

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

Report Required by the Ethics  
in Government Act of 1978  
(5 U.S.C. app. §§ 101-111)

|                                                                                                                                                                                            |                                                                                                                                                                                                                                        |                                                                  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|
| <b>1. Person Reporting (last name, first, middle initial)</b><br><br>Whipple, Mary Ann                                                                                                     | <b>2. Court or Organization</b><br><br>U.S. Bankruptcy Court, N.D. OH                                                                                                                                                                  | <b>3. Date of Report</b><br><br>05/14/2020                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>U.S. Bankruptcy Judge                                          | <b>5a. Report Type (check appropriate type)</b><br><br><input type="checkbox"/> Nomination <input type="checkbox"/> Date<br><input type="checkbox"/> Initial <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final | <b>6. Reporting Period</b><br><br>01/01/2019<br>to<br>12/31/2019 |
|                                                                                                                                                                                            | <b>5b.</b> <input type="checkbox"/> Amended Report                                                                                                                                                                                     |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>James M. Ashley and Thomas W.L. Ashley United States Courthouse<br>1716 Spielbusch Avenue, Room 111<br>Toledo, OH 43604                        |                                                                                                                                                                                                                                        |                                                                  |
| <b>IMPORTANT NOTES:</b> <i>The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</i> |                                                                                                                                                                                                                                        |                                                                  |

## I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions )

☐ NONE (No reportable positions.)

| <u>POSITION</u>              | <u>NAME OF ORGANIZATION/ENTITY</u>                          |
|------------------------------|-------------------------------------------------------------|
| 1. Custodian                 | Uniform Gift to Minors Act [See Note in Part VIII]          |
| 2. Trustee                   | Trust #1 [See Note in Part VIII]                            |
| 3. Executive Board Secretary | University of Michigan Club of Toledo                       |
| 4. Trustee                   | Trust # 2 [See Note in Part VIII]                           |
| 5. Agent                     | Power of Attorney for family member [See Note in Part VIII] |
| 6. Executor                  | Estate No. 1 [See Note in Part VIII]                        |
| 7. Executor                  | Estate No. 2 [See note in Part VIII]                        |
| 8. Trustee                   | Trust # 3 [See note in Part VIII]                           |

## II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions )

☐ NONE (No reportable agreements.)

| <u>DATE</u> | <u>PARTIES AND TERMS</u>                                                 |
|-------------|--------------------------------------------------------------------------|
| 1. 1991     | State Teachers Retirement System (Ohio); interest in public pension plan |
| 2.          |                                                                          |
| 3.          |                                                                          |

**FINANCIAL DISCLOSURE REPORT**

Page 2 of 21

Name of Person Reporting

Whipple, Mary Ann

Date of Report

05/14/2020

**III. NON-INVESTMENT INCOME.** *(Reporting individual and spouse; see pp. 17-24 of filing instructions)***A. Filer's Non-Investment Income**NONE *(No reportable non-investment income.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u> | <u>INCOME</u><br>(yours, not spouse's) |
|-------------|------------------------|----------------------------------------|
| 1.          |                        |                                        |
| 2.          |                        |                                        |
| 3.          |                        |                                        |
| 4.          |                        |                                        |

**B. Spouse's Non-Investment Income -** *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*NONE *(No reportable non-investment income.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u> |
|-------------|------------------------|
| 1.          |                        |
| 2.          |                        |
| 3.          |                        |
| 4.          |                        |

**IV. REIMBURSEMENTS** -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*NONE *(No reportable reimbursements.)*

|    | <u>SOURCE</u>                                         | <u>DATES</u>             | <u>LOCATION</u>             | <u>PURPOSE</u>     | <u>ITEMS PAID OR PROVIDED</u>                                                |
|----|-------------------------------------------------------|--------------------------|-----------------------------|--------------------|------------------------------------------------------------------------------|
| 1. | American Bankruptcy Institute                         | 02/18/2019               | Detroit, MI                 | Moot Court Judge   | transportation, parking and meal                                             |
| 2. | American Bankruptcy Institute                         | 06/13/2019 to 06/15/2019 | Traverse City, MI           | Workshop Speaker   | workshop registration fee and materials, lodging, transportation and meals   |
| 3. | Federal Bar Association, Western District of Michigan | 07/25/2019 to 07/27/2019 | Crystal Mountain Resort, MI | Seminar speaker    | seminar registration fee and materials, lodging, transportation and meals    |
| 4. | American Bankruptcy Institute                         | 11/11/2019               | Troy, MI                    | Conference speaker | transportation, lodging, conference registration fee and materials and meals |
| 5. |                                                       |                          |                             |                    |                                                                              |

|                          |                |
|--------------------------|----------------|
| Name of Person Reporting | Date of Report |
| Whipple, Mary Ann        | 05/14/2020     |

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

| SOURCE | DESCRIPTION | VALUE |
|--------|-------------|-------|
| 1.     |             |       |
| 2.     |             |       |
| 3.     |             |       |
| 4.     |             |       |
| 5.     |             |       |

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

| CREDITOR | DESCRIPTION | VALUE CODE |
|----------|-------------|------------|
| 1.       |             |            |
| 2.       |             |            |
| 3.       |             |            |
| 4.       |             |            |
| 5.       |             |            |

# FINANCIAL DISCLOSURE REPORT

Page 4 of 21

Name of Person Reporting

Whipple, Mary Ann

Date of Report

05/14/2020

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. Huntington National Bank(IRA)(CD)(cash accounts)                                                                        | B                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         | See Note in Part VIII                                      |
| 2. Merrill Lynch Ready Assets                                                                                              | A                                      | Int./Div.                              | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 3. Blackrock Mid Cap Growth Equity Portfolio Class A (BMGAX)                                                               | A                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 4. AB Sustainable Int'l Thematic Fund Class A (AWPAX)                                                                      | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 5. Nuveen Enhanced AMT-Free Municipal Credit Opportunity Fund (NVG)                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 6. Blackrock Balanced Capital Fund Class A (MDCPX)                                                                         | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 7. MFS Municipal Income Fund A (MFIAX)                                                                                     | A                                      | Int./Div.                              | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 8. MFS Global Total Return Fund A (MFWTX)                                                                                  | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 9. MainStay Large Cap Growth Fund Class A (MLAAX)                                                                          | D                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 10. MainStay Mackay Common Stock Fund Class A (MSOAX)                                                                      | C                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 11. MainStay Epoch US EquityYield Fund Class A (EPLPX)                                                                     | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 12. MainStayMackay Growth Fund Class A (IRA) (KLGAX)                                                                       | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         | See Note in Part VIII                                      |
| 13. Investment Company of America-A Fund Number 4 (AIVSX)                                                                  | D                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 14. Franklin Equity Income Fund-Class A(FISEX)                                                                             | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 15. UBS Pace Large Company Value Equity Fund Class A (PCPAX)                                                               | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 16. UBS Bank USA (cash account)                                                                                            | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 17. UBS Pace Global Fixed Income Fund Class A (PWFAX)                                                                      | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

