

# FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2020

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>Barrett, Michael R.                                                                                                                  | <b>2. Court or Organization</b><br><br>U.S. District Court, Southern District of Ohio                                                                                                                                                  | <b>3. Date of Report</b><br><br>05/10/2021                       |
| <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>01/01/2020<br>to<br>12/31/2020 |
|                                                                                                                                                                                                           | <b>5b.</b> <input type="checkbox"/> Amended Report                                                                                                                                                                                     |                                                                  |
| <b>7. Chambers or Office Address</b><br><br>Potter Stewart US Courthouse<br>100 East 5th Street<br>Cincinnati, Ohio 45202                                                                                 |                                                                                                                                                                                                                                        |                                                                  |
| <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. Partner      | Old Walnut Company                 |
| 2. Member       | Grandin View LLC                   |
| 3.              |                                    |
| 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.          |                          |

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Name of Person Reporting

Barrett, Michael R.

Date of Report

05/10/2021

## III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)*

### A. Filer's Non-Investment Income



NONE *(No reportable non-investment income.)*

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

### B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

*(Dollar amount not required except for honoraria.)*



NONE *(No reportable non-investment income.)*

| <u>DATE</u> | <u>SOURCE AND TYPE</u>                      |
|-------------|---------------------------------------------|
| 1. 2020     | University of Cincinnati - teaching stipend |
| 2. 2020     | Spectrum - interview stipend                |
| 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.            |              |                 |                |                               |
| 2.            |              |                 |                |                               |
| 3.            |              |                 |                |                               |
| 4.            |              |                 |                |                               |
| 5.            |              |                 |                |                               |

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## 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. American Express | Credit Card        | J                 |
| 2. US Bank          | Credit Card        | J                 |
| 3.                  |                    |                   |
| 4.                  |                    |                   |
| 5.                  |                    |                   |

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 1. INDIVIDUAL ASSETS (H)                                                                                                   |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 2. Old Walnut Co. (Partnership)                                                                                            | A                                      | Dividend                               | K                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 3. Grandin View LLC                                                                                                        | G                                      | Distribution                           | N                                              | U                                  |                                           |                  |                          |                         |                                                            |
| 4. J.M. Smucker (Common stock)                                                                                             | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 5. ACCOUNT #1 (H)                                                                                                          |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 6. First American Treasury (cash)                                                                                          | A                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 7. Am. Century Equity Income (ACIIX)                                                                                       | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 8. Invesco QQQ Trust (QQQ)                                                                                                 | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 05/07/20         | J                        |                         |                                                            |
| 9. Blackrock Basic Value Fund Inc. (MABAX)                                                                                 |                                        | None                                   |                                                |                                    | Sold                                      | 05/08/20         | K                        |                         |                                                            |
| 10. Nuveen Dividend Value Fd (FAQIX)                                                                                       | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 11. SPDR S&P 500 ETF (SPY)                                                                                                 | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 05/07/20         | K                        |                         |                                                            |
| 12. T. Rowe Price Equity (PRFDX)                                                                                           | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 13. T. Rowe Price Value Fund (TRVLX)                                                                                       | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 14. Vanguard Growth Index Fund ETF (VUG)                                                                                   | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 05/07/20         | K                        |                         |                                                            |
| 15. Nuveen Mid Cap Growth (FISGX)                                                                                          | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 16. Nuveen Mid Cap Value (FSEIX)                                                                                           | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 17. T. Rowe Price Mid Cap Value (TRMCX)                                                                                    | A                                      | Dividend                               | K                                              | 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

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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) |
| 18. Am. Century Sm. Cap (ACVIX)                                                                                            | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 19. Nuveen Small Cap Select (ARSTX)                                                                                        | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 20. Nuveen Small Cap Value (FSCCX)                                                                                         | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 21. Fidelity Investment Tr. Ad Intl Discovery (FIADX)                                                                      | B                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 22. Laudus Intl Marketmasters (SWMIX)                                                                                      |                                        | None                                          |                                                |                                           | Sold                                            | 05/07/20                | J                               |                                |                                                                   |
| 23. Vanguard FTSE Emerging Markets ETF (VWO)                                                                               | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 05/07/20                | J                               |                                |                                                                   |
| 24. Technology Select Sector SPDR (XLK)                                                                                    | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 25. iShares US Treasury Bond ETF (GOVT)                                                                                    | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 05/07/20                | K                               |                                |                                                                   |
| 26. Tiaa Cref Bond Plus Fund Adv (TCBHX)                                                                                   | B                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 27. Vanguard Intermediate Term Bond Index Shares ETF (BIV)                                                                 | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 05/07/20                | K                               |                                |                                                                   |
| 28. Vanguard Short Term Bond Index Fd ETF (BSV)                                                                            | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 05/07/20                | K                               |                                |                                                                   |
| 29. Tiaa Cref Inflation Linked Bond Fund (TIHIX)                                                                           | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 30. Nuveen Real Estate Secs. Fund (FARCX)                                                                                  | A                                      | Dividend                                      | K                                              | T                                         | Sold (part)                                     | 05/07/20                | J                               |                                |                                                                   |
| 31. iPath Dow Jones UBS (DJP)                                                                                              |                                        | None                                          |                                                |                                           | Sold                                            | 05/07/20                | J                               |                                |                                                                   |
| 32. ACCOUNT #2 (H)                                                                                                         |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 33. Morgan Stanley Bank NA (cash)                                                                                          | A                                      | Interest                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 34. Chevron Corp (CVX)                                                                                                     | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 04/02/20                | 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                                                                                                   |                        |
| 3 Value Method Codes<br>(See Column C2)         |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |

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

☐

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 35. Intl Business Machines Corp (IBM)                                                                                      | A                                      | Dividend                               |                                                |                                    | Sold                                      | 04/06/20         | J                        |                         |                                                            |
| 36. Johnson & Johnson (JNJ)                                                                                                | A                                      | Dividend                               |                                                |                                    | Sold                                      | 08/31/20         | J                        | B                       |                                                            |
| 37. JPMorgan Chase & Co (JPM)                                                                                              | A                                      | Dividend                               |                                                |                                    | Sold                                      | 07/06/20         | J                        |                         |                                                            |
| 38. Lockheed Martin Corp (LMT)                                                                                             | A                                      | Dividend                               |                                                |                                    | Sold                                      | 04/02/20         | J                        |                         |                                                            |
| 39. Microsoft Corp (MSFT)                                                                                                  | A                                      | Dividend                               |                                                |                                    | Sold                                      | 08/31/20         | K                        | D                       |                                                            |
| 40. Nextera Energy Inc (NEE)                                                                                               | A                                      | Dividend                               |                                                |                                    | Sold                                      | 04/06/20         | J                        | C                       |                                                            |
| 41. Pfizer Inc (PFE)                                                                                                       | A                                      | Dividend                               |                                                |                                    | Sold                                      | 07/06/20         | J                        |                         |                                                            |
| 42. Philip Morris Intl Inc (PM)                                                                                            | A                                      | Dividend                               |                                                |                                    | Sold                                      | 04/06/20         | J                        |                         |                                                            |
| 43. Sempra Energy (SRE)                                                                                                    | A                                      | Dividend                               |                                                |                                    | Sold                                      | 04/06/20         | J                        | A                       |                                                            |
| 44. Verizon Communications (VZ)                                                                                            | A                                      | Dividend                               |                                                |                                    | Sold                                      | 07/06/20         | J                        |                         |                                                            |
| 45. Walmart Inc (WMT)                                                                                                      | A                                      | Dividend                               |                                                |                                    | Sold                                      | 08/31/20         | J                        | C                       |                                                            |
| 46. Wells Fargo & Co New (WFC)                                                                                             | A                                      | Dividend                               |                                                |                                    | Sold                                      | 07/06/20         | J                        |                         |                                                            |
| 47. Alps Sector Dividend Dogs (SDOG)                                                                                       | A                                      | Dividend                               |                                                |                                    | Sold                                      | 07/06/20         | J                        |                         |                                                            |
| 48. First Trust Dow Jones Stoxx Eur (FDD)                                                                                  | A                                      | Dividend                               |                                                |                                    | Sold                                      | 04/27/20         | J                        |                         |                                                            |
| 49. First Trust Exchange Traded Fund VI (TDIV)                                                                             | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 50. First Trust Valu.LN Div Index (FVD)                                                                                    | C                                      | Dividend                               | M                                              | T                                  | Buy<br>(add'l)                            | 12/07/20         | K                        |                         |                                                            |
| 51. FT Enhanced Short Maturity ETF (FTSM)                                                                                  | A                                      | Dividend                               |                                                |                                    | Sold                                      | 04/27/20         | L                        |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

