



Filing ID #10052711

# 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:** 2022  
**Filing Date:** 05/15/2023

## SCHEDULE A: ASSETS AND "UNEARNED" INCOME

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Brokerage 90126 ⇒ iShares Core High Dividend ETF (HDV) [EF]	JT	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
Brokerage 90126 ⇒ iShares Core S&P 500 ETF (IVV) [EF]	JT	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Brokerage 90126 ⇒ iShares MSCI ACWI ex US Index Fund (ACWX) [EF]	JT	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Brokerage 90126 ⇒ iShares MSCI EAFE ETF (EFA) [EF]	JT	\$100,001 - \$250,000	Dividends	\$5,001 - \$15,000	<input type="checkbox"/>
Brokerage 90126 ⇒ iShares Russell 1000 Growth ETF (IWF) [EF]	JT	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Brokerage 90126 ⇒ iShares S&P 500 Growth ETF (IVW) [EF]	JT	\$100,001 - \$250,000	Dividends	\$2,501 - \$5,000	<input type="checkbox"/>
Brokerage 90126 ⇒ SPDR Gold Trust (GLD) [EF]	JT	\$15,001 - \$50,000	None		<input type="checkbox"/>
Brokerage 90126 ⇒ SPDR S&P 500 (SPY) [EF]	JT	\$250,001 - \$500,000	Dividends	\$5,001 - \$15,000	<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Brokerage 90126 ⇒ SPDR Select Sector Fund - Technology (XLK) [EF]	JT	\$100,001 - \$250,000	Dividends	\$1,001 - \$2,500	<input type="checkbox"/>
Brokerage 90126 ⇒ SPDR Select Sector Fund - Utilities (XLU) [EF]	JT	\$50,001 - \$100,000	Dividends	\$1,001 - \$2,500	<input checked="" type="checkbox"/>
Brokerage 90126 ⇒ UBS PRIME RESERVES FUND (UPRXX) [MF]  DESCRIPTION: Money Market Fund	JT	\$250,001 - \$500,000	None		<input type="checkbox"/>
Fidelity 529 1 ⇒ Fidelity Diversified International A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 1 ⇒ Fidelity Diversified International I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 1 ⇒ Fidelity Dividend & Income A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 1 ⇒ Fidelity New Insights A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 1 ⇒ Fidelity New Insights I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 1 ⇒ Fidelity Strategic Dividend & Income I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 2 ⇒ Fidelity Diversified International A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 2 ⇒ Fidelity Diversified International I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 2 ⇒ Fidelity Dividend & Income A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 2 ⇒ Fidelity New Insights A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 2 ⇒ Fidelity New Insights I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Fidelity 529 2 ⇒ Fidelity Strategic Dividend & Income I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 3 ⇒ Fidelity Diversified International A [MF]	DC	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 3 ⇒ Fidelity Diversified International I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 3 ⇒ Fidelity Dividend & Income A [MF]	DC	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 3 ⇒ Fidelity New Insights A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 3 ⇒ Fidelity New Insights I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 3 ⇒ Fidelity Strategic Dividend & Income I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 4 ⇒ Fidelity Diversified International A [MF]	DC	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 4 ⇒ Fidelity Diversified International I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 4 ⇒ Fidelity Dividend & Income A [MF]	DC	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 4 ⇒ Fidelity New Insights A [MF]	DC	\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 4 ⇒ Fidelity New Insights I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Fidelity 529 4 ⇒ Fidelity Strategic Dividend & Income I [MF]	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Mass Mutual ⇒ Mass Mutual Whole Life Legacy 100 [WU]		\$50,001 - \$100,000	None		<input type="checkbox"/>
Mass Mutual ⇒ Mass Mutual Whole Life Legacy 100 [WU]		\$50,001 - \$100,000	None		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Mass Mutual ⇒ Mass Mutual Whole Life Legacy 100 [WU]	SP	\$100,001 - \$250,000	None		<input type="checkbox"/>
Mass Mutual ⇒ Mass Mutual Whole Life Legacy 100 [WU]	SP	\$250,001 - \$500,000	None		<input type="checkbox"/>
NY Saves 529 1 ⇒ NY Saves Conservative Growth Portfolio [MF] DESCRIPTION: previously reported as "NY Saves 529"	DC	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
NY Saves 529 1 ⇒ NY Saves Income Portfolio [MF] DESCRIPTION: previously reported as "NY Saves 529"	DC	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
