

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

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

1. Person Reporting (last name, first, middle initial) AFRICK, LANCE M.	2. Court or Organization USDC, EASTERN DISTRICT OF LA	3. Date of Report 12/09/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) FULL-TIME U.S. DISTRICT JUDGE	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☒ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address 500 POYDRAS STREET ROOM C-405 NEW ORLEANS, LA 70130		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

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

☐ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. PAST EXECUTIVE COMMITTEE MEMBER AND PAST PRESIDENT	ALLSTATE SUGAR BOWL
2. DIRECTOR	AFRICK FAMILY FOUNDATION, INC.
3. BOARD OF DIRECTORS	COVENANT HOUSE
4.	
5.	

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

Page 2 of 27

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

12/09/2020

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

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

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

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2019	CARLISLE ENERGY GROUP, INC. - WAGES
2. 2019	CRESCENT DRILLING & PRODUCTION - WAGES
3.	
4.	

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

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. NEW ORLEANS BAR ASSOCIATION	03/28/19-03/31/19	Point Clear, Alabama	Bench Bar Conference	Hotel expenses
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
AFRICK, LANCE M.	12/09/2020

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

☒ NONE (No reportable gifts.)

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

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

☒ NONE (No reportable liabilities.)

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

FINANCIAL DISCLOSURE REPORT

Page 4 of 27

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

12/09/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. American Municipal Power OH Callable Bond BV5	A	Interest			Redeemed	02/15/19	K	A	
2. Maryland St. Health & Higher Bond 5P6 Municipal Bond	B	Interest			Redeemed	07/01/19	K	A	
3. Illinois State FGIC Bond 3D5 Municipal Bond	C	Interest	L	T					
4. Columbus OH City Sch Callable Bond T38	B	Interest			Redeemed	12/02/19	K	A	
5. Florida St A26 Municipal Bond	D	Interest			Redeemed	07/01/19	M	A	
6. Atlanta GA Water & Wastewater Rev Bond SER A CY4	C	Interest	L	T					
7. Houston TX HWO Municipal Bond	B	Interest			Redeemed	05/15/19	L	A	
8. Kentucky Infrastruct Callable Bond 5A6 Municipal Bond	C	Interest	L	T					
9. Metropolitan Trans AUNY SER A (2) NS9 Municipal Bond	C	Interest			Redeemed	11/15/19	L	A	
10. Metropolitan Trans Auth Asur D (2) RL5 Municipal Bond	B	Interest	K	T					
11. Florida St G44 Municipal Bond	B	Interest	L	T					
12. John Hancock Variable Annuity Managed Volatility Growth Fund		None	N	T	Sold (part)	01/28/19	J		
13.					Sold (part)	02/28/19	J		
14.					Sold (part)	03/28/19	J		
15.					Sold (part)	04/28/19	J		
16.					Sold (part)	05/28/19	J		
17.					Sold (part)	06/28/19	J		

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18.					Sold (part)	07/28/19	J		
19.					Sold (part)	08/28/19	J		
20.					Sold (part)	09/28/19	J		
21.					Sold (part)	10/28/19	J		
22.					Sold (part)	11/28/19	J		
23.					Sold (part)	12/28/19	J		
24. Blackrock MUN Target Term Trust BTT	B	Dividend	L	T					
25. Nuveen Inter Duration NID Municipal Term Fund	C	Dividend	L	T					
26. Pimco Dynamic Credit and Mortgage Income Fund PCI	C	Dividend	L	T					
27. Louisiana St H52 Municipal Bond	C	Interest	L	T					
28. Pueblo Cnty Colo CTFS Partn Cnty Judicial Complex CL4 Municipal Bond	B	Interest	K	T					
29. Boynton Beach Fla Util Sys Rev EF9 Municipal Bond	B	Interest	K	T					
30. Louisiana LOC GOVT Environmental Assur SR B EU8 Municipal Bond	B	Interest			Redeemed	10/01/19	K	A	
31. Center Coast MLP & Infrastructure FD	A	Distribution			Sold	02/01/19	K	A	
32. New Jersey G96 Municipal Bond	D	Interest	M	T					
33. Midland Cnty TEX Fresh WTR Supply DIST (2) AS9 Municipal Bond	D	Interest	N	T					
34. Univ WI BZ5 Municipal Bond	C	Interest	L	T					