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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

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| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
|                                                                                                                            |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 52. FT Preferred Secur & Inc ETF (FPE)                                                                                     | C                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 53. Goldman Sachs Access TRE 0-1 Y (GBIL)                                                                                  | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 02/21/20                | J                               | A                              |                                                                   |
| 54. Invesco S&P Financials R (RWW)                                                                                         | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 02/26/20                | J                               |                                |                                                                   |
| 55. Invesco S&P Ultra Divide (RDIV)                                                                                        | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 04/02/20                | K                               |                                |                                                                   |
| 56. iShares Core Dividend Growth (DGRO)                                                                                    | B                                      | Dividend                                      |                                                |                                           | Sold                                            | 08/03/20                | M                               | D                              |                                                                   |
| 57. iShares Edge MSCI Min Vol Emer (EEMV)                                                                                  |                                        | None                                          |                                                |                                           | Sold                                            | 04/06/20                | K                               |                                |                                                                   |
| 58. iShares Mortgage Real Estate C (REM)                                                                                   | D                                      | Dividend                                      | L                                              | T                                         | Buy                                             | 04/06/20                | K                               |                                |                                                                   |
| 59.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 10/05/20                | K                               | D                              |                                                                   |
| 60. SPDR Gold Tr Gold Shs (GLD)                                                                                            |                                        | None                                          | L                                              | T                                         | Buy                                             | 07/06/20                | L                               |                                |                                                                   |
| 61.                                                                                                                        |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 08/31/20                | J                               | A                              |                                                                   |
| 62. Vanguard Dividend Appreciation (VIG)                                                                                   | A                                      | Dividend                                      | L                                              | T                                         | Buy                                             | 08/31/20                | L                               |                                |                                                                   |
| 63. AB High Income Adv (AGDYX)                                                                                             | C                                      | Dividend                                      |                                                |                                           | Buy                                             | 04/02/20                | L                               |                                |                                                                   |
| 64.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/06/20                | K                               |                                |                                                                   |
| 65.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 11/11/20                | L                               | D                              |                                                                   |
| 66. Alliance Bernstein Income Adv (ACGYX)                                                                                  | B                                      | Dividend                                      |                                                |                                           | Buy                                             | 04/06/20                | L                               |                                |                                                                   |
| 67.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 12/07/20                | L                               | D                              |                                                                   |
| 68. AC Alternatives Inc I (ALNIX)                                                                                          | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 04/06/20                | L                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Barrett, Michael R.

Date of Report

05/10/2021

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 69. Amer Cent Short Duration Inf Pr Bd I (APOHX)                                                                           |                                        | None                                          |                                                |                                           | Buy                                             | 02/21/20                | J                               |                                |                                                                   |
| 70.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 04/27/20                | J                               |                                |                                                                   |
| 71. BNY Mellon GLB EQU INC (DQEIX) (formerly Dreyfus Global)                                                               | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 04/06/20                | M                               |                                |                                                                   |
| 72. Columbia Thermostat Inst (COTZX)                                                                                       | C                                      | Dividend                                      | L                                              | T                                         | Buy                                             | 11/11/20                | L                               |                                |                                                                   |
| 73. Eaton Vance Emerg Mkt Local Inc Fd I (EEIIX)                                                                           | C                                      | Dividend                                      |                                                |                                           | Buy                                             | 04/09/20                | L                               |                                |                                                                   |
| 74.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 11/16/20                | L                               | D                              |                                                                   |
| 75. Eaton Vance Emerg Mkts Dbt Opp I (EIDOX)                                                                               | A                                      | Dividend                                      | L                                              | T                                         | Buy                                             | 11/16/20                | L                               |                                |                                                                   |
| 76. Federated Total Return BD Inst (FTRBX)                                                                                 | C                                      | Dividend                                      |                                                |                                           | Sold                                            | 07/06/20                | M                               | D                              |                                                                   |
| 77. Goldman Sachs US Eq Dv Prem I (GSPKX)                                                                                  | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 04/02/20                | L                               |                                |                                                                   |
| 78. Hartford Balanced Inc I (HBLIX)                                                                                        | D                                      | Dividend                                      | M                                              | T                                         | Buy                                             | 04/27/20                | M                               |                                |                                                                   |
| 79. Mai Managed Volatility Instl (MAIPX)                                                                                   | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 04/02/20                | L                               |                                |                                                                   |
| 80. MFS Diversified Income I (DIFIX)                                                                                       | B                                      | Dividend                                      |                                                |                                           | Sold                                            | 04/27/20                | L                               |                                |                                                                   |
| 81. Kopernik Glb All Cap Inst (KGGIX)                                                                                      | C                                      | Dividend                                      | L                                              | T                                         | Buy                                             | 07/06/20                | K                               |                                |                                                                   |
| 82.                                                                                                                        |                                        |                                               |                                                |                                           | Buy (add'l)                                     | 08/03/20                | J                               |                                |                                                                   |
| 83.                                                                                                                        |                                        |                                               |                                                |                                           | Buy (add'l)                                     | 08/31/20                | J                               |                                |                                                                   |
| 84.                                                                                                                        |                                        |                                               |                                                |                                           | Buy (add'l)                                     | 10/05/20                | K                               |                                |                                                                   |
| 85. Lord Abbett Dev Growth Fd F (LADFX)                                                                                    | D                                      | Dividend                                      | L                                              | T                                         | Buy                                             | 08/03/20                | L                               |                                |                                                                   |

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

# FINANCIAL DISCLOSURE REPORT

Page 9 of 30

Name of Person Reporting

Barrett, Michael R.

Date of Report

05/10/2021

## 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) |
| 86. PGIM Jenn Gbl Opportunities Z (PRIZX)                                                                                  | B                                      | Dividend                                      | M                                              | T                                         | Buy                                             | 07/06/20                | L                               |                                |                                                                   |
| 87.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 08/31/20                | K                               |                                |                                                                   |
| 88.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 10/05/20                | K                               |                                |                                                                   |
| 89. Pimco Income I2 (PONPX)                                                                                                | C                                      | Dividend                                      |                                                |                                           | Sold                                            | 07/06/20                | M                               |                                |                                                                   |
| 90. Pimco Total Return I2 (PTTPX)                                                                                          | D                                      | Dividend                                      | N                                              | T                                         | Buy                                             | 07/06/20                | M                               |                                |                                                                   |
| 91.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 08/03/20                | K                               |                                |                                                                   |
| 92.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 10/05/20                | K                               |                                |                                                                   |
| 93.                                                                                                                        |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 12/07/20                | L                               |                                |                                                                   |
| 94. ACCOUNT #3 (H)                                                                                                         |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 95. FIRST TRUST CAPITAL STRGTH ETF<br>(FTCS)                                                                               | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 04/09/20                | J                               |                                |                                                                   |
| 96. FIRST TRUST LRGE CAP CORE ETF<br>(FEX)                                                                                 | A                                      | Dividend                                      |                                                |                                           | Sold<br>(part)                                  | 01/15/20                | J                               | A                              |                                                                   |
| 97.                                                                                                                        |                                        |                                               |                                                |                                           | Sold                                            | 04/09/20                | J                               |                                |                                                                   |
| 98. FIRST TRUST NASDAQ-100-TECH<br>(QTEC)                                                                                  | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/15/20                | J                               | A                              |                                                                   |
| 99. ISHARES CORE MSCI EAFE ETF (IEFA)                                                                                      | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 06/17/20                | J                               |                                |                                                                   |
| 100. INVESCO S&P 500 LOW VOL (SPLV)                                                                                        | A                                      | Dividend                                      |                                                |                                           | Sold<br>(part)                                  | 04/09/20                | J                               |                                |                                                                   |
| 101.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 05/13/20                | J                               |                                |                                                                   |
| 102. IQ 50PCT HEDGED FTSE INT ETF<br>(HFXI)                                                                                | A                                      | Dividend                                      |                                                |                                           | Buy<br>(add'l)                                  | 01/15/20                | 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                                                                                                   |                        |

