



Filing ID #10035785

# FINANCIAL DISCLOSURE REPORT

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## FILER INFORMATION

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

## FILING INFORMATION

**Filing Type:** Annual Report  
**Filing Year:** 2019  
**Filing Date:** 08/13/2020

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
Abbott Laboratories (ABT) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>
Accenture plc Class A Ordinary Shares (ACN) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>
AIA Group, Ltd. Sponsored American Depositary Receipt (AAGIY) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500 <input type="checkbox"/>
Air Products and Chemicals, Inc. (APD) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000 <input type="checkbox"/>
Airbus Group Un-sponsored ADR (EADSY) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500 <input type="checkbox"/>
Alexandria Real Estate Equities, Inc. (ARE) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>
Alibaba Group Holding Limited American Depositary Shares each representing eight Ordinary share (BABA) [ST]	JT	\$15,001 - \$50,000	None	<input type="checkbox"/>
Alphabet Inc. - Class A (GOOGL) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Altria Group, Inc. (MO) [ST]	JT	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Amazon.com, Inc. (AMZN) [ST]	JT	\$15,001 - \$50,000	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
American Express Company (AXP) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input type="checkbox"/>
Amgen Inc. (AMGN) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Analog Devices, Inc. (ADI) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Apple Inc. (AAPL) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Arthur J. Gallagher & Co. (AJG) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
ASML Holding N.V. - New York Registry Shares (ASML) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Astrazeneca PLC (AZN) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input type="checkbox"/>
Autodesk, Inc. (ADSK) [ST]	JT	\$15,001 - \$50,000	None		<input type="checkbox"/>
Automatic Data Processing, Inc. (ADP) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
AvalonBay Communities, Inc. (AVB) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Bank of America Bank Account [BA]		\$1,001 - \$15,000	Interest	\$1 - \$200	<input type="checkbox"/>
Bank of America Corporation (BAC) [ST]	JT	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Becton, Dickinson and Company (BDX) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
BlackRock, Inc. (BLK) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>
Boston Properties, Inc. (BXP) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>
Bristol-Myers Squibb Company (BMY) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>
Canadian National Railway Company (CNI) [ST]	JT	None	Capital Gains	\$201 - \$1,000 <input type="checkbox"/>
Capital One Financial Corporation (COF) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>
Carlsberg AS Sponsored ADR Representing Class B Shares (CABGY) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500 <input type="checkbox"/>
Chevron Corporation (CVX) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000 <input type="checkbox"/>
Chubb Limited (CB) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>
Cisco Systems, Inc. (CSCO) [ST]	JT	\$1,001 - \$15,000	Dividends	\$201 - \$1,000 <input type="checkbox"/>
CME Group Inc. - Class A (CME) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000 <input type="checkbox"/>
CMS Energy Corporation (CMS) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>
Coca-Cola Company (KO) [ST]	JT	\$1,001 - \$15,000	Dividends	\$201 - \$1,000 <input type="checkbox"/>
Comcast Corporation - Class A (CMCSA) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000 <input type="checkbox"/>
ConocoPhillips (COP) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>
Cullen/Frost Bankers, Inc. (CFR) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>
CVS Health Corporation (CVS) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>
Danone Sponsored ADR (DANOY) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - <input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
				\$1,000	
Deere & Company (DE) [ST]	JT	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
Diageo plc (DEO) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input type="checkbox"/>
Discover Financial Services (DFS) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
DNB ASA SPONSORED ADR Representing 10 (DNHBY) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Dover Corporation (DOV) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
DSV A/S Un-sponsored ADR (DSDVY) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Edison International (EIX) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Eli Lilly and Company (LLY) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Enel Societa Per Azioni Un-sponsored ADR (ENLAY) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Expeditors International of Washington, Inc. (EXPD) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Facebook, Inc. - Class A (FB) [ST]	JT	\$15,001 - \$50,000	None		<input type="checkbox"/>
FactSet Research Systems Inc. (FDS) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Fidelity 529 1 ⇒ Fidelity Advisor 529 Diversified International Portfolio - Class A [MF]	DC	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 1 ⇒ Fidelity Advisor 529 New Insights Portfolio - Class A [MF]	DC	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 1 ⇒ Fidelity Advisor 529 Strategic Dividend & Income Portfolio	DC	\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
- Class A [MF]				