Page 5 of 21

Name of Person Reporting

Whipple, Mary Ann

Date of Report

05/14/2020

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 18. UBS U.S. Allocation Fund Class A (PWTAX)                                                                               | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 19. Columbus Life Ins. Co. Fixed Annuity                                                                                   | C                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 20. Vanguard Windsor II Fund (UGMA)                                                                                        | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         | See Note in Part VIII                                      |
| 21. Washington Federal Seattle Wash (CD) (UGMA)                                                                            | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         | See Note in Part VIII                                      |
| 22. U.S. Savings Bonds                                                                                                     |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 23. STRS (Ohio) Money Market Account (Ohio public pension)                                                                 | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 24. STRS (Ohio) Russell 1000 Index Fund (Ohio public pension)                                                              |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 25. PNC Bank (cash accounts)                                                                                               | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         | See Note in Part VIII                                      |
| 26. Northwestern Mutual Extra Ordinary Life Policy                                                                         | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 27. Northwestern Mutual 65 Life Policy                                                                                     | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 28. New York Life Whole Life Policy                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 29. New York Life Paid-up at 85                                                                                            | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 30. Washington Federal Seattle Wash (cash account)(CD)                                                                     | A                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 31. The Trust Company of Toledo, N.A.(IRA Rollover) (H)                                                                    |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 32. --Vanguard Institutional Index Fund (IRA)                                                                              | D                                      | Dividend                               | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 33. --MFS Int'l New Discovery-1 Fund (IRA)                                                                                 | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 34. --Vanguard Short Term Federal Bond Fund (IRA)                                                                          | B                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

Page 6 of 21

Name of Person Reporting

Whipple, Mary Ann

Date of Report

05/14/2020

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. --Northern Institutional Prime Obligations Portfolio (IRA)                                                             | B                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 36. --Vanguard Intermediate Term Bond Index (IRA)                                                                          | C                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 37. --Harbor International Fund (IRA)                                                                                      | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 38. --Harbor Bond Fund (IRA)                                                                                               | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 39. --Fidelity Contrafund (IRA)                                                                                            | D                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 40. --Sterling Capital Stratton Small-Cap Value Fund (IRA)                                                                 | C                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 41. --Dodge & Cox (IRA)                                                                                                    | D                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 42. --Vanguard Dividend Growth-1 (IRA)                                                                                     | D                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 43. --Invesco Int'l Growth (IRA)                                                                                           | C                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 44. Trust #1 (H)                                                                                                           |                                        |                                        |                                                |                                    |                                           |                  |                          |                         | See Note in Part VIII                                      |
| 45. --Massachusetts Mutual Settlement Option Contract Account                                                              | C                                      | Interest                               |                                                |                                    | Closed                                    | 04/18/19         | N                        |                         |                                                            |
| 46. --PNC Bank (cash account)                                                                                              |                                        | None                                   |                                                |                                    | Closed                                    | 11/26/19         | J                        |                         |                                                            |
| 47. --Edward Jones Money Market Fund                                                                                       | A                                      | Dividend                               |                                                |                                    | Distributed                               | 10/25/19         | K                        |                         |                                                            |
| 48. --AT&T Inc (T)                                                                                                         | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 05/07/19         | J                        |                         |                                                            |
| 49.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed                               | 10/25/19         | J                        |                         |                                                            |
| 50. --Abbvie Incorporated (ABBV)                                                                                           | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 05/07/19         | J                        |                         |                                                            |
| 51.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed                               | 10/25/19         | J                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

Page 7 of 21

Name of Person Reporting

Whipple, Mary Ann

Date of Report

05/14/2020

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 52. --Blackrock National Municipal Fund Cl K (BNMLX)                                                                       | B                                      | Dividend                                      |                                                |                                           | Buy (add'l)                                     | 05/07/19                | L                               |                                |                                                                   |
| 53.                                                                                                                        |                                        |                                               |                                                |                                           | Distributed                                     | 10/25/19                | L                               |                                |                                                                   |
| 54. --Blackrock Strategic Municipal Opportunities Fund Cl K (MKMTX)                                                        | B                                      | Dividend                                      |                                                |                                           | Buy (add'l)                                     | 05/07/19                | K                               |                                |                                                                   |
| 55.                                                                                                                        |                                        |                                               |                                                |                                           | Distributed                                     | 10/25/19                | L                               |                                |                                                                   |
| 56. --Broadcom Inc (AVGO)                                                                                                  | A                                      | Dividend                                      |                                                |                                           | Buy (add'l)                                     | 05/07/19                | J                               |                                |                                                                   |
| 57.                                                                                                                        |                                        |                                               |                                                |                                           | Distributed                                     | 10/25/19                | J                               |                                |                                                                   |
| 58. --CVS Health Corporation (CVS)                                                                                         | A                                      | Dividend                                      |                                                |                                           | Buy (add'l)                                     | 05/07/19                | J                               |                                |                                                                   |
| 59.                                                                                                                        |                                        |                                               |                                                |                                           | Distributed                                     | 10/25/19                | J                               |                                |                                                                   |
| 60. --Columbia Strategic Municipal Income Fund Cl 13 (CATYX)                                                               | B                                      | Dividend                                      |                                                |                                           | Buy (add'l)                                     | 05/07/19                | K                               |                                |                                                                   |
| 61.                                                                                                                        |                                        |                                               |                                                |                                           | Distributed                                     | 10/25/19                | L                               |                                |                                                                   |
| 62. --Dominion Energy Inc. (D)                                                                                             | A                                      | Dividend                                      |                                                |                                           | Buy (add'l)                                     | 05/07/19                | J                               |                                |                                                                   |
| 63.                                                                                                                        |                                        |                                               |                                                |                                           | Distributed                                     | 10/25/19                | K                               |                                |                                                                   |
| 64. --Enbridge Inc (ENB)                                                                                                   | A                                      | Dividend                                      |                                                |                                           | Buy (add'l)                                     | 05/07/19                | J                               |                                |                                                                   |
| 65.                                                                                                                        |                                        |                                               |                                                |                                           | Distributed                                     | 10/25/19                | J                               |                                |                                                                   |
| 66. --First Trust Capital Strength ETF (FTCS)                                                                              | A                                      | Dividend                                      |                                                |                                           | Buy (add'l)                                     | 05/07/19                | K                               |                                |                                                                   |
| 67.                                                                                                                        |                                        |                                               |                                                |                                           | Distributed                                     | 10/25/19                | L                               |                                |                                                                   |
| 68. --First Trust Value Line Dividend Index Fund (FVD)                                                                     | A                                      | Dividend                                      |                                                |                                           | Buy (add'l)                                     | 05/07/19                | K                               |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

