

# 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>McAuliffe, Steven J.                                                                                                                 | <b>2. Court or Organization</b><br><br>U.S. District Court - New Hampshire                                                                                                                                                             | <b>3. Date of Report</b><br><br>05/12/2020                       |
| <b>4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time)</b><br><br>U.S. District Judge (Senior)                                                  | <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>Warren B. Rudman U.S. Courthouse<br>55 Pleasant Street, Room 416<br>Concord, N.H. 03301                                                                       |                                                                                                                                                                                                                                        |                                                                  |
| <p align="center"><b>IMPORTANT NOTES:</b> The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.</p> |                                                                                                                                                                                                                                        |                                                                  |

## 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. Fellow       | New Hampshire Bar Foundation                  |
| 2. Director     | Challenger Center for Space Science Education |
| 3. Trustee      | Trust #1                                      |
| 4. Partner      | Piglet (Neighborhood Investment Club)         |
| 5. Member       | Shumac, LLC                                   |
| 6. Member       | Pleasant Lake Cottages, LLC                   |

## 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.          |                          |
| 2.          |                          |
| 3.          |                          |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

McAuliffe, Steven J.

Date of Report

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## 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 |
| McAuliffe, Steven J.     | 05/12/2020     |

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

☒ NONE (No reportable gifts.)

|    | <u>SOURCE</u> | <u>DESCRIPTION</u> | <u>VALUE</u> |
|----|---------------|--------------------|--------------|
| 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.)

|    | <u>CREDITOR</u> | <u>DESCRIPTION</u>                  | <u>VALUE CODE</u> |
|----|-----------------|-------------------------------------|-------------------|
| 1. | UBS             | Account Secured Premier Credit Line | N                 |
| 2. |                 |                                     |                   |
| 3. |                 |                                     |                   |
| 4. |                 |                                     |                   |
| 5. |                 |                                     |                   |

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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<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) |
|                                                                                                                            |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 1. Accts Merrimack County Savings Bank                                                                                     | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 2. IRA iShares Core S&P                                                                                                    | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 3. IRA iShares Russell 1000                                                                                                | B                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 4. IRA iShares MSCI EAFE                                                                                                   | C                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 5. IRA iBoxx \$ Invt                                                                                                       | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 6. IRA iShares Core US AGG Bond                                                                                            | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 7. IRA iShares Tips Bond                                                                                                   | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 8. IRA iShares Short Term Corp Bond                                                                                        | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 9. IRA SPDR Bloomberg Barclay High Yield Bond                                                                              | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 10. IRA Vanguard Value                                                                                                     | B                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 11. IRA Vanguard Mid-Cap                                                                                                   | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 12. IRA Vanguard FTSE Emerg Mkts                                                                                           | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 13. ExxonMobil Corp                                                                                                        | A                                      | Dividend                                      | J                                              | T                                         | Buy<br>(add'l)                                  | 05/28/19                | J                               |                                |                                                                   |
| 14. UBS Retirement Money Fund (UBS Bank USA Dep Acct)                                                                      | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 15. Piglet Investment Club Partnership Shares (See Part VIII)                                                              | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 16. -UBS RMA Cash Account                                                                                                  | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 17. -Apple Inc                                                                                                             | A                                      | Dividend                                      | J                                              | 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                                             |                        |

