

Judiciary Branch Personnel

Financial Disclosure Report (AO Form 10)

Filer's Information

Rice, David E

Report Year: 2020

Electronic Signature - I certify that all information provided (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.

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

/s/ Rice, David E [electronically signed on 05/12/2021 by Rice, David E in JEPS]

I. Positions

#	ORGANIZATION NAME	ORGANIZATION TYPE	POSITION HELD
1	Egenton Home, Inc.	Non-Profit	President
2	Trust #1	Trust	Trustee

II. Agreements

None

III A. Filer's Non-Investment Income

None

III B. Spouse's Non-Investment Income

None

IV. Reimbursements

None

V. Gifts

None

VI. Liabilities

None

VII. Investments and Trusts

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
1	PNC Bank Accounts	\$2,501 - \$5,000	Interest	\$250,001 - \$500,000	Cash Market			
2	Pentagon FCU Account	\$1,000 or less	Interest	\$1 - \$15,000	Cash Market			
3	APG FCU Account	\$1,000 or less	Interest	\$1 - \$15,000	Cash Market			
4	USAA Federal Accounts	\$1,000 or less	Interest	\$15,001 - \$50,000	Cash Market			
5	New Perspective Mutual Fund	\$1,000 or less	Dividend	\$50,001 - \$100,000	Cash Market			
6	McCormick Common (MKC)	\$1,001 - \$2,500	Dividend	\$100,001 - \$250,000	Cash Market			
7	PNC Bank IRA's CD's	\$1,000 or less	Interest	\$1 - \$15,000	Cash Market			
8	TD Ameritrade Money Market Account	\$1,000 or less	Interest	\$15,001 - \$50,000	Cash Market			
9	Facebook, Inc. (FB)	None	None	None	Cash Market			
9.1	Facebook, Inc. (FB)					Sold	04/30/2020	\$15,001 - \$50,000
10	Groupon, Inc. (GRPN)	None	None	\$15,000 or less	Cash Market			
11	Netflix, Inc. (NFLX)	None	None	\$15,000 or less	Cash Market			
12	Zynga, Inc. (ZNGA)	None	None	\$15,000 or less	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
13	Square, Inc. (SQ)	None	None	\$15,001 - \$50,000	Cash Market			
14	Snap, Inc. (SNAP)	None	None	\$15,000 or less	Cash Market			
15	Blue Apron Holdings, Inc. (APRN)	None	None	\$15,000 or less	Cash Market			
16	SPDR Energy Select Sector Fund (XLE)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
17	United States Oil Fund (DSO)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
18	Brokerage Account #1 (H)							
18.1	Virtus KAR Small-Cap Value Fund (PXQSX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
18.1.1	Virtus KAR Small-Cap Value Fund (PXQSX)					Purchased	06/16/2020	\$15,000 or less
18.2	Franklin International Growth Fund (FNGZX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
18.2.1	Franklin International Growth Fund (FNGZX)					Purchased	06/03/2020	\$15,000 or less
18.3	WCM Focused International Growth Fund (WCMIX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
18.3.1	WCM Focused International Growth Fund (WCMIX)					Purchased	06/03/2020	\$15,000 or less
18.4	Victory Shares US Multi- Factor Minimum Vol ETF (VSMV)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
18.4.1	Victory Shares US Multi- Factor Minimum Vol ETF (VSMV)					Purchased	05/13/2020	\$15,000 or less
18.5	Federated Hermes Kaufman Small Cap Fund (FKAIX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
18.5.1	Federated Hermes Kaufman Small Cap Fund (FKAIX)					Purchased	05/13/2020	\$15,001 - \$50,000
18.6	Invesco S&P 500 Low Volatility ETF (SPVL)	\$1,000 or less	Dividend	None	Cash Market			
18.6.1	Invesco S&P 500 Low Volatility ETF (SPVL)					Sold	05/13/2020	\$15,000 or less
18.7	iShares S&P 500 Growth ETF (IVW)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
18.8	iShares S&P 500 Value ETF (IVE)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
18.9	Invesco S&P 500 Revenue ETF (RWL)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
18.10	Schwab U.S. Large-Cap Growth ETF (SCHG)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
18.11	Vanguard FTSE Developed Markets ETF (VEA)	\$1,000 or less	Dividend	None	Cash Market			
18.11.1	Vanguard FTSE Developed Markets ETF (VEA)					Sold	06/03/2020	\$15,001 - \$50,000
18.12	Vanguard S&P Mid-Cap 400 Growth ETF (IVOG)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
18.13	Vanguard S&P Mid-Cap 400 Value ETF (IVOV)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
18.14	American Century Emerging Markets Fund (AMKIX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
18.15	Baron Small Cap Fund (BSFIX)	\$1,000 or less	Dividend	None	Cash Market			
18.15.1	Baron Small Cap Fund (BSFIX)					Sold	05/13/2020	\$15,001 - \$50,000
18.16	Goldman Sachs Absolute Return Tracker Fund (GJRTX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
18.17	Guggenheim Marco Opportunities Fund (GIOIX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
18.17.1	Guggenheim Marco Opportunities Fund (GIOIX)					Purchased	12/04/2020	\$15,000 or less
18.18	Janus Henderson International Opportunities Fund (HFOIX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
18.18.1	Janus Henderson International Opportunities Fund (HFOIX)					Sold	06/03/2020	\$15,000 or less
18.19	Lord Abbett Total Return Fund (LTRFX)	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
18.20	Neuberger Berman Core Bond Fund (NCRLX)	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
18.21	PGIM Absolute Return Bond Fund (PADZX)	\$1,000 or less	Dividend	None	Cash Market			
18.21.1	PGIM Absolute Return Bond Fund (PADZX)					Sold	12/04/2020	\$15,000 or less
18.22	Royce Opportunity Fund (RYPNX)	\$1,000 or less	Dividend	None	Cash Market			
18.22.1	Royce Opportunity Fund (RYPNX)					Sold	06/16/2020	\$15,000 or less
18.23	Morgan Stanley Bank account	\$1,000 or less	Interest	\$15,000 or less	Cash Market			
18.24	IBM Common (IBM)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
19	IRA #1 (H)							
19.1	MSLiquidAssetFund (now MS Private Bank, N.A.)	\$1,000 or less	Interest	\$15,000 or less	Cash Market			
19.2	Godman Sachs Absolute Return Fund (GJRTX)	\$1,000 or less	Dividend	\$50,001 - \$100,000	Cash Market			
19.2.1	Godman Sachs Absolute Return Fund (GJRTX)					Sold	06/03/2020	\$15,000 or less