Page 8 of 21

Name of Person Reporting

Whipple, Mary Ann

Date of Report

05/14/2020

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69.                                                                                                                        |                                        |                                               |                                                |                                           | Distributed                                     | 10/25/19                | L                               |                                |                                                                   |
| 70. --General Motors Company (GM)                                                                                          | A                                      | Dividend                                      |                                                |                                           | Buy<br>(add'l)                                  | 05/07/19                | J                               |                                |                                                                   |
| 71.                                                                                                                        |                                        |                                               |                                                |                                           | Distributed                                     | 10/25/19                | J                               |                                |                                                                   |
| 72. --Kraft Heinz Co. (KHC)                                                                                                | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 05/07/19                | J                               |                                |                                                                   |
| 73. --MFS Growth Fund Cl R6 (MFEKX)                                                                                        | A                                      | Dividend                                      |                                                |                                           | Buy<br>(add'l)                                  | 05/07/19                | K                               |                                |                                                                   |
| 74.                                                                                                                        |                                        |                                               |                                                |                                           | Distributed                                     | 10/25/19                | L                               |                                |                                                                   |
| 75. --MFS Int'l Diversification Fund Cl R6<br>(MDIZX)                                                                      |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 05/07/19                | K                               |                                |                                                                   |
| 76.                                                                                                                        |                                        |                                               |                                                |                                           | Distributed                                     | 10/25/19                | M                               |                                |                                                                   |
| 77. --Microsoft Corp (MSFT)                                                                                                | A                                      | Dividend                                      |                                                |                                           | Buy<br>(add'l)                                  | 05/07/19                | J                               |                                |                                                                   |
| 78.                                                                                                                        |                                        |                                               |                                                |                                           | Distributed                                     | 10/25/19                | K                               |                                |                                                                   |
| 79. --Nutrien Limited (NTR)                                                                                                | A                                      | Dividend                                      |                                                |                                           | Buy<br>(add'l)                                  | 05/07/19                | J                               |                                |                                                                   |
| 80.                                                                                                                        |                                        |                                               |                                                |                                           | Distributed                                     | 10/25/19                | J                               |                                |                                                                   |
| 81. --Royal Dutch Shell PLC ADR Repstg A<br>Shares RDS A                                                                   | A                                      | Dividend                                      |                                                |                                           | Buy<br>(add'l)                                  | 05/07/19                | J                               |                                |                                                                   |
| 82.                                                                                                                        |                                        |                                               |                                                |                                           | Distributed                                     | 10/25/19                | J                               |                                |                                                                   |
| 83. --American SMALLCAP World Fund Cl F3<br>(SFCWX)                                                                        |                                        | None                                          |                                                |                                           | Buy<br>(add'l)                                  | 05/07/19                | K                               |                                |                                                                   |
| 84.                                                                                                                        |                                        |                                               |                                                |                                           | Distributed                                     | 10/25/19                | L                               |                                |                                                                   |
| 85. --American Tax-Exempt Bond Fund of<br>America Cl F3 (TFEBX)                                                            | A                                      | Dividend                                      |                                                |                                           | Buy<br>(add'l)                                  | 05/07/19                | K                               |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

Page 9 of 21

Name of Person Reporting

Whipple, Mary Ann

Date of Report

05/14/2020

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 86.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed                               | 10/25/19         | M                        |                         |                                                            |
| 87. --United Parcel Service Inc Cl B (UPS)                                                                                 | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 05/07/19         | J                        |                         |                                                            |
| 88.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed                               | 10/25/19         | J                        |                         |                                                            |
| 89. --Wells Fargo & Co (WFC)                                                                                               | A                                      | Dividend                               |                                                |                                    | Sold                                      | 05/07/19         | J                        |                         |                                                            |
| 90. --Welltower Inc REIT (WELL)                                                                                            | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 05/07/19         | J                        |                         |                                                            |
| 91.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed                               | 10/25/19         | J                        |                         |                                                            |
| 92. --Pepsico, Inc. (PEP)                                                                                                  | A                                      | Dividend                               |                                                |                                    | Buy                                       | 05/07/19         | J                        |                         |                                                            |
| 93.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed                               | 10/25/19         | J                        |                         |                                                            |
| 94. --State Street Corp. (STT)                                                                                             | A                                      | Dividend                               |                                                |                                    | Buy                                       | 05/07/19         | J                        |                         |                                                            |
| 95.                                                                                                                        |                                        |                                        |                                                |                                    | Distributed                               | 10/25/19         | J                        |                         |                                                            |
| 96. The Huntington Investment Co. (H)                                                                                      |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 97. --American Funds: Capital World Growth & Income Fund A (CWGIX)                                                         | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 98. --American Funds: Washington Mutual Investors Fund Class A (AWSHX)                                                     | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 99. --American Funds: High Income Municipal Bond Fund Class A (AMHIX)                                                      | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 100. --American Funds: Tax Exempt Bond Fund of America A (AFTEX)                                                           | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 101. Trust #2 (H)                                                                                                          |                                        |                                        |                                                |                                    |                                           |                  |                          |                         | See Note in Part VIII                                      |
| 102. --Andersons Inc 5,10 & 15 YR Debentures                                                                               | A                                      | Interest                               |                                                |                                    | Redeemed                                  | 11/21/19         | J                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

