

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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

1. Person Reporting (last name, first, middle initial) Lynch, Sandra L.	2. Court or Organization U.S. Court of Appeals, 1st Cir	3. Date of Report 07/16/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. Circuit Judge (active)	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address United States Courthouse 1 Courthouse Way, Suite 8710 Boston, MA 02210		
IMPORTANT NOTES: 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. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☒ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1.		
2.		
3.		
4.		
5.		

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

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.		
2.		
3.		

FINANCIAL DISCLOSURE REPORT

Page 2 of 24

Name of Person Reporting

Lynch, Sandra L.

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07/16/2020

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.)

DATE

SOURCE AND TYPE

INCOME

(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.)

DATE

SOURCE AND TYPE

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.)

SOURCE

DATES

LOCATION

PURPOSE

ITEMS PAID OR PROVIDED

1.

2.

3.

4.

5.

Name of Person Reporting	Date of Report
Lynch, Sandra L.	07/16/2020

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 24

Name of Person Reporting

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07/16/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)

1.	Fidelity Mass Muni MM	A	Dividend	L	T				
2.	Bank of America	A	Interest	K	T				
3.	ROLLOVER IRA (H)								
4.	- Fidelity Disciplined Equity	B	Dividend	N	T				
5.	- Fidelity Government Cash Reserves Fund	A	Interest	J	T				
6.	Fidelity Investments Core Cash	A	Interest	K	T				
7.	TRADITIONAL IRA (H)								
8.	- Fidelity Capital and Income	A	Dividend	J	T	Buy (add'l)	01/31/19	J	
9.					Buy (add'l)	02/28/19	J		
10.					Buy (add'l)	03/29/19	J		
11.					Buy (add'l)	04/30/19	J		
12.					Buy (add'l)	05/31/19	J		
13.					Buy (add'l)	06/07/19	J		
14.					Buy (add'l)	06/28/19	J		
15.					Buy (add'l)	07/31/19	J		
16.					Buy (add'l)	08/30/19	J		
17.					Sold (part)	09/25/19	J	B	

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

FINANCIAL DISCLOSURE REPORT

Page 5 of 24

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18.					Buy (add'l)	09/30/19	J		
19.					Buy (add'l)	10/31/19	J		
20.					Buy (add'l)	11/29/19	J		
21.					Buy (add'l)	12/02/19	J		
22.					Buy (add'l)	12/26/19	J		
23.					Buy (add'l)	12/31/19	J		
24.	- Fidelity Advisor Strategic Inc CL I	A	Dividend	J	T	Buy (add'l)	01/31/19	J	
25.					Buy (add'l)	02/28/19	J		
26.					Buy (add'l)	03/29/19	J		
27.					Buy (add'l)	04/30/19	J		
28.					Buy (add'l)	05/31/19	J		
29.					Buy (add'l)	06/28/19	J		
30.					Buy (add'l)	07/31/19	J		
31.					Buy (add'l)	08/30/19	J		
32.					Buy (add'l)	09/30/19	J		
33.					Buy (add'l)	10/31/19	J		
34.					Buy (add'l)	11/29/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment 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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35.					Buy (add'l)	12/20/19	J		
36.					Buy (add'l)	12/26/19	J		
37.					Buy (add'l)	12/31/19	J		
38. - Fidelity Short Term Bond	B	Dividend	L	T	Buy (add'l)	01/10/19	K		
39.					Buy (add'l)	01/31/19	J		
40.					Buy (add'l)	02/28/19	J		
41.					Buy (add'l)	03/29/19	J		
42.					Buy (add'l)	04/30/19	J		
43.					Buy (add'l)	05/31/19	J		
44.					Buy (add'l)	06/26/19	J		
45.					Buy (add'l)	06/28/19	J		
46.					Buy (add'l)	07/31/19	J		
47.					Buy (add'l)	08/30/19	J		
48.					Buy (add'l)	09/30/19	J		
49.					Buy (add'l)	10/31/19	J		
50.					Buy (add'l)	11/29/19	J		
51.					Buy (add'l)	12/26/19	J		