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
19.3	American Century Emerging Mkts Fund (AMKIX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
19.4	Janus Henderson Int'l Opportunity Fund (HFOIX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
19.4.1	Janus Henderson Int'l Opportunity Fund (HFOIX)					Sold	06/03/2020	\$15,000 or less
19.5	iShares S&P 500 Value ETF (IVE)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
19.6	Touchstone Sands Capital Select Growth Fund (CFSIX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
19.6.1	Touchstone Sands Capital Select Growth Fund (CFSIX)					Sold	06/03/2020	\$15,000 or less
19.7	Royce Opportunity Fund (RYPNX)	\$1,000 or less	Dividend	None	Cash Market			
19.7.1	Royce Opportunity Fund (RYPNX)					Purchased	06/03/2020	\$15,000 or less
19.7.2	Royce Opportunity Fund (RYPNX)					Sold	06/16/2020	\$15,001 - \$50,000
19.8	Invesco S&P 500 Revenue ETF (RWL)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
19.9	PGIM Jennison Mid-CapGrowth Fund (PEGZX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
19.9.1	PGIM Jennison Mid-CapGrowth Fund (PEGZX)					Sold	06/03/2020	\$15,000 or less
19.10	iShares S&P Mid-Cap 400 Value ETF (IJJ)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
19.10.1	iShares S&P Mid-Cap 400 Value ETF (IJJ)					Purchased	06/03/2020	\$15,000 or less
19.11	Hartford Multifactor Developed Markets ETF (RODM)	\$1,000 or less	Dividend	None	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
19.11.1	Hartford Multifactor Developed Markets ETF (RODM)					Sold	06/03/2020	\$15,001 - \$50,000
19.12	Federated Kaufmann Small Cap Fund (FKAIX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
19.12.1	Federated Kaufmann Small Cap Fund (FKAIX)					Sold	06/03/2020	\$15,000 or less
19.13	Lord Abbett Total Return Fund (LTRFX)	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
19.13.1	Lord Abbett Total Return Fund (LTRFX)					Sold	06/03/2020	\$15,000 or less
19.14	Neuberger Berman Core Bond Fund (NCRLX)	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
19.14.1	Neuberger Berman Core Bond Fund (NCRLX)					Sold	06/03/2020	\$15,000 or less
19.15	Invesco S&P 500 Low Volatility Fund (SPVL)	\$1,000 or less	Dividend	None	Cash Market			
19.15.1	Invesco S&P 500 Low Volatility Fund (SPVL)					Sold	05/13/2020	\$15,000 or less
19.16	PGIM Absolute Return Bond Fund (PADZX)	\$1,000 or less	Dividend	None	Cash Market			
19.16.1	PGIM Absolute Return Bond Fund (PADZX)					Sold	12/04/2020	\$15,000 or less
19.17	Guggenheim Marco Opportunities Fund (GIOIX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
19.17.1	Guggenheim Marco Opportunities Fund (GIOIX)					Purchased	12/04/2020	\$15,000 or less
19.18	AB Concentrated Growth Fund (WPSGX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
19.18.1	AB Concentrated Growth Fund (WPSGX)					Sold	06/03/2020	\$15,000 or less