1 Income Gain Codes:
(See Columns B1 and D4)

2 Value Codes
(See Columns C1 and D3)

3 Value Method Codes
(See Column C2)

A =\$1,000 or less
F =\$50,001 - \$100,000
J =\$15,000 or less
N =\$250,001 - \$500,000
P3 =\$25,000,001 - \$50,000,000
Q =Appraisal
U =Book Value

B =\$1,001 - \$2,500
G =\$100,001 - \$1,000,000
K =\$15,001 - \$50,000
O =\$500,001 - \$1,000,000
R =Cost (Real Estate Only)
V =Other

C =\$2,501 - \$5,000
H1 =\$1,000,001 - \$5,000,000
L =\$50,001 - \$100,000
P1 =\$1,000,001 - \$5,000,000
P4 =More than \$50,000,000
S =Assessment
W =Estimated

D =\$5,001 - \$15,000
H2 =More than \$5,000,000
M =\$100,001 - \$250,000
P2 =\$5,000,001 - \$25,000,000
T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

Page 6 of 27

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

12/09/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
35. Apple Inc.	A	Dividend	L	T					
36. NJ Eco WS8 Municipal Bond	A	Interest			Redeemed	09/03/19	K	A	
37. Nuveen Ltd Municipal Bond Fund Q822	B	Dividend	L	T					
38. Johnson & Johnson	A	Dividend	J	T					
39. Proctor & Gamble PG	A	Dividend	J	T					
40. Apple Inc	A	Dividend	J	T					
41. New York ST NR3 Municipal Bond	B	Interest			Redeemed	07/01/19	K	A	
42. Pennsylvania ST TPK Commn TPK REV for Issued DTD GFO Municipal Bond	C	Interest	L	T					
43. Boeing Company Symbol BA Common Stock	A	Dividend	K	T					
44. British Amer Tobacco PLC GB SPON ADR BTI Common Stock	A	Dividend	J	T					
45. Colgate Palmolive Co Symbol CL Common Stock	A	Dividend	J	T					
46. Crane Co Symbol CR Common Stock	A	Dividend	J	T					
47. Diago PLC New GB SPON ADR Symbol DEO	A	Dividend	J	T					
48. Home Depot Inc Symbol HD Common Stock	A	Dividend	J	T					
49. Illinois Tool Works Inc Symbol ITW Common Stock	A	Dividend	J	T					
50. Intel Corp Symbol INTC Common Stock	A	Dividend	J	T					
51. Microsoft Corp Symbol MSFT Common Stock	A	Dividend	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 7 of 27

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

12/09/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
52. Medtronic PLC Symbol MDT Foreign Stock	A	Dividend	J	T					
53. Novartis AG SPON ADR Symbol NVS	A	Dividend	J	T					
54. Nextera Energy Inc COM Symbol NEE Common Stock	A	Dividend	K	T					
55. Occidental Petroleum CRP Symbol OXY Common Stock	A	Dividend	J	T					
56. Pepsico Inc Symbol PEP Common Stock	A	Dividend	J	T					
57. Rockwell Automation Inc NEW Symbol ROK	A	Dividend	J	T					
58. Texas Instruments Symbol TXN Common Stock	A	Dividend	K	T					
59. Union Pacific Corp Symbol UNP Common Stock	A	Dividend	J	T					
60. United Technologies Corp Symbol UTX Common Stock	A	Dividend	J	T					
61. VF Corp Symbol VFC Common Stock	A	Dividend	J	T					
62. Yum Brands Inc Symbol YUM Common Stock	A	Dividend	J	T					
63. New Jersey ST LQ2 Municipal Bond	A	Interest			Redeemed	01/03/19	J	A	
64. Ecolab Inc Symbol ECL Common Stock	B	Dividend	M	T					
65. Tampa-Hillborough FL2 Municipal Bond	C	Interest	L	T					
66. Delaware VY ER3 Municipal Bond	A	Interest	K	T					
67. Mass ST GO Consol Ln SR A QV5 Municipal Bond	A	Interest			Redeemed	03/01/19	K	A	
68. Miami-Dade Cnty GS4 Municipal Bond	C	Interest	L	T					

