

# Executive Branch Personnel Public Financial Disclosure Report (OGE Form 278e)

## Filer's Information

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Kerry, John

Special Presidential Envoy for Climate, Department of State

Date of Appointment: 01/20/2021

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Other Federal Government Positions Held During the Preceding 12 Months:

None

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Electronic Signature - I certify that the statements I have made in this form are true, complete and correct to the best of my knowledge.

/s/ Kerry, John [electronically signed on 01/29/2021 by Kerry, John in Integrity.gov]

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Agency Ethics Official's Opinion - On the basis of information contained in this report, I conclude that the filer is in compliance with applicable laws and regulations (subject to any comments below).

/s/ Alexander, Mj, Certifying Official [electronically signed on 02/25/2021 by Alexander, Mj in Integrity.gov]

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Other review conducted by

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U.S. Office of Government Ethics Certification

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Data Revised 03/08/2021

Data Revised 03/04/2021

Data Revised 03/03/2021

Data Revised 02/25/2021

Data Revised 02/18/2021

Data Revised 02/10/2021

Data Revised 02/02/2021

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Comments of Reviewing Officials (public annotations):

PART	#	REFERENCE	COMMENT
N/A	N/A	General	(02/25/2021, Alexander, Mj): The assets held in Part 6 as indicated in Lines 688 through 696 are Heinz family investment funds that are held by the filer's spouse as the beneficiary of the HJ Heinz III Marital Trust. Neither the filer nor the filer's spouse exercise authority over the trust; neither the filer nor the filer's spouse are trustees of the trust; nor do they have any control over the management of the trust investments. The investment vehicles in Lines 688, 689, 690, 692, 694, and 696 have been divested and are no longer held by the HJ Heinz III Marital Trust. The investment vehicles in Lines 691, 693, and 695 contain investments made by various Heinz family investment vehicles and a majority of the assets are pooled investments that are EIFs in which the fund managers do not release the underlying assets to its investors. In addition, neither the filer nor the filer's spouse are individual investors in any of the underlying funds.

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## 1. Filer's Positions Held Outside United States Government

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
1	Yale University	New Haven, Connecticut	University/College	Distinguished Fellow for Global Affairs	2/2017	12/2020
2	Washington Speakers Bureau	Alexandria, Virginia	Corporation	Speaker	3/2017	12/2020
3	Bank of America	Charlotte, North Carolina	Corporation	Chair, Global Advisory Council	10/2017	12/2020
4	Carnegie Endowment for International Peace	Washington, District of Columbia	Non-Profit	Visiting Distinguished Statesman	3/2017	1/2021
5	Simon & Schuster	New York, New York	Corporation	Author	3/2017	9/2018
6	Ripplewood Holdings	New York, New York	Corporation	Advisor	3/2017	12/2019
7	The Rise Fund	San Francisco, California	Corporation	Senior Advisor	4/2018	12/2020
8	American Security Project	Washington, District of Columbia	Non-Profit	Member, Board of Directors	10/2017	12/2020
9	World War Zero	Washington, District of Columbia	Non-Profit	Co-founder	11/2019	1/2021
10	Vietnam Sustainable Energy Corp	Boston, Massachusetts	Corporation	President	2/2019	12/2020
11	Climate Finance Partners	New York, New York	Asset Management	Chairman, Advisory Board	7/2020	12/2020
12	Two Sisters Realty Trust (Personal Property, not for rent)	Edgartown, Massachusetts	Trust	Trustee	5/2017	Present

#	ORGANIZATION NAME	CITY, STATE	ORGANIZATION TYPE	POSITION HELD	FROM	TO
13	Fingerprint Content	Buckinghamshire , Outside U.S.	Film Production	Advisor	3/2020	12/2020
14	Fair Winds Global LLC (Personal Business Bank Account)	Boston, Massachusetts	Single Member LLC	Founder	2/2017	Present

## 2. Filer's Employment Assets & Income and Retirement Accounts

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	Yale University	N/A		Salary	\$39,006
2	Washington Speakers Bureau	N/A			
2.1	Waste Management - 01/30/2020			Honorarium	\$45,000
2.2	MedStar Washington - 02/23/2020			Honorarium	\$112,500
2.3	Cog X - 06/08/2020			Honorarium	\$23,400
2.4	Panetta Institute - 08/31/2020			Honorarium	\$8,000
2.5	Cornell University - 10/29/2020			Honorarium	\$22,500
2.6	Deutsche Bank - 11/02/2020			Honorarium	\$45,000
2.7	International Bar Association - 11/02/2020			Honorarium	\$36,000
2.8	Zurich Insurance Company - 11/17/2020			Honorarium	\$90,000
3	Bank of America	N/A		Salary	\$5,000,000
4	The Rise Fund	N/A		Consulting Fees	\$125,000

## 3. Filer's Employment Agreements and Arrangements

None

#### 4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
1	Yale University	New Haven, Connecticut	Distinguished Fellow for Global Affairs
2	Bank of America	Charlotte, North Carolina	Chair, Global Advisory Council
3	The Rise Fund	San Francisco, California	Advisor
4	Ripplewood Holdings	New York, New York	Advisor
5	Simon & Schuster	New York, New York	Author: "Every Day is Extra"
6	Victor Pinchuk Foundation	Kyiv, Outside U.S.	Speaking Honorarium
7	Credit Union National Association	Washington, District of Columbia	Speaking Honorarium
8	Common Ground Committee	Wilton, Connecticut	Speaking Honorarium
9	BMO Harris Bank	Chicago, Illinois	Speaking Honorarium
10	Ace & Co.	Geneva, Outside U.S.	Speaking Honorarium
11	Amundi Asset Management	Paris, Outside U.S.	Speaking Honorarium
12	National Association of Chain Drug Stores	Alexandria, Virginia	Speaking Honorarium

#	SOURCE NAME	CITY, STATE	BRIEF DESCRIPTION OF DUTIES
13	Food and Wine Victoria LTg.	Victoria, Outside U.S.	Speaking Honorarium
14	Group BPCE	Paris, Outside U.S.	Speaking Honorarium
15	CLSA Limited	Hong Kong, Outside U.S.	Speaking Honorarium
16	Fundacoa Francisco Manuel de Santos	Lisbon, Outside U.S.	Speaking Honorarium
17	CCS Group LLC	Novato, California	Speaking Honorarium
18	Barclays	London, Outside U.S.	Speaking Honorarium
19	FST Groupe Invivo	Paris, Outside U.S.	Speaking Honorarium
20	Waste Management	Houston, Texas	Speaking Honorarium
21	MedStar Washington	Washington, District of Columbia	Speaking Honorarium
22	Cog X	London, Outside U.S.	Speaking Honorarium
23	Panetta Institute	Marina, California	Speaking Honorarium
24	Cornell University	Ithaca, New York	Speaking Honorarium
25	Deutsche Bank	Frankfurt, Outside U.S.	Speaking Honorarium
26	International Bar Association	London, Outside U.S.	Speaking Honorarium
27	Zurich Insurance Co.	Zurich, Outside U.S.	Speaking Honorarium