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 103.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 04/09/20         | J                        |                         |                                                            |
| 104. ISHARES CORE S&P 500 ETF (IVV)                                                                                        | A                                      | Dividend                               |                                                |                                    | Sold                                      | 04/09/20         | J                        |                         |                                                            |
| 105. ISHARES CORE S&P TOTAL US STOC<br>(ITOT)                                                                              | A                                      | Dividend                               | K                                              | T                                  | Sold<br>(part)                            | 05/13/20         | J                        |                         |                                                            |
| 106.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 06/17/20         | J                        | A                       |                                                            |
| 107. ISHARES EDGE MSCI US VALUE FAC<br>(VLUE)                                                                              | A                                      | Dividend                               |                                                |                                    | Buy                                       | 04/09/20         | J                        |                         |                                                            |
| 108.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/17/20         | J                        |                         |                                                            |
| 109.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/06/20         | J                        | A                       |                                                            |
| 110.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 08/03/20         | J                        | A                       |                                                            |
| 111. SPDR GOLD TR GOLD SHS (GLD)                                                                                           |                                        | None                                   | J                                              | T                                  | Buy                                       | 05/13/20         | J                        |                         |                                                            |
| 112.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/17/20         | J                        |                         |                                                            |
| 113. VANGUARD SMALL CAP ETF (VB)                                                                                           | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 06/17/20         | J                        |                         |                                                            |
| 114. ALLIANCE BERNSTEIN INCOME ADV<br>(ACGYX)                                                                              | A                                      | Dividend                               |                                                |                                    | Buy                                       | 01/15/20         | K                        |                         |                                                            |
| 115.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/09/20         | J                        |                         |                                                            |
| 116.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 06/03/20         | K                        |                         |                                                            |
| 117. AMER CENT EMERG MKTS I (AMKIX)                                                                                        | A                                      | Dividend                               |                                                |                                    | Sold                                      | 05/05/20         | J                        |                         |                                                            |
| 118. BLACKROCK HI YIELD BD PTF INST<br>(BHYIX)                                                                             | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 04/09/20         | J                        |                         |                                                            |
| 119.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 06/17/20         | J                        |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Barrett, Michael R.

Date of Report

05/10/2021

## 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) |
| 120. BNY MELLON CORE PLUS I (DCPIX)                                                                                        | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 06/03/20                | K                               |                                |                                                                   |
| 121.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 06/17/20                | J                               |                                |                                                                   |
| 122. CALVERT EQUITY I (CEYIX)                                                                                              | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 01/15/20                | J                               |                                |                                                                   |
| 123.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/09/20                | J                               |                                |                                                                   |
| 124.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 06/17/20                | J                               | A                              |                                                                   |
| 125. E V ATLANTA CAP SEL EQ I (ESEIX)                                                                                      | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 01/15/20                | J                               |                                |                                                                   |
| 126. E V SHT DUR GOVT INC I (EILDY)                                                                                        | A                                      | Dividend                                      |                                                |                                           | Buy                                             | 01/15/20                | J                               |                                |                                                                   |
| 127.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 04/09/20                | J                               | A                              |                                                                   |
| 128. KOPERNIK GLB ALL CAP INSTL<br>(KGGIX)                                                                                 | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 07/06/20                | J                               |                                |                                                                   |
| 129.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 08/03/20                | J                               |                                |                                                                   |
| 130. LORD ABBETT DEV GROWTH FD F<br>(LADFX)                                                                                | B                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 05/05/20                | J                               |                                |                                                                   |
| 131.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 06/17/20                | J                               | A                              |                                                                   |
| 132. MFS INTL GROWTH I (MQGIX)                                                                                             | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 04/09/20                | J                               |                                |                                                                   |
| 133. GOLDMAN SACHS US EQ INSGHT<br>(GSSQX)                                                                                 |                                        | None                                          |                                                |                                           | Sold                                            | 01/15/20                | K                               | B                              |                                                                   |
| 134. GOLDMAN SACHS GQG INTL OPP I<br>(GSIMX)                                                                               |                                        | None                                          |                                                |                                           | Sold                                            | 01/15/20                | J                               | B                              |                                                                   |
| 135. FEDERATED TOTAL RETURN BD INST<br>(FTRBX) (X)                                                                         | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 01/15/20                | J                               | A                              |                                                                   |
| 136. PIMCO LOW DURATION INC I2<br>(PFTPX) (X)                                                                              | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 01/15/20                | J                               | A                              |                                                                   |

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

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

☐

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 137. PIMCO INVEST GRADE CRED BD I2 (PBDPX)                                                                                 | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 04/09/20         | J                        |                         |                                                            |
| 138. PERFORMANCE TRUST STRAT BD I (PTIAX) (X)                                                                              | A                                      | Dividend                               |                                                |                                    | Sold (part)                               | 01/15/20         | J                        | A                       |                                                            |
| 139.                                                                                                                       |                                        |                                        |                                                |                                    | Buy (add'l)                               | 04/09/20         | J                        |                         |                                                            |
| 140.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 06/17/20         | J                        | A                       |                                                            |
| 141. ISHARES EDGE MSCI US MOMENTUM (MTUM) (X)                                                                              |                                        | None                                   |                                                |                                    | Sold                                      | 01/15/20         | J                        | A                       |                                                            |
| 142. ISHARES 20+ YR TREAS BOND ETF (TLT) (X)                                                                               | A                                      | Dividend                               |                                                |                                    | Sold                                      | 01/15/20         | J                        |                         |                                                            |
| 143. ACCOUNT #4 (H)                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 144. Procter & Gamble (PG)                                                                                                 | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 145. ACCOUNT #5 (H)                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 146. Wilmington Trust Bank Deposit (cash)                                                                                  | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 147. Harbor Large Cap Value Fund (HNLVX)                                                                                   | B                                      | Dividend                               | L                                              | T                                  | Buy (add'l)                               | 01/02/20         | J                        |                         |                                                            |
| 148.                                                                                                                       |                                        |                                        |                                                |                                    | Buy (add'l)                               | 03/18/20         | J                        |                         |                                                            |
| 149.                                                                                                                       |                                        |                                        |                                                |                                    | Buy (add'l)                               | 03/31/20         | J                        |                         |                                                            |
| 150.                                                                                                                       |                                        |                                        |                                                |                                    | Sold (part)                               | 04/14/20         | J                        |                         |                                                            |
| 151. iShares Edge MSCI Min Vol USA ETF (USMV)                                                                              | A                                      | Dividend                               | K                                              | T                                  | Buy (add'l)                               | 01/02/20         | K                        |                         |                                                            |
| 152.                                                                                                                       |                                        |                                        |                                                |                                    | Sold (part)                               | 05/14/20         | J                        |                         |                                                            |
| 153. iShares Edge MSCI USA Qlty Factor ETF (QUAL)                                                                          | A                                      | Dividend                               | K                                              | T                                  | Sold (part)                               | 01/02/20         | J                        | B                       |                                                            |

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 13 of 30

Name of Person Reporting

Barrett, Michael R.