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
19.19	VictoryShares US Min Vol ETF (VSMV)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
19.19.1	VictoryShares US Min Vol ETF (VSMV)					Purchased	05/13/2020	\$15,000 or less
19.20	Franklin Intl Growth Fund (FNGZX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
19.20.1	Franklin Intl Growth Fund (FNGZX)					Purchased	06/03/2020	\$15,001 - \$50,000
19.21	WCM Focused Int'l Growth (WCMIX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
19.21.1	WCM Focused Int'l Growth (WCMIX)					Purchased	06/03/2020	\$15,001 - \$50,000
19.22	Virtus KAR Small-Cap Fund (PXQSX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
19.22.1	Virtus KAR Small-Cap Fund (PXQSX)					Purchased	06/16/2020	\$15,001 - \$50,000
20	IRA #2 (H)							
20.1	Morgan Stanley Bank deposit account	\$1,000 or less	Interest	\$15,000 or less	Cash Market			
20.2	Columbia Strategic Income Fund (LSIZX)	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
20.2.1	Columbia Strategic Income Fund (LSIZX)					Purchased	01/27/2020	\$15,000 or less
20.2.2	Columbia Strategic Income Fund (LSIZX)					Purchased	12/04/2020	\$15,001 - \$50,000
20.3	Eaton Vance Tax Managed Income Fund (ETB)	\$2,501 - \$5,000	Dividend	\$15,001 - \$50,000	Cash Market			
20.3.1	Eaton Vance Tax Managed Income Fund (ETB)					Sold	01/27/2020	\$15,000 or less
20.4	iShares Cohen & Steers REIT Fund (ICF)	\$1,001 - \$2,500	Dividend	None	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
20.4.1	iShares Cohen & Steers REIT Fund (ICF)					Sold	01/27/2020	\$15,000 or less
20.4.2	iShares Cohen & Steers REIT Fund (ICF)					Sold	04/24/2020	\$15,001 - \$50,000
20.5	Invesco S&P 500 High Dividend Low Volatility Fund (SPHD)	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
20.6	SPDR BBG Barclays Convertible Sec. Fund (CWB)	\$2,501 - \$5,000	Dividend	None	Cash Market			
20.6.1	SPDR BBG Barclays Convertible Sec. Fund (CWB)					Sold	01/27/2020	\$15,001 - \$50,000
20.6.2	SPDR BBG Barclays Convertible Sec. Fund (CWB)					Sold	04/24/2020	\$15,001 - \$50,000
20.7	SPDR S&P Dividend Fund (SDY)	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
20.7.1	SPDR S&P Dividend Fund (SDY)					Sold	01/27/2020	\$15,000 or less
20.8	Voya Global Advantage Fund (IGA)	\$2,501 - \$5,000	Dividend	\$15,001 - \$50,000	Cash Market			
20.9	AB High Income Fund (AGDYX)	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
20.9.1	AB High Income Fund (AGDYX)					Sold	01/27/2020	\$15,000 or less
20.10	Janus Henderson Global Equity Income Fund (HFQIX)	\$2,501 - \$5,000	Dividend	\$15,001 - \$50,000	Cash Market			
20.10.1	Janus Henderson Global Equity Income Fund (HFQIX)					Purchased	01/27/2020	\$15,000 or less
20.11	Principal Preferred Securities Fund (PPSIX)	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
20.12	PGIM Absolute Return Bond Fund (PADZX)	\$1,001 - \$2,500	Dividend	None	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
20.12.1	PGIM Absolute Return Bond Fund (PADZX)					Purchased	01/27/2020	\$15,000 or less
20.12.2	PGIM Absolute Return Bond Fund (PADZX)					Sold	12/04/2020	\$15,000 or less
20.13	Guggenheim Marco Opportunities Fund (GIOIX)	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
20.13.1	Guggenheim Marco Opportunities Fund (GIOIX)					Purchased	01/27/2020	\$15,000 or less
20.13.2	Guggenheim Marco Opportunities Fund (GIOIX)					Purchased	12/04/2020	\$15,001 - \$50,000
20.14	Performance Trust Strategic Bond Fund (PTIAX)	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
20.14.1	Performance Trust Strategic Bond Fund (PTIAX)					Purchased	01/27/2020	\$15,001 - \$50,000
20.14.2	Performance Trust Strategic Bond Fund (PTIAX)					Purchased	12/04/2020	\$15,001 - \$50,000
20.15	Calamos Convertible Fund (CICVX)	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
20.15.1	Calamos Convertible Fund (CICVX)					Purchased	04/24/2020	\$15,001 - \$50,000
20.16	Federated Strategic Value Fund (SVAIX)	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
20.16.1	Federated Strategic Value Fund (SVAIX)					Purchased	04/24/2020	\$15,001 - \$50,000
21	Trust #1 (H)	See Note						
21.1	Pimco Dynamic Credit & Mortgage Income Fund (PCI)	\$1,000 or less	Dividend	None	Cash Market			
21.1.1	Pimco Dynamic Credit & Mortgage Income Fund (PCI)					Purchased	06/12/2020	\$15,000 or less
21.1.2	Pimco Dynamic Credit & Mortgage Income Fund (PCI)					Sold	11/11/2020	\$15,000 or less