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 7 of 24

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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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52.					Buy (add'l)	12/31/19	J		
53. - Strategic ADV Int'l II FD (formerly Strategic ADV US Oppty II)	D	Dividend	M	T	Sold (part)	01/10/19	K	D	
54.					Sold (part)	03/06/19	J	B	
55.					Buy (add'l)	04/05/19	J		
56.					Buy (add'l)	12/30/19	J		
57. -Fidelity Real Estate Income	A	Dividend	J	T	Buy (add'l)	03/08/19	J		
58.					Buy (add'l)	06/07/19	J		
59.					Sold (part)	06/26/19	J	B	
60.					Sold (part)	07/17/19	J	D	
61.					Buy (add'l)	09/06/19	J		
62.					Buy (add'l)	12/20/19	J		
63. -Fidelity Floating Rate High Income	A	Dividend	J	T	Buy (add'l)	01/31/19	J		
64.					Buy (add'l)	02/28/19	J		
65.					Sold (part)	03/06/19	J	A	
66.					Buy (add'l)	03/29/19	J		
67.					Buy (add'l)	04/30/19	J		
68.					Buy (add'l)	05/31/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69.					Buy (add'l)	06/28/19	J		
70.					Buy (add'l)	07/31/19	J		
71.					Buy (add'l)	08/30/19	J		
72.					Buy (add'l)	09/30/19	J		
73.					Buy (add'l)	10/31/19	J		
74.					Buy (add'l)	11/29/19	J		
75.					Buy (add'l)	12/26/19	J		
76.					Buy (add'l)	12/31/19	J		
77. -Fidelity Conservativ Income Bond FD CL I	B	Dividend	L	T	Buy (add'l)	01/10/19	K		
78.					Buy (add'l)	01/31/19	J		
79.					Buy (add'l)	02/01/19	J		
80.					Buy (add'l)	02/28/19	J		
81.					Buy (add'l)	03/29/19	J		
82.					Buy (add'l)	04/30/19	J		
83.					Buy (add'l)	05/31/19	J		
84.					Buy (add'l)	06/26/19	J		
85.					Buy (add'l)	06/28/19	J		

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
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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
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FINANCIAL DISCLOSURE REPORT

Page 9 of 24

Name of Person Reporting

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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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
86.					Buy (add'l)	07/31/19	J		
87.					Buy (add'l)	08/30/19	J		
88.					Buy (add'l)	09/30/19	J		
89.					Buy (add'l)	10/31/19	J		
90.					Buy (add'l)	11/29/19	J		
91.					Buy (add'l)	12/31/19	J		
92.	-Fidelity SAI International Index	A	Dividend	K	T	Sold (part)	01/10/19	J	B
93.					Sold (part)	01/31/19	J	A	
94.					Sold (part)	06/26/19	J	A	
95.					Buy (add'l)	12/06/19	J		
96.	-Fidelity SAI Emerg Markets Index	A	Dividend	K	T	Sold (part)	01/10/19	J	A
97.					Sold (part)	09/25/19	J	A	
98.					Buy (add'l)	12/06/19	J		
99.	-Fidelity Select Natural Resources				Sold (part)	01/10/19	J	A	
100.					Sold (part)	01/17/19	J	A	
101.					Sold (part)	01/24/19	J	A	
102.					Sold	01/31/19	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 24

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103. -FIMM Government Portfolio: Instl CL	A	Dividend	K	T	Buy (add'l)	01/31/19	J		
104.					Sold (part)	02/11/19	J	A	
105.					Buy (add'l)	02/28/19	J		
106.					Buy (add'l)	03/06/19	J		
107.					Buy (add'l)	03/29/19	J		
108.					Buy (add'l)	04/30/19	J		
109.					Sold (part)	05/13/19	J	A	
110.					Buy (add'l)	05/31/19	J		
111.					Buy (add'l)	06/28/19	J		
112.					Buy (add'l)	07/31/19	J		
113.					Sold (part)	08/26/19	J	A	
114.					Buy (add'l)	08/30/19	J		
115.					Buy (add'l)	09/25/19	J		
116.					Buy (add'l)	09/30/19	J		
117.					Buy (add'l)	10/31/19	J		
118.					Sold (part)	11/18/19	J	A	
119.					Buy (add'l)	11/29/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
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3 Value Method Codes (See Column C2)					