Fidelity 529 2 ⇒ Fidelity Advisor 529 Diversified International Portfolio - Class A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 2 ⇒ Fidelity Advisor 529 New Insights Portfolio - Class A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 2 ⇒ Fidelity Advisor 529 Strategic Dividend & Income Portfolio - Class A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 3 ⇒ Fidelity Advisor 529 Diversified International Portfolio - Class A [MF]	DC	\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 3 ⇒ Fidelity Advisor 529 New Insights Portfolio - Class A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 3 ⇒ Fidelity Advisor 529 Strategic Dividend & Income Portfolio - Class A [MF]	DC	\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 4 ⇒ Fidelity Advisor 529 Diversified International Portfolio - Class A [MF]	DC	\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 4 ⇒ Fidelity Advisor 529 New Insights Portfolio - Class A [MF]	DC	\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Fidelity 529 4 ⇒ Fidelity Advisor 529 Strategic Dividend & Income Portfolio - Class A [MF]	DC	\$15,001 - \$50,000	Tax-Deferred	<input type="checkbox"/>
Fidelity National Information Services, Inc. (FIS) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>
General Dynamics Corporation (GD) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>
Givaudan SA Unsponsored ADR (GVDNY) [ST]	JT	None	Capital Gains	\$201 - \$1,000 <input type="checkbox"/>
Hartford Financial Services Group, Inc. (HIG) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Hasbro, Inc. (HAS) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
HDFC Bank Limited (HDB) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500	<input type="checkbox"/>
Hermes Intl S A Unsponsored ADR (HESAY) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Home Depot, Inc. (HD) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$1,001 - \$2,500	<input type="checkbox"/>
Honeywell International Inc. (HON) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Hoya Corp Sponsored ADR (HOCPY) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Iberdrola Sa Sponsored ADR (IBDRY) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Illinois Tool Works Inc. (ITW) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
iShares Core MSCI EAFE ETF (IEFA) [ST]	JT	\$100,001 - \$250,000	None		<input type="checkbox"/>
iShares Russell 1000 Value ETF (IWD) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Jardine Matheson Holdings Ltd Unsponsored ADR (JMHLY) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Johnson & Johnson (JNJ) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Kering Unsponsored ADR (PPRUY) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input type="checkbox"/>
Keyence Corp Ordinary Shares (KYCCF) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input type="checkbox"/>
Las Vegas Sands Corp. (LVS) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
London Stock Exchange Group plc Ordinary Shares	JT	None	Capital Gains	\$201 -	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
(LDNXF) [ST]				\$1,000	
L'Oreal Co. American Depositary Shares (LRLCY) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input type="checkbox"/>
LVMH Moet Hennessy Louis Vuitton Unsponsored American Depositary Receipt (LVMUY) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input type="checkbox"/>
M&T Bank Corporation (MTB) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Marsh & McLennan Companies, Inc. (MMC) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Massachusetts Mutual Life Insurance Company [WU]		\$15,001 - \$50,000	None		<input type="checkbox"/>
Massachusetts Mutual Life Insurance Company [WU]		\$15,001 - \$50,000	None		<input type="checkbox"/>
McDonald's Corporation (MCD) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Medtronic plc. Ordinary Shares (MDT) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
MercadoLibre, Inc. (MELI) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input type="checkbox"/>
Merck & Company, Inc. Common Stock (MRK) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
MetLife, Inc. (MET) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Microsoft Corporation (MSFT) [ST]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Mondelez International, Inc. - Class A (MDLZ) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Monster Beverage Corporation (MNST) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Nestle SA Sponsored ADR representing Registered Shares Series B (NSRGY) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input type="checkbox"/>
Nidec Corporation (NJ) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
NiSource Inc (NI) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Norfolk Southern Corporation (NSC) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Northern Trust Corporation (NTRS) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Novartis AG (NVS) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Novo Nordisk A/S (NVO) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
NVIDIA Corporation (NVDA) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
NY Saves 529 1 ⇒ Vanguard Total Bond Market II Index Fund [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
NY Saves 529 1 ⇒ Vanguard Total International Bond Index Fund [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
NY Saves 529 1 ⇒ Vanguard Total International Stock Index Fund [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
NY Saves 529 1 ⇒ Vanguard Total Stock Market Index Fund [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
NY Saves 529 2 ⇒ Vanguard Total Bond Market II Index Fund [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
NY Saves 529 2 ⇒ Vanguard Total International Bond Index Fund [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
NY Saves 529 2 ⇒ Vanguard Total International Stock Index Fund [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
NY Saves 529 2 ⇒ Vanguard Total Stock Market Index Fund [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Oracle Corporation (ORCL) [ST]	JT	\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>



Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Parker-Hannifin Corporation (PH) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Pepsico, Inc. (PEP) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Pernod Ricard SA Unsponsored ADR (PDRDY) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input type="checkbox"/>
Pfizer, Inc. (PFE) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$201 - \$1,000	<input type="checkbox"/>
Philip Morris International Inc (PM) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
PNC Financial Services Group, Inc. (PNC) [ST]	JT	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>
PPG Industries, Inc. (PPG) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Procter & Gamble Company (PG) [ST]	JT	\$15,001 - \$50,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Progressive Corporation (PGR) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Prudential Financial, Inc. (PRU) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Public Service Enterprise Group Incorporated (PEG) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
QUALCOMM Incorporated (QCOM) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Regeneron Pharmaceuticals, Inc. (REGN) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
RELX PLC PLC American Depositary Shares (RELX) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Republic Services, Inc. (RSG) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Rio Tinto Plc (RIO) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Roche Holdings AG Basel American Depositary Shares	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
(RHHBY) [ST]					
Rollover IRA 90127 ⇒ iShares Core MSCI EAFE ETF (IEFA) [ST]	SP	\$15,001 - \$50,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]	SP	\$15,001 - \$50,000	Capital Gains, Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ iShares Core S&P Small-Cap ETF (IJR) [ST]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
Rollover IRA 90127 ⇒ iShares Inc iShares MSCI Brazil ETF (EWZ) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ iShares MSCI China ETF (MCHI) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ iShares MSCI EAFE ETF (EFA) [ST]	SP	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ iShares MSCI Japan Index Fund (EWJ) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ iShares Russell Midcap Growth ETF (IWP) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ iShares Russell Mid-cap Value ETF (IWS) [ST]	SP	\$1,001 - \$15,000	None		<input type="checkbox"/>
Rollover IRA 90127 ⇒ Schwab U.S. Broad Market ETF (SCHB) [ST]	SP	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Consumer Discretionary (XLY) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Consumer Staples (XLP) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Technology (XLK) [ST]	SP	None	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ The Communication Services Select Sector SPDR Fund (XLC) [ST]	SP	\$1,001 - \$15,000	None		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Rollover IRA 90127 ⇒ Vanguard Growth ETF (VUG) [ST]	SP	\$50,001 - \$100,000	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ Vanguard Mid-Cap ETF (VO) [ST]	SP	\$15,001 - \$50,000	None		<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ Vanguard Value ETF (VTV) [ST]	SP	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ iShares Core MSCI EAFE ETF (IEFA) [ST]		\$15,001 - \$50,000	Capital Gains, Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]		\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ iShares Core S&P Small-Cap ETF (IJR) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Rollover IRA 95031 ⇒ iShares Inc iShares MSCI Brazil ETF (EWZ) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Rollover IRA 95031 ⇒ iShares MSCI China ETF (MCHI) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Rollover IRA 95031 ⇒ iShares MSCI EAFE ETF (EFA) [ST]		\$15,001 - \$50,000	Dividends	\$201 - \$1,000	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ iShares MSCI Japan Index Fund (EWJ) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Rollover IRA 95031 ⇒ iShares Russell Midcap Growth ETF (IWP) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Rollover IRA 95031 ⇒ iShares Russell Mid-cap Value ETF (IWS) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Rollover IRA 95031 ⇒ SPDR Select Sector Fund - Consumer Discretionary (XLY) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Rollover IRA 95031 ⇒ SPDR Select Sector Fund - Consumer Staples (XLP) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Rollover IRA 95031 ⇒		None	Capital Gains	\$201 -	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
SPDR Select Sector Fund - Technology (XLK) [ST]				\$1,000	
Rollover IRA 95031 ⇒ The Communication Services Select Sector SPDR Fund (XLC) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Rollover IRA 95031 ⇒ Vanguard Growth ETF (VUG) [ST]		\$15,001 - \$50,000	None		<input type="checkbox"/>
Rollover IRA 95031 ⇒ Vanguard Mid-Cap ETF (VO) [ST]		\$1,001 - \$15,000	None		<input type="checkbox"/>
Rollover IRA 95031 ⇒ Vanguard Value ETF (VTV) [ST]		\$15,001 - \$50,000	None		<input type="checkbox"/>
RPM International Inc. (RPM) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Safran S.A. Unsponsored ADR (SAFRY) [ST]	JT	None	Capital Gains	\$2,501 - \$5,000	<input type="checkbox"/>
SAP SE ADS (SAP) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input type="checkbox"/>
SEI Investments Company (SEIC) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Smc Cp Ordinary Shares (SMECF) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Softbank Corp Unsponsored ADR (SFTBY) [ST]	JT	None	Capital Gains	\$1,001 - \$2,500	<input type="checkbox"/>
Sonova Holding AG Unsponsored ADR (SONVY) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
SPDR S&P 500 (SPY) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
SPDR S&P 500 (SPY) [ST]	SP	\$250,001 - \$500,000	Dividends	\$2,501 - \$5,000	<input checked="" type="checkbox"/>
Stanley Black & Decker, Inc. (SWK) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Starbucks Corporation (SBUX) [ST]	JT	\$1,001 - \$15,000	Capital Gains, Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