Date of Report

05/10/2021

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                               | C<br>Gross value at end<br>of reporting period |                                           | D<br>Transactions during reporting period       |                         |                                 |                                |                                                                   |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|-----------------------------------------------|------------------------------------------------|-------------------------------------------|-------------------------------------------------|-------------------------|---------------------------------|--------------------------------|-------------------------------------------------------------------|
|                                                                                                                            | (1)<br>Amount<br>Code 1<br>(A-H)       | (2)<br>Type (e g ,<br>div , rent,<br>or int ) | (1)<br>Value<br>Code 2<br>(J-P)                | (2)<br>Value<br>Method<br>Code 3<br>(Q-W) | (1)<br>Type (e g ,<br>buy, sell,<br>redemption) | (2)<br>Date<br>mm/dd/yy | (3)<br>Value<br>Code 2<br>(J-P) | (4)<br>Gain<br>Code 1<br>(A-H) | (5)<br>Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 154. iShares MSCI USA Value Factor ETF (VLUE)                                                                              |                                        | None                                          |                                                |                                           | Buy                                             | 03/31/20                | J                               |                                |                                                                   |
| 155.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 05/14/20                | J                               | A                              |                                                                   |
| 156. iShares Russell 1000 Growth ETF (IWF)                                                                                 | A                                      | Dividend                                      |                                                |                                           | Sold (part)                                     | 01/02/20                | K                               | C                              |                                                                   |
| 157.                                                                                                                       |                                        |                                               |                                                |                                           | Sold (part)                                     | 02/26/20                | J                               | A                              |                                                                   |
| 158.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 03/31/20                | J                               | B                              |                                                                   |
| 159. LSV Value Equity FD Strat (LSVEX)                                                                                     |                                        | None                                          |                                                |                                           | Sold (part)                                     | 01/02/20                | K                               |                                |                                                                   |
| 160.                                                                                                                       |                                        |                                               |                                                |                                           | Buy (add'l)                                     | 03/18/20                | J                               |                                |                                                                   |
| 161.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 03/31/20                | K                               |                                |                                                                   |
| 162. T Rowe Price Lg Cap Grwth Fund I (TRLGX)                                                                              | A                                      | Dividend                                      | L                                              | T                                         | Sold (part)                                     | 01/02/20                | J                               | A                              |                                                                   |
| 163.                                                                                                                       |                                        |                                               |                                                |                                           | Buy (add'l)                                     | 03/31/20                | J                               |                                |                                                                   |
| 164.                                                                                                                       |                                        |                                               |                                                |                                           | Sold (part)                                     | 04/14/20                | J                               |                                |                                                                   |
| 165.                                                                                                                       |                                        |                                               |                                                |                                           | Buy (add'l)                                     | 05/14/20                | J                               |                                |                                                                   |
| 166.                                                                                                                       |                                        |                                               |                                                |                                           | Sold (part)                                     | 12/23/20                | J                               | B                              |                                                                   |
| 167. Wilmington Large Cap Strategy Fund (WMLIX)                                                                            | D                                      | Dividend                                      | M                                              | T                                         | Sold (part)                                     | 01/02/20                | K                               | D                              |                                                                   |
| 168.                                                                                                                       |                                        |                                               |                                                |                                           | Sold (part)                                     | 07/24/20                | J                               | A                              |                                                                   |
| 169.                                                                                                                       |                                        |                                               |                                                |                                           | Sold (part)                                     | 12/23/20                | J                               | B                              |                                                                   |
| 170. AMG River Rd Sm-Cap Value Fd Cl I (ARSIX)                                                                             | A                                      | Dividend                                      | K                                              | T                                         | Buy                                             | 03/31/20                | J                               |                                |                                                                   |

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

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.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/23/20         | J                        |                         |                                                            |
| 172. Artisan Small Cap Fund Cl Inst (APHSX)                                                                                | B                                      | Dividend                               | K                                              | T                                  | Buy                                       | 03/31/20         | K                        |                         |                                                            |
| 173.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/24/20         | J                        | B                       |                                                            |
| 174.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 12/23/20         | J                        | B                       |                                                            |
| 175. iShares S&P Small-Cap 600 Growth ETF (IJT)                                                                            | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/02/20         | J                        |                         |                                                            |
| 176.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 02/26/20         | J                        | A                       |                                                            |
| 177.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/31/20         | J                        |                         |                                                            |
| 178.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/24/20         | J                        |                         |                                                            |
| 179.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 09/04/20         | J                        | A                       |                                                            |
| 180. iShares S&P Small-Cap 600 Value ETF (IJS)                                                                             |                                        | None                                   | J                                              | T                                  | Buy                                       | 09/04/20         | J                        |                         |                                                            |
| 181. Meridian Sm-Cap Growth (MSGRX)                                                                                        |                                        | None                                   |                                                |                                    | Buy<br>(add'l)                            | 03/18/20         | J                        |                         |                                                            |
| 182.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 03/31/20         | K                        |                         |                                                            |
| 183. Nuveen Small Cap Value Fund (FSCCX)                                                                                   |                                        | None                                   |                                                |                                    | Buy<br>(add'l)                            | 03/18/20         | J                        |                         |                                                            |
| 184.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 03/31/20         | J                        |                         |                                                            |
| 185. Vanguard FTSE Dev Market (VEA)                                                                                        | A                                      | Dividend                               |                                                |                                    | Sold<br>(part)                            | 01/02/20         | K                        | D                       |                                                            |
| 186.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 02/26/20         | J                        |                         |                                                            |
| 187.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/18/20         | J                        |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

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.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 03/23/20         | L                        |                         |                                                            |
| 189. iShares Core MSCI EAFE ETF (IEFA)                                                                                     | A                                      | Dividend                               | L                                              | T                                  | Buy                                       | 03/23/20         | L                        |                         |                                                            |
| 190.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 04/14/20         | J                        | A                       |                                                            |
| 191. WCM Focused Intl Growth Fd (WCMIX)                                                                                    | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 01/02/20         | K                        |                         |                                                            |
| 192.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/24/20         | J                        | A                       |                                                            |
| 193. Baillie Gifford Emerg Mkts CI K (BGKEX)                                                                               | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 01/02/20         | K                        |                         |                                                            |
| 194.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/18/20         | J                        |                         |                                                            |
| 195.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/24/20         | J                        |                         |                                                            |
| 196.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/12/20         | J                        |                         |                                                            |
| 197.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 12/23/20         | J                        |                         |                                                            |
| 198. iShares Core MSCI Emerging Markets (IEMG)                                                                             | A                                      | Dividend                               | K                                              | T                                  | Sold<br>(part)                            | 01/02/20         | K                        | C                       |                                                            |
| 199.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 02/26/20         | J                        | A                       |                                                            |
| 200. Wilmington Intl Fund I (WINIX)                                                                                        | A                                      | Dividend                               | L                                              | T                                  | Buy                                       | 01/02/20         | L                        |                         |                                                            |
| 201.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/18/20         | J                        |                         |                                                            |
| 202.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/24/20         | J                        |                         |                                                            |
| 203.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 12/23/20         | J                        | A                       |                                                            |
| 204. Fidelity Focused High Income (FHIFX)                                                                                  | B                                      | Dividend                               | K                                              | T                                  | Sold<br>(part)                            | 07/20/20         | K                        | A                       |                                                            |

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

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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 16 of 30

Name of Person Reporting

Barrett, Michael R.