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
21.2	Janus Henderson Balanced Fund (JBALY)	\$1,000 or less	Dividend	None	Cash Market			
21.2.1	Janus Henderson Balanced Fund (JBALY)					Purchased	08/20/2020	\$15,000 or less
21.2.2	Janus Henderson Balanced Fund (JBALY)					Sold	11/11/2020	\$15,000 or less
21.3	Comerica Bank deposit account	None	None	None	Cash Market			
21.4	MBIA Bond	\$1,000 or less	Interest	None	Cash Market			
21.4.1	MBIA Bond					Sold	11/11/2020	\$15,000 or less
21.5	Enbridge, Inc. (ENB)	\$1,000 or less	Dividend	None	Cash Market			
21.5.1	Enbridge, Inc. (ENB)					Sold	11/11/2020	\$15,000 or less
21.6	Allianzgi Income Growth Fund (AZNCX)	\$1,000 or less	Dividend	None	Cash Market			
21.6.1	Allianzgi Income Growth Fund (AZNCX)					Sold	11/11/2020	\$15,001 - \$50,000
21.7	Invesco High Yield Municipal Fund (ACTDX)	\$1,000 or less	Dividend	None	Cash Market			
21.7.1	Invesco High Yield Municipal Fund (ACTDX)					Sold	11/11/2020	\$15,000 or less
21.7.2	Invesco High Yield Municipal Fund (ACTDX)					Sold	09/18/2020	\$15,000 or less
21.8	PIMCO Income Fund (PONPX)	\$1,000 or less	Dividend	None	Cash Market			
21.8.1	PIMCO Income Fund (PONPX)					Sold	09/18/2020	\$15,000 or less
21.8.2	PIMCO Income Fund (PONPX)					Sold	11/11/2020	\$15,000 or less
21.9	First Trust MLP Fund (FEI)	\$1,000 or less	Dividend	None	Cash Market			