## 5. Spouse's Employment Assets & Income and Retirement Accounts

None

## 6. Other Assets and Income

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
1	US bank account (Cash) Checking Account	N/A	\$15,001 - \$50,000		None (or less than \$201)
2	US bank account (Cash) Checking Account	N/A	\$500,001 - \$1,000,000		None (or less than \$201)
3	US bank (Cash) Checking Account	N/A	\$15,001 - \$50,000		None (or less than \$201)
4	US bank (Cash) Savings Account	N/A	\$1,000,001 - \$5,000,000	Interest	\$2,501 - \$5,000
5	US bank (Cash) Money Market Account	N/A	\$1,000,001 - \$5,000,000	Interest	\$5,001 - \$15,000
6	US bank (Cash) Business Checking Account	N/A	\$15,001 - \$50,000		None (or less than \$201)
7	US bank (Cash) Business Savings Account	N/A	\$1,001 - \$15,000		None (or less than \$201)
8	Coatue (Investment Management)	See Endnote	\$100,001 - \$250,000		None (or less than \$201)
9	CBW Family Trust FBO JFK		\$250,001 - \$500,000	Distribution	\$6,250
9.1	Federated Hermes USTRSY CSH RS	Yes	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
9.2	Vanguard Short-term Bond Index ADM	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.3	Vanguard Interm-term Bond Index	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.4	Vanguard Developed Markets IDX ADM	Yes	\$15,001 - \$50,000		\$201 - \$1,000
9.5	Vanguard Emerging MKTS Stock IDX ADM	Yes	\$1,001 - \$15,000		\$201 - \$1,000
9.6	Vanguard Extended Market IDX ADM	Yes	\$50,001 - \$100,000		\$201 - \$1,000
9.7	Vanguard 500 Index Admiral	Yes	\$100,001 - \$250,000		\$2,501 - \$5,000
10	Fingerprint Content (Private Investment)		\$100,001 - \$250,000		None (or less than \$201)
11	DREYFUS TREAS SEC CASH-IN - 12/31/2020	Yes	\$100,001 - \$250,000		None (or less than \$201)
12	3M CO - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
13	ABBOTT LABORATORIES - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
14	ABBVIE INC. - 12/31/2020	No	\$50,001 - \$100,000	Dividends Capital Gains	\$201 - \$1,000
15	ABIOMED INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
16	ACADIA HEALTHCARE CO INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
17	ACCENTURE PLC-CL A - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
18	ACTIVISION BLIZZARD INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
19	ADOBE INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
20	ADVANCED MICRO DEVICES INC - 12/31/2020	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
21	A E S CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
22	AFLAC INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
23	AGILENT TECHNOLOGIES INC - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
24	A G N C INVT CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
25	AIR PRODS & CHEMS INC - 12/31/2020	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
26	ALAMO GROUP INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
27	ALEXANDRIA REAL ESTATE EQUITIES INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
28	ALEXION PHARMACEUTICALS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
29	ALIGN TECHNOLOGY INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
30	ALLEGHANY CORP DEL - 12/31/2020	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
31	ALLEGION PLC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
32	ALLERGAN PLC - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
33	ALLETE INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
34	ALLIANCE DATA SYS CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
35	ALLSTATE CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
36	ALNYLAM PHARMACEUTICALS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
37	ALPHABET INC/CA-CL A - 12/31/2020	No	\$100,001 - \$250,000	Capital Gains	\$5,001 - \$15,000
38	ALPHABET INC-CL C - 12/31/2020	No	\$50,001 - \$100,000		None (or less than \$201)
39	AMAZON.COM INC - 12/31/2020	No	\$250,001 - \$500,000		None (or less than \$201)
40	AMDOCS LTD - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
41	AMEDISYS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
42	AMEREN CORPORATION - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
43	AMERICAN ELECTRIC POWER INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
44	AMERICAN EXPRESS CO - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
45	AMERICAN FINL GROUP INC OHIO - 12/31/2020	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
46	AMERICAN TOWER CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
47	AMERICAN WATER WORKS CO INC - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
48	AMERIPRISE FINANCIAL INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
49	AMETEK INC NEW - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
50	AMGEN INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
51	AMPHENOL CORP NEW - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
52	ANALOG DEVICES INC - 12/31/2020	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
53	ANSYS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
54	ANTHEM INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
55	APPLE INC - 12/31/2020	No	\$250,001 - \$500,000	Dividends Capital Gains	\$2,501 - \$5,000
56	APPLIED MATERIALS INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
57	APTARGROUP INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
58	APTIV PLC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
59	ARCH CAP GROUP LTD - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
60	ARISTA NETWORKS INC - 12/31/2020	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
61	AT&T INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
62	AUTODESK INC - 12/31/2020	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
63	AUTOMATIC DATA PROCESSING INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
64	AUTOZONE INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
65	AVALARA INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
66	AVALONBAY CMNTYS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
67	AVANGRID INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
68	AVERY DENNISON CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
69	BALL CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
70	BANK OF AMERICA CORP - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
71	BANK OF NEW YORK MELLON CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
72	BANK OZK - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
73	BAXTER INTERNATIONAL INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
74	BECTON DICKINSON & CO - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
75	BED BATH & BEYOND INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
76	BERKSHIRE HATHAWAY INC DEL CL B - 12/31/2020	No	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
77	BEYOND MEAT INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
78	BIOGEN INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
79	B J'S WHOLESALE CLUB HOLDINGS - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
80	BLACK HILLS CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
81	BLACKROCK INC - 12/31/2020	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
82	BOEING CO - 12/31/2020	No	\$15,001 - \$50,000	Capital Gains	\$1,001 - \$2,500
83	BOK FINL CORP - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
84	BOOKING HOLDINGS INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
85	BOSTON BEER INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
86	BOSTON SCIENTIFIC CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
87	BRANDYWINE REALTY TRUST REIT - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
88	BRIGHTHOUSE FINANCIAL INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
89	BRINKER INTL INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
90	BRISTOL-MYERS SQUIBB CO - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
91	BROADCOM INC - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
92	BROWN FORMAN CORP CL B - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
93	CABOT OIL & GAS CORP CL A - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
94	CAMDEN PROPERTY TRUST REIT - 12/31/2020	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
95	CAPITAL ONE FINANCIAL CORP - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
96	CARDINAL HEALTH INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
97	CARLISLE COS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
98	CARMAX INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
99	CARRIER GLOBAL CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
100	CASEYS GENERAL STORES INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
101	CATERPILLAR INC - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
102	CATHAY GENERAL BANCORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
103	C B R E GROUP INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
104	C D K GLOBAL INC. - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
105	CERNER CORP - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
106	CHAMPIONX CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
107	CHARTER COMMUNICATIONS INC-A - 12/31/2020	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
108	CHENIERE ENERGY INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
109	CHIPOTLE MEXICAN GRILL INC -CL A - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
110	CHUBB LTD - 12/31/2020	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
111	CHURCH & DWIGHT INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
112	CIGNA CORP - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
113	CIMAREX ENERGY CO - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
114	CINTAS CORP - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
115	CISCO SYSTEMS INC - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
116	CITIGROUP INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
117	CLOROX CO - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
118	CME GROUP INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
119	COCA - COLA CO - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
120	COGNIZANT TECHNOLOGY SOLUTIONS CORP - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
121	COLGATE-PALMOLIVE CO - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
122	COMCAST CORP CL A - 12/31/2020	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
123	COMERICA INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
124	CONAGRA BRANDS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
125	CONOCOPHILLIPS - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
126	CONSTELLATION BRANDS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
127	CORNING INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
128	CORTEVA INC - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
129	COSTAR GROUP INC - 12/31/2020	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
130	COSTCO WHSL CORP NEW - 12/31/2020	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
131	COUPA SOFTWARE INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
132	CROWDSTRIKE HOLDINGS INC - A - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
133	CROWN CASTLE INTL CORP NEW - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
134	CROWN HLDGS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
135	C S X CORP - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
136	CULLEN FROST BANKERS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
137	CUMMINS INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
138	CVS HEALTH CORPORATION - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
139	DANAHER CORP - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
140	DEERE & CO - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
141	DELL TECHNOLOGIES - C - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
142	DELTA AIR LINES INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
143	DIGITAL REALTY TRUST INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
144	DOCUSIGN INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
145	DOLLAR GENERAL CORP - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
146	DOLLAR TREE INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
147	DOMINION ENERGY INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
148	DOMINOS PIZZA INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
149	DOUGLAS EMMETT INC-W/I - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
150	DOVER CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
151	DOW INC. - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
152	D T E ENERGY COMPANY - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
153	DUKE ENERGY CORP - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
154	DUPONT DE NEMOURS INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
155	DYCOM INDS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