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☐ 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       |                         |                                 |                                |                                                                   |
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| 18. -Exact Sciences Corp                                                                                                   |                                        | None                                          | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 19. -Hasbro Inc                                                                                                            | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 20. -Microsoft Corp                                                                                                        | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 21. -Nike Inc                                                                                                              | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 22. -Proofpoint Inc                                                                                                        |                                        | None                                          | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 23. -Upwork Inc                                                                                                            |                                        | None                                          | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 24. -Alibaba Group Ltd                                                                                                     |                                        | None                                          | J                                              | T                                         | Buy                                             | 09/04/19                | J                               |                                |                                                                   |
| 25. -Lyft, Inc                                                                                                             |                                        | None                                          | J                                              | T                                         | Buy                                             | 11/06/19                | J                               |                                |                                                                   |
| 26. -Splunk, Inc                                                                                                           |                                        | None                                          | J                                              | T                                         | Buy                                             | 05/08/19                | J                               |                                |                                                                   |
| 27. -Target Corp                                                                                                           | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 01/19/19                | J                               |                                |                                                                   |
| 28. UBS Bank USA Dep Acct                                                                                                  | A                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 29. Merrimack County Savings Bank NOW<br>Acct (2)                                                                          | A                                      | Interest                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 30. Enterprise Products Partners LP                                                                                        | B                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 31. iShares TR Russell 2000 Index Fund                                                                                     | B                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 32. iShares Trust Russell Midcap Growth Index<br>Fund                                                                      | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 33. Apple Inc                                                                                                              | B                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 34. Simon Property Group Inc                                                                                               | B                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (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. iShares iBoxx Invt Grade DE Corp Bond Fund                                                                             | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 36. Fairfax Cty VA Pub Ser A                                                                                               | B                                      | Interest                               |                                                |                                    | Sold                                      | 04/01/19         | K                        | B                       |                                                            |
| 37. Danaher Corp                                                                                                           | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 38. Alphabet Inc. CL A                                                                                                     |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 39. JP Morgan Chase & Company                                                                                              | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 05/28/19         | J                        |                         |                                                            |
| 40. Starbucks Corp                                                                                                         | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 41. VISA Inc                                                                                                               | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 42. Alphabet Inc CL C                                                                                                      |                                        | None                                   | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 43. Home Depot Inc                                                                                                         | A                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 44. Janus Henderson Global Equity (Name Change)                                                                            | B                                      | Dividend                               | M                                              | T                                  | Buy<br>(add'l)                            | 12/19/19         | K                        |                         |                                                            |
| 45. iShares Trust Russell 1000                                                                                             | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 46. Celgene Corp                                                                                                           | B                                      | Dividend                               |                                                |                                    | Sold                                      | 01/08/19         | J                        | A                       |                                                            |
| 47. Chubb Ltd                                                                                                              | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 48. Janus Henderson Global FDS Euro                                                                                        | A                                      | Dividend                               |                                                |                                    | Sold                                      | 04/02/19         | L                        | B                       |                                                            |
| 49. Washington Prime Group Inc Com                                                                                         | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 50. Biogen Inc                                                                                                             | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 51. British American Tobacco PLC                                                                                           | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
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| 52. HCA Healthcare Inc                                                                                                     | B                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 53. Veritiv Corp Com                                                                                                       |                                        | None                                          | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 54. SPDR S&P MidCap 400 ETF TR                                                                                             | C                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 55. Technology Sector SPDR Trust SHS                                                                                       | B                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 56. Johnson County Kansas Water District #1 Bond                                                                           | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 57. Brentwood Tennessee G.O. Bond                                                                                          | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 58. Minn St Colleges & SR A Revenue Bond                                                                                   | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 59. Vermont Municipal Bond Bank SRL Revenue Bond                                                                           | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 60. Pimco Real Return Fund Class A                                                                                         | B                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 61. Calamos Market Neutral Income Fund Class A                                                                             | B                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 62. First Eagle Global Fund Class A                                                                                        | B                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 63. Shumac LLC 50% Int (Holds Lake Property in Merrimack County, NH)                                                       |                                        | None                                          | O                                              | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 64. Pleasant Lake Cottages, LLC (Real Estate)                                                                              |                                        | None                                          | O                                              | W                                         |                                                 |                         |                                 |                                |                                                                   |
| 65. R.P. Jobin, Personal Loan                                                                                              |                                        | None                                          | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 66. Verizon Communications Inc                                                                                             | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 67. PNC Financial Services Group                                                                                           | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 68. PepsiCo Inc                                                                                                            | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
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| 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

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Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/12/2020

## 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) |

|                                       |   |          |   |   |                |          |   |  |  |
|---------------------------------------|---|----------|---|---|----------------|----------|---|--|--|
| 69. Salesforce.com Inc                |   | None     | J | T |                |          |   |  |  |
| 70. Thermo Fisher Scientific Inc      | A | Dividend | J | T |                |          |   |  |  |
| 71. UnitedHealth Group                | A | Dividend | J | T |                |          |   |  |  |
| 72. Gilead Sciences Inc               | A | Dividend | K | T |                |          |   |  |  |
| 73. Microsoft Corp                    | A | Dividend | J | T | Buy<br>(add'l) | 07/29/19 | J |  |  |
| 74. Berkshire Hathaway Inc            |   | None     | J | T | Buy<br>(add'l) | 08/27/19 | J |  |  |
| 75. Costco Wholesale Corp             | A | Dividend | J | T |                |          |   |  |  |
| 76. Dominion Energy Inc (Name Change) | A | Dividend | J | T |                |          |   |  |  |
| 77. SPDR S&P Midcap 600               | A | Dividend | K | T |                |          |   |  |  |
| 78. Ecolab, Inc                       | A | Dividend | J | T |                |          |   |  |  |
| 79. Medtronic Holding Ltd             | A | Dividend | J | T |                |          |   |  |  |
| 80. Vanguard REIT ETF                 | A | Dividend | K | T |                |          |   |  |  |
| 81. Facebook Inc                      | A | Dividend | J | T |                |          |   |  |  |
| 82. Broadcom Ltd                      | A | Dividend | J | T |                |          |   |  |  |
| 83. Hess Corp                         | A | Dividend | J | T |                |          |   |  |  |
| 84. Northrop Grumman Corp             | A | Dividend | J | T |                |          |   |  |  |
| 85. Raytheon Co                       | A | Dividend | J | 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                                             |                        |