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
69. Connecticut ST LQ6 Municipal Bond	A	Interest			Redeemed	06/10/19	J	A	
70. New York ST MY6 Municipal Bond	B	Interest	L	T					
71. Broward CO FL VC9 Municipal Bond	D	Interest	M	T					
72. Jacksonville FL KA3 Municipal Bond	A	Interest	J	T					
73. Deltona FL BZ2 Municipal Bond	B	Interest	K	T					
74. Tangipahoa Par DK5 Municipal Bond	A	Interest	K	T					
75. Memphis Ctr BL7 Municipal Bond	C	Interest	L	T					
76. California St YB4 Municipal Bond	B	Interest	L	T					
77. Daytona Beach FL CF2 Municipal Bond	B	Interest	L	T					
78. NJ ECO V26 Municipal Bond	D	Interest	M	T					
79. Las Vegas Q60 Municipal Bond	B	Interest			Redeemed	04/01/19	K	A	
80. Southern ILL Univ Revs X89 Municipal Bond	A	Interest	J	T					
81. Tampa FL BH3 Municipal Bond	C	Interest	L	T					
82. Vermont St DR3 Municipal Bond	C	Interest			Redeemed	07/01/19	L	A	
83. Philadelphia PA WL1 Municipal Bond	A	Interest	J	T					
84. Conneticut ST JU7 Municipal Bond	C	Interest	L	T					
85. Daytona Beach CC9 Municipal Bond	D	Interest	M	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

Page 9 of 27

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

12/09/2020

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
86. Will Co KL8 Municipal Bond	B	Interest	K	T					
87. Indiana Mun Pwr QM2 Municipal Bond	A	Interest			Redeemed	01/02/19	K	A	
88. NJ ECO T78 Municipal Bond	C	Interest	L	T					
89. Onondaga Cnty NY Indl AA4 Municipal Bond	B	Interest	K	T					
90. New York St Twy Auth St SR A VH3 Municipal Bond	D	Interest	M	T					
91. New Jersey Trans Trust SR AA U41 Municipal Bond	C	Interest	L	T					
92. New Jersey St A88 (Previously New Jersey St Tok Auth SER A)	B	Interest	K	T					
93. Univ Pittsburgh SR B RV HW9 Municipal Bond	B	Interest			Redeemed	09/16/19	K	A	
94. Oak Island NC Enterprise Asur BK9 Municipal Bond	A	Interest			Redeemed	06/03/19	J	A	
95. Palm Beach Co Fla Hsg SR A DG3 Municipal Bond	A	Interest			Redeemed	03/01/19	J	A	
96. Mass St Wtr Res Au SR B W97 Municipal Bond	A	Interest	K	T					
97. Blackrock Municipal Term Trust BKK	A	Dividend	K	T					
98. Blackrock Munivest Fund MVT	A	Dividend	K	T					
99. Blackrock Municipal Income Trust BFK	B	Dividend	K	T					
100. Invesco High Yield Municipal Fund	D	Dividend	M	T					
101. Aegon AEH Security	B	Dividend			Redeemed	12/16/19	K	A	
102. UBS Bank USA DEP	A	Interest	M	T					

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

FINANCIAL DISCLOSURE REPORT

Page 10 of 27

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

12/09/2020

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
103. Amazon Com Inc		None	J	T					
104. University TEX PERM UNIV FD SER A 4A4 Municipal Bond	C	Interest	M	T					
105. Southwest Higher ED AUTH INC TEX REV KV5 Municipal Bond	D	Interest	M	T					
106. Texas A&M UNIV REV FR1 Municipal Bond	D	Interest	M	T					
107. Port Auth NY & NJ RFDG WY6 Municipal Bond	D	Interest	M	T					
108. New York NY Q53 Municipal Bond	C	Interest	M	T					
109. Washington St for Issues 2017 YQ5 Municipal Bond	D	Interest	M	T					
110. New York NY CITY TRANS FIN AUTH N48 Municipal Bond REV	B	Interest	L	T					
111. Austin TX CMNTY COLLEGE DIST PUB FAC REV CX3 Municipal Bond	C	Interest	M	T					
112. Port ST Lucie FLA UTIL REV RFDG QD1 Municipal Bond	D	Interest	M	T					
113. Pennsylvania ST E57 Municipal Bond	D	Interest	M	T					
114. Miami-Dade CNTY FLA SER A RK8 Municipal Bond	D	Interest	M	T					
115. Houston TEX CMNTY COLLEGE SYS REV FX1 Municipal Bond	B	Interest	K	T					
116. Arizona ST TRANSN BRD RV XD2 Municipal Bond	D	Interest	M	T					
117. Allen TX INDPT SCH DIST RFDG LL6 Municipal Bond	C	Interest	M	T					
118. New York ST DORM AUTH ST SRB RV D46 Municipal Bond	D	Interest	M	T					
119. Indiana ST FIN AUTH WASTEWATER UTIL REV EZ5 Municipal Bond	D	Interest	M	T					