NY Saves 529 2 ⇒ NY Saves Disciplined Growth Portfolio [MF] DESCRIPTION: previously reported as "NY Saves 529"	DC	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ IRA Cash [BA]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ iShares Core MSCI Europe ETF (IEUR) [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ iShares Core S&P Small-Cap ETF (IJR) [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ iShares MSCI Eurozone ETF (EZU) [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ Ishares MSCI India ETF (INDA) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ iShares MSCI Japan Index Fund (EWJ) [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
iShares MSCI United Kingdom ETF (EWU) [EF]					<input type="checkbox"/>
Rollover IRA 90127 ⇒ JPMorgan BetaBuilders Developed Asia Pacific-ex Japan ETF (BBAX) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ Materials Select Sector SPDR (XLB) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ Real Estate Select Sector SPDR Fund (XLRE) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Consumer Discretionary (XLY) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Consumer Staples (XLP) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Energy Select Sector (XLE) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Financial (XLF) [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Health Care (XLV) [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Industrial (XLI) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ SPDR Select Sector Fund - Utilities (XLU) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ The Communication Services Select Sector SPDR Fund (XLC) [EF]	SP	\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ Vanguard Growth ETF (VUG) [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ Vanguard Information Tech ETF (VGT) [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
Rollover IRA 90127 ⇒ Vanguard Mid-Cap ETF (VO) [EF]	SP	\$50,001 - \$100,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 90127 ⇒ Vanguard Value ETF (VTV) [EF]	SP	\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ IRA Cash [BA]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ iShares Core MSCI EAFE ETF (IEFA) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ iShares Core MSCI Emerging Markets ETF (IEMG) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ iShares Core MSCI Europe ETF (IEUR) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ iShares Core S&P Small-Cap ETF (IJR) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ iShares MSCI Eurozone ETF (EZU) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ Ishares MSCI India ETF (INDA) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ iShares MSCI Japan Index Fund (EWJ) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ iShares MSCI United Kingdom ETF (EWU) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ JPMorgan BetaBuilders Developed Asia Pacific-ex Japan ETF (BBAX) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ Materials Select Sector SPDR (XLB) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ Real Estate Select Sector SPDR Fund (XLRE) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
SPDR Select Sector Fund - Consumer Discretionary (XLY) [EF]					
Rollover IRA 95031 ⇒ SPDR Select Sector Fund - Consumer Staples (XLP) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ SPDR Select Sector Fund - Energy Select Sector (XLE) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ SPDR Select Sector Fund - Financial (XLF) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ SPDR Select Sector Fund - Health Care (XLV) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ SPDR Select Sector Fund - Industrial (XLI) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ SPDR Select Sector Fund - Utilities (XLU) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ The Communication Services Select Sector SPDR Fund (XLC) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ Vanguard Growth ETF (VUG) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ Vanguard Information Tech ETF (VGT) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ Vanguard Mid-Cap ETF (VO) [EF]		\$15,001 - \$50,000	Tax-Deferred		<input type="checkbox"/>
Rollover IRA 95031 ⇒ Vanguard Value ETF (VTV) [EF]		\$1,001 - \$15,000	Tax-Deferred		<input type="checkbox"/>
Townhouse [RP]	JT	\$1,000,001 - \$5,000,000	Rent	\$15,001 - \$50,000	<input type="checkbox"/>
LOCATION: Washington, DC, US DESCRIPTION: Residential rental property in Washington, DC					
UBS 401K ⇒ Vanguard Target Retirement 2035 [MF]	SP	\$250,001 - \$500,000	Tax-Deferred		<input checked="" type="checkbox"/>