Date of Report

05/10/2021

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 205. Vanguard Intermediate-Term Tax Exempt FD (VWIUX)                                                                      | A                                      | Dividend                               | K                                              | T                                  | Buy (add'l)                               | 07/20/20         | K                        |                         |                                                            |
| 206. Wilmington Municipal Bond Fund (WTAIX)                                                                                | D                                      | Dividend                               | N                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 207. iShares Tips Bond ETF (TIP)                                                                                           | A                                      | Dividend                               |                                                |                                    | Sold (part)                               | 03/18/20         | J                        | A                       |                                                            |
| 208.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 03/23/20         | J                        | A                       |                                                            |
| 209. Vanguard Inflation-Protected CI Admiral (VAIPX)                                                                       |                                        | None                                   | J                                              | T                                  | Buy                                       | 12/23/20         | J                        |                         |                                                            |
| 210.                                                                                                                       |                                        |                                        |                                                |                                    | Buy (add'l)                               | 12/23/20         | J                        |                         |                                                            |
| 211. iShares Global REIT ETF (REET)                                                                                        | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 01/02/20         | J                        |                         |                                                            |
| 212.                                                                                                                       |                                        |                                        |                                                |                                    | Sold (part)                               | 04/14/20         | J                        |                         |                                                            |
| 213.                                                                                                                       |                                        |                                        |                                                |                                    | Buy (add'l)                               | 07/24/20         | J                        |                         |                                                            |
| 214. iShares Cohen & Steers REIT ETF (ICF)                                                                                 |                                        | None                                   |                                                |                                    | Sold                                      | 01/02/20         | J                        | C                       |                                                            |
| 215. SPDR Dow Jones Int'l Real Estate ETF (RWX)                                                                            |                                        | None                                   |                                                |                                    | Sold                                      | 01/02/20         | K                        |                         |                                                            |
| 216. SPDR Gold Shares (GLD)                                                                                                |                                        | None                                   |                                                |                                    | Buy                                       | 07/24/20         | K                        |                         |                                                            |
| 217.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 12/23/20         | K                        |                         |                                                            |
| 218. Vanguard Commodity Strat Fd CI Adm (VCMDX)                                                                            | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 01/02/20         | J                        |                         |                                                            |
| 219.                                                                                                                       |                                        |                                        |                                                |                                    | Buy (add'l)                               | 12/23/20         | J                        |                         |                                                            |
| 220. ACCOUNT #6 (H)                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 221. Morgan Stanley Bank NA (cash)                                                                                         | A                                      | Interest                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |
|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|------------------------|
| 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                                                                                                   |                        |
| 3 Value Method Codes<br>(See Column C2)         |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Barrett, Michael R.

Date of Report

05/10/2021

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

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 222. Carrier Global Corp (CARR) (X)                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 223. Exxon Mobil Corp (XOM)                                                                                                | A                                      | Dividend                               |                                                |                                    | Sold                                      | 03/18/20         | J                        | C                       |                                                            |
| 224. Ill Tool Works Inc (ITW)                                                                                              | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 225. Johnson & Johnson (JNJ)                                                                                               | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 226. McDonalds Corp (MCD)                                                                                                  | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 227. Otis Worldwide Corp (OTIS) (X)                                                                                        | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 228. Procter & Gamble (PG)                                                                                                 | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 229. Raytheon Technologies Corp (RTX)                                                                                      | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 230. iShares Core Dividend Growth (DGRO)                                                                                   | C                                      | Dividend                               | M                                              | T                                  | Buy                                       | 03/26/20         | K                        |                         |                                                            |
| 231.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/27/20         | K                        |                         |                                                            |
| 232.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 04/15/20         | L                        |                         |                                                            |
| 233. iShares Mortgage Real Estate C (REM)                                                                                  | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 10/01/20         | K                        |                         |                                                            |
| 234. iShares IBonds Sep 2020 Muni (IBMI)                                                                                   | A                                      | Dividend                               |                                                |                                    | Sold                                      | 03/18/20         | K                        |                         |                                                            |
| 235. iShares MSCI EAFE ETF (EFA)                                                                                           |                                        | None                                   |                                                |                                    | Sold                                      | 03/18/20         | K                        |                         |                                                            |
| 236. Nuveen Mun Cr Opportunities Fd (NMCO)                                                                                 | C                                      | Dividend                               | L                                              | T                                  | Buy                                       | 03/18/20         | L                        |                         |                                                            |
| 237. The Technology Sel Sec Spdr Fd (XLK)                                                                                  | A                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 238. AB High Income Adv (AGDYX)                                                                                            | C                                      | Dividend                               | L                                              | T                                  | Buy                                       | 03/26/20         | K                        |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

Page 18 of 30

Name of Person Reporting

Barrett, Michael R.

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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)<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) |
| 239.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/15/20                | K                               |                                |                                                                   |
| 240. Am. Century Eqi Inc. Int. (ACIIX)                                                                                     | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 03/18/20                | L                               |                                |                                                                   |
| 241. Am New Perspective F2 (ANWFX)                                                                                         | C                                      | Dividend                                      | L                                              | T                                         | Sold<br>(part)                                  | 03/18/20                | K                               | D                              |                                                                   |
| 242. Invesco Opp Cap Income Y (OCIYX)                                                                                      |                                        | None                                          |                                                |                                           | Sold                                            | 03/18/20                | K                               |                                |                                                                   |
| 243. Lord Abbett Interm Tx Fr F (LISFX)                                                                                    | B                                      | Dividend                                      | M                                              | T                                         | Buy                                             | 03/26/20                | M                               |                                |                                                                   |
| 244. Mainstay MacKay High Yld Mun Bd I<br>(MMHIX)                                                                          | C                                      | Dividend                                      | M                                              | T                                         | Buy                                             | 03/26/20                | M                               |                                |                                                                   |
| 245. Neuberger Berman Lg Sh Inst (NLSIX)                                                                                   | B                                      | Dividend                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 246. Nuveen All-American Muni Bd I (FAARX)                                                                                 | B                                      | Dividend                                      |                                                |                                           | Sold                                            | 03/18/20                | M                               | B                              |                                                                   |
| 247. Nuveen Global Infrastructure (FGIYX)                                                                                  |                                        | None                                          |                                                |                                           | Sold                                            | 03/18/20                | K                               |                                |                                                                   |
| 248. Nuveen HI YLD Muni BD I (NHMRX)                                                                                       | B                                      | Dividend                                      |                                                |                                           | Sold                                            | 03/18/20                | L                               |                                |                                                                   |
| 249. Nuveen Real Estate Sec FD (FARCK)                                                                                     |                                        | None                                          |                                                |                                           | Sold                                            | 03/18/20                | K                               |                                |                                                                   |
| 250. Nuveen Santa Barbara Div Gr I (NSBRX)                                                                                 | D                                      | Dividend                                      | M                                              | T                                         | Buy                                             | 03/18/20                | M                               |                                |                                                                   |
| 251. Nuveen Sh Dur High Yield Muni Bond<br>(NVHIX)                                                                         | B                                      | Dividend                                      |                                                |                                           | Sold                                            | 03/18/20                | M                               |                                |                                                                   |
| 252. T Rowe Price Growth Stock Adv (PRGFX)                                                                                 |                                        | None                                          |                                                |                                           | Sold                                            | 03/18/20                | L                               | E                              |                                                                   |
| 253. T Rowe Price MidCap Gr Adv (RPMGX)                                                                                    |                                        | None                                          |                                                |                                           | Sold                                            | 03/18/20                | L                               | D                              |                                                                   |
| 254. T Rowe Price Mid Cap Value (TRMCX)                                                                                    |                                        | None                                          |                                                |                                           | Sold                                            | 03/18/20                | K                               |                                |                                                                   |
| 255. Pimco Invest Grade Cred Bd I2 (PBDPX)                                                                                 | B                                      | Dividend                                      | L                                              | T                                         | Buy                                             | 04/15/20                | L                               |                                |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
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| 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

Barrett, Michael R.