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

FINANCIAL DISCLOSURE REPORT

Page 11 of 27

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

12/09/2020

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
120. Univ HI JR8 Municipal Bond	D	Interest	M	T					
121. Texas WTR YG1 Municipal Bond	D	Interest	M	T					
122. Honolulu Hi Cnty -B SER B L36 Municipal Bond	D	Interest	M	T					
123. New York ST URBAN DEV SR A RV U97 Municipal Bond	D	Interest	M	T					
124. San Antonio TX WTR Syst SR B W66	D	Interest	M	T					
125. Lake Dallas TEX ISD Perma Q81 Municipal Bond	D	Interest	M	T					
126. Cameron CNTY TEX ISD Perma L70 Municipal Bond	D	Interest	M	T					
127. UNIV MI UNV RV QC7	D	Interest	M	T					
128. NO Harris GV2 Municipal Bond	D	Interest	M	T					
129. Bexar CNTY TX XW5 Municipal Bond	C	Interest	L	T					
130. Houston TX Util GU5 Municipal Bond	D	Interest	M	T					
131. Texas ST for Issues Q44 Municipal Bond	D	Interest	M	T					
132. New York NY for Previous A-1 FC8 Municipal Bond	D	Interest	M	T					
133. Pennsylvania St TPK SQ3 Municipal Bond	D	Interest	M	T					
134. Washington St for Issues SR C VM7 Municipal Bond	D	Interest	M	T					
135. Pennsylvania St TPK Comm Build AT BAM EU9 Municipal Bond	D	Interest	M	T					
136. Mi Mun Bd AV Clean Water 3V6 Municipal Bond	A	Interest	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 12 of 27

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

12/09/2020

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
137. New Jersey Health Care F FDO Municipal Bond	A	Interest	J	T					
138. City of NY A-1 Z58 Municipal Bond	B	Interest	K	T					
139. Austin TX EH1 Municipal Bond	A	Interest	K	T					
140. Chicago IL O Hare Intl A MN9 Municipal Bond	A	Interest	K	T					
141. Dallas TX Indpt Sch RPO Municipal Bond	A	Interest	J	T					
142. Dutchess Cnty Assur RV HE4 Municipal Bond	A	Interest	J	T					
143. Flour Bluff TX CY1 Municipal Bond	B	Interest	K	T					
144. Ohio State Sr B Pt7 Municipal Bond	D	Interest	M	T					
145. Tanger Factory Outlet Centers Inc SKT Common Stock	A	Dividend	J	T					
146. Yum China Hldgs Inc YUMC Common Stock	A	Dividend	J	T					
147. Titus Co TX Asur GD2 Municipal Bond	A	Interest			Redeemed	03/01/19	J	A	
148. El Monte CA UN High Sch Assur SR A NY2 Municipal Bond	B	Interest			Redeemed	06/03/19	K	A	
149. Marion Co FL Pub SrA Assur FK2	A	Interest			Redeemed	06/03/19	J	A	
150. Broward Cnty Fl Sch Brd VU5 Municipal Bond	A	Interest			Redeemed	06/01/19	J	A	
151. Chester Co PA Pref H41 Municipal Bond	A	Interest			Redeemed	07/15/19	J	A	
152. Maryland St for Issues D SrB BR8 Municipal Bond	B	Interest			Redeemed	08/01/19	K	A	
153. Marysville CA JT Uni Agr ND5 Municipal Bond	A	Interest			Redeemed	08/01/19	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 13 of 27