**FINANCIAL DISCLOSURE REPORT**

Page 10 of 21

Name of Person Reporting

Whipple, Mary Ann

Date of Report

05/14/2020

**VII. INVESTMENTS and TRUSTS** -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103. --Washington Federal Bank (CD)                                                                                        | A                                      | Interest                               |                                                |                                    | Closed                                    | 01/22/19         | L                        |                         |                                                            |
| 104. --Fifth Third Bank (cash accounts)                                                                                    | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 105. --Federated Gov Obl Tax-MNG Auto                                                                                      | A                                      | Interest                               |                                                |                                    | Redeemed                                  | 01/31/19         | K                        |                         |                                                            |
| 106. --GNMA GTD Remic Pass thru Sers<br>2008-36                                                                            | A                                      | Interest                               |                                                |                                    | Distributed                               | 12/23/19         | J                        |                         |                                                            |
| 107. --FNMA GTD Remic Pass Thru TR Remic<br>TR 2007-76 CL-EB                                                               | A                                      | Interest                               |                                                |                                    | Distributed                               | 12/23/19         | J                        |                         |                                                            |
| 108. --Clorox Co (CLX)                                                                                                     | B                                      | Dividend                               |                                                |                                    | Distributed                               | 12/23/19         | K                        |                         |                                                            |
| 109. --Welltower Inc (WELL)                                                                                                | A                                      | Dividend                               |                                                |                                    | Distributed                               | 12/23/19         | K                        |                         |                                                            |
| 110. --Franklin Rising Dividends Fund Class A<br>FRDPX                                                                     | A                                      | Dividend                               |                                                |                                    | Distributed                               | 12/23/19         | K                        |                         |                                                            |
| 111. --Franklin Rising Dividends Fund Class C<br>FRDTX                                                                     | A                                      | Dividend                               |                                                |                                    | Distributed                               | 12/23/19         | M                        |                         |                                                            |
| 112. --PIMCO Income Strategy Fund II PFN                                                                                   | A                                      | Dividend                               |                                                |                                    | Sold                                      | 01/16/19         | M                        |                         |                                                            |
| 113. --VOYA Corporate Leaders 100 Fund Class<br>C ICCLX                                                                    | A                                      | Dividend                               |                                                |                                    | Distributed                               | 12/23/19         | M                        |                         |                                                            |
| 114. --FT Unit 6964 Deep Value Dividend<br>Opportunity Portfolio Series 2                                                  |                                        | None                                   |                                                |                                    | Redeemed                                  | 01/16/19         | L                        |                         |                                                            |
| 115. --FT Unit 7181 Global Bond Income Closed<br>End Portfolio Series 28                                                   | C                                      | Dividend                               |                                                |                                    | Distributed                               | 12/23/19         | L                        |                         |                                                            |
| 116. --Edward Jones Money Market Account                                                                                   | A                                      | Dividend                               |                                                |                                    | Distributed                               | 10/25/19         | K                        |                         |                                                            |
| 117. --Comerica Inc. (CMA)                                                                                                 | A                                      | Dividend                               |                                                |                                    | Distributed                               | 10/25/19         | K                        |                         |                                                            |
| 118. --Invesco High Yield Municipal High<br>Income A (ACTHX)                                                               | A                                      | Dividend                               |                                                |                                    |                                           |                  |                          |                         | See Note in Part VIII                                      |
| 119. --Blackrock National Municipal Fund Cl K                                                                              | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 04/09/19         | J                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

Page 11 of 21

Name of Person Reporting

Whipple, Mary Ann

Date of Report

05/14/2020

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 120.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed                               | 10/25/19         | M                        |                         |                                                            |
| 121. --Blackrock Strategic Municpal Opportunity Fund CL K                                                                  | B                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 04/09/19         | J                        |                         | See Note in Part VIII                                      |
| 122.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed                               | 10/25/19         | M                        |                         |                                                            |
| 123. --Bristol-Meyers Squibb Co. (BMY)                                                                                     | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 04/09/19         | J                        |                         |                                                            |
| 124.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed                               | 10/25/19         | J                        |                         |                                                            |
| 125. --Columbia Strategic Municipal Income Fund CI K (CATYX)                                                               | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 04/09/19         | J                        |                         |                                                            |
| 126.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed                               | 10/25/19         | L                        |                         |                                                            |
| 127. --Walt Disney Co.(DIS)                                                                                                | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 04/09/19         | J                        |                         |                                                            |
| 128.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed                               | 10/25/19         | J                        |                         |                                                            |
| 129. --Fed Ex Corp. (FDX)                                                                                                  | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 04/09/19         | J                        |                         |                                                            |
| 130.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 09/18/19         | J                        |                         |                                                            |
| 131. --First Trust Capital Strength ETF (FTCS)                                                                             | A                                      | Dividend                               |                                                |                                    | Distributed                               | 10/25/19         | L                        |                         |                                                            |
| 132. --First Trust Value Line Dividend Index Fund (FVD)                                                                    | A                                      | Dividend                               |                                                |                                    | Distributed                               | 10/25/19         | L                        |                         |                                                            |
| 133. --Marathon Petroleum Corp. (MPC)                                                                                      | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 04/09/19         | J                        |                         |                                                            |
| 134.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed                               | 10/25/19         | J                        |                         |                                                            |
| 135. --MFS Growth Fund Class R6 (MFEKX)                                                                                    | A                                      | Dividend                               |                                                |                                    | Distributed                               | 10/25/19         | L                        |                         |                                                            |
| 136. --Medtronic PLC (MDT)                                                                                                 | A                                      | Dividend                               |                                                |                                    | Sold<br>(part)                            | 01/11/19         | J                        |                         |                                                            |

|                         |                                 |                            |                               |                                |                        |
|-------------------------|---------------------------------|----------------------------|-------------------------------|--------------------------------|------------------------|
| 1 Income Gain Codes:    | A =\$1,000 or less              | B =\$1,001 - \$2,500       | C =\$2,501 - \$5,000          | D =\$5,001 - \$15,000          | E =\$15,001 - \$50,000 |
| (See Columns B1 and D4) | F =\$50,001 - \$100,000         | G =\$100,001 - \$1,000,000 | H1 =\$1,000,001 - \$5,000,000 | H2 =More than \$5,000,000      |                        |
| 2 Value Codes           | J =\$15,000 or less             | K =\$15,001 - \$50,000     | L =\$50,001 - \$100,000       | M =\$100,001 - \$250,000       |                        |
| (See Columns C1 and D3) | N =\$250,001 - \$500,000        | O =\$500,001 - \$1,000,000 | P1 =\$1,000,001 - \$5,000,000 | P2 =\$5,000,001 - \$25,000,000 |                        |
|                         | P3 =\$25,000,001 - \$50,000,000 |                            | P4 =More than \$50,000,000    |                                |                        |
| 3 Value Method Codes    | Q =Appraisal                    | R =Cost (Real Estate Only) | S =Assessment                 | T =Cash Market                 |                        |
| (See Column C2)         | U =Book Value                   | V =Other                   | W =Estimated                  |                                |                        |