156	EASTMAN CHEM CO - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
157	EATON CORP PLC - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
158	EBAY INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
159	ECOLAB INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
160	EDISON INTERNATIONAL - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
161	EDWARDS LIFESCIENCES CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
162	ELANCO ANIMAL HEALTH INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
163	ELECTRONIC ARTS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
164	EMERSON ELECTRIC CO - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
165	ENTERGY CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
166	EOG RES INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
167	EQT CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
168	EQUINIX INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
169	EQUITY RESIDENTIAL - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
170	ESSENTIAL UTILS INC USD 0.5 - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
171	ESSEX PROPERTY TRUST INC REIT - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
172	ESTEE LAUDER COMPANIES CLASS A - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
173	ETSY INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
174	EVERSOURCE ENERGY - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
175	EXELON CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
176	EXPEDITORS INTL WASH INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
177	FACEBOOK INC-A - 12/31/2020	No	\$100,001 - \$250,000		None (or less than \$201)
178	FASTENAL CO - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
179	FEDEX CORP - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
180	FIDELITY NATL INFORMATION SVCS INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
181	FISERV INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
182	FIVE9 INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
183	FLEETCOR TECHNOLOGIES INC - 12/31/2020	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
184	FLUOR CORP NEW - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
185	FORD MOTOR CO - 12/31/2020	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
186	FORTIVE CORP. - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
187	GENERAL DYNAMICS CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
188	GENERAL ELECTRIC CO - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
189	GENERAL MILLS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
190	GENERAL MOTORS CO - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
191	GILEAD SCIENCES INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
192	GLOBAL PMTS INC - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
193	GOLDMAN SACHS GROUP INC - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
194	GRAMHAM HOLDINGS COMPANY - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
195	GUARDANT HEALTH INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
196	HANCOCK WHITNEY CORPORATION - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
197	HARLEY DAVIDSON INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
198	HARTFORD FINL SVCS GROUP INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
199	HCA HEALTHCARE INC - 12/31/2020	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
200	HEALTH PEAK PROPERTIES INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
201	HERSHEY CO - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
202	HESS CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
203	HEWLETT PACKARD ENTERPRIS - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
204	HILTON WORLDWIDE HOLDINGS IN - 12/31/2020	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
205	HOME DEPOT INC - 12/31/2020	No	\$50,001 - \$100,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
206	HONEYWELL INTL INC - 12/31/2020	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
207	HORIZON THERAPEUTICS PUB LTD CO - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
208	HORMEL FOODS CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
209	H P INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
210	HUMANA INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
211	IAC/INTERACTIVECORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
212	IDACORP INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
213	IDEXX LABS INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
214	IHS MARKIT LTD - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
215	ILLINOIS TOOL WKS INC - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
216	ILLUMINA INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
217	INGERSOLL RAND INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
218	INTEL CORP - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
219	INTERCONTINENTAL EXCHANGE INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
220	INTERNATIONAL BUSINESS MACHINES CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
221	INTERNATIONAL FLAVORS & FRAGRANCES - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
222	INTUIT - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
223	INTUITIVE SURGICAL INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
224	IOVANCE BIOTHERAPEUTICS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
225	IQVIA HOLDINGS INC - 12/31/2020	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
226	IRON MOUNTAIN INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
227	JACK IN THE BOX INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
228	JANUS HENDERSON GROUP PLC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
229	JOHNSON CTLS INTL PLC - 12/31/2020	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
230	JOHNSON & JOHNSON - 12/31/2020	No	\$50,001 - \$100,000	Dividends Capital Gains	\$201 - \$1,000
231	JP MORGAN CHASE & CO - 12/31/2020	No	\$50,001 - \$100,000	Dividends Capital Gains	\$2,501 - \$5,000
232	KANSAS CITY SOUTHERN - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
233	KELLOGG CO - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
234	KEURIG DR PEPPER INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
235	KEYSIGHT TECHNOLOGIES IN - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
236	KIMBERLY CLARK CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
237	KINDER MORGAN INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
238	KRAFT HEINZ CO/THE - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
239	KROGER CO - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
240	L3HARRIS TECHNOLOGIES INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
241	LABORATORY CORP AMER HLDGS - 12/31/2020	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
242	LAM RESH CORP - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
243	LANCASTER COLONY CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
244	LEAR CORP - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
245	LIBERTY BROADBAND A-W/I - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
246	LIBERTY BROADBAND-C - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
247	LIFE STORAGE INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
248	LILLY ELI & CO - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
249	LINDE PLC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
250	LOCKHEED MARTIN CORP - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
251	LOWE'S COMPANIES INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
252	LULULEMON ATHLETICA INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
253	LYONDELLBASELL INDU -CL A - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
254	MARATHON PETROLEUM CORP - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
255	MARRIOTT INTL INC NEW CL A - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
256	MARSH & MCLENNAN COS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
257	MASCO CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
258	MASTERCARD INCORPORATED - 12/31/2020	No	\$50,001 - \$100,000		None (or less than \$201)
259	MATCH GROUP INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
260	MCCORMICK & CO INC COM NON VTG - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
261	MC DONALD'S CORPORATION - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
262	MCKESSON CORPORATION - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
263	MEDICAL PROPERTIES TRUST INC - 12/31/2020	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
264	MEDNAX INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
265	MEDTRONIC PLC ADR - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
266	MERCK & CO INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
267	MERCURY GENERAL CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
268	METTLER-TOLEDO INTL INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
269	MICRON TECHNOLOGY INC - 12/31/2020	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
270	MICROSOFT CORPORATION - 12/31/2020	No	\$250,001 - \$500,000	Dividends Capital Gains	\$2,501 - \$5,000
271	MID-AMERICA APARTMENT COMMUNITYS INC - 12/31/2020	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
272	MODERNA INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
273	MONDELEZ INTERNATIONAL - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
274	MONSTER BEVERAGE CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
275	MOODYS CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
276	MORGAN STANLEY - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
277	MORNINGSTAR INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
278	MOTOROLA SOLUTIONS INC. - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
279	M & T BK CORP - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
280	MURPHY USA INC-W/1 - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
281	NETFLIX COM INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
282	NEUROCRINE BIOSCIENCES INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
283	NEWMONT CORPORATION - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
284	NEXTERA ENERGY INC - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
285	NIKE INC CLASS B - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
286	NISOURCE INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
287	NORFOLK SOUTHERN CORP - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
288	NORTHERN TR CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
289	NORTHROP GRUMMAN CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
290	NRG ENERGY INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
291	NUCOR CORP - 12/31/2020	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
292	NVENT ELECTRIC PLC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
293	NVIDIA CORP - 12/31/2020	No	\$50,001 - \$100,000	Dividends Capital Gains	\$201 - \$1,000
294	OGE ENERGY CORP - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
295	OKTA INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
296	OLD DOMINION FGHT LINE - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
297	OLD REPUBLIC INTL CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
298	OLIN CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
299	OMNICOM GROUP INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
300	ONE GAS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
301	ONEMAIN HOLDINGS, INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
302	ORACLE CORP - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
303	O'REILLY AUTOMOTIVE INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
304	OUTFRONT MEDIA INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
305	PACCAR INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
306	PACWEST BANCORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
307	PALO ALTO NETWORKS INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
308	PARKER HANNIFIN CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
309	PARK HOTELS & RESORTS INC-WI - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
310	PARSLEY ENERGY INC-CLASS A - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
311	PATTERSON COS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
312	PATTERSON-UTI ENERGY INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
313	PAYCHEX INC - 12/31/2020	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
314	PAYPAL HOLDINGS INC - 12/31/2020	No	\$50,001 - \$100,000	Capital Gains	\$201 - \$1,000
315	PEPSICO INC - 12/31/2020	No	\$50,001 - \$100,000	Dividends Capital Gains	\$201 - \$1,000
316	PERKINELMER INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
317	PERRIGO CO PLC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
318	PERSPECTA INC-WHEN ISSUED - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