FINANCIAL DISCLOSURE REPORT

Page 11 of 24

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120.					Buy (add'l)	12/31/19	J		
121. - Fidelity Government Cash Reserves Fund	A	Interest	J	T					
122. - Fidelity Total Market Index Fund Instl Premium Class	A	Dividend	K	T	Sold (part)	01/10/19	J	A	
123.					Buy (add'l)	04/12/19	J		
124.					Sold (part)	09/25/19	J	A	
125.					Buy (add'l)	12/13/19	J		
126. - Strategic Advisers Fid Emerging Markets	B	Dividend	L	T	Sold (part)	01/10/19	J		
127.					Buy (add'l)	07/12/19	J		
128.					Buy (add'l)	08/15/19	J		
129.					Buy (add'l)	12/30/19	J		
130. - Strategic Advisers Fid US Total Stock	E	Dividend	O	T	Sold (part)	01/10/19	M	A	
131.					Sold (part)	01/17/19	J	A	
132.					Sold (part)	03/06/19	K	A	
133.					Buy (add'l)	07/12/19	J		
134.					Sold (part)	07/17/19	J	A	
135.					Buy (add'l)	08/15/19	J		
136.					Buy (add'l)	09/25/19	J		

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 24

Name of Person Reporting

Lynch, Sandra L.

Date of Report

07/16/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137.					Sold (part)	12/05/19	J	A	
138.					Buy (add'l)	12/30/19	J		
139. - Strategic Adviser Fidelity Core Income	E	Dividend	O	T	Buy (add'l)	01/10/19	L		
140.					Buy (add'l)	01/17/19	J		
141.					Buy (add'l)	01/24/19	J		
142.					Buy (add'l)	01/31/19	J		
143.					Buy (add'l)	02/28/19	J		
144.					Buy (add'l)	03/06/19	K		
145.					Buy (add'l)	03/29/19	J		
146.					Buy (add'l)	04/30/19	J		
147.					Buy (add'l)	05/31/19	J		
148.					Buy (add'l)	06/26/19	J		
149.					Buy (add'l)	06/28/19	J		
150.					Buy (add'l)	07/12/19	J		
151.					Buy (add'l)	07/17/19	K		
152.					Buy (add'l)	07/31/19	J		
153.					Sold (part)	08/15/19	J	A	

1 Income Gain Codes: (See Columns B1 and D4)	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	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000 K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	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	D =\$5,001 - \$15,000 H2 =More than \$5,000,000 M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 13 of 24

Name of Person Reporting

Lynch, Sandra L.

Date of Report

07/16/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
154.					Buy (add'l)	08/30/19	J		
155.					Buy (add'l)	09/25/19	J		
156.					Buy (add'l)	09/30/19	J		
157.					Buy (add'l)	10/31/19	J		
158.					Buy (add'l)	11/29/19	J		
159.					Buy (add'l)	12/05/19	J		
160.					Buy (add'l)	12/26/19	J		
161.					Buy (add'l)	12/30/19	J		
162.					Buy (add'l)	12/31/19	J		
163. - Fidelity Advisor High Income Fd Cl	A	Dividend	J	T	Buy (add'l)	01/31/19	J		
164.					Buy (add'l)	02/28/19	J		
165.					Buy (add'l)	03/29/19	J		
166.					Buy (add'l)	04/30/19	J		
167.					Buy (add'l)	05/31/19	J		
168.					Buy (add'l)	06/28/19	J		
169.					Buy (add'l)	07/31/19	J		
170.					Buy (add'l)	08/30/19	J		

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 24

Name of Person Reporting

Lynch, Sandra L.