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

12/09/2020

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
154. Orange Cnty FL Sch Brd NSO Municipal Bond	A	Interest			Redeemed	08/01/19	J	A	
155. Texas St Technical Colle Assur CB6 Municipal Bond	A	Interest			Redeemed	08/01/19	J	A	
156. Texas St Technical Colle Assur CG5 Municipal Bond	C	Interest			Redeemed	08/01/19	L	A	
157. New York St Dorm Auth AY7 Municipal Bond	A	Interest			Redeemed	10/01/19	J	A	
158. Miami-Dade Cnty Fl Aria WT1 Municipal Bond	A	Interest			Redeemed	10/01/19	K	A	
159. Univ CT Genl Oblig SR A RY9 Municipal Bond	A	Interest			Redeemed	05/08/19	J	A	
160. Harris Co TX Hlth JC9 Municipal Bond	A	Interest	J	T					
161. Rhode IS St Econ DV Corp BCO Municipal Bond	A	Interest			Redeemed	07/01/19	J	A	
162. Michigan Mun BD Auth F72 Municipal Bond	A	Interest	K	T					
163. Columbia SC Wtrwks Swr Sr A TZ5 Municipal Bond	B	Interest	K	T					
164. Massachusetts St 5Q4 Municipal Bond	C	Interest	L	T					
165. New Jersey Health Care Radia ASO Municipal Bond	B	Interest			Redeemed	10/01/19	K	A	
166. Illinois HSG Dev Au Mult QH7 Municipal Bond	A	Interest	J	T					
167. Oklahoma Agric & Mechani BR8 Municipal Bond	B	Interest	K	T					
168. Louisiana St Transn Auth SrA AH8 Municipal Bond	D	Interest	N	T					
169. Tennessee St SrA RN9 Municipal Bond	A	Interest	K	T					
170. Southwind HSG Inv Evnsvl AC2 Municipal Bond	A	Interest			Redeemed	11/15/19	J	A	

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

FINANCIAL DISCLOSURE REPORT

Page 14 of 27

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

12/09/2020

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
171. North Carolina Estn Mun RV Radia VD9 Municipal Bond	A	Interest	J	T					
172. New Jersey Hlth FF5 Municipal Bond	A	Interest	K	T					
173. St of WA GO SrE GE4 Municipal Bond	A	Interest			Redeemed	02/01/19	K	A	
174. St of WA GO Sr E GM6 Municipal Bondv	A	Interest			Redeemed	02/01/19	J	A	
175. Conneticut St for Issue Sr A RBO Municipal Bond	A	Interest	K	T					
176. Albany Dougherty Municipal Bond AB6	A	Interest	J	T					
177. Univ HI Brd Reg Sr E JP2 Municipal Bond	B	Interest	K	T					
178. Texas St Univ Sys TV6 Municipal Bond	B	Interest	L	T					
179. Harris Co JD7 Municipal Bond	A	Interest	J	T					
180. Albany Dougherty Municipal Bond AA8	A	Interest	J	T					
181. New Jersey St EG1 Municipal Bond	B	Interest	K	T					
182. Beaumont Unified DG6 Municipal Bond	A	Interest	J	T					
183. Orange Cnty FL Health AY1 Municipal Bond	A	Interest			Redeemed	10/01/19	J	A	
184. Oregon St Dept CT9 Municipal Bond	A	Interest			Redeemed	11/05/19	J	A	
185. Louisiana LDC Govt NG5 Municipal Bond	D	Interest	M	T					
186. Massachusetts H&E JS1 Municipal Bond	B	Interest	K	T					
187. Livonia MI Pub Sch SUO Municipal Bond	A	Interest	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 15 of 27

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

12/09/2020

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
188. Harris Co Tx HW7 Municipal Bond	A	Interest	J	T					
189. Cleveland OH Income KGO Municipal Bond	B	Interest	L	T					
190. Austin TX EL2 Municipal Bond	A	Interest	J	T					
191. Chi IL MVO Municipal Bond	A	Interest	J	T					
192. Douglass Co DF2 Municipal Bond	A	Interest	K	T					
193. Dallas TX RS4 Municipal Bond	A	Interest	K	T					
194. Pennsylvania St Tpk CW1 Municipal Bond	B	Interest	K	T					
195. Alameda Corridor Municipal Bond GN9	C	Interest	L	T					
196. Miami-Dade Cnty BW5 Municipal Bond	A	Interest			Redeemed	10/01/19	J	A	
197. Riverside CA Elec QQ5 Municipal Bond	A	Interest			Redeemed	04/01/19	K	A	
198. Connecticut St Health 6U4 Municipal Bond	A	Interest	J	T					
199. City of NY NAO Municipal Bond	B	Interest	K	T					
200. Broward CO FL Arpt UE6 Municipal Bond	C	Interest	L	T					
201. Miami-Dade Cnty FL VX3 Municipal Bond	A	Interest			Redeemed	10/01/19	J	A	
202. Houston TX NL6 Municipal Bond	D	Interest	M	T					
203. Castle Rock CO DD1 Municipal Bond	B	Interest	K	T					
204. Idaho Health FACS VJ5 Municipal Bond	A	Interest	K	T					