#	DESCRIPTION		INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
21.9.1	First Trust MLP Fund (FEI)						Sold	09/24/2020	\$15,000 or less
21.10	Janus Henderson Global Equity Fund (HFQIX)		\$1,000 or less	Dividend	None	Cash Market			
21.10.1	Janus Henderson Global Equity Fund (HFQIX)						Sold	09/24/2020	\$15,000 or less
21.10.2	Janus Henderson Global Equity Fund (HFQIX)						Sold	11/11/2020	\$15,000 or less
21.11	Nexpoint Credit Strategies Fund (NHF)		\$1,000 or less	Dividend	None	Cash Market			
21.11.1	Nexpoint Credit Strategies Fund (NHF)						Sold	09/18/2020	\$15,000 or less
21.12	Pioneer Multi-Asset Income Fund (PMFYX)		\$1,000 or less	Dividend	None	Cash Market			
21.12.1	Pioneer Multi-Asset Income Fund (PMFYX)						Sold	08/20/2020	\$15,000 or less
21.13	Highland Global Allocation Fund (HGLB)		\$1,000 or less	Dividend	None	Cash Market			
21.13.1	Highland Global Allocation Fund (HGLB)						Sold	09/18/2020	\$15,000 or less
21.14	Angel Oak Multi-Strategy Income Fund (ANGIX)		\$1,000 or less	Dividend	None	Cash Market			
21.14.1	Angel Oak Multi-Strategy Income Fund (ANGIX)						Sold	11/11/2020	\$15,000 or less
21.15	Columbia Strategic Income Fund (LSIZX)		\$1,000 or less	Dividend	None	Cash Market			
21.15.1	Columbia Strategic Income Fund (LSIZX)						Sold	06/12/2020	\$15,000 or less
22	Mineral Rights, Dimmit County, TX	See Note	None	None	\$15,001 - \$50,000	Estimated			
23	Mineral Rights, Canadian County, OK			None	\$15,001 - \$50,000	Estimated			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
24	Mineral Rights, Franklin County, AR		None	\$15,001 - \$50,000	Estimated			
25	Mineral Rights, Lincoln County, OK		None	\$15,001 - \$50,000	Estimated			
26	Mineral Rights, Pontotoc County, OK		None	\$15,001 - \$50,000	Estimated			
27	PNC Bank (CD)	\$1,000 or less	Interest	\$50,001 - \$100,000	Cash Market			
28	M&T Bank Accounts	\$1,000 or less	Interest	\$100,001 - \$250,000	Cash Market			
29	Bank of America Accounts	\$1,000 or less	Interest	\$50,001 - \$100,000	Cash Market			
30	Brokerage Account No. 2 (H)	See Note						
30.1	Apple Inc. (AAPL)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.2	AT&T (T)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.3	Bristol-Myers Squibb (BMY)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.4	Carnival Corp. (CCL)	None	None	\$15,000 or less	Cash Market			
30.5	Caterpillar Inc. (CAT)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.6	Cisco Systems Inc. (CSCO)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.7	Clearway Energy A (CWEN'A)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.8	Clearway Energy C (CWEN)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.9	Coca Cola Co. (KO)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
30.10	ConocoPhillips (COP)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.11	Crown Castle Int'l Corp. (CCI)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.12	Dollar Gen. Corp. (DG)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.13	Duke Energy Corp. (DUK)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.14	Emerson Electric Co. (EMR)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.15	Enbridge Inc. (ENB)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.16	Energy Transfer LP (ET)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.17	Enterprise Products LP (EPD)	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
30.18	Evergy Inc. (EVRG)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.19	Exxon Mobile Corp. (XOM)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.20	Four Corners Properties (FCPT)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.21	Gaming & Leisure Properties (GLPI)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.22	Home Depot Inc. (HD)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.23	Honeywell Int'l Inc.	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.24	Iron Mountain Inc. (IRM)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.25	Johnson & Johnson	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
30.26	JPMorgan Chase & Co. (JPM)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.27	Lowes Companies (LOW)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.28	LTC Properties Inc. (LTC)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.29	Magellan Midstream Ptnrs (MMP)	\$2,501 - \$5,000	Dividend	\$50,001 - \$100,000	Cash Market			
30.30	Mastercard Inc. (MA)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.31	Medical Properties Trust (MPW)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.32	Microsoft Corp. (MSFT)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.33	NuStar Energy LP (NS)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.34	ONEOK Inc. (OKE)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.35	Pepsico Inc. (PEP)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.36	Petmedexpress (PETS)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.37	Pfizer Inc. (PFE)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.38	Phillip Morris Int'l Inc. (PM)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.39	Phillips 66 (PSX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.40	Raytheon Technologies (RTX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.41	Realty Income Corp. (O)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
30.42	RMR Group Inc. (RMR)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.43	Simon Property Group (SPG)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.44	Synchrony Financial (SYF)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.45	Timken Co. (TKR)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.46	Timken Steel Corp. (TMST)	None	None	\$15,000 or less	Cash Market			
30.47	Verizon Communications (VZ)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.48	ViacomCBS (VIAC)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.49	Viatis Inc. (VTRS)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.50	Visa Inc. (V)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.51	Wabtec Corp. (WAB)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.52	Walt Disney Co. (DIS)	None	None	\$15,001 - \$50,000	Cash Market			
30.53	Washington Prime Group (WPG)	None	None	\$15,000 or less	Cash Market			
30.54	Weingarten Realty Inv. (WRI)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.55	Chesapeake Granite Wash (CHKR)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.56	Cushing MLP (SRV)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.57	FT NASDAQ Cyber (CIBR)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
30.58	Highland Global (HGLB)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.59	Nexpoint Strategic (NHF)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.60	SPDR S&P Aero & Def (XAR)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.61	Tekla Healthcare (THQ)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.62	Kentucky Ass'n of Counties Fin. Corp. Bond	\$1,000 or less	Interest	\$15,000 or less	Cash Market			
30.63	Glendale AZ Union HS District No. 205 Bond	\$1,000 or less	Interest	\$15,000 or less	Cash Market			
30.64	Federated Hermes Prime Cash Money Market Fund (PCOXX)	\$1,000 or less	Dividend	None	Cash Market			
30.64.1	Federated Hermes Prime Cash Money Market Fund (PCOXX)					Sold	12/04/2020	\$50,001 - \$100,000
30.65	American Capital Income (CAIBX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.66	American Fundamental (ANCFX)	\$1,000 or less	Dividend	\$50,001 - \$100,000	Cash Market			
30.67	American Fundamental F-2 (FINFX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.68	American High Income (AMHIX)	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			
30.69	American Int'l Growth (IGAAX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.70	American New World (NEWFX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.71	Invesco Environmental (OPAMX)	\$1,001 - \$2,500	Dividend	\$15,001 - \$50,000	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
30.72	Invesco Global Strategic (OPSIX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.73	Invesco AMT-Free Muni (OPTAX)	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
30.74	Lord Abbett Bond (LBNDX)	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
30.75	Lord Abbett High Yield (HYMAX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.76	Lord Abbett Int'l Value (LIDAX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.77	Lord Abbett Multi-Asset (ISFAX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.78	MSIF Ultra-Short Income (MUAIX)	\$1,000 or less	Dividend	\$50,001 - \$100,000	Cash Market			
30.79	Neuberger Berman Equity (NBHAX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
30.80	PIMCO Short-Term Fund (PSHAX)	\$1,001 - \$2,500	Dividend	\$50,001 - \$100,000	Cash Market			
30.81	Western Asset Fund (SBLTX)	\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
30.82	Bank of America Corp. (BAC)	\$1,000 or less	Dividend	None	Cash Market			
30.82.1	Bank of America Corp. (BAC)					Sold	11/23/2020	\$15,001 - \$50,000
30.83	Bank of America Preferred E (BAC.E)	\$1,000 or less	Dividend	None	Cash Market			
30.83.1	Bank of America Preferred E (BAC.E)					Sold	11/23/2020	\$15,001 - \$50,000
30.84	McDonalds Corp. (MCD)	\$1,000 or less	Dividend	None	Cash Market			
30.84.1	McDonalds Corp. (MCD)					Sold	11/23/2020	\$15,001 - \$50,000