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☐

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| 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) |
| 256. Vanguard 500 Indx Admiral (VFIAX)                                                                                     | C                                      | Dividend                                      | M                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 257. ACCOUNT #7 (H)                                                                                                        |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 258. WILMINGTON TRUST BANK DEPOSIT SWEEP (BKSWP) (cash)                                                                    | A                                      | Interest                                      | L                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 259. ACTIVISION BLIZZARD INC (ATVI)                                                                                        |                                        | None                                          | J                                              | T                                         | Buy                                             | 09/10/20                | J                               |                                |                                                                   |
| 260. AT&T INC (T)                                                                                                          | A                                      | Dividend                                      | J                                              | T                                         | Sold (part)                                     | 01/02/20                | J                               |                                |                                                                   |
| 261. COMCAST CORP NEW A (CMCSA)                                                                                            | A                                      | Dividend                                      | J                                              | T                                         | Sold (part)                                     | 01/02/20                | J                               | A                              |                                                                   |
| 262. OMNICOM GROUP INC COM (OMC)                                                                                           | A                                      | Dividend                                      | J                                              | T                                         | Sold (part)                                     | 01/02/20                | J                               |                                |                                                                   |
| 263. WALT DISNEY CO (DIS)                                                                                                  | A                                      | Dividend                                      | J                                              | T                                         | Sold (part)                                     | 01/02/20                | J                               | A                              |                                                                   |
| 264. EXPEDIA GROUP, INC (EXPE)                                                                                             | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 265. EXTENDED STAY AMERICA INC (STAY)                                                                                      | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 03/25/20                | J                               |                                |                                                                   |
| 266. LOWES COMPANIES INC (LOW)                                                                                             | A                                      | Dividend                                      | K                                              | T                                         | Sold (part)                                     | 01/02/20                | J                               | A                              |                                                                   |
| 267. NIKE INC (NKE)                                                                                                        | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 03/17/20                | J                               |                                |                                                                   |
| 268. STARBUCKS CORP (SBUX)                                                                                                 | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 03/25/20                | J                               |                                |                                                                   |
| 269.                                                                                                                       |                                        |                                               |                                                |                                           | Buy (add'l)                                     | 04/17/20                | J                               |                                |                                                                   |
| 270. TJX COMPANIES COM (TJX)                                                                                               | A                                      | Dividend                                      | J                                              | T                                         | Sold (part)                                     | 01/02/20                | J                               | A                              |                                                                   |
| 271. COSTCO WHOLESALE CORP COM (COST)                                                                                      | A                                      | Dividend                                      | K                                              | T                                         | Sold (part)                                     | 01/02/20                | J                               | A                              |                                                                   |
| 272. ESTEE LAUDER COMPANIES INC (EL)                                                                                       | A                                      | Dividend                                      | J                                              | T                                         | Sold (part)                                     | 01/02/20                | J                               | A                              |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
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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 |                        |
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# FINANCIAL DISCLOSURE REPORT

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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) |
| 273. PEPSICO INC COM (PEP)                                                                                                 | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/02/20                | J                               | A                              |                                                                   |
| 274. PHILIP MORRIS INTL INC (PM)                                                                                           | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 275. PROCTER & GAMBLE CO COM (PG)                                                                                          | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/02/20                | J                               | A                              |                                                                   |
| 276. CHEVRON CORP (CVX)                                                                                                    | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/02/20                | J                               |                                |                                                                   |
| 277. EOG RESOURCES INC COM (EOG)                                                                                           | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/02/20                | J                               |                                |                                                                   |
| 278.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 03/17/20                | J                               |                                |                                                                   |
| 279. EXXON MOBIL CORP (XOM)                                                                                                | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 09/10/20                | J                               |                                |                                                                   |
| 280. VALERO ENERGY CORP COM (VLO)                                                                                          | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/02/20                | J                               | A                              |                                                                   |
| 281.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 09/10/20                | J                               |                                |                                                                   |
| 282. BLACKROCK INC (BLK)                                                                                                   | A                                      | Dividend                                      | K                                              | T                                         | Sold<br>(part)                                  | 01/02/20                | J                               |                                |                                                                   |
| 283. CITIGROUP INC (C)                                                                                                     | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/02/20                | J                               | A                              |                                                                   |
| 284. CME GROUP INC (CME)                                                                                                   | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 285. JPMORGAN CHASE & CO (JPM)                                                                                             | A                                      | Dividend                                      | K                                              | T                                         | Sold<br>(part)                                  | 01/02/20                | J                               | A                              |                                                                   |
| 286. METLIFE INC (MET)                                                                                                     | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 287. MORGAN STANLEY GROUP (MS)                                                                                             | A                                      | Dividend                                      | J                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 288. U S BANCORP DEL COM NEW (USB)                                                                                         | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/02/20                | J                               | A                              |                                                                   |
| 289. AMGEN INC COM (AMGN)                                                                                                  | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/02/20                | J                               | A                              |                                                                   |

|                                                 |                                                                                    |                                                      |                                                                                        |                                                            |                        |
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| 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) |
|                                                                                                                            |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 290. BECTON DICKINSON & CO COM (BDX)                                                                                       | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/02/20                | J                               | A                              |                                                                   |
| 291. DANAHER CORP COM (DHR)                                                                                                | A                                      | Dividend                                      | K                                              | T                                         | Sold<br>(part)                                  | 01/02/20                | J                               | A                              |                                                                   |
| 292. GILEAD SCIENCES INC COM (GILD)                                                                                        | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 04/17/20                | J                               | A                              |                                                                   |
| 293. JOHNSON & JOHNSON (JNJ)                                                                                               | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/02/20                | J                               | A                              |                                                                   |
| 294. MERCK & CO INC (MRK)                                                                                                  | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/02/20                | J                               | A                              |                                                                   |
| 295. PFIZER INC (PFE)                                                                                                      | A                                      | Dividend                                      |                                                |                                           | Sold<br>(part)                                  | 01/02/20                | J                               | A                              |                                                                   |
| 296.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 09/10/20                | J                               | B                              |                                                                   |
| 297. UNITEDHEALTH GROUP INC (UNH)                                                                                          | A                                      | Dividend                                      | K                                              | T                                         | Sold<br>(part)                                  | 01/02/20                | J                               | A                              |                                                                   |
| 298. ZOETIS INC (ZTS)                                                                                                      | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/02/20                | J                               | A                              |                                                                   |
| 299. BOEING CO COM (BA)                                                                                                    | A                                      | Dividend                                      |                                                |                                           | Sold                                            | 03/17/20                | J                               |                                |                                                                   |
| 300. DELTA AIR LINES INC (DAL)                                                                                             | A                                      | Dividend                                      |                                                |                                           | Sold<br>(part)                                  | 01/02/20                | J                               | A                              |                                                                   |
| 301.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 03/19/20                | J                               |                                |                                                                   |
| 302. FEDEX CORP COM (FDX)                                                                                                  | A                                      | Dividend                                      | K                                              | T                                         |                                                 |                         |                                 |                                |                                                                   |
| 303. LOCKHEED MARTIN CORPORATION<br>COM (LMT)                                                                              | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/02/20                | J                               | A                              |                                                                   |
| 304. RAYTHEON TECHNOLOGIES (RTX)                                                                                           | A                                      | Dividend                                      | J                                              | T                                         | Buy                                             | 04/06/20                | J                               |                                |                                                                   |
| 305.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 04/17/20                | J                               |                                |                                                                   |
| 306. UNION PACIFIC CORP COM (UNP)                                                                                          | A                                      | Dividend                                      | J                                              | T                                         | Sold<br>(part)                                  | 01/02/20                | J                               | A                              |                                                                   |

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

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Name of Person Reporting

Barrett, Michael R.

Date of Report

05/10/2021

## 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) |
| 307. XYLEM INC (XYL)                                                                                                       | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 09/03/20         | J                        |                         |                                                            |
| 308. APPLE INC (AAPL)                                                                                                      | A                                      | Dividend                               | L                                              | T                                  | Sold<br>(part)                            | 01/02/20         | J                        | B                       |                                                            |
| 309.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 05/14/20         | J                        | B                       |                                                            |
| 310.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 09/03/20         | J                        | D                       |                                                            |
| 311.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 11/12/20         | J                        |                         |                                                            |
| 312. BROADCOM INC (AVGO)                                                                                                   | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/02/20         | J                        | A                       |                                                            |
| 313. CISCO SYSTEMS INC (CSCO)                                                                                              | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/02/20         | J                        | A                       |                                                            |
| 314. MASTERCARD INC CL A (MA)                                                                                              | A                                      | Dividend                               | K                                              | T                                  | Sold<br>(part)                            | 01/02/20         | J                        | B                       |                                                            |
| 315.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 05/14/20         | J                        |                         |                                                            |
| 316. MAXIM INTEGRATED PRODS INC<br>COM (MXIM)                                                                              | A                                      | Dividend                               | K                                              | T                                  | Sold<br>(part)                            | 01/02/20         | J                        | A                       |                                                            |
| 317. MICROSOFT CORP (MSFT)                                                                                                 | A                                      | Dividend                               | L                                              | T                                  | Sold<br>(part)                            | 01/02/20         | J                        | B                       |                                                            |
| 318.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 05/14/20         | J                        | B                       |                                                            |
| 319. ORACLE CORPORATION COM (ORCL)                                                                                         | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 320. QUALCOMM INC COM (QCOM)                                                                                               | A                                      | Dividend                               | K                                              | T                                  | Sold<br>(part)                            | 01/02/20         | J                        | A                       |                                                            |
| 321. AIR PRODUCTS & CHEMICALS INC<br>(APD)                                                                                 | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/02/20         | J                        | A                       |                                                            |
| 322. SHERWIN WILLIAMS CO COM (SHW)                                                                                         | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/02/20         | J                        | A                       |                                                            |
| 323. AMERICAN TOWER CORP CL A (AMT)                                                                                        | A                                      | Dividend                               | K                                              | T                                  | Sold<br>(part)                            | 01/02/20         | J                        | A                       |                                                            |