# FINANCIAL DISCLOSURE REPORT

Page 12 of 21

Name of Person Reporting

Whipple, Mary Ann

Date of Report

05/14/2020

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 137.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/09/19         | J                        |                         |                                                            |
| 138.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed                               | 10/25/19         | J                        |                         |                                                            |
| 139. --MFS International Diversification Fund<br>Class R6 (MDIZX)                                                          |                                        | None                                   |                                                |                                    | Distributed                               | 10/25/19         | L                        |                         |                                                            |
| 140. --McDonalds Corp. (MCD)                                                                                               | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 04/09/19         | J                        |                         |                                                            |
| 141.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed                               | 10/25/19         | J                        |                         |                                                            |
| 142. --Microsoft Corp. (MSFT)                                                                                              | A                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 04/09/19         | J                        |                         |                                                            |
| 143.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed                               | 10/25/19         | K                        |                         |                                                            |
| 144. --Procter & Gamble Co. (PG)                                                                                           | A                                      | Dividend                               |                                                |                                    | Distributed                               | 10/25/19         | J                        |                         |                                                            |
| 145. --American SMALLCAP World Fund Class<br>F3 (SFCWX)                                                                    |                                        | None                                   |                                                |                                    | Distributed                               | 10/25/19         | L                        |                         |                                                            |
| 146. --American Tax-Exempt Bond Fund of<br>America Class F3 (TFEBX)                                                        | B                                      | Dividend                               |                                                |                                    | Buy<br>(add'l)                            | 04/09/19         | J                        |                         |                                                            |
| 147.                                                                                                                       |                                        |                                        |                                                |                                    | Distributed                               | 10/25/19         | L                        |                         |                                                            |
| 148. --Visa Inc. Class A (V)                                                                                               | A                                      | Dividend                               |                                                |                                    | Distributed                               | 10/25/19         | J                        |                         |                                                            |
| 149. --BlackRock National Strategic Municipal<br>Opp. Fund (MKMTX)                                                         |                                        |                                        |                                                |                                    |                                           |                  |                          |                         | See Note in Part VIII                                      |
| 150. --Berea OH City School Dist COPS<br>10/1/2019                                                                         | A                                      | Interest                               |                                                |                                    | Redeemed                                  | 10/01/19         | K                        |                         |                                                            |
| 151. --American Municipal Power OH Inc. Rev B<br>2/15/2022                                                                 | A                                      | Interest                               |                                                |                                    | Distributed                               | 10/25/19         | J                        |                         |                                                            |
| 152. --Greene County OH Hosp Kettering<br>4/1/2027                                                                         | A                                      | Interest                               |                                                |                                    | Redeemed                                  | 04/02/19         | J                        |                         |                                                            |
| 153. --Montgomery County OH Rev Rfdg A<br>12/1/2033                                                                        | A                                      | Interest                               |                                                |                                    | Redeemed                                  | 08/21/19         | K                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

Page 13 of 21

Name of Person Reporting

Whipple, Mary Ann

Date of Report

05/14/2020

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 154. --Montgomery County OH Transn 4.5%<br>12/1/2033                                                                       | A                                      | Interest                                      |                                                |                                           | Distributed                                     | 10/25/19                | J                               |                                | See Note in Part VIII                                             |
| 155. --Goshen Local Sch Dist OH Transn Rev<br>12/15/2034                                                                   | A                                      | Interest                                      |                                                |                                           | Distributed                                     | 10/25/19                | K                               |                                |                                                                   |
| 156. --Cleveland OH St. Univ Gen Rec 6/1/2037                                                                              | A                                      | Interest                                      |                                                |                                           | Distributed                                     | 10/25/19                | K                               |                                |                                                                   |
| 157. --OH St Hosp Rev Univ Hosps Hlth<br>1/15/2039                                                                         | A                                      | Interest                                      |                                                |                                           | Distributed                                     | 10/25/19                | J                               |                                |                                                                   |
| 158. --American Municipal Power OH Inc. Rev B<br>2/15/2042                                                                 | A                                      | Interest                                      |                                                |                                           | Distributed                                     | 10/25/19                | J                               |                                |                                                                   |
| 159. --SC St Pub Svc Auth Rev Rfdg A<br>12/1/2049                                                                          | A                                      | Interest                                      |                                                |                                           | Distributed                                     | 10/25/19                | J                               |                                |                                                                   |
| 160. --CSX Corp.                                                                                                           |                                        | None                                          |                                                |                                           | Buy                                             | 09/20/19                | J                               |                                |                                                                   |
| 161.                                                                                                                       |                                        |                                               |                                                |                                           | Distributed                                     | 10/25/19                | J                               |                                |                                                                   |
| 162. --First TR Combined Ser Unit 584 Tax<br>Exempt Mun TR Intermediate Ser 38                                             | C                                      | Dividend                                      |                                                |                                           | Buy                                             | 01/25/19                | L                               |                                |                                                                   |
| 163. Estate # 2 (H)                                                                                                        |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                | See Note in Part VIII                                             |
| 164. --PNC Bank (account) X                                                                                                |                                        | None                                          | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 165. Edward Jones (H)                                                                                                      |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 166. --Edward Jones Money Market Account X                                                                                 | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 167. --Abbvie Inc (ABBV) X                                                                                                 | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 168. --Amazon Corp. (AMZN) X                                                                                               |                                        | None                                          | J                                              | T                                         | Buy                                             | 10/30/19                | J                               |                                |                                                                   |
| 169. --AT&T Inc (T) X                                                                                                      | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 12/11/19                | J                               |                                |                                                                   |
| 170. --Broadcom Inc (AVGO) X                                                                                               | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                         |                                 |                            |                               |                                |                        |
|-------------------------|---------------------------------|----------------------------|-------------------------------|--------------------------------|------------------------|
| 1 Income Gain Codes:    | A =\$1,000 or less              | B =\$1,001 - \$2,500       | C =\$2,501 - \$5,000          | D =\$5,001 - \$15,000          | E =\$15,001 - \$50,000 |
| (See Columns B1 and D4) | F =\$50,001 - \$100,000         | G =\$100,001 - \$1,000,000 | H1 =\$1,000,001 - \$5,000,000 | H2 =More than \$5,000,000      |                        |
| 2 Value Codes           | J =\$15,000 or less             | K =\$15,001 - \$50,000     | L =\$50,001 - \$100,000       | M =\$100,001 - \$250,000       |                        |
| (See Columns C1 and D3) | N =\$250,001 - \$500,000        | O =\$500,001 - \$1,000,000 | P1 =\$1,000,001 - \$5,000,000 | P2 =\$5,000,001 - \$25,000,000 |                        |
|                         | P3 =\$25,000,001 - \$50,000,000 |                            | P4 =More than \$50,000,000    |                                |                        |
| 3 Value Method Codes    | Q =Appraisal                    | R =Cost (Real Estate Only) | S =Assessment                 | T =Cash Market                 |                        |
| (See Column C2)         | U =Book Value                   | V =Other                   | W =Estimated                  |                                |                        |