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

FINANCIAL DISCLOSURE REPORT

Page 16 of 27

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

12/09/2020

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
205. Harris CO JE5 Municipal Bond	A	Interest	K	T					
206. Miami-Dade Cnty UZ4 Municipal Bond	C	Interest	L	T					
207. Dallas Ft Worth SR2 Municipal Bond	B	Interest	K	T					
208. Houston TX Util Sys JN8 Municipal Bond	A	Interest			Redeemed	05/15/19	J	A	
209. Hamilton Cnty OH YV5 Municipal Bond	A	Interest	K	T					
210. New York CItty X99 Municipal Bond	B	Interest	L	T					
211. Laredo TX GX5 Municipal Bond	B	Interest	K	T					
212. Franklin Cntty BN6 Municipal Bond	B	Interest	K	T					
213. Ohio St Pub DE1 Municipal Bond	B	Interest	K	T					
214. Mississippi St 7D5 Municipal Bond	B	Interest	K	T					
215. Atlanta GA Arpt RSO Municipal Bond	A	Interest	K	T					
216. Amgen Inc Common Stock	A	Dividend	K	T					
217. Bristol Myers Squibb CO Common Stock	A	Dividend	J	T					
218. Alphabet Inc CL A		None	J	T					
219. Exxon Mobil Corp Common Stock	A	Dividend	J	T					
220. Lockheed Martin Corp LMT Common Stock	A	Dividend	K	T					
221. Mondelez Intl Inc	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 17 of 27

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

12/09/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
222. Total SA Francis SPON ADR Symbol TOT	A	Dividend	J	T					
223. United Parcel Service CL B Stock Symbol UPS	A	Dividend	J	T					
224. NB Strategic Co (2) (Y)									
225. UBS Bank USA Dep Acct	A	Interest	K	T					
226. JP Morgan Strategic Income	A	Dividend	K	T					
227. Blackrock Strategic Income Opportunities (Previously Blackrock BSIIX)	A	Dividend	K	T					
228. Thornburg Limited Term Municipal	B	Dividend	L	T					
229. Amgen Inc AMGN	A	Dividend	J	T					
230. Boeing Company BA	A	Dividend	J	T					
231. British Amer BTI	A	Dividend			Sold	01/03/19	J	A	
232. Colgate CL	A	Dividend	J	T					
233. Alphabet Inc GOOGL		None	J	T					
234. Crane Co CR	A	Dividend	J	T					
235. Duagei PLC DEO	A	Dividend	J	T					
236. Home Depot Inc HD	A	Dividend	J	T					
237. Illinois Tool ITW	A	Dividend	J	T					
238. Intel Corp INTL	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 18 of 27

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

12/09/2020

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
239. Lockheed Martin LMT	A	Dividend	J	T					
240. Microsoft Corp MSFT	A	Dividend	J	T					
241. Medtronic MDT	A	Dividend	J	T					
242. Novartis NVS	A	Dividend	J	T					
243. Nextero NEE	A	Dividend	J	T					
244. Pepsico Inc PEP	A	Dividend	J	T					
245. Rockwell Automation ROK	A	Dividend	J	T					
246. Texas Instruments TXN	A	Dividend	J	T					
247. Union Pacific Corp UNP	A	Dividend	J	T					
248. Total SA France TOT	A	Dividend	J	T					
249. United Parcel Service UPS	A	Dividend	J	T					
250. United Technologies UTX	A	Dividend	J	T					
251. YUMI Brands YUM	A	Dividend	J	T					
252. Nuveen Short Duration NVHIX Q699	B	Dividend	K	T					
253. Accenture PLC Ireland CL A Foreign Stock ACN	A	Dividend	J	T					
254. Amazon AMZN		None	K	T					
255. Chevron Corp	A	Dividend	J	T					