Date of Report

07/16/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
171.					Sold (part)	09/25/19	J	C	
172.					Buy (add'l)	09/30/19	J		
173.					Buy (add'l)	10/31/19	J		
174.					Buy (add'l)	11/29/19	J		
175.					Buy (add'l)	12/26/19	J		
176.					Buy (add'l)	12/31/19	J		
177. -Fidelity Sai Inflation Focused Fd	A	Dividend	J	T	Buy	01/10/19	J		
178.					Buy (add'l)	01/17/19	J		
179.					Buy (add'l)	01/24/19	J		
180.					Buy (add'l)	01/31/19	J		
181.					Buy (add'l)	03/06/19	J		
182.					Buy (add'l)	09/13/19	J		
183.					Sold (part)	09/25/19	J	A	
184.					Sold (part)	12/18/19	J	A	
185.					Buy (add'l)	12/26/19	J		
186. Esplanade Capital Ptnrs I LLC (See note section VIII)	D	Int./Div.	N	U					
187. PAS BROKERAGE ACCOUNT(H)									

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

FINANCIAL DISCLOSURE REPORT

Page 15 of 24

Name of Person Reporting

Lynch, Sandra L.

Date of Report

07/16/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
188. - Fidelity Municipal Income	B	Dividend	K	T					
189. -DWS Strategic High Yld Tax (Formerly Deutsch Strategic High Yld Tax)	A	Dividend	K	T	Buy (add'l)	06/24/19	J		
190. -DWS Managed Muni Bond FD S (Formerly Deutsche Managed Muni Bond FD S)	B	Dividend	K	T	Buy (add'l)	01/11/19	J		
191.					Buy (add'l)	02/12/19	K		
192.					Buy (add'l)	03/20/19	J		
193.					Buy (add'l)	04/23/19	J		
194.					Buy (add'l)	06/24/19	J		
195. -Fidelity Advisor Int'l Discovery CL I	A	Dividend	J	T					
196. -Fidelity Capital & Income	A	Dividend			Sold	01/11/19	J	A	
197. -Champlain Small Co. Fund Adv CL Conf	A	Dividend	J	T					
198. -Artisan Intl Value Fund Inv CL	A	Dividend	J	T	Sold (part)	03/26/19	J	A	
199.					Sold (part)	04/23/19	J	A	
200.					Sold (part)	06/24/19	J	A	
201. -Baron Growth	A	Dividend	J	T					
202. -William Blair Int'l Growth Class N	A	Dividend	J	T					
203. -JPMorgan Mid-Cap Value Fn Select CL	A	Dividend	J	T					
204. -Hartford Growth Opportunity Class A					Merged (with line 268)	03/29/19	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 16 of 24

Name of Person Reporting

Lynch, Sandra L.

Date of Report

07/16/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
205. -Hotchkins & Wiley Mid Cap Value CL A	A	Dividend	J	T					
206. -Mainstay Lg Cap Grwth Fund Class A	A	Dividend	J	T					
207. -T Rowe Price Equity Income Advisor CL	A	Dividend	J	T					
208. -Templeton Global Bond Class A	A	Dividend			Buy (add'l)	01/11/19	J		
209.					Buy (add'l)	04/23/19	J		
210.					Sold	06/24/19	J	A	
211. -Fidelity Mass Muni Income	B	Dividend	L	T	Buy (add'l)	01/11/19	J		
212.					Buy (add'l)	02/12/19	J		
213.					Buy (add'l)	03/20/19	J		
214.					Buy (add'l)	04/23/19	J		
215.					Buy (add'l)	06/24/19	J		
216.					Buy (add'l)	07/26/19	J		
217. -Allianceber Muni Inc II Mass Cl A (Also called AB Muni Income)	A	Dividend	J	T					
218. -JPMorgan US Equity FD Sel Cl					Merged (with line 269)	03/29/19	J		
219. -Causeway Int'l Value Investor	A	Dividend	J	T					
220. -MFS Int'l Val Fd Cl A	A	Dividend	J	T					
221. -MFS Muni Mass Cl A	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 17 of 24

Name of Person Reporting

Lynch, Sandra L.