# FINANCIAL DISCLOSURE REPORT

Page 14 of 21

Name of Person Reporting

Whipple, Mary Ann

Date of Report

05/14/2020

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 171. --Bristol-Myers Squibb (BMY) X                                                                                        | A                                      | Dividend                               |                                                |                                    | Sold                                      | 10/30/19         | J                        |                         |                                                            |
| 172. --Comerica Inc (CMA) X                                                                                                |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 173. --CSX Corp (CSX).                                                                                                     | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 12/11/19         | J                        |                         |                                                            |
| 174. --CVS Health Corporation (CVS) X                                                                                      | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 175. --Dominion Energy Inc (D) X                                                                                           | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 176. --Enbridge Inc (ENB) X                                                                                                | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 177. --General Motors Company GM) X                                                                                        |                                        | None                                   |                                                |                                    | Sold                                      | 10/30/19         | J                        |                         |                                                            |
| 178. --Marathon Petroleum Corp (MPC) X                                                                                     | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 179. --McDonalds' Corp (MCD) X                                                                                             | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 180. --Medtronic PLC (MDT) X                                                                                               |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 181. --Microsoft Corp (MSFT) X                                                                                             | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 12/11/19         | J                        |                         |                                                            |
| 182. --Nutrien Limited (NTR) X                                                                                             |                                        | None                                   | J                                              | T                                  | Sold<br>(part)                            | 12/11/19         | J                        |                         |                                                            |
| 183. --Pepsico Inc (PEP) X                                                                                                 |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 184. --Pfizer Inc. (PFE) X                                                                                                 | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 10/30/19         | J                        |                         |                                                            |
| 185.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 12/11/19         | J                        |                         |                                                            |
| 186. --Procter & Gamble Co (PG) X                                                                                          | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 12/11/19         | J                        |                         |                                                            |
| 187. --Royal Dutch Shell PLC Sponsored ADR<br>Repstg A Shs (RDA A) X                                                       | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                         |                                 |                            |                               |                                |                        |
|-------------------------|---------------------------------|----------------------------|-------------------------------|--------------------------------|------------------------|
| 1 Income Gain Codes:    | A =\$1,000 or less              | B =\$1,001 - \$2,500       | C =\$2,501 - \$5,000          | D =\$5,001 - \$15,000          | E =\$15,001 - \$50,000 |
| (See Columns B1 and D4) | F =\$50,001 - \$100,000         | G =\$100,001 - \$1,000,000 | H1 =\$1,000,001 - \$5,000,000 | H2 =More than \$5,000,000      |                        |
| 2 Value Codes           | J =\$15,000 or less             | K =\$15,001 - \$50,000     | L =\$50,001 - \$100,000       | M =\$100,001 - \$250,000       |                        |
| (See Columns C1 and D3) | N =\$250,001 - \$500,000        | O =\$500,001 - \$1,000,000 | P1 =\$1,000,001 - \$5,000,000 | P2 =\$5,000,001 - \$25,000,000 |                        |
|                         | P3 =\$25,000,001 - \$50,000,000 |                            | P4 =More than \$50,000,000    |                                |                        |
| 3 Value Method Codes    | Q =Appraisal                    | R =Cost (Real Estate Only) | S =Assessment                 | T =Cash Market                 |                        |
| (See Column C2)         | U =Book Value                   | V =Other                   | W =Estimated                  |                                |                        |

# FINANCIAL DISCLOSURE REPORT

Page 15 of 21

Name of Person Reporting

Whipple, Mary Ann

Date of Report

05/14/2020

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 188. --State Street Corp. (STT) X                                                                                          |                                        | None                                          | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 189. --United Parcel Service Inc Class B (UPS) X                                                                           | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 190. --Visa Inc Cl A shares (V) X                                                                                          | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 191. --Walt Disney Co. (DIS) X                                                                                             |                                        | None                                          | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 192. --Welltower Inc Reit (WELL) X                                                                                         | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 12/11/19                | J                               |                                |                                                                   |
| 193. --First Trust Capital Strength Exchange<br>Traded Fund (FTCS) X                                                       | A                                      | Dividend                                      | K                                              | T                                         | Buy<br>(add'l)                                  | 12/11/19                | J                               |                                |                                                                   |
| 194. --First Trust Value Line Dividend Index<br>Funds Shs (FVD) X                                                          | A                                      | Dividend                                      | K                                              | T                                         | Buy<br>(add'l)                                  | 12/11/19                | J                               |                                |                                                                   |
| 195. --Invesco Exchange-Traded Fd Tr ETF S&P<br>SMALLCAP Low V (XSLV)                                                      | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 10/30/19                | K                               |                                |                                                                   |
| 196.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 10/30/19                | J                               |                                |                                                                   |
| 197. --Invesco Exchange-Traded Fd Tr S&P<br>Midcap Low Volatility ETF (XMLV)                                               | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 10/30/19                | K                               |                                |                                                                   |
| 198. --iShares Inc Edge MSCI Minimum<br>Volatility Emging Mkts ETF (EEMV)                                                  | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 10/30/19                | J                               |                                |                                                                   |
| 199. --iShares Tr Edge MSCI Minimum<br>Volatility EAFE ETF (EFAV)                                                          | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 10/30/19                | K                               |                                |                                                                   |
| 200. --iShares Truste Edge MSCI Minimum<br>Volatility USA ETF (USMV)                                                       | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 10/30/19                | K                               |                                |                                                                   |
| 201.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 12/11/19                | J                               |                                |                                                                   |
| 202. --American SMALLCAP World Cl F3<br>(SFCWX) X                                                                          | A                                      | Dividend                                      | K                                              | T                                         | Sold<br>(part)                                  | 10/30/19                | J                               |                                |                                                                   |
| 203. --American Tax-Exempt Bond Fund<br>(TFEBX) X                                                                          | A                                      | Dividend                                      | K                                              | T                                         | Sold<br>(part)                                  | 10/30/19                | K                               |                                |                                                                   |
| 204. --Blackrock National Municipal Cl K<br>(BNMLX) X                                                                      | A                                      | Dividend                                      | K                                              | T                                         | Sold<br>(part)                                  | 10/30/19                | K                               |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

Page 16 of 21

Name of Person Reporting

Whipple, Mary Ann

Date of Report

05/14/2020

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 205. --Blackrock Strategic Municipal Opportunities Cl K (MKMTX) X                                                          | A                                      | Dividend                               | K                                              | T                                  | Sold (part)                               | 10/30/19         | K                        |                         |                                                            |
| 206. --Columbia Strategic Municipal Inceom Cl 13 (CATYX) X                                                                 | A                                      | Dividend                               | K                                              | T                                  | Sold (part)                               | 10/30/19         | K                        |                         |                                                            |
| 207. --Invesco High Yield Municipal Cl R6 (ACTSX) X                                                                        | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 10/30/19         | K                        |                         |                                                            |
| 208. --MFS Growth Cl R6 X                                                                                                  | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 209. --MFS International Diversification Cl R6 (MDIZX) X                                                                   | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 210. --Goshen Local Schl Dist. Ohio Cert. Partn Ser 2015 DTD X 08/11/15 X                                                  | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 211. --Cleveland OH State Univ General Receipt Rev DTD 8/21/12 5% X                                                        | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 212. --Ohio ST Hosp Rev Univ Hosps Health Sys Ser C DTD 10/23/12 4.12% X                                                   |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 213. --American Muni Power Inc Ohio Rev Series 2012B DTD 6/29/12 5% X                                                      |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 214. --South Carolina Pub. Svc Auth Rev Rndg Ser 2016A DTD 2/10/16 4% X                                                    | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 215. Key Investment Services (H)                                                                                           |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 216. --Federated Gov Obl Tax-Mng Auto X                                                                                    | B                                      | Dividend                               | J                                              | T                                  | Buy (add'l)                               | 12/24/19         | J                        |                         |                                                            |
| 217. --GNMA GTD Remic Pass thru Secs 2008-036 Remic Passthr CTF X                                                          |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 218. --FNMA GTD Remic Passthr Remic Tr 2007-76 CL-EB 6% X                                                                  |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 219. --Clorox Co (CLX) X                                                                                                   |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 220. --Welltower Inc (WELL) X                                                                                              |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 221. --Franklin Rising Dividends Fund Cl A X                                                                               |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