319	PFIZER INC - 12/31/2020	No	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500
320	PINTEREST INC- CLASS A - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
321	PNC FINANCIAL SERVICES GROUP - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
322	POOL CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
323	POPULAR INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
324	P P G INDUSTRIES INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
325	PPL CORP - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
326	PREMIER INC-CLASS A - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
327	PRESTIGE CONSUMER HEALTHCARE INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
328	PRINCIPAL FINL GROUP INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
329	PROCTER & GAMBLE CO - 12/31/2020	No	\$50,001 - \$100,000	Dividends Capital Gains	\$201 - \$1,000
330	PROGRESSIVE CORP OHIO - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
331	PROLOGIS INC - 12/31/2020	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
332	PRUDENTIAL FINANCIAL INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
333	PUBLIC STORAGE INC REIT - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
334	PUBLIC SVC ENTERPRISE GROUP INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
335	PULTE GROUP INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
336	QUALCOMM INC - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
337	QURATE RETAIL INC SERIES A - 12/31/2020	No	\$1,001 - \$15,000	Dividends	\$201 - \$1,000
338	RANGE RESOURCES CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
339	RAYTHEON TECHNOLOGIES CORP - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
340	REGENCY CTRS CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
341	REGENERON PHARMACEUTICALS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
342	REPLIGEN CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
343	REPUBLIC SVCS INC COM - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
344	RESMED INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
345	RINGCENTRAL INC-CLASS A - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
346	ROKU INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
347	ROPER TECHNOLOGIES INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
348	ROSS STORES INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
349	ROYAL CARIBBEAN CRUISES LTD - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
350	ROYAL GOLD INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
351	RPM INTERNATIONAL INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
352	SABRA HEALTH CARE REIT INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
353	SAGE THERAPEUTICS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
354	SALESFORCE.COM INC - 12/31/2020	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
355	S B A COMMUNICATIONS CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
356	SCHWAB CHARLES CORP NEW - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
357	SEALED AIR CORP NEW - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
358	S E I INVESTMENTS COMPANY - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
359	SEMPRA ENERGY - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
360	SERVICENOW INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
361	SHERWIN WILLIAMS CO - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
362	SIMON PROPERTY GROUP INC REIT - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
363	SIRIUS XM HOLDINGS INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
364	SIX FLAGS ENTERTAINMENT CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
365	SKYWORKS SOLUTIONS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
366	SLACK TECHNOLOGIES INC- CL A - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
367	S L GREEN REALTY CORP REIT - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
368	SMUCKER J M CO - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
369	SONOCO PRODUCTS CO - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
370	SOUTHERN CO - 12/31/2020	No	\$15,001 - \$50,000	Dividends	\$201 - \$1,000
371	SOUTHWEST AIRLIS CO - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
372	S & P GLOBAL INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
373	SPLUNK INC - 12/31/2020	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
374	SPROUTS FARMERS MARKETS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
375	SQUARE INC - A - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
376	STANLEY BLACK & DECKER INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
377	STARBUCKS CORP - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
378	STARWOOD PROPERTY TRUST INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
379	STATE STREET CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
380	STRYKER CORP - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
381	SUN COMUNITIES INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
382	SYNCHRONY FINANCIAL - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
383	SYNOPSIS INC - 12/31/2020	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
384	SYNOVUS FINL CORP. - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
385	SYSCO CORP - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
386	TAKE-TWO INTERACTIVE SOFTWARE INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
387	TARGA RESOURCES CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
388	TARGET CORP - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
389	T C F FINL CORP NEW - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
390	TELADOC HEALTH INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
391	TELEPHONE AND DATA SYSTEMS - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
392	TESLA INC - 12/31/2020	No	\$100,001 - \$250,000	Capital Gains	\$1,001 - \$2,500
393	TEXAS CAPITAL BANCSHARES INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
394	TEXAS INSTRUMENTS INC - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500
395	THERMO FISHER SCIENTIFIC INC. - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
396	THE TRAVELERS COMPANIES INC - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
397	TIFFANY & CO NEW - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
398	T J X COMPANIES INC - 12/31/2020	No	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000
399	T -MOBILE US INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
400	TOLL BROS INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
401	TOPBUILD CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
402	TRACTOR SUPPLY COMPANY - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
403	TRANE TECHNOLOGIES PLC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
404	TRANSDIGM GROUP INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
405	TRI POINTE GROUP INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
406	T ROWE PRICE GROUP INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
407	TRUIST FINL CORP - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
408	TWILIO INC - A - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
409	TWITTER INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
410	TYSON FOODS INC CLASS A - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
411	UBER TECHNOLOGIES INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
412	UDR INC - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
413	U G I CORP NEW - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
414	UNION PAC CORP - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
415	UNITED AIRLINES HOLDINGS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
416	UNITEDHEALTH GROUP INC - 12/31/2020	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
417	UNITED PARCEL SERVICE CL B - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
418	UNITED STATES CELLULAR CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
419	UNUM GROUP - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
420	US BANCORP - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
421	VALERO ENERGY CORP NEW - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
422	VARIAN MEDICAL SYSTEMS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
423	VEEVA SYSTEMS INC-CLASS A - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
424	VENTAS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
425	VERISIGN INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
426	VERISK ANALYTICS INC-COMMON - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
427	VERIZON COMMUNICATIONS INC - 12/31/2020	No	\$50,001 - \$100,000	Dividends Capital Gains	\$1,001 - \$2,500
428	VERTEX PHARMACEUTICALS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
429	V F CORP - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$1,001 - \$2,500
430	VIATRIS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
431	VICI PROPERTIES INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
432	VISA INC-CLASS A SHRS - 12/31/2020	No	\$50,001 - \$100,000		None (or less than \$201)
433	VONTIER CORPORATION - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
434	VULCAN MATERIALS CO - 12/31/2020	No	\$1,001 - \$15,000	Dividends Capital Gains	\$201 - \$1,000
435	WALGREENS BOOTS ALLIANCE INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
436	WALT DISNEY CO/THE - 12/31/2020	No	\$50,001 - \$100,000	Capital Gains	\$1,001 - \$2,500
437	WASTE MANAGEMENT INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
438	WATERS CORP - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
439	WATSCO INC CLASS A - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
440	WAYFAIR INC- CLASS A - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
441	WEBSTER FINL CORP WATERBURY CONN - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
442	W E C ENERGY GROUP INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
443	WEINGARTEN REALTY INVESTMENT - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
444	WELLS FARGO & COMPANY - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
445	WELLTOWER INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
446	WESTERN UNION CO - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
447	WEST PHARMACEUTICAL SERVICE INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
448	WILLIAMS COS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
449	WORKDAY INC-CLASS A - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
450	WYNDHAM DESTINATIONS INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
451	XCEL ENERGY INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
452	XILINX INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
453	YUM! BRANDS INC - 12/31/2020	No	\$15,001 - \$50,000		None (or less than \$201)
454	ZILLOW GROUP INC - 12/31/2020	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
455	ZIMMER BIOMET HOLDINGS, INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
456	ZION BANCORP N.A. - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
457	ZOETIS INC - 12/31/2020	No	\$15,001 - \$50,000	Dividends Capital Gains	\$201 - \$1,000
458	ZOOM VIDEO COMMUNICATIONS-A - 12/31/2020	No	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000
459	ZSCALER INC - 12/31/2020	No	\$1,001 - \$15,000		None (or less than \$201)
460	CASH & CASH EQUIVALENTS - 12/31/2020	No	\$50,001 - \$100,000		None (or less than \$201)
461	DREYFUS TREAS SEC CASH-IN - 12/31/2020	Yes	Over \$1,000,000		\$15,001 - \$50,000
462	ISHARES MSCI ACWI EX US ETF - 12/31/2020	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
463	HARTFORD SCHRODERS TAX AWARE - 12/31/2020	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
464	VIRTUS SEIX FLT RT HI INC-I - 12/31/2020	Yes	None (or less than \$1,001)		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
465	FLYING SQUIRREL, LLC - 12/31/2020	Yes	Over \$1,000,000		None (or less than \$201)
466	FPR PARTNERS, LP - 12/31/2020	Yes	Over \$1,000,000		\$50,001 - \$100,000
467	GLOBAL ALPHA INTL SMALL CAP FD LP - 12/31/2020	Yes	Over \$1,000,000		\$100,001 - \$1,000,000
468	HILLHOUSE CHINA VALUE FUND LP - 12/31/2020	Yes	Over \$1,000,000		None (or less than \$201)
469	INCENTIVE ACT VAL LO IRL FEED - 12/31/2020	Yes	Over \$1,000,000		None (or less than \$201)
470	KILTEARN GLOBAL EQUITY FUND - 12/31/2020	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
471	MACKAY SHIELDS MUNI CR OPP FD - 12/31/2020	Yes	Over \$1,000,000		\$50,001 - \$100,000
472	NOTE RECEIVABLE Heinz Family Trust - 12/31/2020	No	Over \$1,000,000		None (or less than \$201)
473	RIVERNORTH INSTITUTIONAL PARTNERS LP - 12/31/2020	Yes	Over \$1,000,000		None (or less than \$201)
474	WGI EM FUND - 12/31/2020	Yes	Over \$1,000,000		\$5,001 - \$15,000
475	WGI EM SM CO FUND - 12/31/2020	Yes	Over \$1,000,000		\$5,001 - \$15,000
476	WHITE SPRUCE FUND LP - 12/31/2020	Yes	Over \$1,000,000		\$50,001 - \$100,000
477	CRA2 (BNY MELLON,N.A., MEMBER FDIC) - 12/31/2020	Yes	\$500,001 - \$1,000,000		\$2,501 - \$5,000
