMV) [ST]	SP	10/9/2020	P	\$1,001 - \$15,000	
Inherited Brokerage Account ⇒ iShares MSCI USA Value Factor ETF (VLUE) [ST]	SP	10/9/2020	P	\$1,001 - \$15,000	
Inherited Brokerage Account ⇒ iShares U.S. Medical Devices ETF (IHI) [ST]	SP	10/9/2020	P	\$1,001 - \$15,000	
Inherited Brokerage Account ⇒ Natixis Funds LS SR Floating Rate & Fixed [MF]	SP	07/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒ NexPoint Strategic Opportunities Fund [MF]	SP	07/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒ Nintendo Co Ltd ADR (NTDOY) [ST]	SP	10/9/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒ Northern Funds Ultra Short Fixed [MF]	SP	07/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒ Pimco Investments Income Inst'l [OT]	SP	10/9/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: US DESCRIPTION: PIMIX					
Inherited Brokerage Account ⇒ Pimco Municipal Bond Fund - PMUPX [OT]	SP	10/9/2020	P	\$1,001 - \$15,000	
LOCATION: US DESCRIPTION: PMUPX					
Inherited Brokerage Account ⇒ RBB Orinda Income Opportunities [MF]	SP	09/18/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒ Rivernorth Funds Doubleline Strategic Income [OT]	SP	10/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
LOCATION: US DESCRIPTION: RNSIX					
Inherited Brokerage Account ⇒ SPDR Blackstone GSO Senior Loan ETF (SRLN) [ST]	SP	10/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
DESCRIPTION: Reported on FD as "SSGA Active"					

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Inherited Brokerage Account ⇒ Vanguard Div Appreciation ETF (VIG) [ST]	SP	10/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒ Vanguard Total Stock Market ETF (VTI) [ST]	SP	10/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒ Virtus SEIX Floating [MF]	SP	07/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒ WCM Focused Int'l Growth [OT]  LOCATION: US DESCRIPTION: WCMIX	SP	10/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒ WisdomTree CBOE S&P 500 PutWrite Strategy Fund (PUTW) [ST]	SP	10/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited Brokerage Account ⇒ WisdomTree Emerging Markets Ex-State Owned Enterprises Fund (XSOE) [ST]	SP	10/9/2020	P	\$1,001 - \$15,000	
Inherited Brokerage Account ⇒ Wisdomtree Trust Dynamic [MF]	SP	06/9/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited IRA ⇒ Apple Inc. (AAPL) [ST]	SP	10/16/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited IRA ⇒ DFA Int'l Core Equity [MF]	SP	10/16/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited IRA ⇒ DFA US Core Equity [MF]	SP	10/16/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited IRA ⇒ Federated MDT Small Cap Growth [OT]  LOCATION: US DESCRIPTION: QISCX	SP	10/16/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited IRA ⇒ Franklin Growth Fund Advantage [OT]  LOCATION: US DESCRIPTION: FCGAX	SP	10/16/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Inherited IRA ⇒ Franklin International Growth Advisor Class [OT]  LOCATION: US DESCRIPTION: FNGZX	SP	10/16/2020	P	\$1,001 - \$15,000	
Inherited IRA ⇒ Franklin Liberty Investment Grade Corporate ETF (FLCO) [ST]	SP	10/16/2020	P	\$1,001 - \$15,000	
Inherited IRA ⇒ Franklin Liberty U.S. Core Bond ETF (FLCB) [ST]	SP	10/16/2020	P	\$1,001 - \$15,000	
Inherited IRA ⇒ Franklin LibertyQ U.S. Equity ETF (FLQL) [ST]	SP	10/16/2020	P	\$1,001 - \$15,000	
Inherited IRA ⇒ Franklin Small Cap Growth Fund [OT]  LOCATION: US DESCRIPTION: FSSAX	SP	10/16/2020	P	\$1,001 - \$15,000	
Inherited IRA ⇒ Franklin Small Cap Value Fund [OT]  LOCATION: US DESCRIPTION: FVADX	SP	10/16/2020	P	\$1,001 - \$15,000	
Inherited IRA ⇒ Goldman Sachs International Equity Insights [OT]  LOCATION: US DESCRIPTION: GCIIX	SP	10/16/2020	P	\$1,001 - \$15,000	
Inherited IRA ⇒ iShares U.S. Treasury Bond ETF (GOVT) [ST]	SP	10/16/2020	P	\$1,001 - \$15,000	
Inherited IRA ⇒ JP Morgan Mortgage Backed Securities [OT]  LOCATION: US DESCRIPTION: OMBIX	SP	10/16/2020	P	\$1,001 - \$15,000	
Inherited IRA ⇒ Loomis Sayles Senior Float Rate [OT]  LOCATION: US DESCRIPTION: LSFYX	SP	10/16/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited IRA ⇒ Pimco FDS Income Institutional [OT]	SP	10/16/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
LOCATION: US DESCRIPTION: PIMIX					
Inherited IRA ⇒ SPDR Portfolio S&P 1500 Composite Stock Market ETF (SPTM) [ST]	SP	10/16/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited IRA ⇒ T Rowe Price Blue Chip Growth [OT]	SP	10/16/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
LOCATION: US DESCRIPTION: TBCIX					
Inherited IRA ⇒ T Rowe Price Health Sciences [MF]	SP	10/16/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited IRA ⇒ Templeton Developing Markets Trust [OT]	SP	10/16/2020	P	\$1,001 - \$15,000	
LOCATION: US DESCRIPTION: TDADX					
Inherited IRA ⇒ Vanguard FTSE Developed Markets ETF (VEA) [ST]	SP	10/16/2020	P	\$1,001 - \$15,000	
Inherited IRA ⇒ Vanguard FTSE Emerging Markets ETF (VWO) [ST]	SP	10/16/2020	P	\$1,001 - \$15,000	
Inherited IRA ⇒ Vanguard S&P 500 ETF (VOO) [ST]	SP	10/16/2020	P	\$15,001 - \$50,000	
Inherited IRA ⇒ WCM Focused International Growth [OT]	SP	10/16/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
LOCATION: US DESCRIPTION: WCMIX					
Inherited IRA ⇒ Wisdomtree CBOE S&P 500 [MF]	SP	10/16/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Inherited IRA ⇒ Wisdomtree Trust Dynamic [MF]	SP	10/16/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Blackrock Liquidity Fund [MF]		01/17/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
IRA ⇒ Brown Advantage Sustainable [MF]		04/16/2020	P	\$1,001 - \$15,000	