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Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/12/2020

## 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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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (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. Ivy Intl Core Equity                                                                                                   | A                                      | Dividend                               |                                                |                                    | Sold                                      | 05/29/19         | L                        | B                       |                                                            |
| 87. Vanguard Midcap ETF                                                                                                    | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 88. Kraft Heinz Co                                                                                                         | A                                      | Dividend                               |                                                |                                    | Sold                                      | 08/19/19         | J                        | A                       |                                                            |
| 89. TE Connectivity Ltd                                                                                                    | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 90. KeyCorp New                                                                                                            | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 91. Digital Realty Trust                                                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 92. Merck & Co New                                                                                                         | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 93. Fortive Corp                                                                                                           | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 94. Affiliated Mgrs Grp                                                                                                    | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 95. Ameriprise Fin Inc                                                                                                     | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 96. Union Pacific Corp                                                                                                     | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 97. Bioverativ Inc (Veritiv Corp)                                                                                          |                                        | None                                   |                                                |                                    | Sold                                      | 01/06/19         | J                        | A                       |                                                            |
| 98. Amazon Inc                                                                                                             |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 99. American Tower Corp                                                                                                    | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 100. Allergan PLC                                                                                                          | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 101. Eaton Corp PLC                                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 102. Booking Holdings Inc                                                                                                  | A                                      | Dividend                               | J                                              | T                                  | Buy<br>(add'l)                            | 08/27/19         | J                        |                         |                                                            |

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

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Name of Person Reporting

McAuliffe, Steven J.

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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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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (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. Altria Group Inc                                                                                                      | A                                      | Dividend                               |                                                |                                    | Sold                                      | 03/28/19         | J                        | A                       |                                                            |
| 104. Caterpillar Inc                                                                                                       | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 105. Conoco Phillips                                                                                                       | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 106. Halliburton Co                                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 107. Oppenheimer Dev Mkts                                                                                                  | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 108. AT&T Inc                                                                                                              | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 109. Campbell Soup Co                                                                                                      | A                                      | Dividend                               |                                                |                                    | Sold                                      | 06/24/19         | J                        | A                       |                                                            |
| 110. Ford Motor Co                                                                                                         | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 111. General Electric Co                                                                                                   | A                                      | Dividend                               |                                                |                                    | Sold                                      | 08/19/19         | J                        | A                       |                                                            |
| 112. McDonald's Corp                                                                                                       | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 113. Netflix Inc                                                                                                           |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 114. Proctor & Gamble Co                                                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 115. United Tech Corp                                                                                                      | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 116. Wal-Mart Inc                                                                                                          | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 117. Adobe Inc                                                                                                             | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 03/12/19         | J                        |                         |                                                            |
| 118. Walt Disney Co                                                                                                        | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 05/28/19         | J                        |                         |                                                            |
| 119. iShares MSCI EAFE ETF                                                                                                 | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 04/02/19         | K                        |                         |                                                            |

|                         |                                 |                            |                               |                                |                        |
|-------------------------|---------------------------------|----------------------------|-------------------------------|--------------------------------|------------------------|
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| 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                 |                        |
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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (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) |
| 120. Amer Funds Euro Pacific                                                                                               | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 08/27/19                | K                               |                                |                                                                   |
| 121. New Hampshire St Bus Sr A RV                                                                                          | B                                      | Interest                                      | K                                              | T                                         | Buy                                             | 04/12/19                | K                               |                                |                                                                   |
| 122. Apple Inc [C]                                                                                                         | B                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 123. Danaher Corp [C]                                                                                                      | B                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 124. JP Morgan Chase & Company [C]                                                                                         | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 125. Oracle Corp [C]                                                                                                       | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 05/30/19                | K                               | C                              |                                                                   |
| 126. UnitedHealth Group [C]                                                                                                | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 127. UBS Pace Money Market Investments Fund<br>Class P [K]                                                                 | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 128. F. Templeton Global Bond A [K]                                                                                        | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 129. Arbitrage Fund [K]                                                                                                    | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 130. BlackRock Equity Dividend Fund [K]                                                                                    | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 131. Calamos Market Neutral Income Fund [K]                                                                                | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 132. Calamos International Growth Fund [K]                                                                                 | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 133. Dreyfus Small Cap Value Fund (Name<br>Change:BNY Mellow Opp SmCapFd) [K]                                              | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 134. Natixis Loomis Sayles Core Plus Bond Fund<br>[K]                                                                      | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 135. Royce Premier Fund [K]                                                                                                | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 136. Laudus Growth Inv US Large Cap Fund [K]                                                                               | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |

|                         |                                 |                            |                               |                                |                        |
|-------------------------|---------------------------------|----------------------------|-------------------------------|--------------------------------|------------------------|
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| (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    |                                |                        |
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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (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. UBS Pimco College Fund 529(1) [K]                                                                                     | A                                      | Interest                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 138. UBS Pimco College Fund 529(2) [K]                                                                                     | A                                      | Interest                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 139. Fidelity Advisor Materials Fund Class A [K]                                                                           | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 140. Invesco Developing Markets Fund Class A [K]                                                                           | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 141. Oakmark International Fund [K]                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 142. Delaware Corporate Bond Fund A [K]                                                                                    | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 143. Ivy High Income Fund [K]                                                                                              | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 144. Metropolitan West Total Return Bond Fund [K]                                                                          | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 145. Pimco Real Return Fund [K]                                                                                            | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 146. Virtus Seix High Grade Municipal Bd Fd (frmrlly "Ridgeworth") [K]                                                     | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 147. T. Rowe Price Tax Free Short Intermediate Fund [K]                                                                    | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 148. TCW Emerging Markets Income Fund [K]                                                                                  | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 149. MainStay Marketfield Fund [K]                                                                                         | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 150. First Eagle Global Fund [K]                                                                                           | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 151. Celgene Corp [C]                                                                                                      |                                        | None                                   |                                                |                                    | Sold                                      | 01/08/19         | K                        | B                       |                                                            |
| 152. Berkshire Hathaway Inc [C]                                                                                            |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 153. Chubb Ltd [C]                                                                                                         | 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

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Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/12/2020

## 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) |
| 154. Costco Wholesale Corp [C]                                                                                             | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 155. Dominion Energy (Name Change) [C]                                                                                     | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 156. PNC Financial Services Group [C]                                                                                      | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 157. PepsiCo Inc [C]                                                                                                       | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 158. Verizon Communications Inc [C]                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 159. Ameriprise Fin Inc [C]                                                                                                | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 160. Broadcom Ltd [C]                                                                                                      | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 161. Ecolab Inc [C]                                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 162. Facebook Inc [C]                                                                                                      |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 163. Vanguard Mid Cap FD [C]                                                                                               | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 164. Vanguard REIT ETF [C]                                                                                                 | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 165. Affiliated Mgrs Group [C]                                                                                             | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 166. Digital Realty Trust Inc [C]                                                                                          |                                        | None                                   | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 167. Hess Corp [C]                                                                                                         | A                                      | Dividend                               |                                                |                                    | Sold                                      | 08/29/19         | J                        | A                       |                                                            |
| 168. KeyCorp New [C]                                                                                                       | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 169. Northrop Grumman Corp [C]                                                                                             | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 170. Raytheon Co [C]                                                                                                       | 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 |
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| 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

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Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/12/2020

## 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. Home Depot Inc [C]                                                                                                    | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 172. Union Pacific Corp [C]                                                                                                | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 173. SPDR S&P 600 Small Cap [C]                                                                                            | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 174. Oppenheimier Dev Mkts [C]                                                                                             | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 175. Starbucks Corp [C]                                                                                                    | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 176. Visa Inc [C]                                                                                                          | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 177. Fortive Corp [C]                                                                                                      | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 178. Conoco Phillips [C]                                                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 179. Amazon Inc [C]                                                                                                        | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 180. Caterpillar Inc [C]                                                                                                   | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 181. Altria Group Inc [C]                                                                                                  | A                                      | Dividend                               |                                                |                                    | Sold                                      | 03/28/19         | J                        | A                       |                                                            |
| 182. Eaton Corp PLC [C]                                                                                                    | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 183. Booking Holdings Inc [C]                                                                                              | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 184. American Tower Corp [C]                                                                                               | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 185. AT&T Inc [C]                                                                                                          | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 186. Campbell Soup Co [C]                                                                                                  | A                                      | Dividend                               |                                                |                                    | Sold                                      | 06/24/19         | J                        | A                       |                                                            |
| 187. Ford Motor Co [C]                                                                                                     | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                         |                                 |                            |                               |                                |                        |
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| 2 Value Codes           | J =\$15,000 or less             | K =\$15,001 - \$50,000     | L =\$50,001 - \$100,000       | M =\$100,001 - \$250,000       |                        |
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| 3 Value Method Codes    | Q =Appraisal                    | R =Cost (Real Estate Only) | S =Assessment                 | T =Cash Market                 |                        |
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# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/12/2020