478	BNY MELLON NATL INTM MUNI-M - 12/31/2020	Yes	\$50,001 - \$100,000		\$1,001 - \$2,500
479	CRA2 (BNY MELLON,N.A., MEMBER FDIC) - 12/31/2020	Yes	Over \$1,000,000		\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
480	BNY MELLON NAT S/T MUNI BD-M - 12/31/2020	Yes	Over \$1,000,000		\$15,001 - \$50,000
481	BLACKSTONE CAPITAL PARTNERS IV LP - 12/31/2020	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
482	HEARTWOOD FORESTLAND FUND IV - 12/31/2020	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
483	POLARIS VENTURE PTRN IV - 12/31/2020	Yes	None (or less than \$1,001)		\$201 - \$1,000
484	DICERNA PHARMACEUTICALS INC - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
485	FATE THERAPEUTICS INC - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
486	KALA PHARMACEUTICALS INC - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
487	PHREESIA INC - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
488	S I-BONE INC - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$5,001 - \$15,000
489	SUTRO BIOPHARMA INC - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
490	ALLOY VENTURES 2005, LP - 12/31/2020	Yes	None (or less than \$1,001)		\$201 - \$1,000
491	ASIA ALT CAP PTRNS II - 12/31/2020	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
492	BAIN CAPITAL FUND IX - 12/31/2020	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
493	BLACKSTONE CAP PTRS V - 12/31/2020	Yes	None (or less than \$1,001)		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
494	BPG INVESTMENT PARTNERSHIP VII - 12/31/2020	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
495	CAMBRIDGE RES FD LP (BAIN X) - 12/31/2020	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
496	CENTERBRIDGE CAPITAL PARTNERS, L.P - 12/31/2020	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
497	COLUMBIA CAPITAL EQUITY PTRNS IV LP - 12/31/2020	Yes	None (or less than \$1,001)		\$201 - \$1,000
498	DOVER STREET VI LP - 12/31/2020	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
499	DOVER ST VII, LP - 12/31/2020	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
500	FORTRESS V - 12/31/2020	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
501	ASIA ALT PRIVATE EQUITY - 12/31/2020	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
502	HUMMER WINBLAD VI - 12/31/2020	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
503	KAYNE ANDERSON IV - 12/31/2020	Yes	None (or less than \$1,001)		\$201 - \$1,000
504	LBA III - 12/31/2020	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
505	LBA REALTY FUND II, LP - 12/31/2020	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
506	POLARIS VENTURE PARTNERS V, LP - 12/31/2020	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
507	SHORENSTEIN REALTY INVESTORS IX LP - 12/31/2020	Yes	None (or less than \$1,001)		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
508	SHORENSTEIN VIII - 12/31/2020	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
509	SUMMIT PTRNS EUROPE PRIV EQ FD - 12/31/2020	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
510	SUMMIT VENTURES VII-A, LP - 12/31/2020	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
511	THOMAS H LEE EQUITY FD VI, LP - 12/31/2020	Yes	None (or less than \$1,001)		\$2,501 - \$5,000
512	WESTBROOK PRTNS REAL ESTATE FD VIII - 12/31/2020	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
513	DREYFUS TREAS SEC CASH-IN - 12/31/2020	Yes	None (or less than \$1,001)		\$201 - \$1,000
514	ALPHABET INC-CL C - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
515	AMAZON.COM INC - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
516	ANTHEM INC - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
517	BERKSHIRE HATHAWAY INC DEL CL B - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
518	CAPITAL ONE FINANCIAL CORP - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
519	CHARTER COMMUNICATIONS INC-A - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
520	CITIGROUP INC - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$50,001 - \$100,000
521	COMCAST CORP CL A - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
522	FACEBOOK INC-A - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
523	FISERV INC - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
524	G C I LIBERTY INC-CLASS A - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
525	GOLDMAN SACHS GROUP INC - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
526	HILTON WORLDWIDE HOLDINGS IN - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$50,001 - \$100,000
527	LIBERTY GLOBAL PLC - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$100,001 - \$1,000,000
528	LYONDELLBASELL INDU -CL A - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
529	MARRIOTT INTL INC NEW CL A - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$50,001 - \$100,000
530	MICROSOFT CORPORATION - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
531	MORGAN STANLEY - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$50,001 - \$100,000
532	NETFLIX COM INC - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$50,001 - \$100,000
533	ORACLE CORP - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$50,001 - \$100,000
534	UNITEDHEALTH GROUP INC - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$100,001 - \$1,000,000
535	WABTEC CORP - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
536	WALT DISNEY CO/THE - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000
537	WOODWARD INC - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$2,501 - \$5,000
538	DREYFUS TREAS SEC CASH-IN - 12/31/2020	Yes	\$1,001 - \$15,000		None (or less than \$201)
539	STARK INV LP CLASS B - 12/31/2020	Yes	\$1,001 - \$15,000		None (or less than \$201)
540	GLAUKOS CORP - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$2,501 - \$5,000
541	REALREAL INC/ THE - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$15,001 - \$50,000
542	CERES FARMS, LLC - 12/31/2020	Yes	None (or less than \$1,001)		\$5,001 - \$15,000
543	COLUMBIA CAP EQ PTRNS V - 12/31/2020	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
544	DOVER STREET VIII L.P - 12/31/2020	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
545	HIG BAYSIDE DEBT & LBO - 12/31/2020	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
546	INTERWEST PARTNERS X, LP - 12/31/2020	Yes	None (or less than \$1,001)		\$201 - \$1,000
547	KAYNE ANDERSON V - 12/31/2020	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
548	KAYNE ANDERSON VI - 12/31/2020	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
549	LBA IV - 12/31/2020	Yes	None (or less than \$1,001)		\$5,001 - \$15,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
550	LUX VENTURES III, L.P. - 12/31/2020	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
551	SUMMIT III - A - 12/31/2020	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
552	SUMMIT VIII - A - 12/31/2020	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
553	WESTBROOK REAL ESTATE FD IX LP - 12/31/2020	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
554	PEAK ROCK - 12/31/2020	Yes	None (or less than \$1,001)		\$50,001 - \$100,000
555	NGP NATURAL RESOURCES X, LP - 12/31/2020	Yes	None (or less than \$1,001)		\$15,001 - \$50,000
556	CEVIAN CAPITAL II, LP - 12/31/2020	Yes	Over \$1,000,000		\$100,001 - \$1,000,000
557	RED MNTN CAP PARTNERS LLC - 12/31/2020	Yes	\$50,001 - \$100,000		\$50,001 - \$100,000
558	SILCHESTER INTL INV INTL VALUE - 12/31/2020	Yes	Over \$1,000,000		None (or less than \$201)
559	ABBVIE INC. - 12/31/2020	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
560	ACCENTURE PLC-CL A - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
561	AIR PRODS & CHEMS INC - 12/31/2020	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
562	ANALOG DEVICES INC - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
563	APPLE INC - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
564	ATMOS ENERGY CORP - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
565	AUTODESK INC - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$1,001 - \$2,500
566	BANK OF AMERICA CORP - 12/31/2020	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
567	BAXTER INTERNATIONAL INC - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
568	CISCO SYSTEMS INC - 12/31/2020	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
569	CITIGROUP INC - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
570	COMCAST CORP CL A - 12/31/2020	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
571	DENTSPLY SIRONA INC - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
572	DISCOVER FINANCIAL SERVICES - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
573	EATON CORP PLC - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
574	FLEETCOR TECHNOLOGIES INC - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
575	GOLDMAN SACHS GROUP INC - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
576	HOME DEPOT INC - 12/31/2020	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
577	JOHNSON & JOHNSON - 12/31/2020	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
578	JP MORGAN CHASE & CO - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
579	LABORATORY CORP AMER HLDGS - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
580	LAM RESH CORP - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
581	LOCKHEED MARTIN CORP - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
582	MERCK & CO INC - 12/31/2020	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
583	MICROSOFT CORPORATION - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$5,001 - \$15,000
584	PEPSICO INC - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
585	PERRIGO CO PLC - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
586	PFIZER INC - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
587	PROCTER & GAMBLE CO - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$1,001 - \$2,500
588	PROGRESSIVE CORP OHIO - 12/31/2020	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
589	QUEST DIAGNOSTICS INC - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
590	RETAIL PROPERTIES OF AME - A - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
591	SEMPRA ENERGY - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
592	SERVICENOW INC - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
593	TARGET CORP - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
594	THERMO FISHER SCIENTIFIC INC. - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
595	T ROWE PRICE GROUP INC - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
596	TYSON FOODS INC CLASS A - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
597	US BANCORP - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
598	WALT DISNEY CO/THE - 12/31/2020	No	None (or less than \$1,001)	Dividends	\$201 - \$1,000
599	WESTERN DIGITAL CORP - 12/31/2020	No	None (or less than \$1,001)	Dividends Capital Gains	\$201 - \$1,000
600	ZAYO GROUP HOLDINGS INC - 12/31/2020	No	None (or less than \$1,001)	Capital Gains	\$201 - \$1,000
601	CRA2 (BNY MELLON,N.A., MEMBER FDIC) - 12/31/2020	Yes	Over \$1,000,000		\$2,501 - \$5,000
602	ALUA PARTNERS LP - 12/31/2020	Yes	Over \$1,000,000		None (or less than \$201)
603	BLUE EAGLE DOMESTIC FUND - 12/31/2020	Yes	\$500,001 - \$1,000,000		None (or less than \$201)
604	CAMBER CAPITAL MASTER FUND LP - 12/31/2020	Yes	Over \$1,000,000		\$15,001 - \$50,000
605	BLUE DRIVE GLOBAL INVEST FD LP - 12/31/2020	Yes	None (or less than \$1,001)		\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
606	GOVERNORS LANE ONSHORE FD LP - 12/31/2020	Yes	\$250,001 - \$500,000		\$15,001 - \$50,000
607	CANYON VALUE REALIZATION FD A - 12/31/2020	Yes	\$500,001 - \$1,000,000		\$50,001 - \$100,000
608	COATUE QLFD PARTNERS A D-4R - 12/31/2020	Yes	\$15,001 - \$50,000		\$100,001 - \$1,000,000
609	DAVIDSON KEMPNER PARTNERS - 12/31/2020	Yes	Over \$1,000,000		\$100,001 - \$1,000,000
610	KENSICO ASSOCIATES LP - 12/31/2020	Yes	\$15,001 - \$50,000		\$50,001 - \$100,000
611	OZ DOMESTIC PARTNERS CLASS L - 12/31/2020	Yes	None (or less than \$1,001)		\$1,001 - \$2,500
612	SAMLYN ONSHORE FUND LP - 12/31/2020	Yes	Over \$1,000,000		\$100,001 - \$1,000,000
613	TIGER GLOBAL LP - 12/31/2020	Yes	Over \$1,000,000		\$100,001 - \$1,000,000
614	VIKING GLOBAL EQUITIES LP - 12/31/2020	Yes	Over \$1,000,000		\$100,001 - \$1,000,000
615	M3 PARTNERS LP - 12/31/2020	Yes	Over \$1,000,000		None (or less than \$201)
616	MADISON AVENUE ONSHORE LP - 12/31/2020	Yes	Over \$1,000,000		None (or less than \$201)
617	MELVIN CAPITAL LP - 12/31/2020	Yes	Over \$1,000,000		None (or less than \$201)
618	PHARO MACRO FUND, LTD - 12/31/2020	Yes	Over \$1,000,000		None (or less than \$201)
619	SOROBAN OPP FUND - SERIES B-E/18, E/19, E/20 - 12/31/2020	Yes	\$500,001 - \$1,000,000		\$15,001 - \$50,000
620	SQN INVESTORS FUND LP - 12/31/2020	Yes	Over \$1,000,000		\$1,001 - \$2,500