Asset	Owner Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA ⇒ Brown Advantage Sustainable [MF]	03/18/2020	P	\$1,001 - \$15,000	
IRA ⇒ Brown Advantage Sustainable [MF]	01/16/2020	P	\$1,001 - \$15,000	
IRA ⇒ Calvert Equity Fund [MF]	04/17/2020	P	\$1,001 - \$15,000	
IRA ⇒ Calvert Equity Fund [MF]	03/19/2020	P	\$1,001 - \$15,000	
IRA ⇒ Calvert Equity Fund [MF]	01/17/2020	P	\$1,001 - \$15,000	
IRA ⇒ Calvert Small Cap [MF]	08/17/2020	P	\$15,001 - \$50,000	
IRA ⇒ Calvert US Large Cap Value [MF]	04/16/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Calvert US Large Cap Value [MF]	03/19/2020	P	\$1,001 - \$15,000	
IRA ⇒ CRA Qualified Investment Fund [MF]	04/16/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ CRA Qualified Investment Fund [MF]	03/13/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ CRA Qualified Investment Fund [MF]	03/18/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ CRA Qualified Investment Fund [MF]	01/17/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ Delaware Corporate Bond [MF]	04/16/2020	P	\$1,001 - \$15,000	
IRA ⇒ Delaware Corporate Bond [MF]	03/13/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒	04/16/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Delaware Small Cap Core [MF]					
IRA ⇒ Delaware Small Cap Core [MF]		03/18/2020	P	\$1,001 - \$15,000	
IRA ⇒ iShares MSCI EM ESG Optimized [MF]		03/19/2020	P	\$1,001 - \$15,000	
IRA ⇒ iShares MSCI EM ESG Optimized [MF]		01/17/2020	P	\$1,001 - \$15,000	
IRA ⇒ iShares MSCI USA ESG Select [MF]		01/17/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ iShares MSCI USA ESG Select [MF]		04/17/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ iShares Trust ISHRS [MF]		04/17/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ iShares Trust ISHRS [MF]		03/19/2020	P	\$1,001 - \$15,000	
IRA ⇒ iShares Trust ISHRS [MF]		01/17/2020	P	\$1,001 - \$15,000	
IRA ⇒ iShares US Treasury Bond [MF]		04/16/2020	P	\$1,001 - \$15,000	
IRA ⇒ iShares US Treasury Bond [MF]		03/16/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ iShares US Treasury Bond [MF]		01/17/2020	P	\$1,001 - \$15,000	
IRA ⇒ Nuveen ESG Large Cap [MF]		06/11/2020	P	\$50,001 - \$100,000	
IRA ⇒ Schwab US Large Cap [MF]		06/11/2020	S	\$50,001 - \$100,000	<input type="checkbox"/>
IRA ⇒ Schwab US Large Cap [MF]		04/16/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
IRA ⇒ Schwab US Large Cap [MF]		03/19/2020	P	\$1,001 - \$15,000	
IRA ⇒ Schwab US Large Cap [MF]		01/17/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ SPDR Bloomberg Barclays [MF]		04/17/2020	P	\$1,001 - \$15,000	
IRA ⇒ SPDR Bloomberg Barclays [MF]		03/16/2020	P	\$1,001 - \$15,000	
IRA ⇒ SPDR Bloomberg Barclays [MF]		03/19/2020	P	\$1,001 - \$15,000	
IRA ⇒ SPDR Bloomberg Barclays [MF]		03/20/2020	P	\$1,001 - \$15,000	
IRA ⇒ SPDR Bloomberg Barclays [MF]		03/24/2020	P	\$1,001 - \$15,000	
IRA ⇒ TIAA CREF Core Impact [MF]		04/16/2020	P	\$1,001 - \$15,000	
IRA ⇒ TIAA CREF Core Impact [MF]		03/13/2020	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>
IRA ⇒ TIAA CREF Core Impact [MF]		03/18/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
IRA ⇒ TIAA CREF Core Impact [MF]		01/17/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ AB Global Bond [OT]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
LOCATION: US DESCRIPTION: Mutual Fund					
Rollover IRA ⇒ AB High Income [OT]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
LOCATION: US DESCRIPTION: Mutual Fund					
Rollover IRA ⇒	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Abbott Laboratories (ABT) [ST]					
Rollover IRA ⇒ Alphabet Inc. - Class A (GOOGL) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Amazon.com, Inc. (AMZN) [ST]	SP	08/7/2020	S	\$15,001 - \$50,000	<input type="checkbox"/>