Date of Report

07/16/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
222. -MFS Research Int'l Cl A	A	Dividend	J	T					
223. -Primecap Odyssey Growth	A	Dividend	J	T					
224. -SPDR S&P 500 ETF	A	Dividend	K	T					
225. -iShares Russell 1000 Value ETF (name change)	A	Dividend	K	T	Sold (part)	02/13/19	J	A	
226.					Sold (part)	03/21/19	J	A	
227. -iShares Russell 1000 Growth ETF (name change)	A	Dividend	K	T	Sold (part)	01/14/19	J	A	
228. -Sector Spdr Tr Shs Ben Int Financial	A	Dividend	J	T	Sold (part)	01/14/19	J	A	
229. -Transamerica Intl Equity CL I	A	Dividend	J	T	Sold (part)	02/12/19	J	A	
230.					Sold (part)	04/23/19	J	A	
231. -iShares Core S&P Small-cap ETF	A	Dividend	J	T					
232. -Fidelity Emerging Markets	A	Dividend	J	T					
233. -Acadian emerging Markets Port Instl	A	Dividend	J	T					
234. -Janus Henderson Enterprise Fund Class	A	Dividend	J	T	Sold (part)	01/11/19	J	A	
235. -iShares Russell 1000 ETF	A	Dividend	J	T	Sold (part)	01/14/19	J	A	
236. -ISHARES TR S&P Small Cap 600 Growth ETF (name correction)	A	Dividend			Sold (part)	01/14/19	J	A	
237.					Sold (part)	06/25/19	J	A	
238.					Sold	07/29/19	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 18 of 24

Name of Person Reporting

Lynch, Sandra L.

Date of Report

07/16/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
239. -Vanguard Index Fds Vanguard Value	A	Dividend	J	T	Sold (part)	01/14/19	J	A	
240. -Causeway Emerging MRKTS FD Inv CL	A	Dividend	J	T	Sold (part)	06/24/19	J	A	
241.					Buy (add'l)	10/09/19	J		
242. -T Rowe Price Overseas Stock I CL	A	Dividend	J	T	Sold (part)	06/24/19	J	A	
243. -T Rowe Price Emerg Markets Stock Fund I	A	Dividend	J	T					
244. -T Rowe Price International STK I	A	Dividend	J	T	Sold (part)	01/11/19	J	A	
245. -Ishares S&P Small CAP 600 Value	A	Dividend	J	T	Sold (part)	01/14/19	J	A	
246. -Mainstay Mackay Tax Free Bond Class A	A	Dividend	J	T	Buy (add'l)	12/17/19	J		
247. -Fidelity Government Cash Reserves Fund	A	Interest	J	T					
248. -Flexshares Trust Morningstar Global Upstream Nat Res IDX	A	Dividend	J	T	Sold (part)	01/14/19	J	A	
249.					Sold (part)	01/14/19	J	A	
250.					Sold (part)	01/14/19	J	A	
251.					Sold (part)	06/25/19	J	A	
252.					Sold (part)	07/29/19	J	A	
253.					Buy (add'l)	10/10/19	J		
254. -Ishares TR EAFE Smal CP ETF	A	Dividend			Sold (part)	01/14/19	J	A	
255.					Buy (add'l)	02/13/19	J		

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

FINANCIAL DISCLOSURE REPORT

Page 19 of 24

Name of Person Reporting

Lynch, Sandra L.

Date of Report

07/16/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
256.					Sold	06/25/19	J	A	
257. -Ishares Inc Core MSCI Emerging Mkts	A	Dividend	J	T	Sold (part)	01/14/19	J	A	
258. -Strategic Adv Tax Sensitive Short Dura	A	Dividend	K	T	Buy (add'l)	01/11/19	K		
259.					Buy (add'l)	02/12/19	J		
260.					Buy (add'l)	07/26/19	J		
261.					Buy (add'l)	12/17/19	J		
262. -T Rowe Price Tax Free Income	A	Dividend			Merged (with line 270)	03/29/19	J		
263. -Ishares Edge Msci Usa Value Factor ETF					Sold	01/14/19	J	A	
264. -Ishares Trust Core Msci Eafe ETF	A	Dividend	J	T	Sold (part)	01/14/19	J	A	
265. -Fidelity Advisor Intl Growth Cl Z	A	Dividend	J	T					
266. -Fidelity Value Discovery	A	Dividend	J	T	Sold (part)	04/23/19	J	A	
267.					Sold (part)	06/24/19	J	A	
268. -Hartford Growth Oppt Fund Cl Y	A	Dividend	J	T					
269. -Jpmorgan Us Equity Fund Class A	A	Dividend	J	T					
270. -T Rowe Price Tax Free Income Ad	A	Dividend	J	T					
271. -Ishares Tr US Treas Bd EEF	A	Dividend	J	T	Buy	06/25/19	J		
272. IRA ROLLOVER ACCT NO 2(H)									

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

FINANCIAL DISCLOSURE REPORT

Page 20 of 24

Name of Person Reporting

Lynch, Sandra L.