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

FINANCIAL DISCLOSURE REPORT

Page 19 of 27

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

12/09/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
256. McDonalds Corp	A	Dividend	J	T					
257. Suncor SU	A	Dividend	J	T					
258. Louisiana St Gas & Fuels SR6 Municipal Bond	B	Interest	K	T					
259. Louisiana St Gas & Fuels SZ8 Municipal Bond	C	Interest	L	T					
260. Atlanta GA WTR & Wastewater PG9 Municipal Bond	B	Interest			Redeemed	11/01/19	K	A	
261. Atlanta GA WTR & Wastewater PP9 Municipal Bond	A	Interest			Redeemed	11/01/19	J	A	
262. New York St Z87 Municipal Bond	B	Interest	L	T					
263. Univ Houston TX EA8 Municipal Bond	A	Interest	J	T					
264. Univ CA SR6 5Z4 Municipal Bond	A	Interest	K	T					
265. Univ CA RV 6S9 Municipal Bond	A	Interest	K	T					
266. Dallas Fort Worth TL4 Municipal Bond	D	Interest	M	T					
267. Florida St XU3 Municipal Bond	C	Interest	M	T					
268. Ohio St DD3 Municipal Bond	C	Interest	L	T					
269. Alabama Fed Aid Municipal Bond AQ3	C	Interest	L	T					
270. Dallas TX RMO Municipal Bond	C	Interest	M	T					
271. Univ OK NX2 Municipal Bond	C	Interest	M	T					
272. Austin TX JU1 Municpal Bond	C	Interest	L	T					

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
273. North TX PX5 Municipal Bond	B	Interest	L	T					
274. Ohio St QK3 Municipal Bond	B	Interest	L	T					
275. The Comwlth of MA KA3 Municipal Bond	C	Interest	L	T					
276. MassachuettS St YA3 Municipal Bond	C	Interest	L	T					
277. Ohio St JW5 Municipal Bond	C	Interest	M	T					
278. Massachusetts ST EB8 Municipal Bond	C	Interest	L	T					
279. Atlanta GA ZW1 Municipal Bond	C	Interest	L	T					
280. Dutchess Cnty JV5 Municipal Bond	A	Interest	K	T					
281. Pennsylvania St S46 Municipal Bond	C	Interest	L	T					
282. Central Puget Sound GFO Municipal Bond	C	Interest	M	T					
283. District Columbia GJ8 Municipal Bond	C	Interest	L	T					
284. Utility Debt BT5 Municipal Bond	D	Interest	M	T					
285. Washington ST F86 Municipal Bond	C	Interest	M	T					
286. Texas A&M FNO Municipal Bond	C	Interest	M	T					
287. District Columbia ULO Municipal Bond	C	Interest	L	T					
288. Oregon St A72 Municipal Bond	C	Interest	L	T					
289. New Jersey R93 Municipal Bond	C	Interest	M	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
290. Univ VA WM1 Municipal Bond	C	Interest	L	T					
291. Philadelphia PA ZBO Municipal Bond	C	Interest	M	T					
292. NB Strategic LP Invest	C	Int./Div.	M	T	Buy (add'l)	03/08/19	J		
293.					Buy (add'l)	08/22/19	J		
294.					Buy (add'l)	10/31/19	J		
295. AlphaKeys Tac Opp III Publicly Traded Ptnshp (Previously Alpha Keys)		None	K	T	Buy (add'l)	04/22/19	K		
296.					Buy (add'l)	09/03/19	K		
297. District Columbia RR1 Municipal Bond	C	Interest	L	T					
298. Virginia Commnth Bond BD1 Municipal Bond	D	Interest	M	T					
299. Cucamonga VY CA BQ6 Municipal Bond	C	Interest	L	T					
300. Cucamonga VY CA CK8 Municipal Bond	B	Interest	K	T					
301. Pretium Residential 9D6	D	Distribution	M	T					
302. District Columbia DC1 Municipal Bond	C	Interest	M	T					
303. RI Clean Wtr GC6 Municipal Bond	C	Interest	M	T					
304. New York St 5A5 Municipal Bond	C	Interest	M	T					
305. Univ NE 4Z5 Municipal Bond	C	Interest	M	T					
306. Port Auth NY & NJ X41 Municipal Bond	D	Interest	M	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

Page 22 of 27

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

12/09/2020

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
307. Walt Disney DIS Common Stock	A	Dividend	J	T					
308. SPDR S&P Exchange Traded Fund XBI	A	Dividend	J	T					
309. Accenture PLC ACN	A	Dividend	J	T					
310. Stryker Corp SYK Common Stock	A	Dividend	J	T					
311. Pfizer Inc. PFE Common Stock	A	Dividend	J	T					
312. Walt Disney CO DIS	A	Dividend	J	T					
313. Ecolab Inc ECL	A	Dividend	J	T					
314. Stryker Corp DE SYK	A	Dividend	J	T					
315. Comcast Corp CMCSA	A	Dividend	J	T					
316. Blackrock Inc BLK	A	Dividend	J	T					
317. Chubb LTD CB	A	Dividend	J	T					
318. Suntrust Banks STI		None			Sold	01/03/19	J	A	
319. Amgen R AMGN	A	Dividend	J	T					
320. Comcast R CMCSA	A	Dividend	J	T					
321. Apple R AAPL Common Stock	A	Dividend	J	T					
322. Boeing R BA	A	Dividend	J	T					
323. Chevron R CVX	A	Dividend	J	T					