Rollover IRA ⇒ American Tower Corporation (AMT) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Anthem, Inc. (ANTM) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Apple Inc. (AAPL) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Ball Corporation (BLL) [ST]	SP	05/1/2020	P	\$1,001 - \$15,000	
Rollover IRA ⇒ Ball Corporation (BLL) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ BlackRock, Inc. (BLK) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Brown Advantage Sustainable Growth [OT]	SP	08/7/2020	P	\$1,001 - \$15,000	
LOCATION: US DESCRIPTION: Mutual Fund					
Rollover IRA ⇒ Brown Advantage Sustainable Growth [OT]	SP	08/7/2020	P	\$15,001 - \$50,000	
LOCATION: US DESCRIPTION: Mutual Fund					
Rollover IRA ⇒ Calvert Equity Fund [OT]	SP	08/7/2020	P	\$15,001 - \$50,000	
LOCATION: US DESCRIPTION: Mutual Fund					
Rollover IRA ⇒ Calvert Small Cap [MF]	SP	08/17/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Rollover IRA ⇒ Calvert US Large Cap Value Responsible Index [OT]  LOCATION: US DESCRIPTION: Mutual Fund	SP	08/7/2020	P	\$15,001 - \$50,000	
Rollover IRA ⇒ Capital One Financial Corporation (COF) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Chevron Corporation (CVX) [ST]	SP	05/13/2020	P	\$1,001 - \$15,000	
Rollover IRA ⇒ Chevron Corporation (CVX) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Chubb Limited (CB) [ST]	SP	02/10/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Chubb Limited (CB) [ST]	SP	06/2/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Cisco Systems, Inc. (CSCO) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Citigroup, Inc. (C) [ST]	SP	02/10/2020	P	\$1,001 - \$15,000	
Rollover IRA ⇒ Citigroup, Inc. (C) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Constellation Brands, Inc. (STZ) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Costco Wholesale Corporation (COST) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ CRA Qualified Investment Fund [OT]  LOCATION: US DESCRIPTION: Mutual Fund	SP	08/7/2020	P	\$1,001 - \$15,000	
Rollover IRA ⇒ CRA Qualified Investment Fund [OT]  LOCATION: US DESCRIPTION: Mutual Fund	SP	08/7/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Rollover IRA ⇒ Danaher Corporation (DHR) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Delaware Corporate Bond [OT] LOCATION: US DESCRIPTION: Mutual Fund	SP	08/7/2020	P	\$1,001 - \$15,000	
Rollover IRA ⇒ Delaware Corporate Bond [OT] LOCATION: US DESCRIPTION: Mutual Fund	SP	08/7/2020	P	\$1,001 - \$15,000	
Rollover IRA ⇒ Delaware Small Cap Core [OT] LOCATION: US DESCRIPTION: Mutual Fund	SP	08/7/2020	P	\$1,001 - \$15,000	
Rollover IRA ⇒ Delaware Small Cap Core Fund [OT] LOCATION: US DESCRIPTION: Mutual Fund	SP	08/7/2020	P	\$1,001 - \$15,000	
Rollover IRA ⇒ Fidelity Advantage Floating [MF]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Fidelity Advisor Total Bond [OT] LOCATION: US DESCRIPTION: Mutual Fund	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Fiserv, Inc. (FISV) [ST]	SP	05/1/2020	P	\$1,001 - \$15,000	
Rollover IRA ⇒ Fiserv, Inc. (FISV) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Guggenheim Total Return [OT] LOCATION: US DESCRIPTION: Mutual Fund	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Hilton Worldwide Holdings Inc. (HLT) [ST]	SP	03/27/2020	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Rollover IRA ⇒ Hilton Worldwide Holdings Inc. (HLT) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Home Depot, Inc. (HD) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Honeywell International Inc. (HON) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ ISH USD High Yield Corporate Bond [OT]  LOCATION: US DESCRIPTION: Mutual Fund	SP	08/7/2020	P	\$1,001 - \$15,000	