Date of Report

07/16/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
273. -Fidelity Government Cash Reserves Fund	A	Interest	J	T					
274. SI INVEST ACCOUNT (IRA) (H)									
275. -Schwab US Treas Money Fund	A	Interest	M	T					
276. -American Express	A	Dividend	L	T	Sold (part)	01/02/19	K	B	
277. -Apple Inc Com	B	Dividend	M	T	Sold (part)	01/02/19	L	F	
278. -Capital One Finl Corp Com					Sold	01/02/19	L	D	
279. -Caterpillar Inc Del	C	Dividend	M	T					
280. -Emerson Electric	B	Dividend	L	T					
281. -Exxon Mobil Corp	C	Dividend	L	T					
282. -Goldman Sachs Group Com	B	Dividend	M	T					
283. -Invesco Ltd Shs					Sold	01/02/19	K	A	
284. -J P Morgan Chase & Co	C	Dividend	M	T	Sold (part)	06/14/19	L	E	
285. -Mondelez Intl Inc Cl A	B	Dividend	L	T					
286. -Oracle Corp	B	Dividend	L	T					
287. -Roche Hldg Ltd Sponsored Adr					Sold	01/02/19	L	A	
288. -Salesforce Com Inc Com		None	L	T	Sold (part)	01/02/19	L	E	
289. -Schlumberger	B	Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 21 of 24

Name of Person Reporting

Lynch, Sandra L.

Date of Report

07/16/2020

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
290. -Siemens A G Sponsored Adr					Sold	01/02/19	L	A	
291. -Thermo Fisher Scientific Inc	A	Dividend	L	T	Sold (part)	01/02/19	K	E	
292. -Verizon Communications Com	D	Dividend	M	T					
293. -Alphabet Inc. CL A					Sold	01/02/19	L	E	
294. -Alphabet Inc. CL C		None	M	T	Sold (part)	01/02/19	L	E	
295. -Coca-Cola Company	B	Dividend	L	T					
296. -Diageo PL C Spon ADR new	A	Dividend	L	T					
297. -Gilead Sciences Inc Com					Sold	01/02/19	K	A	
298. -Johnson & Johnson Com	C	Dividend	M	T					
299. -Pfizer Inc	B	Dividend	L	T					
300. -Broadcom Ltd Shs	B	Dividend	L	T	Sold (part)	01/02/19	L	E	
301. -Wal Mart Stores	B	Dividend	L	T					
302. -United States Treas Bills 01/02/2020			N	T	Buy	01/03/19	N		
303. -United States Treas Bills 03/26/2020			L	T	Buy	10/09/19	L		
304. -United States Treas Bills 10/03/2019					Buy	04/05/19	L		
305.					Sold	10/03/19	L	B	
306. -United States Treas Bills 04/04/2019					Buy	01/03/19	L		

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		

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 Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
307.					Sold	04/04/19	L	A	
308. -United States Treas Bills 07/05/2019					Buy	01/03/19	N		
309.					Sold (part)	04/26/19	K	A	
310.					Sold	07/05/19	M	C	
311. First Republic Bank	A	Interest	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 23 of 24

Name of Person Reporting

Lynch, Sandra L.

Date of Report

07/16/2020

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

Part VII - Investment Limited partnership income whether passive or nonpassive is disclosed as "dividend" income.

Part VII - All investments are publicly traded common stocks or mutual funds unless otherwise noted.

Part VII - Esplanade Capital ptnrs I LLC is a non-publically trade LLC. The net income from the investment is reported as dividend.

FINANCIAL DISCLOSURE REPORT

Page 24 of 24

Name of Person Reporting

Lynch, Sandra L.

Date of Report

07/16/2020

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/ **Sandra L. Lynch**

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
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Washington, D.C. 20544