Page 17 of 21

Name of Person Reporting

Whipple, Mary Ann

Date of Report

05/14/2020

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 222. --Franklin Rising Dividends Fund Cl C X                                                                               |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 223. --Voya Corporate Leaders 100 Fund Cl C X                                                                              |                                        | None                                   | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 224. --FT Unit 7181 Global Bd Inc Closed End<br>Portfolio Ser 28 X                                                         |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 225. --First Trust Combined Ser Unit 584 Tax<br>Exmpt Mun Tr Int'mediate Ser X                                             |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 226. Trust # 3 (H)                                                                                                         |                                        |                                        |                                                |                                    |                                           |                  |                          |                         | See Note in Part VIII                                      |
| 227. --OH Hsg Fin Agy Single Fam Rev 4.125%<br>X                                                                           | A                                      | Interest                               |                                                |                                    | Sold                                      | 10/24/19         | J                        |                         |                                                            |
| 228. --Goshen Loc Sch Dist OH COP 4.00% X                                                                                  | A                                      | Interest                               |                                                |                                    | Sold                                      | 10/24/19         | J                        |                         |                                                            |
| 229. --Franklin OH Tax Fee Income Fund CL C<br>X                                                                           | A                                      | Dividend                               |                                                |                                    | Sold                                      | 10/24/19         | J                        |                         |                                                            |
| 230. --JPMorgan Equity Income Fund CL C X                                                                                  | A                                      | Dividend                               |                                                |                                    | Sold                                      | 10/24/19         | J                        |                         |                                                            |
| 231. --MFS Growth Fund CL C (JCBUX) X                                                                                      | A                                      | Dividend                               |                                                |                                    | Sold                                      | 10/24/19         | J                        |                         |                                                            |
| 232. -- Edward Jones Cash Acc't X                                                                                          | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 233. Trust #3 (IRA) (H)                                                                                                    |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 234. --American Funds Balanced CL F3<br>(AFBMX) (IRA) X                                                                    | A                                      | Dividend                               | K                                              | T                                  | Sold                                      | 04/12/19         | K                        |                         |                                                            |
| 235.                                                                                                                       |                                        |                                        |                                                |                                    | Buy                                       | 04/15/19         | K                        |                         |                                                            |
| 236. --Federated Gov't Obl. Fund CL Prm<br>(GOFXX) (IRA) X                                                                 | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 03/01/19         | J                        |                         |                                                            |
| 237.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 03/05/19         | J                        |                         |                                                            |
| 238.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 05/15/19         | J                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

# FINANCIAL DISCLOSURE REPORT

Page 18 of 21

Name of Person Reporting

Whipple, Mary Ann

Date of Report

05/14/2020

## VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 239.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 06/14/19         | J                        |                         |                                                            |
| 240.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/15/19         | J                        |                         |                                                            |
| 241.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 08/15/19         | J                        |                         |                                                            |
| 242.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 09/16/19         | J                        |                         |                                                            |
| 243.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 10/15/19         | J                        |                         |                                                            |
| 244.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 11/15/19         | J                        |                         |                                                            |
| 245. --Franklin Income Fund CL R6 (FNCFX)<br>(IRA) X                                                                       | A                                      | Dividend                               | K                                              | T                                  | Buy<br>(add'l)                            | 04/15/19         | K                        |                         |                                                            |
| 246. --Franklin Templeton Global Bond Fnd CL<br>R6 (FBNRX) (IRA) X                                                         | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 04/12/19         | J                        |                         |                                                            |
| 247.                                                                                                                       |                                        |                                        |                                                |                                    | Buy                                       | 04/15/19         | J                        |                         |                                                            |
| 248. --Invesco Corporate Bond CL R6 (ICBFX)<br>(IRA) X                                                                     | A                                      | Dividend                               | K                                              | T                                  | Sold                                      | 04/12/19         | K                        |                         |                                                            |
| 249.                                                                                                                       |                                        |                                        |                                                |                                    | Buy                                       | 04/15/19         | K                        |                         |                                                            |
| 250. --John Hancock Bond Fund CL R6 (JHBSX)<br>(IRA) X                                                                     | A                                      | Dividend                               | K                                              | T                                  | Sold                                      | 04/12/19         | K                        |                         |                                                            |
| 251.                                                                                                                       |                                        |                                        |                                                |                                    | Buy                                       | 04/15/19         | K                        |                         |                                                            |
| 252.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/08/19         | J                        |                         |                                                            |
| 253. --JPMorgan Core Bond Fund CL R6<br>(JCBUX) (IRA) X                                                                    | A                                      | Dividend                               | K                                              | T                                  | Sold                                      | 04/12/19         | K                        |                         |                                                            |
| 254.                                                                                                                       |                                        |                                        |                                                |                                    | Buy                                       | 04/15/19         | K                        |                         |                                                            |
| 255. --Lord Abbett Bond Debenture Fund CL F3<br>(IRA) (IRA) X                                                              | A                                      | Dividend                               | K                                              | T                                  | Sold                                      | 04/12/19         | K                        |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
|-------------------------------------------------|------------------------------------------------------------------------------------|------------------------------------------------------|----------------------------------------------------------------------------------------|------------------------------------------------------------|------------------------|
| 1 Income Gain Codes:<br>(See Columns B1 and D4) | A =\$1,000 or less<br>F =\$50,001 - \$100,000                                      | B =\$1,001 - \$2,500<br>G =\$100,001 - \$1,000,000   | C =\$2,501 - \$5,000<br>H1 =\$1,000,001 - \$5,000,000                                  | D =\$5,001 - \$15,000<br>H2 =More than \$5,000,000         | E =\$15,001 - \$50,000 |
| 2 Value Codes<br>(See Columns C1 and D3)        | J =\$15,000 or less<br>N =\$250,001 - \$500,000<br>P3 =\$25,000,001 - \$50,000,000 | K =\$15,001 - \$50,000<br>O =\$500,001 - \$1,000,000 | L =\$50,001 - \$100,000<br>P1 =\$1,000,001 - \$5,000,000<br>P4 =More than \$50,000,000 | M =\$100,001 - \$250,000<br>P2 =\$5,000,001 - \$25,000,000 |                        |
| 3 Value Method Codes<br>(See Column C2)         | Q =Appraisal<br>U =Book Value                                                      | R =Cost (Real Estate Only)<br>V =Other               | S =Assessment<br>W =Estimated                                                          | T =Cash Market                                             |                        |