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
621	TENG YUE PARTNERS - 12/31/2020	Yes	Over \$1,000,000		\$15,001 - \$50,000
622	TRUEBRIDGE III - 12/31/2020	Yes	None (or less than \$1,001)		\$100,001 - \$1,000,000
623	DREYFUS TREAS SEC CASH-IN - 12/31/2020	Yes	Over \$1,000,000		\$2,501 - \$5,000
624	ALLEGHENY CNTY PA HG 5.0% 3/01/24 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
625	CHESTER CNTY PA 4.0% 7/15/29 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
626	CLEVELAND CNTY OK ED 5.0% 6/01/24 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$201 - \$1,000
627	COLONIAL PA SCH DIST 5.0% 2/15/30 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
628	CONNECTICUT ST HSG F 3.5% 11/15/43 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$2,501 - \$5,000
629	CONNECTICUT ST SPL T 5.0% 10/01/26 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
630	CORPUS CHRISTI TX IN 5.0% 8/15/30 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
631	CUMBERLAND CNTY PA M 5.0% 11/01/28 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
632	DELAWARE CNTY PA AUT 5.0% 10/01/25 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
633	DELAWARE RIVER PORT 5.0% 1/01/25 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
634	DOWNINGTOWN PA AREA 5.0% 8/01/29 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$50,001 - \$100,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
635	EAST PENNSBORO TWP P 4.0% 9/01/28 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
636	EL PASO TX INDEP SCH 5.0% 8/15/26 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
637	ERIE CNTY PA 5.0% 9/01/24 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
638	FAIRFAX CNTY VA 4.0% 10/01/26 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
639	FOX CHAPEL PA AREA S 5.0% 8/01/34 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
640	HARTFORD SCHRODERS TAX AWARE - 12/31/2020	Yes	Over \$1,000,000		\$50,001 - \$100,000
641	KANE COOK & DU PAGE 3.0% 12/15/32 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
642	KENTUCKY ST PROPERTY 5.0% 11/01/23 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
643	MAIN STREET NATURAL 4.0% 8/01/49 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
644	MANHEIM TWP PA SCH D 4.0% 2/01/27 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$50,001 - \$100,000
645	METHACTON SCHOOL DISTR 4.0% 9/15/32 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
646	MET TRANSPRTN AUTH N 5.0% 11/15/34 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
647	MET TRANSPRTN AUTH N 5.0% 9/01/22 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$2,501 - \$5,000
648	MICHIGAN ST 5.0% 3/15/22 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
649	MISSOURI ST HSG DEV 3.5% 11/01/50 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$2,501 - \$5,000
650	NEW JERSEY ST ECON DEV 5.0% 3/01/22 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
651	NEW JERSEY ST TRANSN 5.5% 12/15/21 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
652	NEW JERSEY ST TRANSP 5.0% 6/15/23 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
653	NEW YORK CITY NY TRA 5.0% 5/01/29 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
654	NEW YORK ST DORM AUT 5.0% 3/15/24 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
655	NEW YORK ST URBAN DEV 5.0% 3/15/29 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
656	N TX TOLLWAY AUTH RE 5.0% 1/01/27 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
657	OCTORARA PA AREA SCH 4.0% 4/01/30 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
658	ORANGE CNTY FL TOURI 4.0% 10/01/31 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
659	OREGON ST HLTH & SCI 5.0% 7/01/32 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
660	PARKLAND SCHOOL DISTRI 4.0% 2/01/32 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
661	PENNSYLVANIA ST 5.0% 11/15/25 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
662	PENNSYLVANIA ST 5.0% 6/15/25 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
663	PENNSYLVANIA ST ECON 5.0% 11/15/28 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$50,001 - \$100,000
664	PENNSYLVANIA ST ECON 5.0% 3/01/24 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
665	PENNSYLVANIA ST HGR 5.0% 4/01/25 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
666	PENNSYLVANIA ST HGR 5.0% 6/15/29 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
667	PENNSYLVANIA ST HIGHER 4.0% 6/15/28 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
668	PENNSYLVANIA ST TPK CO 5.0% 12/01/28 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
669	PENNSYLVANIA ST TURN 5.0% 12/01/30 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$50,001 - \$100,000
670	PENNSYLVANIA ST TURNPI 5.0% 6/01/29 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
671	PHILADELPHIA PA 5.0% 8/01/22 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
672	PHILADELPHIA PA ARPT 5.0% 7/01/27 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
673	PHILADELPHIA PA AUTH 5.0% 4/01/28 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
674	PHILADELPHIA PA WTR 5.0% 11/01/26 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
675	PITTSBURG CA SUCCESS 5.0% 9/01/23 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
676	PITTSBURGH & ALLEGHENY 5.0% 2/01/22 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
677	PITTSBURGH PA WTR & 5.0% 9/01/26 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
678	SAN FRANCISCO CITY & 3.0% 6/15/27 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
679	STATE PUB SCH BLDG A 5.0% 9/15/21 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
680	SUSQUEHANNA TWP PA S 3.0% 5/15/31 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
681	UPPER MORELAND SD 4.0% 10/01/31 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
682	WASHINGTON DC MET AR 5.0% 7/01/30 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
683	WEST VIEW PA MUNI AU 5.0% 11/15/27 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$5,001 - \$15,000
684	YORK CNTY PA 5.0% 6/01/24 - 12/31/2020	No	None (or less than \$1,001)	Capital Gains Interest	\$15,001 - \$50,000
685	BNY MELLON BANK CASH ACCOUNTS - 12/31/2020	No	\$100,001 - \$250,000		None (or less than \$201)
686	OCIDENTAL VIDA (MILLENIUUM AGEAS) (Cash Account) - 12/31/2020	N/A	\$1,001 - \$15,000		None (or less than \$201)
687	H.J. Heinz III Marital Trust (underlying assets reported on lines 11-476 & 623-684)	No			
688	Heinz Family Commingled Alternative Investment Fund #2 (underlying assets reported on lines 481-483)	No			
689	Heinz Family Commingled Alternative Investment Fund #3 (underlying assets reported on lines 484-512)	No			
690	Heinz Family Commingled Stock Fund (underlying assets reported on lines 513-537)	No			