T. Rowe Price Group, Inc. (TROW) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Taiwan Semiconductor Manufacturing Company Ltd. (TSM) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Texas Instruments Incorporated (TXN) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
The Travelers Companies, Inc. (TRV) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Tiffany & Co. (TIF) [ST]	JT	None	Capital Gains	\$201 - \$1,000	<input type="checkbox"/>
Truist Financial Corporation (TFC) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
U.S. Bancorp (USB) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
UBS Bank Deposit Acct [BA]	SP	\$15,001 - \$50,000	None		<input type="checkbox"/>
United Technologies Corporation (UTX) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
UnitedHealth Group Incorporated Common Stock (UNH) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
USAA Bank Accounts [BA]		\$50,001 - \$100,000	Interest	\$201 - \$1,000	<input type="checkbox"/>
V.F. Corporation (VFC) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Valero Energy Corporation (VLO) [ST]	JT	\$1,001 - \$15,000	None		<input type="checkbox"/>
Vanguard Growth ETF (VUG) [ST]	JT	\$15,001 - \$50,000	None		<input type="checkbox"/>
Varian Medical Systems, Inc. (VAR) [ST]	JT	\$1,001 - \$15,000	Capital Gains	\$201 - \$1,000	<input checked="" type="checkbox"/>
Verizon Communications Inc. (VZ) [ST]	JT	\$1,001 - \$15,000	Dividends	\$201 - \$1,000	<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income Tx. > \$1,000?
Visa Inc. (V) [ST]	JT	\$15,001 - \$50,000	Capital Gains	<input checked="" type="checkbox"/>
Walmart Inc. (WMT) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>
Wells Fargo & Company (WFC) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>
Wyndham Hotels & Resorts, Inc. (WH) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>
Xcel Energy Inc. (XEL) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>
Yum China Holdings, Inc. (YUMC) [ST]	JT	\$1,001 - \$15,000	None	<input type="checkbox"/>
Yum! Brands, Inc. (YUM) [ST]	JT	\$1,001 - \$15,000	None	<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?
3M Company (MMM) [ST]	JT	05/24/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
AIA Group, Ltd. Sponsored American Depositary Receipt (AAGIY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Airbus Group Un-sponsored ADR (EADSY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Alibaba Group Holding Limited American Depositary Shares each representing eight Ordinary share (BABA) [ST]	JT	05/29/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Alphabet Inc. - Class A (GOOGL) [ST]	JT	05/29/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Alphabet Inc. - Class C Capital Stock (GOOG) [ST]	JT	05/29/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Amazon.com, Inc. (AMZN) [ST]	JT	05/29/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
			(partial)		
Aon plc Class A Ordinary Shares (AON) [ST]	JT	02/19/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Asahi Kaisai Corporation American Depositary Shares (AHKSY) [ST]	JT	03/28/2019	P	\$1,001 - \$15,000	
Asahi Kaisai Corporation American Depositary Shares (AHKSY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
ASML Holding N.V. - New York Registry Shares (ASML) [ST]	JT	05/28/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Assa Abloy AB Unsponsored ADR (ASAZY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Associated British Foods Plc American Depositary Shares (ASBFY) [ST]	JT	01/17/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Astrazeneca PLC (AZN) [ST]	JT	05/28/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
BeiGene, Ltd. - American Depositary Shares (BGNE) [ST]	JT	02/19/2019	P	\$1,001 - \$15,000	
BeiGene, Ltd. - American Depositary Shares (BGNE) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
BlackRock, Inc. (BLK) [ST]	JT	12/16/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
BNP Paribas American Depositary Shares (BNPQY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Brenntag AG, Muehleim/Ruhr Unsponsored American Depositary Receipt (BNTGY) [ST]	JT	01/17/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Bristol-Myers Squibb Company (BMY) [ST]	JT	07/25/2019	P	\$1,001 - \$15,000	
Bristol-Myers Squibb Company (BMY) [ST]	JT	12/16/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Canadian National Railway Company (CNI) [ST]	JT	05/28/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Carlsberg AS Sponsored ADR Representing Class B Shares	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
(CABGY) [ST]					
Chevron Corporation (CVX) [ST]	JT	04/12/2019	P	\$1,001 - \$15,000	
Colgate-Palmolive Company (CL) [ST]	JT	12/10/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
CVS Health Corporation (CVS) [ST]	JT	03/28/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
CVS Health Corporation (CVS) [ST]	JT	11/18/2019	P	\$1,001 - \$15,000	
Danone Sponsored ADR (DANOY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Dbx Group Holdings Ltd Ord American Depositary Shares (DBSDY) [ST]	JT	01/17/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Deutsche Boerse Ag Unsponsored ADR (DBOEY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Diageo plc (DEO) [ST]	JT	05/28/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DNB ASA SPONSORED ADR Representing 10 (DNHBY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DSV A/S Unsponsored ADR (DSDVY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
DuPont de Nemours, Inc. (DD) [ST]	JT	12/16/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Edison International (EIX) [ST]	JT	07/31/2019	P	\$1,001 - \$15,000	
Eli Lilly and Company (LLY) [ST]	JT	04/18/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Enbridge Inc (ENB) [ST]	JT	01/16/2019	P	\$1,001 - \$15,000	
Enbridge Inc (ENB) [ST]	JT	02/19/2019	P	\$1,001 - \$15,000	