Asset	Owner	Value of Asset	Income Type(s)	Income	Tx. > \$1,000?
USAA - Checking [BA]	JT	\$50,001 - \$100,000	None		<input type="checkbox"/>
USAA - Savings [BA]	JT	\$100,001 - \$250,000	Interest	\$201 - \$1,000	<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 B: TRANSACTIONS

Asset	Owner	Date	Tx. Type	Amount	Cap. Gains > \$200?
Brokerage 90126 ⇒ SPDR S&P 500 (SPY) [ST]	JT	02/23/2022	P	\$15,001 - \$50,000	
Brokerage 90126 ⇒ SPDR S&P 500 (SPY) [ST]	JT	05/3/2022	P	\$50,001 - \$100,000	
Brokerage 90126 ⇒ SPDR S&P 500 (SPY) [ST]	JT	05/10/2022	P	\$50,001 - \$100,000	
Brokerage 90126 ⇒ SPDR S&P 500 (SPY) [ST]	JT	05/20/2022	P	\$15,001 - \$50,000	
Brokerage 90126 ⇒ SPDR Select Sector Fund - Utilities (XLU) [ST]	JT	05/3/2022	P	\$50,001 - \$100,000	
Brokerage 90126 ⇒ SPDR Select Sector Fund - Utilities (XLU) [ST]	JT	05/20/2022	P	\$15,001 - \$50,000	
Brokerage 90126 ⇒ UBS Group AG Registered Ordinary Shares (UBS) [ST]	JT	03/9/2022	S (partial)	\$100,001 - \$250,000	<input type="checkbox"/>
Brokerage 90126 ⇒ UBS Group AG Registered Ordinary Shares (UBS) [ST]	JT	05/23/2022	S	\$100,001 - \$250,000	<input type="checkbox"/>
UBS 401K ⇒ Vanguard Target Retirement 2035 [MF]	SP	02/23/2022	P	\$15,001 - \$50,000	
UBS 401K ⇒ Vanguard Target Retirement 2035 [MF]	SP	02/24/2022	P	\$1,001 - \$15,000	



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

## SCHEDULE C: EARNED INCOME

Source	Type	Amount
UBS Securities LLC	Salary	N/A

## SCHEDULE D: LIABILITIES

Owner	Creditor	Date Incurred	Type	Amount of Liability
JT	UBS	April 2021	Residential Mortgage	\$1,000,001 - \$5,000,000
SP	UBS	September 2016	Residential Mortgage	\$250,001 - \$500,000
SP	UBS	May 2021	Residential Mortgage	\$1,000,001 - \$5,000,000

## SCHEDULE E: POSITIONS

None disclosed.

## SCHEDULE F: AGREEMENTS

None disclosed.

## SCHEDULE G: GIFTS

None disclosed.

## SCHEDULE H: TRAVEL PAYMENTS AND REIMBURSEMENTS

None disclosed.

## SCHEDULE I: PAYMENTS MADE TO CHARITY IN LIEU OF HONORARIA

None disclosed.

## SCHEDULE A AND B ASSET CLASS DETAILS

- Brokerage 90126 (Owner: JT)  
LOCATION: US
- Fidelity 529 1 (Owner: DC)  
LOCATION: NJ
- Fidelity 529 2 (Owner: DC)  
LOCATION: NJ

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

## EXCLUSIONS OF SPOUSE, DEPENDENT, OR TRUST INFORMATION

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

☐ Yes ☒ No

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

☐ Yes ☒ No

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

☐ Yes ☒ No

## CERTIFICATION AND SIGNATURE

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

**Digitally Signed:** Hon. Mikie Sherrill , 05/15/2023