#	DESCRIPTION	EIF	VALUE	INCOME TYPE	INCOME AMOUNT
691	Heinz Family Commingled Intermediate Term Fund (underlying assets reported on lines 538-539)	No			
692	HFI Alternative Investment Fund #4 (underlying assets reported on lines 540-555)	No			
693	HFI Diversified Investments, LP (underlying assets reported on lines 556-558)	No			
694	HFI Index Fund, LP (underlying assets reported on lines 559-600)	No			
695	HFI Intermediate Term Fund II, LP (underlying assets reported on lines 601-621)	No			
696	HFI #5 (underlying assets reported on line 622)	No			
697	Simon & Schuster (Book: Every Day is Extra) Value not readily ascertainable	N/A			None (or less than \$201)

## 7. Transactions

(N/A) - Not required for this type of report

## 8. Liabilities

#	CREDITOR NAME	TYPE	AMOUNT	YEAR INCURRED	RATE	TERM
1	BNY Mellon	Secured Term Loan	Over \$1,000,000	2020	2.61	3 year

## 9. Gifts and Travel Reimbursements

(N/A) - Not required for this type of report

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### Endnotes

PART	#	ENDNOTE
6.	8	Filer sold this asset in its entirety after the close of this reporting period.

# Summary of Contents

## 1. Filer's Positions Held Outside United States Government

Part 1 discloses positions that the filer held at any time during the reporting period (excluding positions with the United States Government). Positions are reportable even if the filer did not receive compensation.

This section does not include the following: (1) positions with religious, social, fraternal, or political organizations; (2) positions solely of an honorary nature; (3) positions held as part of the filer's official duties with the United States Government; (4) mere membership in an organization; and (5) passive investment interests as a limited partner or non-managing member of a limited liability company.