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 256.                                                                                                                       |                                        |                                        |                                                |                                    | Buy                                       | 04/15/19         | K                        |                         |                                                            |
| 257. ----MFS Growth Fund CL R6 (JCBUX)<br>(IRA) X                                                                          | A                                      | Dividend                               | J                                              | T                                  | Sold                                      | 04/12/19         | J                        |                         |                                                            |
| 258.                                                                                                                       |                                        |                                        |                                                |                                    | Buy                                       | 04/15/19         | J                        |                         |                                                            |
| 259. --MFS Int'l Diversification CL R6 (MDIZX)<br>(IRA) X                                                                  | C                                      | Dividend                               | J                                              | T                                  | Sold                                      | 04/12/19         | J                        |                         |                                                            |
| 260.                                                                                                                       |                                        |                                        |                                                |                                    | Buy                                       | 04/15/19         | J                        |                         |                                                            |
| 261. --Invesco Oppenheimer Global Opp Fund<br>CL 1 (OGIIX) (IRA) X                                                         |                                        | None                                   | K                                              | T                                  | Sold                                      | 04/12/19         | J                        |                         | See Note in Part VIII                                      |
| 262.                                                                                                                       |                                        |                                        |                                                |                                    | Buy                                       | 04/15/19         | J                        |                         |                                                            |
| 263. --Edward Jones Money Mkt Account (IRA)<br>X                                                                           | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 264. Edward jones Money Mkt Account<br>(Inherited IRA) X                                                                   |                                        | None                                   | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 265.                                                                                                                       |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

# FINANCIAL DISCLOSURE REPORT

Page 20 of 21

| Name of Person Reporting | Date of Report |
|--------------------------|----------------|
| Whipple, Mary Ann        | 05/14/2020     |

## VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Parts I [Line 1] and VII [Lines 20 and 21] Note: The Minor has reached the age of majority under the Ohio UGMA statute. However, the Washington Federal (Seattle Wash) CD reported at Part VII [Line 21] and the Vanguard Windsor II Fund reported at Part VII [Line 20] were both still maintained in my name as custodian and in my nominal custody at December 31, 2019.

Parts I [Line 2] and VII [Lines 44-95] Note: Trust #1 is a life insurance trust for a family member of which I am the trustee. Trust #1 and the three whole life insurance policies held by Trust #1 have been previously reported. The beneficiaries are all family members. The insured family member died on July 22, 2018, as a result of which the policies were distributed during 2018 and other assets acquired as are reported. I am also a beneficiary of the trust but did not receive any income from it during the reporting period. I am not being compensated for my services as trustee. The assets of the trust were distributed in 2019.

Parts I [Line 4] and VII [Lines 101-162] Note: Trust #2 is a trust that became irrevocable under the trust agreement upon a family member's death (trustee and settlor) in July 2018. The beneficiaries are all family members. I was the successor trustee and became trustee upon the family member's death. I became responsible for the assets in the trust on July 22, 2018, the date upon which the family member died. I am also a beneficiary of the trust but did not receive any income from it during the reporting period. I am not being compensated for my services as trustee. The assets of the trust were distributed in 2019.

Part I [Line 5]. I was the agent under and exercised a financial power of attorney for a family member who died on February 15, 2019.

Part I [Line 6] Note: I am the executor for the estate of a family member who died on July 22, 2018. The decedent's will was filed without probate. There are presently no reportable assets in the estate. I am not being compensated for my services as executor.

Parts I [Line 7] and VII [Lines 163-164] Note: I am the executor for the estate of a family member who died on February 15, 2019. The assets of the estate are reported in Part VII [Line 164]. I am not being compensated for my services as executor.

Parts I [Line 8] and VII [Lines 226-263]. Note: Trust #3 is a trust that became irrevocable under the trust agreement upon a family member's death (settlor and trustee) in February 2019. The beneficiaries are all family members. I was the successor trustee and became trustee upon the family member's death. I became responsible for the assets in the trust on February 15, 2019, the date upon which the family member died. The assets held in the trust at the date of death and subsequent transactions are reported in Part VII [Lines 226-263]. One of the assets of the Trust is an IRA, the assets of which are separately listed. I am also a beneficiary of the trust but did not receive any income from it during the reporting period. I am not being compensated for my services as trustee.

Part VII [Line 1] Note: The Huntington National Bank IRA reported at Part VII [Line 1] is invested in a Huntington National Bank CD.

Part VII [Line 12]. Note: The MainStay Mackay Growth Fund A was converted from the MainStay MacKay Growth Fund Investor Class shares on December 18, 2019.

Part VII [Line 25] Note: As previously reported, I had PNC Bank accounts. Effective August 18, 2018, after the death of a family member on July 22, 2018, I was added as an account holder to two existing PNC accounts of another family member, one of which was previously reported as Closed in 2018.

Part VII [Line 45] Note: The proceeds of the Massachusetts Mutual Settlement Option Contract Account were deposited in a brokerage account for Trust #1, the contents of and transactions in which are otherwise reported.

Part VII [Line 118] Note: This asset was reported on [Line 117] of the 2018 report. It was correctly shown in Column C. as having No Value as of December 31, 2018. However, Column D. was not completed and should have been. This asset was sold on December 12, 2018. Thus Column D.(1) Line 117 on the 2018 Report should have been "Sold." Column D.(2) should have been "12/12/18." Column D.(3) should have been "K." In January 2019, a residual catch-up dividend was received as reported here on [Line 118], even though the asset was no longer owned at December 31, 2018.

Part VII [Lines 121-122 and 149] Note: This asset was inadvertently listed twice in my 2018 Report. It was listed both at [Line 125] and at [Line 142] on the 2018 Report. I have listed it twice on this 2019 Report, now at [Lines 121-122 and 149]. The listing at [Line 149] has been left blank, but it is being listed to enable review and tracking of the inadvertent duplicate listing on the 2018 Report.

Part VII [Line 154] Note: This asset was listed on the 2018 Report at [Line 147]. Column C was left blank by mistake, as this asset was held as of December 31, 2018, and had not been disposed of. It should have been Column C.(1) "J" and Column C.(2) "T". Thus, there was likewise no disposition listed in Column D.

Part VII [Line 261] Note: This fund was known as the Oppenheimer Global Opportunities Fund CL 6 when I became responsible for the investment. Its name, but not the symbol, was changed to the Invesco Oppenheimer Global Opportunities Fund CL 6, which is the name in which it is being reported, on May 28, 2019.

# FINANCIAL DISCLOSURE REPORT

Page 21 of 21

Name of Person Reporting

Whipple, Mary Ann

Date of Report

05/14/2020

## IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: **s/ Mary Ann Whipple**

**NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)**

Committee on Financial Disclosure  
Administrative Office of the United States Courts  
Suite 2-301  
One Columbus Circle, N.E.  
Washington, D.C. 20544