Enbridge Inc (ENB) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Enel Societa Per Azioni Unsponsored ADR (ENLAY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Essilor International SA ADR (ESLOY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Exxon Mobil Corporation (XOM) [ST]	JT	03/7/2019	P	\$1,001 - \$15,000	
Exxon Mobil Corporation (XOM) [ST]	JT	06/17/2019	P	\$1,001 - \$15,000	
Exxon Mobil Corporation (XOM) [ST]	JT	12/16/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Facebook, Inc. - Class A (FB) [ST]	JT	05/29/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Fidelity 529 1 ⇒ Fidelity Advisor 529 Diversified Intl A [MF]	DC	06/3/2019	P	\$15,001 - \$50,000	
Fidelity 529 1 ⇒ Fidelity Advisor 529 Dividend & Income A [MF]	DC	06/3/2019	P	\$15,001 - \$50,000	
Fidelity 529 1 ⇒ Fidelity Advisor 529 New Insights [MF]	DC	06/3/2019	P	\$15,001 - \$50,000	
Fidelity 529 2 ⇒ Fidelity Advisor 529 Diversified Intl A [MF]	DC	06/3/2019	P	\$15,001 - \$50,000	
Fidelity 529 2 ⇒ Fidelity Advisor 529 Dividend & Income A [MF]	DC	06/3/2019	P	\$15,001 - \$50,000	
Fidelity 529 2 ⇒ Fidelity Advisor 529 New Insights [MF]	DC	06/3/2019	P	\$15,001 - \$50,000	
Fidelity 529 3 ⇒ Fidelity Advisor 529 Diversified Intl A [MF]	DC	06/3/2019	P	\$1,001 - \$15,000	
Fidelity 529 3 ⇒ Fidelity Advisor 529 Dividend & Income A [MF]	DC	06/3/2019	P	\$1,001 - \$15,000	
Fidelity 529 3 ⇒ Fidelity Advisor 529 New Insights [MF]	DC	06/3/2019	P	\$15,001 - \$50,000	
Fidelity 529 4 ⇒ Fidelity Advisor 529 Diversified Intl A [MF]	DC	06/3/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Fidelity 529 4 ⇒ Fidelity Advisor 529 Dividend & Income A [MF]	DC	06/3/2019	P	\$1,001 - \$15,000	
Fidelity 529 4 ⇒ Fidelity Advisor 529 New Insights [MF]	DC	06/3/2019	P	\$1,001 - \$15,000	
General Dynamics Corporation (GD) [ST]	JT	12/16/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
General Dynamics Corporation (GD) [ST]	JT	12/16/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Genmab A/S American Depositary Shares (GMXAY) [ST]	JT	01/17/2019	P	\$1,001 - \$15,000	
Genmab A/S American Depositary Shares (GMXAY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Gilead Sciences, Inc. (GILD) [ST]	JT	04/18/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Gilead Sciences, Inc. (GILD) [ST]	JT	12/16/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Givaudan SA Un-sponsored ADR (GVDNY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
HDFC Bank Limited (HDB) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Hermes Intl S A Un-sponsored ADR (HESAY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Hong Kong Exchanges & Clearing Ltd Un-sponsored ADR (HKXCY) [ST]	JT	01/17/2019	P	\$1,001 - \$15,000	
Hong Kong Exchanges & Clearing Ltd Un-sponsored ADR (HKXCY) [ST]	JT	03/28/2019	P	\$1,001 - \$15,000	
Hong Kong Exchanges & Clearing Ltd Un-sponsored ADR (HKXCY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Hoya Corp Sponsored ADR (HOCPY) [ST]	JT	03/28/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Hoya Corp Sponsored ADR (HOCPY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Huazhu Group Limited - American Depositary Shares, each representing one Ordinary Share (HTHT) [ST]	JT	02/19/2019	P	\$1,001 - \$15,000	
Iberdrola Sa Sponsored ADR (IBDRY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Imperial Brands PLC (IMBBY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Intercontinental Hotels Group American Depositary Shares (IHG) [ST]	JT	05/28/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
iShares Core MSCI EAFE ETF (IEFA) [ST]	JT	05/28/2019	P	\$100,001 - \$250,000	
iShares Core MSCI EAFE ETF (IEFA) [ST]	JT	05/30/2019	P	\$1,001 - \$15,000	
iShares Core MSCI EAFE ETF (IEFA) [ST]	JT	06/24/2019	P	\$1,001 - \$15,000	
iShares Core MSCI EAFE ETF (IEFA) [ST]	JT	10/31/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
iShares Core MSCI EAFE ETF (IEFA) [ST]	JT	12/23/2019	P	\$1,001 - \$15,000	
iShares Russell 1000 Value ETF (IWD) [ST]	JT	12/16/2019	P	\$1,001 - \$15,000	
Jardine Matheson Holdings Ltd Unsponsored ADR (JMHLY) [ST]	JT	03/28/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Jardine Matheson Holdings Ltd Unsponsored ADR (JMHLY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Johnson & Johnson (JNJ) [ST]	JT	11/18/2019	P	\$1,001 - \$15,000	
KBC Group NV Unsponsored ADR (KBCSY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Kering Unsponsored ADR (PPRUY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Keyence Corp Ordinary Shares (KYCCF) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Koninklijke Philips N.V. NY Registry Shares (PHG) [ST]	JT	03/28/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Koninklijke Philips N.V. NY Registry Shares (PHG) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Kose Corp (KOSCF) [ST]	JT	03/28/2019	P	\$1,001 - \$15,000	
Kose Corp (KOSCF) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Lloyds Banking Group Plc American Depositary Shares (LYG) [ST]	JT	04/12/2019	P	\$1,001 - \$15,000	
Lloyds Banking Group Plc American Depositary Shares (LYG) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
London Stock Exchange Group plc Ordinary Shares (LDNXF) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
L'Oreal Co. American Depositary Shares (LRLCY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
LVMH Moet Hennessy Louis Vuitton Un-sponsored American Depositary Receipt (LVMUY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
M&T Bank Corporation (MTB) [ST]	JT	12/16/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
MercadoLibre, Inc. (MELI) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Merck & Company, Inc. Common Stock (MRK) [ST]	JT	04/18/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Murata Manufacturing Co Ltd Un-sponsored ADR (MRAAY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Naspers Limited N Shs Sponsored American Depositary Receipt Representing Class N Shares (NPSNY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Nestle SA Sponsored ADR representing Registered Shares Series B (NSRGY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Nidec Corporation (NJ) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Novartis AG (NVS) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Novo Nordisk A/S (NVO) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