Rollover IRA ⇒ iShares MSCI EM ESG Optimized [OT]  LOCATION: US DESCRIPTION: ETF	SP	08/7/2020	P	\$1,001 - \$15,000	
Rollover IRA ⇒ iShares Trust MSCI EAFE ESG Optimized [OT]  LOCATION: US DESCRIPTION: ETF	SP	08/7/2020	P	\$15,001 - \$50,000	
Rollover IRA ⇒ iShares US Treasury Bond [OT]  LOCATION: US DESCRIPTION: Mutual Fund	SP	08/7/2020	P	\$1,001 - \$15,000	
Rollover IRA ⇒ JP Morgan Chase & Co. (JPM) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Keurig Dr Pepper Inc. (KDP) [ST]	SP	03/25/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Keurig Dr Pepper Inc. (KDP) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Lockheed Martin Corporation (LMT) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Microchip Technology Incorporated (MCHP) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Rollover IRA ⇒ Microsoft Corporation (MSFT) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ NextEra Energy, Inc. (NEE) [ST]	SP	02/10/2020	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ NextEra Energy, Inc. (NEE) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Nuveen ESG Large Cap Value [OT]  LOCATION: US DESCRIPTION: Mutual Fund	SP	08/7/2020	P	\$15,001 - \$50,000	
Rollover IRA ⇒ Pepsico, Inc. (PEP) [ST]	SP	03/18/2020	P	\$1,001 - \$15,000	
Rollover IRA ⇒ Pepsico, Inc. (PEP) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Pimco Income Fund [OT]  LOCATION: US DESCRIPTION: Mutual Fund	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ ProLogis, Inc. (PLD) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Ross Stores, Inc. (ROST) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Sherwin-Williams Company (SHW) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ SPDR Bloomberg Barclays 1-3 month T-Bill [OT]  LOCATION: US DESCRIPTION: ETF	SP	08/7/2020	P	\$1,001 - \$15,000	
Rollover IRA ⇒ Sysco Corporation (SYY) [ST]	SP	03/18/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Thermo Fisher Scientific Inc (TMO) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Rollover IRA ⇒ TIAA-CREF Core Impact Bond [OT]  LOCATION: US DESCRIPTION: Mutual Fund	SP	08/7/2020	P	\$1,001 - \$15,000	
Rollover IRA ⇒ TIAA-CREF Impact Bond [OT]  LOCATION: US DESCRIPTION: Mutual Fund	SP	08/7/2020	P	\$15,001 - \$50,000	
Rollover IRA ⇒ Total S.A. (TOT) [ST]	SP	05/1/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Truist Financial Corporation (TFC) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Union Pacific Corporation (UNP) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Vanguard Total International Bond [OT]  LOCATION: US DESCRIPTION: ETF	SP	08/7/2020	P	\$1,001 - \$15,000	
Rollover IRA ⇒ Visa Inc. (V) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Walmart Inc. (WMT) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Walt Disney Company (DIS) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA ⇒ Zoetis Inc. Class A (ZTS) [ST]	SP	08/7/2020	S	\$1,001 - \$15,000	<input type="checkbox"/>

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

## SCHEDULE C: EARNED INCOME

Source	Type	Amount
Connecticut Children's Medical Center	Spouse compensation	N/A

Source	Type	Amount
Connecticut Department of Labor	Spouse compensation	N/A

#### **SCHEDULE D: LIABILITIES**

Owner	Creditor	Date Incurred	Type	Amount of Liability
	Chase Bank	July 2011	Mortgage on personal residence (not rented)	\$10,000 - \$15,000

#### **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**

- Inherited Brokerage Account (Owner: SP)  
LOCATION: US  
DESCRIPTION: Account inherited in 2019
- Inherited IRA (Owner: SP)  
DESCRIPTION: IRA inherited in December 2018
- IRA
- Rollover IRA (Owner: SP)
- TR 403(b) (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. Joe Courtney , 07/30/2021