#	DESCRIPTION		INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
30.85	Morgan Stanley Preferred A (MS.A)		\$1,000 or less	Dividend	None	Cash Market			
30.85.1	Morgan Stanley Preferred A (MS.A)						Sold	11/23/2020	\$15,000 or less
30.86	Morgan Stanley Bank NA account		\$1,000 or less	Interest	\$100,001 - \$250,000	Cash Market			
31	Brokerage Account No. 3 (H)	See Note							
31.1	Morgan Stanley bank account		\$1,000 or less	Interest	\$50,001 - \$100,000	Cash Market			
31.2	MSBNA Preferred Savings		\$1,000 or less	Interest	\$100,001 - \$250,000	Cash Market			
31.3	MSPBNA Preferred Savings		\$1,000 or less	Interest	\$100,001 - \$250,000	Cash Market			
32	IRA No. 3 (H)	See Note							
32.1	Fidelity Large Cap Equity Fund		\$1,000 or less	Dividend	\$15,001 - \$50,000	Cash Market			
32.2	Fidelity Small Cap Equity Fund		\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
32.3	Fidelity Income Ret. Portfolio		\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
32.4	Fidelity Stable Value Fund		\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33	IRA No. 4 (H)	See Note							
33.1	MS Bank account		\$1,000 or less	Interest	\$15,000 or less	Cash Market			
33.2	Centene Corp. (CNC)		None	None	\$15,000 or less	Cash Market			
33.3	Energizer Holdings Inc. (ENR)		\$1,000 or less	Dividend	\$15,000 or less	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
33.4	Nextera Energy Inc. (NEE)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.5	First Trust MLP & Energy (FEI)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.6	Highland Income Fund (HFRO)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.7	Nexpoint Strategic Op (NHF)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.8	Pennant Park Floating Rate (PFLT)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.9	Vanguard Dividend Fund (VIG)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.10	WisdomTree US Small Cap (DES)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.11	AllianzGI Inc & Growth (AZNAX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.12	Altegris Opportunistic (RAAAX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.13	American Fundamental (ANCFX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.14	AQR Large Cap Defensive (AUEIX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.15	DWS Real Estate Secs (RRRRX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.16	Eaton V Atlanta Capital (EAASX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.17	First Eagle Global (SGENX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.18	First Eagle Overseas (SGOVX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.19	Hartford Balanced Inc (HBLAX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			