NTT DOCOMO, Inc American Depositary Shares (DCM) [ST]	JT	04/10/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
NVIDIA Corporation (NVDA) [ST]	JT	01/11/2019	P	\$1,001 - \$15,000	
NVIDIA Corporation (NVDA) [ST]	JT	01/14/2019	P	\$1,001 - \$15,000	
NVIDIA Corporation (NVDA) [ST]	JT	01/15/2019	P	\$1,001 - \$15,000	
Occidental Petroleum Corporation (OXY) [ST]	JT	05/24/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Pernod Ricard SA Unsponsored ADR (PDRDY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Pfizer, Inc. (PFE) [ST]	JT	08/2/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Pfizer, Inc. (PFE) [ST]	JT	12/16/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Philip Morris International Inc (PM) [ST]	JT	12/16/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Financial, Inc. (PRU) [ST]	JT	12/16/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Prudential Public Limited Company (PUK) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Reckitt Benckiser Plc Sponsored ADR (RBGLY) [ST]	JT	01/17/2019	P	\$1,001 - \$15,000	
Reckitt Benckiser Plc Sponsored ADR (RBGLY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Regeneron Pharmaceuticals, Inc. (REGN) [ST]	JT	12/10/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
RELX PLC PLC American Depositary Shares (RELX) [ST]	JT	01/17/2019	P	\$1,001 - \$15,000	
RELX PLC PLC American Depositary Shares (RELX) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Rio Tinto Plc (RIO) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Roche Holdings AG Basel American Depositary Shares (RHHBY) [ST]	JT	09/26/2019	P	\$1,001 - \$15,000	
Roche Holdings AG Basel American Depositary Shares (RHHBY) [ST]	JT	10/1/2019	P	\$1,001 - \$15,000	
Roche Holdings AG Basel American Depositary Shares (RHHBY) [ST]	JT	10/2/2019	P	\$1,001 - \$15,000	
Roche Holdings AG Basel American Depositary Shares (RHHBY) [ST]	JT	12/30/2019	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ iShares Core MSCI EAFE ETF (IEFA) [ST]	SP	03/12/2020	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ iShares Core MSCI EAFE ETF (IEFA) [ST]	SP	03/12/2019	S (partial)	\$50,001 - \$100,000	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ iShares Core MSCI EAFE ETF (IEFA) [ST]	SP	10/3/2019	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]	SP	10/3/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 90127 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]	SP	03/12/2019	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ iShares Inc iShares MSCI Brazil ETF (EWZ) [ST]	SP	10/3/2019	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ iShares MSCI China ETF (MCHI) [ST]	SP	03/12/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 90127 ⇒ iShares MSCI China ETF (MCHI) [ST]	SP	06/17/2019	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ iShares MSCI China ETF (MCHI) [ST]	SP	10/3/2019	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ iShares MSCI EAFE ETF (EFA) [ST]	SP	10/3/2019	S (partial)	\$15,001 - \$50,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Rollover IRA 90127 ⇒ iShares MSCI EAFE ETF (EFA) [ST]	SP	03/12/2019	P	\$50,001 - \$100,000	
Rollover IRA 90127 ⇒ iShares MSCI Japan Index Fund (EWJ) [ST]	SP	06/17/2019	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ iShares Russell Midcap Growth ETF (IWP) [ST]	SP	03/12/2019	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ iShares Russell Midcap Growth ETF (IWP) [ST]	SP	10/3/2019	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ iShares Russell Mid-cap Value ETF (IWS) [ST]	SP	03/12/2019	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ iShares Russell Mid-cap Value ETF (IWS) [ST]	SP	06/17/2019	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ iShares Russell Mid-cap Value ETF (IWS) [ST]	SP	10/3/2019	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ Schwab U.S. Broad Market ETF (SCHB) [ST]	SP	03/12/2019	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ Schwab U.S. Broad Market ETF (SCHB) [ST]	SP	06/17/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Consumer Discretionary (XLY) [ST]	SP	10/3/2019	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Consumer Staples (XLP) [ST]	SP	10/3/2019	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Financial (XLF) [ST]	SP	10/3/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Technology (XLK) [ST]	SP	03/12/2019	P	\$1,001 - \$15,000	
Rollover IRA 90127 ⇒ The Communication Services Select Sector SPDR Fund (XLC) [ST]	SP	06/17/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Rollover IRA 90127 ⇒ Vanguard Growth ETF (VUG) [ST]	SP	03/12/2019	P	\$15,001 - \$50,000	
Rollover IRA 90127 ⇒ Vanguard Growth ETF (VUG) [ST]	SP	10/3/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Rollover IRA 90127 ⇒ Vanguard Large-Cap ETF (VV) [ST]	SP	03/12/2019	S	\$50,001 - \$100,000	<input type="checkbox"/>
Rollover IRA 90127 ⇒ Vanguard Mid-Cap ETF (VO) [ST]	SP	03/12/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 90127 ⇒ Vanguard Total World Stock Index ETF (VT) [ST]	SP	03/12/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 90127 ⇒ Vanguard Value ETF (VTV) [ST]	SP	03/12/2019	P	\$15,001 - \$50,000	
Rollover IRA 90127 ⇒ Vanguard Value ETF (VTV) [ST]	SP	10/3/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 95031 ⇒ iShares Core MSCI EAFE ETF (IEFA) [ST]		03/12/2019	S (partial)	\$15,001 - \$50,000	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ iShares Core MSCI EAFE ETF (IEFA) [ST]		10/3/2019	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]		03/12/2019	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [ST]		10/3/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 95031 ⇒ iShares Inc iShares MSCI Brazil ETF (EWZ) [ST]		10/3/2019	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ iShares MSCI EAFE ETF (EFA) [ST]		03/12/2019	P	\$15,001 - \$50,000	
Rollover IRA 95031 ⇒ iShares MSCI EAFE ETF (EFA) [ST]		10/2/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 95031 ⇒ iShares MSCI Japan Index Fund (EWJ) [ST]		06/17/2019	P	\$1,001 - \$15,000	



Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Rollover IRA 95031 ⇒ iShares Russell Midcap Growth ETF (IWP) [ST]		03/12/2019	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ iShares Russell Midcap Growth ETF (IWP) [ST]		10/3/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 95031 ⇒ iShares Russell Mid-cap Value ETF (IWS) [ST]		03/12/2019	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ iShares Russell Mid-cap Value ETF (IWS) [ST]		10/3/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 95031 ⇒ Schwab U.S. Broad Market ETF (SCHB) [ST]		03/12/2019	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ Schwab U.S. Broad Market ETF (SCHB) [ST]		06/17/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 95031 ⇒ SPDR Select Sector Fund - Consumer Discretionary (XLY) [ST]		10/3/2019	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ SPDR Select Sector Fund - Consumer Staples (XLP) [ST]		10/3/2019	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ SPDR Select Sector Fund - Financial (XLF) [ST]		10/3/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 95031 ⇒ SPDR Select Sector Fund - Technology (XLK) [ST]		03/12/2019	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ SPDR Select Sector Fund - Technology (XLK) [ST]		06/17/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Rollover IRA 95031 ⇒ The Communication Services Select Sector SPDR Fund (XLC) [ST]		06/17/2019	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ Vanguard Growth ETF (VUG) [ST]		03/12/2019	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ Vanguard Growth ETF (VUG) [ST]		10/3/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Rollover IRA 95031 ⇒ Vanguard Large-Cap ETF (VV) [ST]		03/12/2019	S	\$15,001 - \$50,000	<input type="checkbox"/>
Rollover IRA 95031 ⇒ Vanguard Mid-Cap ETF (VO) [ST]		03/12/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 95031 ⇒ Vanguard Total World Stock Index ETF (VT) [ST]		03/12/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Rollover IRA 95031 ⇒ Vanguard Value ETF (VTV) [ST]		03/12/2019	P	\$1,001 - \$15,000	
Rollover IRA 95031 ⇒ Vanguard Value ETF (VTV) [ST]		10/3/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Royal Dutch Shell PLC Royal Dutch Shell PLC American Depositary Shares (RDS.B) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Royal KPN N.V. (KKPNY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Safran S.A. Unsponsored ADR (SAFRY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Sampo OYJ Unsponsored ADR representing A shares (SAXPY) [ST]	JT	02/19/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Sampo OYJ Unsponsored ADR representing A shares (SAXPY) [ST]	JT	03/28/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Sampo OYJ Unsponsored ADR representing A shares (SAXPY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
SAP SE ADS (SAP) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Schlumberger N.V. (SLB) [ST]	JT	12/10/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
SEI Investments Company (SEIC) [ST]	JT	12/10/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Shin-Etsu Chemical Co Ltd Unsponsored ADR (SHECY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Smc Cp Ordinary Shares (SMECF) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Societe Generale France Sponsored ADR (SCGLY) [ST]	JT	01/17/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Softbank Corp Unsponsored ADR (SFTBY) [ST]	JT	04/10/2019	P	\$1,001 - \$15,000	
Softbank Corp Unsponsored ADR (SFTBY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Sonova Holding AG Unsponsored ADR (SONVY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
SPDR S&P 500 (SPY) [ST]	JT	03/7/2019	P	\$100,001 - \$250,000	
SPDR S&P 500 (SPY) [ST]	JT	12/16/2019	P	\$1,001 - \$15,000	
Svenska Handelsbanken Unsponsored ADR representing A Shares (SVNLY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Taiwan Semiconductor Manufacturing Company Ltd. (TSM) [ST]	JT	03/27/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Taiwan Semiconductor Manufacturing Company Ltd. (TSM) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Target Corporation (TGT) [ST]	JT	02/28/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
Tencent Holdings Limited Unsponsored ADR Representing B Shares (TCEHY) [ST]	JT	03/27/2019	P	\$1,001 - \$15,000	
Tiffany & Co. (TIF) [ST]	JT	11/25/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Total SE (TOT) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
UBS Group AG Registered Ordinary Shares (UBS) [ST]	JT	03/7/2019	S	\$250,001 - \$500,000	<input type="checkbox"/>
Unicharm Corp Sponsored ADR (UNICY) [ST]	JT	04/10/2019	P	\$1,001 - \$15,000	