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

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
324. Colgate R CL	A	Dividend	J	T					
325. Alphabet R GOOGL		None	J	T					
326. Crane R CR	A	Dividend	J	T					
327. Diageo R DEO	A	Dividend	J	T					
328. Walt Disney Co R DIS	A	Dividend	J	T					
329. Ecolab R ECL	A	Dividend	J	T					
330. Home Depot R HD	A	Dividend	J	T					
331. Illinois Tool Works R ITW	A	Dividend	J	T					
332. Intel Corp R INTC	A	Dividend	J	T					
333. Johnson & Johnson R JNJ	A	Dividend	J	T					
334. Lockheed Martin R LMT	A	Dividend	J	T					
335. Microsoft Corp R MSFT	A	Dividend	J	T					
336. McDonalds Corp R MCD	A	Dividend	J	T					
337. Medtronic PLC R MDT	A	Dividend	J	T					
338. Nextera Energy R NEE	A	Dividend	J	T					
339. Pepisco Inc R PEP	A	Dividend	J	T					
340. Rockwell Automation R ROK	A	Dividend	J	T					

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

Page 24 of 27

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

12/09/2020

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

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
341. Accenture PLC R ACN	A	Dividend	J	T					
342. Styker Corp R SYK	A	Dividend	J	T					
343. Suncor Energy R SU	A	Dividend	J	T					
344. Texas Instruments R TXN	A	Dividend	J	T					
345. Union Pacific Corp R UNP	A	Dividend	J	T					
346. Untd Technologies Corp R UTX	A	Dividend	J	T					
347. Blackrock Inc R BLK	A	Dividend	J	T					
348. Chubb LTD R CB	A	Dividend	J	T					
349. Truist Finl Corp TFC (Previously Suntrust Banks R STI)	A	Dividend	J	T					
350. Pruco Life Insurance ILU Universal Whole Life		None	J	T					
351. PIMCO Energy & Tactical Credit Opportunities Fund NRGX	B	Dividend	K	T	Buy	02/01/19	K		
352. Blackrock Science & Technology BSTZ Fund	B	Distribution	M	T	Buy	06/28/19	L		
353. Blackrock Private Opp Fund IV Limited Partnership		None	L	T	Buy	08/13/19	K		
354.					Buy (add'l)	10/02/19	L		
355. Chemed Corp New CHE Common Stock		None	K	T	Buy	12/10/19	K		
356. Barclays Bank PLC Structured Products		None	M	T	Buy	12/11/19	L		
357. Morgan Stanley Financie MXEF SX5E Structured products		None	M	T	Buy	12/13/19	L		

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

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

☐

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

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
358. Morgan Stanley Finance SPX SX5E Structured Products		None	L	T	Buy	12/27/19	L		
359. Pennsylvania ST TPK Comm WQ8 Municipal Bond		None	M	T	Buy	12/20/19	M		
360. Blackstone Real Estate Income Trust Inc.		None	M	T	Buy	12/26/19	N		
361. UBS AG Deposit Account	A	Interest	M	T	Open	07/02/19	L		
362. SPDR S&P Exchange Traded Fund KRE	A	Dividend	J	T	Buy	01/03/19	J		
363.									
364.									
365.									
366.									
367.									
368.									
369.									
370.									
371.									
372.									
373.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

FINANCIAL DISCLOSURE REPORT

Page 26 of 27

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

12/09/2020

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

Line 224 Part VII. asset NB Strategic (2) value amount and income amount was combined with line 292 asset NB Strategic LP Invest to avoid duplication as they are the same asset and are held in the same account

Part VII. Investments and Trusts: Multiple assets from the prior year contain an additional description in the current year such as "Common Stock" and "Municipal Bond"

FINANCIAL DISCLOSURE REPORT

Page 27 of 27

Name of Person Reporting

AFRICK, LANCE M.

Date of Report

12/09/2020

IX. CERTIFICATION.

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

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

Signature: s/ LANCE M. AFRICK

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