## 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) |

|                                               |   |          |   |   |      |          |   |   |  |
|-----------------------------------------------|---|----------|---|---|------|----------|---|---|--|
| 188. General Electric Co [C]                  | A | Dividend |   |   | Sold | 08/19/19 | J | A |  |
| 189. McDonald's Corp [C]                      | A | Dividend | J | T |      |          |   |   |  |
| 190. Netflix Inc [C]                          |   | None     | J | T |      |          |   |   |  |
| 191. Proctor & Gamble Co [C]                  | A | Dividend | J | T |      |          |   |   |  |
| 192. United Tech Corp [C]                     | A | Dividend | J | T |      |          |   |   |  |
| 193. Wal-Mart Inc [C]                         | A | Dividend | J | T |      |          |   |   |  |
| 194. Vanguard FTSE Dev Mkt [C]                | B | Dividend | M | T |      |          |   |   |  |
| 195. Vanguard Index FDS S&P [C]               |   | None     |   |   | Sold | 03/14/19 | J |   |  |
| 196. iShares Core S&P Small Cap [C]           | A | Dividend | J | T |      |          |   |   |  |
| 197. iShares Russell 1000 Growth [C]          | A | Dividend | K | T |      |          |   |   |  |
| 198. iShares MSCI EAFE [C]                    | A | Dividend | K | T |      |          |   |   |  |
| 199. Vanguard Value ETF [C]                   | A | Dividend | K | T |      |          |   |   |  |
| 200. Vanguard Mid-Cap ETF [C]                 | A | Dividend | J | T |      |          |   |   |  |
| 201. Vanguard FTSE Emerging Mkts [C]          | A | Dividend | K | T |      |          |   |   |  |
| 202. iShares iBoxx & Invt Grade Corp Bond [C] | A | Dividend | J | T |      |          |   |   |  |
| 203. iShares Core US Agg Bond [C]             | A | Dividend | J | T |      |          |   |   |  |
| 204. iShares Tips Bond [C]                    | A | Dividend | J | T |      |          |   |   |  |

|                         |                                 |                            |                               |                                |                        |
|-------------------------|---------------------------------|----------------------------|-------------------------------|--------------------------------|------------------------|
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| (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       |                        |
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| (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.)

☐

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|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (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. iShares Natl Muni Bond [C]                                                                                            | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 206. iShares Short Term Natl Muni Bond [C]                                                                                 | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 207. SPDR Bloomberg Barclay High Yield Bond [C]                                                                            | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 208. Vanguard Total Intl Bond [C]                                                                                          | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 209. Adobe Inc [C]                                                                                                         | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 03/12/19         | J                        |                         |                                                            |
| 210. ExxonMobil Corp [C]                                                                                                   | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 03/12/19         | J                        |                         |                                                            |
| 211. Halliburton Co [C]                                                                                                    | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 03/12/19         | J                        |                         |                                                            |
| 212. Walt Disney Co [C]                                                                                                    | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 05/28/19         | J                        |                         |                                                            |
| 213. Alphabet Inc CL A [C]                                                                                                 | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 03/12/19         | K                        |                         |                                                            |

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

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

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

T =Cash Market

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

McAuliffe, Steven J.

Date of Report

05/12/2020

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

### PART VII. INVESTMENTS AND TRUSTS.

Trust #1 assets are listed in Part VII, identified by the designation "[C]."

### PART VII. INVESTMENTS AND TRUSTS.

Line 17. Piglet Investment Club Partnership - Aggregated (specific holdings are listed below main entry and designated by "-").

### PART VII. INVESTMENTS AND TRUSTS.

2018 Report Line 80 is included in 2019 Line 47.

2018 Report Line 90 is included in 2019 Line 43.

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

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## 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/ Steven J. McAuliffe

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