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

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

☐

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

| A<br>Description of Assets<br>(including trust assets)<br><br>Place "(X)" after each asset<br>exempt from prior disclosure | B<br>Income during<br>reporting period |                                        | C<br>Gross value at end<br>of reporting period |                                    | D<br>Transactions during reporting period |                  |                          |                         |                                                            |
|----------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------|------------------------------------------------|------------------------------------|-------------------------------------------|------------------|--------------------------|-------------------------|------------------------------------------------------------|
|                                                                                                                            | (1)                                    | (2)                                    | (1)                                            | (2)                                | (1)                                       | (2)              | (3)                      | (4)                     | (5)                                                        |
|                                                                                                                            | Amount<br>Code 1<br>(A-H)              | Type (e g ,<br>div , rent,<br>or int ) | Value<br>Code 2<br>(J-P)                       | Value<br>Method<br>Code 3<br>(Q-W) | Type (e g ,<br>buy, sell,<br>redemption)  | Date<br>mm/dd/yy | Value<br>Code 2<br>(J-P) | Gain<br>Code 1<br>(A-H) | Identity of<br>buyer/seller<br>(if private<br>transaction) |
| 324. AMERICAN ELECTRIC POWER CO INC<br>(AEP)                                                                               | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/02/20         | J                        | A                       |                                                            |
| 325. CMS ENERGY CORP COM (CMS)                                                                                             | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 326. ISHARES EDGE MSCI USA QLTY<br>FACTOR ETF (QUAL)                                                                       | A                                      | Dividend                               | L                                              | T                                  | Sold<br>(part)                            | 01/02/20         | J                        | A                       |                                                            |
| 327. ISHARES RUSSELL 1000 GROWTH ETF<br>(IWF)                                                                              | A                                      | Dividend                               |                                                |                                    | Sold<br>(part)                            | 01/02/20         | J                        | A                       |                                                            |
| 328.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 02/26/20         | J                        | C                       |                                                            |
| 329.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 03/31/20         | K                        | B                       |                                                            |
| 330. T ROWE PRICE LRG CAP GR I (TRLGX)                                                                                     | A                                      | Dividend                               | M                                              | T                                  | Sold<br>(part)                            | 01/02/20         | J                        | A                       |                                                            |
| 331.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/31/20         | K                        |                         |                                                            |
| 332.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 05/14/20         | K                        |                         |                                                            |
| 333.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/24/20         | J                        | A                       |                                                            |
| 334. AMG RIVER RD SM CAP VALUE FD CL<br>I (ARSIX)                                                                          | A                                      | Dividend                               | L                                              | T                                  | Buy                                       | 03/31/20         | K                        |                         |                                                            |
| 335. ARTISAN SMALL CAP FUND CL INST<br>(APHSX)                                                                             | C                                      | Dividend                               | L                                              | T                                  | Buy                                       | 03/31/20         | K                        |                         |                                                            |
| 336.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 07/24/20         | J                        | C                       |                                                            |
| 337. ISHARES S&P SM-CAP 600 GROWTH<br>ETF (IJT)                                                                            | A                                      | Dividend                               | K                                              | T                                  | Sold<br>(part)                            | 01/02/20         | K                        | B                       |                                                            |
| 338.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 02/26/20         | K                        | B                       |                                                            |
| 339.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/18/20         | J                        |                         |                                                            |
| 340.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/31/20         | J                        |                         |                                                            |

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

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

J =\$15,000 or less

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

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

Q =Appraisal

U =Book Value

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

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

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

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

R =Cost (Real Estate Only)

V =Other

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

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

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

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

P4 =More than \$50,000,000

S =Assessment

W =Estimated

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

H2 =More than \$5,000,000

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

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

T =Cash Market

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Barrett, Michael R.

Date of Report

05/10/2021

## 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.)

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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) |
| 341.                                                                                                                       |                                        |                                        |                                                |                                    | Sold<br>(part)                            | 09/04/20         | K                        | B                       |                                                            |
| 342. ISHARES S&P SM CAP 600 VALUE ETF<br>(IJS)                                                                             | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 09/04/20         | K                        |                         |                                                            |
| 343. MERIDIAN SM-CAP GROWTH FD CL I<br>(MSGRX)                                                                             |                                        | None                                   |                                                |                                    | Sold<br>(part)                            | 01/02/20         | J                        | A                       |                                                            |
| 344.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/18/20         | J                        |                         |                                                            |
| 345.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 03/31/20         | L                        |                         |                                                            |
| 346. NUVEEN SMALL CAP VALUE FD-Y<br>(FSCCX)                                                                                | A                                      | Dividend                               |                                                |                                    | Sold<br>(part)                            | 01/02/20         | J                        | A                       |                                                            |
| 347.                                                                                                                       |                                        |                                        |                                                |                                    | Buy<br>(add'l)                            | 03/18/20         | J                        |                         |                                                            |
| 348.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 03/31/20         | K                        |                         |                                                            |
| 349. ACCENTURE PLC- CL A (ACN)                                                                                             | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/02/20         | J                        | A                       |                                                            |
| 350. INGERSOLL-RAND PUBLIC LT CO (IR)                                                                                      |                                        | None                                   |                                                |                                    | Sold<br>(part)                            | 01/02/20         | J                        | A                       |                                                            |
| 351.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 03/09/20         | J                        | A                       |                                                            |
| 352. MEDTRONIC PLC (MDT)                                                                                                   | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/02/20         | J                        |                         |                                                            |
| 353. TRANE TECHNOLOGIES (TT) (X)                                                                                           | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 354. SUNCOR ENERGY INC (SU)                                                                                                | A                                      | Dividend                               |                                                |                                    | Sold<br>(part)                            | 01/02/20         | J                        |                         |                                                            |
| 355.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 03/17/20         | J                        |                         |                                                            |
| 356. WILLIS TOWERS WATSON PLC<br>(WLTW)                                                                                    | A                                      | Dividend                               | J                                              | T                                  | Sold<br>(part)                            | 01/02/20         | J                        | A                       |                                                            |
| 357. ISHARES CORE MSCI EAFE ETF (IEFA)                                                                                     | C                                      | Dividend                               | M                                              | T                                  | Buy<br>(add'l)                            | 01/02/20         | L                        |                         |                                                            |

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

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Barrett, Michael R.