## 2. Filer's Employment Assets & Income and Retirement Accounts

Part 2 discloses the following:

- Sources of earned and other non-investment income of the filer totaling more than \$200 during the reporting period (e.g., salary, fees, partnership share, honoraria, scholarships, and prizes)
- Assets related to the filer's business, employment, or other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 3. Filer's Employment Agreements and Arrangements

Part 3 discloses agreements or arrangements that the filer had during the reporting period with an employer or former employer (except the United States Government), such as the following:

- Future employment
- Leave of absence
- Continuing payments from an employer, including severance and payments not yet received for previous work (excluding ordinary salary from a current employer)
- Continuing participation in an employee welfare, retirement, or other benefit plan, such as pensions or a deferred compensation plan
- Retention or disposition of employer-awarded equity, sharing in profits or carried interests (e.g., vested and unvested stock options, restricted stock, future share of a company's profits, etc.)

#### 4. Filer's Sources of Compensation Exceeding \$5,000 in a Year

Part 4 discloses sources (except the United States Government) that paid more than \$5,000 in a calendar year for the filer's services during any year of the reporting period.

The filer discloses payments both from employers and from any clients to whom the filer personally provided services. The filer discloses a source even if the source made its payment to the filer's employer and not to the filer. The filer does not disclose a client's payment to the filer's employer if the filer did not provide the services for which the client is paying.

#### 5. Spouse's Employment Assets & Income and Retirement Accounts

Part 5 discloses the following:

- Sources of earned income (excluding honoraria) for the filer's spouse totaling more than \$1,000 during the reporting period (e.g., salary, consulting fees, and partnership share)
- Sources of honoraria for the filer's spouse greater than \$200 during the reporting period
- Assets related to the filer's spouse's employment, business activities, other income-generating activities (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in income was received during the reporting period (e.g., equity in business or partnership, stock options, retirement plans/accounts and their underlying holdings as appropriate, deferred compensation, and intellectual property, such as book deals and patents)

This section does not include assets or income from United States Government employment or assets that were acquired separately from the filer's spouse's business, employment, or other income-generating activities (e.g., assets purchased through a brokerage account). Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF). Amounts of income are not required for a spouse's earned income (excluding honoraria).

#### 6. Other Assets and Income

Part 6 discloses each asset, not already reported, (1) that ended the reporting period with a value greater than \$1,000 or (2) from which more than \$200 in investment income was received during the reporting period. For purposes of the value and income thresholds, the filer aggregates the filer's interests with those of the filer's spouse and dependent children.

This section does not include the following types of assets: (1) a personal residence (unless it was rented out during the reporting period); (2) income or retirement benefits associated with United States Government employment (e.g., Thrift Savings Plan); and (3) cash accounts (e.g., checking, savings, money market accounts) at a single financial institution with a value of \$5,000 or less (unless more than \$200 in income was received). Additional exceptions apply. Note: The type of income is not required if the amount of income is \$0 - \$200 or if the asset qualifies as an excepted investment fund (EIF).

## 7. Transactions

Part 7 discloses purchases, sales, or exchanges of real property or securities in excess of \$1,000 made on behalf of the filer, the filer's spouse or dependent child during the reporting period.

This section does not include transactions that concern the following: (1) a personal residence, unless rented out; (2) cash accounts (e.g., checking, savings, CDs, money market accounts) and money market mutual funds; (3) Treasury bills, bonds, and notes; and (4) holdings within a federal Thrift Savings Plan account. Additional exceptions apply.

## 8. Liabilities

Part 8 discloses liabilities over \$10,000 that the filer, the filer's spouse or dependent child owed at any time during the reporting period.

This section does not include the following types of liabilities: (1) mortgages on a personal residence, unless rented out (limitations apply for PAS filers); (2) loans secured by a personal motor vehicle, household furniture, or appliances, unless the loan exceeds the item's purchase price; and (3) revolving charge accounts, such as credit card balances, if the outstanding liability did not exceed \$10,000 at the end of the reporting period. Additional exceptions apply.

## 9. Gifts and Travel Reimbursements

This section discloses:

- Gifts totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.
- Travel reimbursements totaling more than \$415 that the filer, the filer's spouse, and dependent children received from any one source during the reporting period.

For purposes of this section, the filer need not aggregate any gift or travel reimbursement with a value of \$166 or less. Regardless of the value, this section does not include the following items: (1) anything received from relatives; (2) anything received from the United States Government or from the District of Columbia, state, or local governments; (3) bequests and other forms of inheritance; (4) gifts and travel reimbursements given to the filer's agency in connection with the filer's official travel; (5) gifts of hospitality (food, lodging, entertainment) at the donor's residence or personal premises; and (6) anything received by the filer's spouse or dependent children totally independent of their relationship to the filer. Additional exceptions apply.

## Privacy Act Statement

Title I of the Ethics in Government Act of 1978, as amended (the Act), 5 U.S.C. app. § 101 et seq., as amended by the Stop Trading on Congressional Knowledge Act of 2012 (Pub. L. 112-105) (STOCK Act), and 5 C.F.R. Part 2634 of the U. S. Office of Government Ethics regulations require the reporting of this information. Failure to provide the requested information may result in separation, disciplinary action, or civil action. The primary use of the information on this report is for review by Government officials to determine compliance with applicable Federal laws and regulations. This report may also be disclosed upon request to any requesting person in accordance with sections 105 and 402(b)(1) of the Act or as otherwise authorized by law. You may inspect applications for public access of your own form upon request. Additional disclosures of the information on this report may be made: (1) to any requesting person, subject to the limitation contained in section 208(d)(1) of title 18, any determination granting an exemption pursuant to sections 208(b)(1) and 208(b)(3) of title 18; (2) to a Federal, State, or local law enforcement agency if the disclosing agency becomes aware of violations or potential violations of law or regulation; (3) to a source when necessary to obtain information relevant to a conflict of interest investigation or determination; (4) to the National Archives and Records Administration or the General Services Administration in records management inspections; (5) to the Office of Management and Budget during legislative coordination on private relief legislation; (6) when the disclosing agency determines that the records are arguably relevant to a proceeding before a court, grand jury, or administrative or adjudicative body, or in a proceeding before an administrative or adjudicative body when the adjudicator determines the records to be relevant to the proceeding; (7) to reviewing officials in a new office, department or agency when an employee transfers or is detailed from one covered position to another, a public financial disclosure report and any accompanying documents, including statements notifying an employee's supervising ethics office of the commencement of negotiations for future employment or compensation or of an agreement for future employment or compensation; (8) to a Member of Congress or a congressional office in response to an inquiry made on behalf of and at the request of an individual who is the subject of the record; (9) to contractors and other non-Government employees working on a contract, service or assignment for the Federal Government when necessary to accomplish a function related to this system of records; (10) on the OGE Website and to any person, department or agency, any written ethics agreement, including certifications of ethics agreement compliance, filed with OGE by an individual nominated by the President to a position requiring Senate confirmation; (11) on the OGE Website and to any person, department or agency, any certificate of divestiture issued by OGE; (12) on the OGE Website and to any person, department or agency, any waiver of the restrictions contained in Executive Order 13770 or any superseding executive order; (13) to appropriate agencies, entities and persons when there has been a suspected or confirmed breach of the system of records, the agency maintaining the records has determined that there is a risk of harm to individuals, the agency, the Federal Government, or national security, and the disclosure is reasonably necessary to assist in connection with the agency's efforts to respond to the suspected or confirmed breach or to prevent, minimize, or remedy such harm; and (14) to another Federal agency or Federal entity, when the agency maintaining the record determines that information from this system of records is reasonably necessary to assist the recipient agency or entity in responding to a suspected or confirmed breach or in preventing, minimizing, or remedying the risk of harm to individuals, the recipient agency or entity, the Federal Government, or national security. See also the OGE/GOVT-1 executive branch-wide Privacy Act system of records.

## Public Burden Information

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