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Unicharm Corp Sponsored ADR (UNICY) [ST]	JT	05/28/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
United Parcel Service, Inc. (UPS) [ST]	JT	01/15/2019	S (partial)	\$1,001 - \$15,000	<input type="checkbox"/>
United Technologies Corporation (UTX) [ST]	JT	08/7/2019	P	\$1,001 - \$15,000	
United Technologies Corporation (UTX) [ST]	JT	08/29/2019	P	\$1,001 - \$15,000	
Valero Energy Corporation (VLO) [ST]	JT	08/13/2019	P	\$1,001 - \$15,000	
Vanguard Growth ETF (VUG) [ST]	JT	12/10/2019	P	\$15,001 - \$50,000	
Ventas, Inc. (VTR) [ST]	JT	12/16/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Visa Inc. (V) [ST]	JT	05/29/2019	S (partial)	\$1,001 - \$15,000	<input checked="" type="checkbox"/>
Vornado Realty Trust (VNO) [ST]	JT	12/16/2019	S	\$1,001 - \$15,000	<input type="checkbox"/>
Wynn Macau Limited Un-sponsored ADR (WYNMY) [ST]	JT	05/28/2019	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
UBS Securities LLC	Spouse Salary	N/A

## SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	PennyMac	March 2012	Primary Home Mortgage	\$1,000,001 - \$5,000,000
JT	UBS Bank USA	September 2016	Vacation Home Mortgage	\$250,001 - \$500,000
JT	USAA Federal Savings Bank	December 2019	Credit Card Debt	\$15,001 - \$50,000

SCHEDULE E: POSITIONS

None disclosed.

SCHEDULE F: AGREEMENTS

None disclosed.

SCHEDULE G: GIFTS

None disclosed.

SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

Trip Details					Inclusions		
Source	Start Date	End Date	Itinerary	Days at Own Exp.	Lodging?	Food?	Family?
American Israel Education Foundation	11/2/2019	11/7/2019	Newark - Israel - Newark	0	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

SCHEDULE A AND B ASSET CLASS DETAILS

<ul style="list-style-type: none"><li>Fidelity 529 1 (Owner: DC) LOCATION: NJ</li><li>Fidelity 529 2 (Owner: DC) LOCATION: NJ</li><li>Fidelity 529 3 (Owner: DC) LOCATION: NJ</li><li>Fidelity 529 4 (Owner: DC) LOCATION: NJ</li><li>NY Saves 529 1 (Owner: DC) LOCATION: NY</li><li>NY Saves 529 2 (Owner: DC) LOCATION: NY</li><li>Rollover IRA 90127 (Owner: SP)</li><li>Rollover IRA 95031</li></ul>
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EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

## **CERTIFICATION AND SIGNATURE**

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

**Digitally Signed:** Hon. Mikie Sherrill , 08/13/2020