#	DESCRIPTION	INCOME AMOUNT	INCOME TYPE	GROSS VALUE AS OF 12/31	VALUE METHOD	TRANS. TYPE	TRANS. DATE	TRANS. VALUE
33.20	Hartford Dividend (IHGIX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.21	Hartford Healthcare (HGHAX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.22	Hartford Int'l Value (HILAX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.23	Invesco Diversified (LCEAX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.24	Invesco Int'l Small-Mid (OSMAX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.25	Janus Henderson Global (HFQAX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.26	Lord Abbett Bond Fund	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.27	Mainstay MacK Hi Yield (MHCAX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.28	Nuveen Real Asset Inc (NRIAX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.29	TRowePrice Equity Inc (PAFDX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.30	TRowePrice Hi Yield (PAHIX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.31	TRowe Price Int'l Bond (PAIBX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			
33.32	Virtis Seix Total Return (SAMFX)	\$1,000 or less	Dividend	\$15,000 or less	Cash Market			

Additional Information or Explanation

PART	#	NOTE
VII.	21	Trust #1 terminated during the reporting period and all assets were distributed to beneficiaries prior to December 31, 2020.
VII.	22	Not Applicable.
VII.	30	Acquired without a reportable transaction.
VII.	31	Acquired without a reportable transaction.
VII.	32	Acquired without a reportable transaction.
VII.	33	Acquired without a reportable transaction.