Date of Report

05/10/2021

## 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) |
|                                                                                                                            |                                        |                                               |                                                |                                           |                                                 |                         |                                 |                                |                                                                   |
| 358.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 02/26/20                | J                               | A                              |                                                                   |
| 359.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 03/18/20                | J                               |                                |                                                                   |
| 360. WCM FOCUSED INTL GROWTH FD<br>(WCMIX)                                                                                 | A                                      | Dividend                                      | L                                              | T                                         | Sold<br>(part)                                  | 01/02/20                | J                               | B                              |                                                                   |
| 361.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 07/24/20                | J                               | B                              |                                                                   |
| 362. BAILLIE GIFFORD EMERG MKTS CL K<br>(BGKEX)                                                                            | B                                      | Dividend                                      | L                                              | T                                         | Buy                                             | 01/02/20                | L                               |                                |                                                                   |
| 363.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 03/18/20                | J                               |                                |                                                                   |
| 364.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 07/24/20                | J                               |                                |                                                                   |
| 365.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 11/12/20                | K                               |                                |                                                                   |
| 366. ISHARES CORE MSCI EMERGING<br>(IEMG)                                                                                  | A                                      | Dividend                                      | K                                              | T                                         | Buy<br>(add'l)                                  | 01/02/20                | J                               |                                |                                                                   |
| 367.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 02/26/20                | J                               | A                              |                                                                   |
| 368. WILMINGTON INTERNATIONAL FUND<br>(WINIX)                                                                              | C                                      | Dividend                                      | N                                              | T                                         | Buy<br>(add'l)                                  | 01/02/20                | J                               |                                |                                                                   |
| 369.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 03/18/20                | J                               |                                |                                                                   |
| 370.                                                                                                                       |                                        |                                               |                                                |                                           | Sold<br>(part)                                  | 07/24/20                | J                               | A                              |                                                                   |
| 371. FIDELITY FOCUSED HIGH INCOME<br>FUND (FHIFX)                                                                          | B                                      | Dividend                                      |                                                |                                           | Sold<br>(part)                                  | 05/22/20                | K                               | B                              |                                                                   |
| 372.                                                                                                                       |                                        |                                               |                                                |                                           | Sold                                            | 07/28/20                | K                               | D                              |                                                                   |
| 373. MUNICIPAL BOND COMMON FUND<br>(625993AB6)                                                                             | D                                      | Dividend                                      | O                                              | T                                         | Buy<br>(add'l)                                  | 05/31/20                | K                               |                                |                                                                   |
| 374.                                                                                                                       |                                        |                                               |                                                |                                           | Buy<br>(add'l)                                  | 07/31/20                | 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                                                                                                   |                        |
| 3 Value Method Codes<br>(See Column C2)         |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |

# FINANCIAL DISCLOSURE REPORT

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Name of Person Reporting

Barrett, Michael R.

Date of Report

05/10/2021

## 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) |
| 375. NUVEEN SHORT DUR H/Y MUNI CL I (NVHIX)                                                                                | B                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 376. ISHARES TIPS BOND ETF (TIP)                                                                                           | A                                      | Dividend                               |                                                |                                    | Sold (part)                               | 01/02/20         | J                        | A                       |                                                            |
| 377.                                                                                                                       |                                        |                                        |                                                |                                    | Sold (part)                               | 03/18/20         | J                        |                         |                                                            |
| 378.                                                                                                                       |                                        |                                        |                                                |                                    | Sold                                      | 03/23/20         | K                        | B                       |                                                            |
| 379. ISHARES GLOBAL REIT ETF (REET)                                                                                        | B                                      | Dividend                               | K                                              | T                                  | Buy                                       | 01/02/20         | L                        |                         |                                                            |
| 380.                                                                                                                       |                                        |                                        |                                                |                                    | Buy (add'l)                               | 03/18/20         | J                        |                         |                                                            |
| 381.                                                                                                                       |                                        |                                        |                                                |                                    | Sold (part)                               | 04/14/20         | K                        |                         |                                                            |
| 382.                                                                                                                       |                                        |                                        |                                                |                                    | Buy (add'l)                               | 07/24/20         | J                        |                         |                                                            |
| 383. ISHARES COHEN & STEERS REIT ETF (ICF)                                                                                 |                                        | None                                   |                                                |                                    | Sold                                      | 01/02/20         | K                        | C                       |                                                            |
| 384. SPDR GOLD SHARES (GLD)                                                                                                |                                        | None                                   | K                                              | T                                  | Buy                                       | 07/24/20         | K                        |                         |                                                            |
| 385. SPDR DJ INTL REAL ESTATE ETF (RWX)                                                                                    |                                        | None                                   |                                                |                                    | Sold                                      | 01/02/20         | L                        | B                       |                                                            |
| 386. VANGUARD COMMODITY STRAT FD CL ADM (VCMDX)                                                                            | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 01/02/20         | J                        |                         |                                                            |
| 387. ACCOUNT #8 (H)                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |
| 388. Maximum Appreciation Fund (254999865)                                                                                 | C                                      | Dividend                               | N                                              | T                                  | Sold (part)                               | 01/01/20         | J                        |                         |                                                            |
| 389.                                                                                                                       |                                        |                                        |                                                |                                    | Sold (part)                               | 07/31/20         | J                        | A                       |                                                            |
| 390. Municipal Bond Common Fund (625993AB6)                                                                                | B                                      | Dividend                               | L                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 391. ACCOUNT #9 (H)                                                                                                        |                                        |                                        |                                                |                                    |                                           |                  |                          |                         |                                                            |

|                                                 |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |
|-------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------|------------------------|
| 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                                                                                                   |                        |
| 3 Value Method Codes<br>(See Column C2)         |                                                                                                                                     |                                                                                                            |                                                                                                                                                 |                                                                                                                  |                        |

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) |
| 392. First American Treasury Oblig Fd Cl (cash equiv)                                                                      | C                                      | Interest                               | O                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 393. Abbott Labs (ABT)                                                                                                     | B                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 394. Abbvie Inc (ABBV)                                                                                                     | C                                      | Dividend                               | M                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 395. Capital One Financial Corp (COF)                                                                                      | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 396. Invesco QQQ Trust (QQQ)                                                                                               | A                                      | Dividend                               | K                                              | T                                  | Buy                                       | 05/07/20         | K                        |                         |                                                            |
| 397. iShares Select Dividend ETF (DVY)                                                                                     | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 398. Procter & Gamble (PG)                                                                                                 | D                                      | Dividend                               | O                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 399. T. Rowe Price Value (TRVLX)                                                                                           | A                                      | Dividend                               | K                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 400. Vanguard Growth Index Fund (VUG)                                                                                      | A                                      | Dividend                               | L                                              | T                                  | Buy                                       | 05/07/20         | L                        |                         |                                                            |
| 401. iShares Russell Midcap Index (IWR)                                                                                    | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 402. Nuveen Mid Cap Value (FSEIX)                                                                                          | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 403. iShares Russell 2000 Index (IWM)                                                                                      | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 404. Fidelity Invt Trad Intl Disci (FIADX)                                                                                 | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 405. Vanguard FTSE Emerging Markets Index Fund (VWO)                                                                       | A                                      | Dividend                               | J                                              | T                                  | Buy                                       | 06/11/20         | J                        |                         |                                                            |
| 406. Laudus Int'l Marketmasters Fd Select (SWMIX)                                                                          |                                        | None                                   |                                                |                                    | Sold                                      | 06/11/20         | J                        | B                       |                                                            |
| 407. Ishares US Treasury Bond ETF (GOVT)                                                                                   | C                                      | Dividend                               | M                                              | T                                  | Buy                                       | 05/07/20         | M                        |                         |                                                            |
| 408. Tiaa Cref Bond Plus Fund Adv (TCBHX)                                                                                  | 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

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) |
| 409. Vanguard Intermediate Term Bond Index<br>ETF (BIV)                                                                    | C                                      | Dividend                               | M                                              | T                                  | Buy                                       | 05/07/20         | M                        |                         |                                                            |
| 410. Vanguard Short Term Bond Index Fund<br>(BSV)                                                                          | B                                      | Dividend                               | M                                              | T                                  | Buy                                       | 05/07/20         | M                        |                         |                                                            |
| 411. Tiaa Cref Inflation Linked Bond Fund<br>(TIIHX)                                                                       | A                                      | Dividend                               | J                                              | T                                  |                                           |                  |                          |                         |                                                            |
| 412. Vanguard Real Estate Etf (VNQ)                                                                                        | B                                      | Dividend                               | K                                              | 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

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Name of Person Reporting

Barrett, Michael R.

Date of Report

05/10/2021

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

Part VII, lines 2 and 3: The holdings of these real estate companies are operational in nature; other investments of the companies, if any, are beyond the scope of the filer's knowledge. The filer has a 1/6 interest in each of these holdings.

Part VII, Column B: Lines reflecting no income are so reported because none was attributed to those particular holdings during the reporting period, whether taxable, tax exempt, or tax deferred, or because the investments do not allocate income to individual holdings, but instead are credited only in unit value, per page 42 of the filing instructions.

# FINANCIAL DISCLOSURE REPORT

Page 30 of 30

Name of Person Reporting

Barrett, Michael R.

Date of Report

05/10/2021

## 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/ **Michael R. Barrett**

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

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